

Global Fund Monitoring & Evaluation (M&E) Framework including KPIs and the Multi-Year Evaluation Calendar

48th Board Meeting

GF/B48/04

15-17 November 2022, Geneva, Switzerland

Board Decision

Purpose of the paper: This paper describes the Global Fund's Monitoring & Evaluation (M&E) Framework, including Key Performance Indicators (KPIs) and topics for the Multi-Year Evaluation Calendar, for Board for endorsement (M&E Framework) and approval (KPIs and topics for the Multi-Year Evaluation Calendar).

Decision

Decision Point: GF/48/DP06: 2023-2028 M&E Framework, KPI Framework and Multi-Year Evaluation Calendar

1. **The Board acknowledges and appreciates the extensive work across the partnership to incorporate past lessons into development of an improved holistic approach to Monitoring and Evaluation (M&E) for the new Strategy. The Board notes the recommendations of the Strategy Committee (SC) and Audit and Finance Committee (AFC), as set forth in GF/B48/04 and:**
 - i. **Endorses the components of the M&E Framework as described in GF/B48/04 Annex 1;**
 - ii. **Approves the KPI Framework (including each Key Performance Indicator), as set forth in GF/B48/04 Annex 2;**
 - iii. **Approves the topics for the Multi-Year Evaluation Calendar 2023-2028 as set forth in GF/B48/04 Annex 3; and**
 - iv. **Delegates authority to the SC to approve changes to the Multi-Year Evaluation Calendar in 2023, following a request by the Chief Evaluation and Learning Officer and advice from the Independent Evaluation Panel.**

Budgetary implications (included in, or additional to, OPEX budget)

Budget for the Independent Evaluation Function is included in the 2023 OPEX and will be requested annually in line with approved workplans. No specific budgetary implication for the implementation of the KPI Framework.

A summary of relevant past decisions providing context to the proposed Decision Point can be found in Annex 5.

Executive Summary

Context

- Based on lessons learned and challenges with monitoring and evaluating progress toward achieving Strategy objectives in the current Strategy and aligned with ongoing reforms of the Global Fund’s independent evaluation function, the Global Fund Secretariat was requested to develop an overarching M&E Framework to address these challenges in the new Global Fund Strategy, Fighting Pandemics and Building a Healthier and More Equitable World: Global Fund Strategy (2023-2028) (‘new Strategy’).
- The development of an M&E Framework has been an opportunity to align frameworks and tools used for M&E across the organization around the key data, evidence and measurement priorities for the new Strategy.
- A series of Measurement Consultations were a vital step in the development of the M&E Framework. Consultations took place over a 12-month period with extensive discussions on all areas of the new Strategy and incorporated the feedback of more than 450 technical experts (either from the Secretariat, from technical partners or other external specialists) including more than 100 experts nominated by Board constituencies. These consultations resulted in the proposal of KPIs and related targets for the new Strategy. They also served to ensure alignment between KPIs and what is measured in grants and catalytic investments, as well as identifying evidence gaps and how to address them through strengthening monitoring tools and critical areas for evaluation.
- By endorsing the overall approach to M&E for the new Strategy and approving the KPI Framework the Board will provide the strategic framework for measurement over the next Strategy period, enable close linkage of the M&E Framework to the design of the new grants in 2023 based upon the 7th Replenishment, and ensure that implementation of this new M&E Framework can commence immediately from the beginning of the new Strategy period.
- The Chief Evaluation and Learning Officer (“CELO”) and the Independent Evaluation Panel (“IEP”) formally started in October of 2022. Scope and timing of Evaluation topics that emerged through measurement consultations as critical and complementary to KPIs will be further refined and sequenced by the CELO and IEP in 2023. Corresponding flexibilities are requested in the Board decision to enable the CELO and IEP to establish the function and finalize the annual Evaluation Calendar for 2023 and Multi-Year Evaluation Calendar (the “Calendar”) from 2024 onwards.

Questions this paper addresses

- A. What is the Global Fund Monitoring & Evaluation Framework for the new Strategy?
- B. What was the process for identifying the KPIs and topics for the Evaluation Calendar that will contribute to holistic Strategic Performance Reporting?

- C. What are the final recommended KPIs for the new Strategy and what are the evaluation topics that will complement the KPIs in measuring and understanding progress towards achieving the new Strategy goal and objectives?

Conclusions

- A. The Global Fund's M&E Framework is made up of four interrelated components comprising two areas for Board approval including Strategic Monitoring and Strategic Evaluation and Review, as well as two linked areas of Secretariat oversight on Program Monitoring and Secretariat Monitoring. Each component relies on interlinked measurement frameworks, tools and systems that facilitate learning and support decision making along the grant and Strategy cycles.
- B. Measurement priorities to be incorporated into the components of the M&E Framework were identified consultatively through a series of more than 40 workshops with external and internal experts. For all areas of the new Strategy the workshops followed a process beginning with identifying what are the existing measures to track performance across the partnership; where are developments or new approaches needed; what metrics could be suitable for Global Fund Strategic Monitoring or Programmatic Monitoring (i.e., KPIs and/or Modular Framework); and for KPIs, what should be their detailed methodologies and targets. Priorities were also reinforced through the development of a high-level theory of change translated into key questions to answer through the M&E Framework. Across all metrics identified as important to measuring progress in the new Strategy period, a core set are elevated to KPIs that adhered to the KPI Board-approved principles addressing challenges with KPIs in the current Strategy period. Thematic evaluation topics that are required to complement insights from KPIs on Strategy delivery were also identified through the same consultative process. In parallel, consultations within the Secretariat were held to identify Impact KPIs and Financial KPIs strongly aligned with indicators used by partners and Global Fund Corporate financial reporting, respectively. Further input on KPIs and evaluation topics were sought from Committees and Board in July and September 2022.
- C. For the new Strategy a total of 48 KPIs are recommended, and the full list is contained in Annex 2. In addition to evaluation topics already committed to through Board decisions in the current Strategy period, 16 further potential evaluation topics which are either complementary to the KPIs or critical to new Strategy delivery are recommended for the Calendar. See Annex 3 for the list of evaluation topics.

Input Sought

- The Board is requested to consider the new M&E Framework as detailed in this paper and Annex 1 as the Global Fund's overall approach to holistic monitoring and evaluation of performance against the new Strategy.
- The Board is requested to consider the Key Performance Indicators (KPIs) listed in Annex 2 and described further in the supporting document: [Description of M&E Framework and Strategic Level Components](#) and [KPI Handbook](#) (including indicator definitions and targets).
- The Board is requested to consider the evaluation topics to be taken forward by CELO and IEP for the Calendar listed in Annex 3 and described in the supporting document: [Description of M&E Framework and Strategic Level Components](#).

- The Board is requested to approve the decision point: GF/B48/DPXX 2023-2028 M&E Framework, KPI Framework and Multi-Year Evaluation Calendar.

Input Received

- The M&E Framework, including KPIs and Multi-Year Evaluation Calendar topics, was finalized with input from the Board at the Board Retreat in July 2022 and through an additional consultation in September 2022, and with the SC and AFC at their 18th, 19th, and 20th meetings in March, July, and October 2022, respectively. This is built on extensive discussion with Committees and the Board on the lessons learned from the current KPIs and evaluation function as well as provision of routine updates on the progress of measurement consultations over 2020 and 2021. At their October 2022 meeting, the SC and AFC recommended to the Board for approval the decision presented in this paper and provided feedback on the narrative to be presented to the Board.
- Input on specific KPIs was also received through extensive consultations with external experts and partners via Measurement Consultations on different Strategy topics between September 2021-August 2022.

Report

What is the need or opportunity?

1. The Global Fund Monitoring & Evaluation (M&E) Framework for the new Global Fund Strategy, Fighting Pandemics and Building a Healthier and More Equitable World: Global Fund Strategy (2023-2028) (“new Strategy”) builds on lessons learned and addresses the challenges and limitations with monitoring and evaluating progress toward achieving the new Strategy goals and objectives in the current and previous Strategy cycles.
2. The Mid-Term Review of the 2017-2022 Strategy identified that a key challenge for the organization was a lack of an overarching M&E Framework that describes how all Global Fund M&E functions collectively work and complement each other to ensure sufficient data and evidence are available to assess progress against the Strategy to drive learning and program improvement
3. Furthermore, a lessons learned assessment on the current Key Performance Indicator (KPI) Framework also identified several challenges linked to the complexity of measuring performance of the Global Fund and the partnership, such as: a lack of clarity and alignment on typology, leveling and accountability for achieving results; a limited number of metrics measuring outcome-level performance and time lag; and/or gaps in data availability, that limited utility of some indicators ([GF/B45/16](#)).
4. The assessment also highlighted the limitation of monitoring Strategy performance based on KPIs alone in driving strategic decision-making by Governance bodies. Relying purely on KPIs cannot provide a holistic, clear approach and view of Strategic performance and also creates gaps in

visibility on hard to measure topics, including for Resilient & Sustainable Systems for Health (RSSH) and Equity.

5. The Global Fund therefore needs to articulate an M&E Framework that describes the interlinkages and complementarity between different types of monitoring and evaluation approaches used by the Global Fund programs, Secretariat, and partners, as well as describes how learning is assured. The articulation of an M&E Framework also supports the transition to the new evaluation function as approved by the Board in November 2021¹, providing the opportunity to improve the relevance, complementarity, and utility of KPIs and evaluation under the new Strategy.
6. The development of an overarching Framework has been an opportunity to align all frameworks and tools used for purposes of M&E across the organization, so that the measurement priorities identified for the new Strategy are cascaded appropriately throughout. By endorsing the overall approach to M&E for the new Strategy via articulation in a holistic, synergistic, and flexible M&E Framework, and approving the KPI Framework and Evaluation Calendar, the Board will set the strategic vision for measurement over the new Strategy period and promote better coordination at all levels. Approval of the KPI Framework will steer other monitoring frameworks and tools underpinning all components in the M&E Framework to ensure they evolve and are implemented cohesively over the course of the new Strategy. Approval of the critical cyclical and complementary topics for the Multi-Year Evaluation Calendar 2023-2028 that have been derived through the same process as KPI identification will more holistically enable the Board, Secretariat and partners to monitor progress against the new Strategy.

What do we propose to do and why?

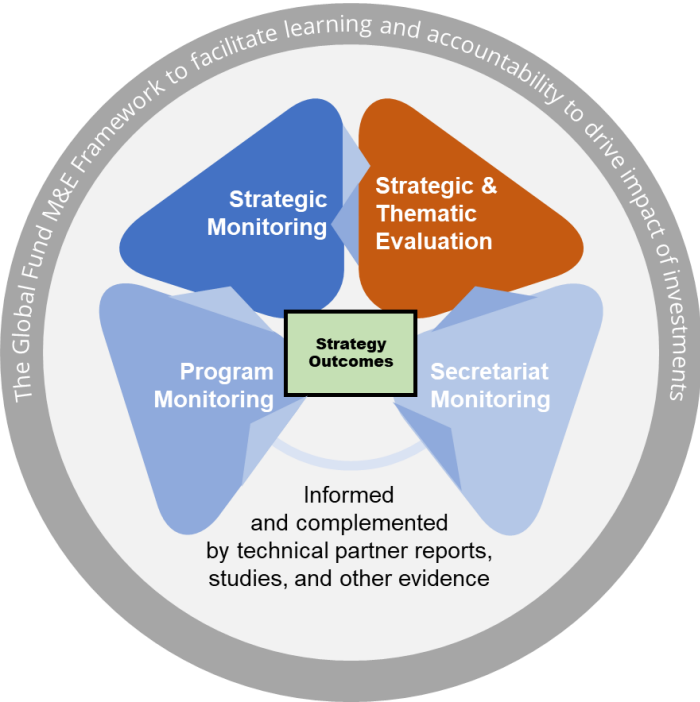
What is the Monitoring and Evaluation (M&E) Framework for the Global Fund?

7. The objective of the Global Fund M&E Framework is to facilitate performance management, continuous learning and improved decision-making by providing relevant, useful, reliable, and timely information to improve efficiency, effectiveness, quality, and impact of Global Fund investments.
8. As shown in Figure 1, the M&E Framework is made up of four interrelated components, each relying on interlinked measurement frameworks, tools and systems that facilitate learning and support decision making along the grant and Strategy cycle. Collectively, information coming through the four components of the M&E Framework provides a comprehensive picture of progress against achieving the Strategy outcomes and on how well the Global Fund is delivering on its mandate. A detailed description of each component, including how insights from each component are primarily used and how they drive learning is described in Annex 1.
9. Further details on the operationalization of the M&E Framework are described in the supporting document: [Description of M&E Framework and Strategic Level Components](#). It is important to note that all components of the M&E Framework rely on data coming from countries via various reporting channels, as well as data generated by the Secretariat and technical partners. These

¹ [GF/B46/DP06](#)

data inputs are turned into multiple types of information which are used to generate analytical outputs, customized for different users depending on their purpose. It is these outputs which facilitate learning and decision-making by the Board, Secretariat and at the country and program levels.

Figure 1: Global Fund High Level M&E Framework



- 10. To enable Governance bodies to use information generated from the M&E Framework to provide their mandated strategic steer, reports are routinely provided by the Secretariat that pertain to Strategic Monitoring and Strategic and Thematic Evaluations. Moreover, from the outset of the new Strategy period, the Board approves the KPIs reported through Strategic Monitoring and the critical topics for Strategic and Thematic Evaluations to ensure the most critical information will be available in areas of highest strategic value.
- 11. The M&E Framework components of Program and Secretariat Monitoring serve multiple purposes related specifically to monitoring and oversight of grants, catalytic investments and functioning of Secretariat business processes. While monitoring Strategy performance is not the sole objective of the other components, they do provide additional information that, in many cases, constitute “drivers” of Strategy progress and provide complementary insights to what is reported through Strategic Monitoring and Strategic and Thematic Evaluations. Information from these other components is elevated for Board visibility and discussion (when relevant) for the purpose of providing a comprehensive picture of progress to enable targeted discussions on performance issues in key areas of the Strategy.

How were measurement priorities for the M&E Framework identified to inform the KPI Framework and Multi-Year Evaluation Calendar?

12. Between September 2021 and August 2022, a series of Measurement Consultation workshops were held with over 450 external and internal subject matter experts (of which more than 100 were directly recommended by Board constituencies) and organized around 11 key Strategy topics (“Workshop 1-3”). The aims of these workshops were to:
 - a) Determine the information needs for measuring performance against priorities in the new Strategy;
 - b) Identify what measures already exist (and how they can potentially be improved) and which ones are missing;
 - c) Identify candidates (and related targets where relevant) for KPIs, the Global Fund grant Modular Framework (“MF”), and other metrics that can be included in Program and Secretariat Monitoring tools and frameworks, as well as identify topics for the Multi-Year Evaluation Calendar; and
 - d) Finalize the definition, methodology and targets of metrics identified as KPI candidates.
13. A fourth set of Measurement Consultation workshops with internal Secretariat teams commenced in August 2022, which involved integrating non-KPI metrics identified from Workshops 1-3 into other relevant M&E tools and frameworks in advance of the next funding cycle, including the Multi-Year Evaluation Calendar where appropriate. For the latter, discussions with internal Secretariat technical teams were organized around the Key Questions (see section 14), whereby all proposed measurement areas across the M&E Framework were reviewed holistically to identify outstanding gaps. Further evaluation topics, particularly related to key changes in the Strategy, were collected for areas needing additional qualitative information to complement quantitative outcomes measures included in the KPI Framework.
14. In parallel to the Measurement Consultations, a high-level Theory of Change was developed to articulate a set of intermediate and long-term outcomes that need to be met to achieve the Goal and Objectives laid out in the new Strategy. Strategy Outcomes were articulated as Key Questions that need to be answered across the four M&E Framework components to provide a comprehensive understanding of progress. Questions are contained in the supporting document: [Description of M&E Framework and Strategic Level Components](#).
15. **Strategy KPIs** and their corresponding targets were selected from across all the measures identified in the Measurement Consultations as critical to monitoring performance of the new Strategy. The elevation of metrics to Strategic Monitoring candidates (as KPIs) was based on the Key Questions as well as a set of criteria that aligned with principles endorsed by the Board. These principles included:
 - Importance: Extent to which the indicator is relevant in providing information on achievement against priorities in the Strategy.

- Integration: Extent to which the indicator is aligned to measures used in other frameworks, promoting actionability and reusability of indicators to rely on and strengthen existing systems while avoiding creation of additional tools or data collection exercises.
 - Accountability: Extent to which the indicator reflects performance of Global Fund, particularly related to activities that are the results of either direct financial investment or other catalytic non-financial support.
 - Actionability: Extent to which the indicator enables Global Fund to make decisions and trigger actions based on assessment of performance, allowing for trend analysis and/ or comparison, and how the result can be influenced or affected within the Strategy period.
 - Availability: Extent to which it is feasible to operationalize the indicator, particularly whether it can be expressed numerically and can be collected and analyzed at least annually or semi-annually in most/ all relevant contexts. Note that even though this principle was not part of the set of principles endorsed by the 45th Board, it is a pre-requisite for any indicator used in quantitative performance assessment.
16. The resulting pre-selected indicators underwent a prioritization process with internal and external experts to identify which would be the most critical and relevant to answer the corresponding Key Questions (section 14). Selection of final Strategy KPIs, their methodology, and their targets, were overseen by the Strategy Committee (SC).
 17. In addition to **Strategy KPIs**, Strategic Monitoring will also rely on **Impact KPIs** and **Financial KPIs**. These two sets of metrics were defined in parallel to the Measurement Consultations and are based on the same principles as the Strategy KPIs, with a strong focus on continuity and consistency with indicators used historically and by technical partners.
 18. **Impact KPIs** measure progress towards high-level aggregate epidemiologic outcomes of the partnership's efforts to end the three diseases. They correspond to metrics commonly used across the partnership (reduction of mortality and of incidence), but their targets are based on the portfolio of Global Fund eligible countries for each disease and the total funding available for the response (including funding raised through each of the Global Fund replenishment campaigns). Data for reporting on these recommended KPIs is derived from Technical Partner reports. Selection of final Impact KPIs, their methodology, and their targets, were overseen by the Strategy Committee (SC).
 19. **Financial KPIs** track a focused set of financial indicators aligned with the corporate financial reporting (including the Board Financial Performance Report). These indicators measure the performance of key elements of the Global Fund financial cascade. The metrics and targets were defined with a focus on continuity from existing measures and financial good practices to ensure comparability, long term vision and trend analysis. Data for reporting on these KPIs come from Secretariat financial systems and from grant expenditures. Selection of final Financial KPIs, their methodology, and their targets, were overseen by the Audit & Finance Committee (AFC).
 20. The proposed list of 48 candidates for the KPI Framework can be found in Annex 2, which includes Impact and Strategy KPIs (recommended by SC) and Finance KPIs (recommended by AFC). In

line with the initial aim of overcoming past challenges, the recommended KPIs were developed using a consistent approach and logic, have stronger and clearer accountability linked with Global Fund performance, and are more focused on measuring outcomes. In line with Global Fund's principles, the new recommended KPIs leverage (when possible) existing metrics and data to avoid creating parallel reporting systems. Finally, the KPIs attempt to answer the most important Key Questions for the next 6 years in line with Strategy Outcomes. More details are provided in the supporting document: [KPI Handbook \(including indicator definitions and targets\)](#).

21. **Potential evaluation topics for the Multi-Year Evaluation Calendar** for the 2023-2028 Strategy period were identified based on internal and external input from the Measurement Consultations, as well as input received at the 19th SC and the Board Retreat (July 2022). Setting an adaptable Evaluation Calendar at the onset of the Strategy period is intended to: (i) maximize the use of evaluation resources on areas of high strategic value to the Board and Secretariat, (ii) ensure effective planning to promote timeliness and utility of evaluations, (iii) enhance effective coordination with other M&E components, and (iv) reduce the number of ad hoc evaluation requests that may not be well-aligned with the new Strategy. Evaluation topics fall into the following categories:
 - a) **Critical Cyclical topics**, which examine cyclical stages of the business model with a focus on examining key levers for delivering on the Strategy.
 - b) **Critical Complement to KPI Framework topics**, which contribute to assessing progress in challenging areas of measurement for the Strategy and whereby findings will fill an evidence gap and complement Strategic Monitoring (KPIs).
 - c) **Critical Strategy Delivery topic**, which provide additional learning and evidence in priority areas of Strategy with a focus on key changes as identified during Strategy Delivery planning and includes emerging trends and issues over the Strategy period that impact Strategy Delivery.
22. **Critical Cyclical topics** were identified based on historical precedents (e.g., Mid- and End-term Strategic Reviews) or by reviewing previous commitments made in relation to Board decisions during the current Strategy period (e.g., Review of the Allocation Model; Country Steered Review).
23. **Critical Complement to the KPI Framework topics** were identified through the Measurement Consultations following selection of Strategy KPIs, whereby workshop participants were prompted on whether there were important measurement areas that could not be well addressed by the KPIs or other monitoring approaches. For a few of the Strategy objectives, it was evident in some instances that no monitoring metrics currently exist which will satisfactorily indicate whether the Strategy outcomes are being fully achieved. Understanding the highest level of change in some areas of the Strategy is challenging through existing quantitative monitoring (e.g., community engagement and human rights), qualitative evaluation methodology is required to complement lower level KPIs. In some cases where outcome level KPI candidates were identified, the metrics were still deemed limited in their ability to provide a comprehensive view of progress against the Strategy outcome. In these cases, further evaluation in these areas is proposed.
24. **Critical Strategy Delivery topics** were identified through the Measurement Consultations, by reviewing past commitments made in relation to Board decisions during the previous Strategy period (i.e., COVID19 Response Mechanisms (C19RM)), and following the Secretariat's presentation of the preliminary draft list of Critical Cyclical and Critical Complement to KPI Framework topics to the SC in July for feedback and reflections. Some constituencies identified

additional potential gaps in high priority areas for Strategy Delivery, which were added to the list of topic candidates accordingly.

25. The proposed list of 21 topics for the Calendar are listed in Annex 3. More detail on the topics, including proposed focus and timing, is provided in the supporting document: [Description of M&E Framework and Strategic Level Components](#). Collectively, the evaluation topics are comprehensive of the Strategy and are highly interlinked with KPIs in terms of the insights they will provide across the Key Questions aligned to the Theory of Change. Some evaluations will likely need to be conducted at least twice during the Strategy period to assess progress over time. Final topics for the Calendar were selected under the oversight of the SC.
26. It is also important to note that a number of critical cross-cutting issues for evaluation were identified through the measurement consultation process, including but not limited to equity, partnerships, and program quality. The new evaluation function will determine how these issues will be integrated into evaluations where relevant following a process of quality assurance during scoping and terms of reference development.
27. Further to the work undertaken by the Secretariat as part of the Measurement Consultations, requests for evaluations topics considering the role of partnerships, including multilateral partnerships, in Global Fund activities was raised by several SC members at the 20th SC meeting. This request will be duly prioritized by the CELO and the IEP; in collaboration with the IEP, the CELO expects to:
 - a) Gather and synthesize evidence and evaluations on partnerships conducted to date (TERG, OIG, other technical partners) and provide a report on findings and recommendations;
 - b) Ensure elements of partnership will be integrated in evaluation activities as part of scoping and prioritization;
 - c) Link and contribute to the planned independent evaluation of the SDG3 Global Action Plan;
 - d) Consult the IEP on the scoping of the additional evaluative activities that may be required.
28. During the 20th SC meeting, further specific topics for evaluation were also requested by individual constituencies. These topics were recorded in the Chair's notes and described in the supporting document: [Description of M&E Framework and Strategic Level Components](#). These topics will be considered by the CELO and IEP as part of their refinement of the Calendar going forward in 2023 (Annex 4).
29. In line with their respective mandates, on an annual basis the CELO will develop a workplan and budget, to be submitted to the IEP for its review and recommendation to the SC for its approval, by drawing from the Multi-Year Evaluation topics for Board approval in Annex 3. The annual workplan for 2023 is described in GF/SC20/06 and decision by the SC is contingent on outstanding clarifications regarding OPEX. As both the CELO and IEP only commenced their roles in October 2022, they require time to identify and propose opportunities for refinement to the Multi-Year Evaluation Calendar. By approving GF/48/DPXX, the Board will provide the strategic framework for evaluations to be conducted over the next Strategy period, while enabling a streamlined process through the SC in 2023 to approve refinements the CELO and IEP may identify through their work establishing the new Evaluation Function.
30. Refining the Multi-Year Evaluation Calendar will involve further defining the scope of topic proposals, establishing prioritization criteria, and identifying the appropriate timing of evaluations against decision-making windows to ensure optimal utility of findings. There is also need for the

CELO and IEP to coordinate with the Office of Inspector General (OIG) on the OIG workplan to mitigate any potential duplication and to harmonize efforts where relevant.

31. As the new Strategy period commences, there will be opportunity for a small number of other topics to be added per year based on learning and assurance needs as they arise. These will be selected through a systematic process to identify learning needs with multiple stakeholders, as well as evaluation needs informed by performance observed through Strategic, Program, and Secretariat Monitoring efforts. Future evaluation topics proposed will undergo a process of prioritization and will be reviewed against criteria designed and led by the CELO and the IEP, thereby ensuring independence and rigor.

What opportunities exist for further refining KPIs and evaluations over the Strategy period?

32. A limited number of KPIs may require updates at the mid-point of the Strategy period. Following strengthened processes related to introducing and scaling innovations, the related innovations KPI (KPI S10) will likely require refinement to reflect the evolving nature of this work. Similar refinements may be considered for other new KPIs based on lessons learned from reporting in the first part of the Strategy period, this includes the survey based KPIs proposed for monitoring the RSSH related Strategy Objective (S1, S2, S3 and S5). The cohort for KPI R2 on Public Financial Management is also planned to increase during the Strategy period as more countries are using Supreme Audit Institutions. Finally, KPIs relying on the MF as their data source may be subject to adjustments when the next MF is developed for the 2026-2028 grant cycle.
33. Implementation of the Calendar will be reviewed annually, and any changes to the Calendar updated in the annual workplan will be for SC approval. The annual workplan will provide an opportunity for incorporation of topics in response to emerging learning and assurance needs once the Strategy period commences.

What do we need to do next to progress?

34. Noting recommendations from the SC and AFC, the Board is requested to endorse the overall M&E Framework and approve the KPIs and the topic areas for evaluation included in the Multi-Year Evaluation Calendar.
35. A delay in the approval of KPIs will likely cause a delay in reporting on progress against the new Strategy and prohibit close linkage of our M&E Framework to the design of the new grants in 2023 based upon the 7th Replenishment. In order to be prepared to begin reporting against the new Strategy, the Secretariat needs to finalize underpinning data sources, tools and reporting processes in 2023 and link these with the development of grants.

Recommendation

The Board is requested to approve the Decision Point presented on page 2.

Annexes

The following items can be found in Annex:

- Annex 1: Details of the M&E Framework components
- Annex 2: Key Performance Indicator (KPI) Framework Recommended for Board Approval
- Annex 3: Topics for the Multi-Year Evaluation Calendar 2023-2028 Recommended for Board Approval
- Annex 4: Relevant Past Board Decisions
- Annex 5: Links to Relevant Past Documents & Reference Materials

Annex 1: Details of the M&E Framework components

Component	What is it?	How does it drive data use and facilitate learning?
Strategic Monitoring	<p>Routine data collation, aggregation, and/ or analysis involved in generating key insights related to high-level Strategy performance through: Board-approved Key Performance Indicators (KPI) Framework for the 2023-2028 Strategy, consisting of three tiers:</p> <ol style="list-style-type: none"> 1) Impact KPIs, which measure progress towards high-level aggregate epidemiologic outcomes of the partnership’s efforts to end the three diseases aligned with the investment case. Selection of these metrics is overseen by the Strategy Committee, while data for reporting on these KPIs come from Technical Partner reports. 2) Strategy KPIs, which measure progress towards achieving the outcomes of the 2023-2028 Strategy Goal and Objectives. Overseen by the Strategy Committee and developed through the Measurement Consultation process. Data for reporting on these KPIs come from both Program and Secretariat Monitoring or from technical partners. 3) Financial KPIs, which track a focused set of financial indicators aligned with the Corporate Financial Report. Selection of these metrics is overseen by the Audit & Finance Committee, while data for reporting on these KPIs come from Program and (mainly) Secretariat Monitoring. <p>The KPI Framework has a strong influence and steer on the content of Program and Secretariat Monitoring, so that data is consistently available to report on the KPIs through these components to the greatest extent possible. Additional complementary insights from Program and/or Secretariat Monitoring may also be shown alongside the KPIs to provide further contextual information around the drivers of observed performance.</p>	<p>Monitoring progress towards achieving the goals and objectives of the Strategy to enable high-level oversight of strategy implementation through:</p> <ul style="list-style-type: none"> • Strategic oversight and decision-making using bi-annual Strategic Performance Reports, which are reported to Governance bodies and MEC to enable them to perform their respective oversight roles and to provide steer related to Strategy delivery. By identifying areas of strong and poor performance, Strategic Performance Reports flag where progress against targets is off track which requires response and action by the Secretariat but also, depending on the issue, the wider partnership. • Program and/ or Secretariat oversight and decision-making, as specific Strategic Performance Report findings trigger further portfolio analysis, deep dives, and reviews that draw from more data and cascade to related responsible parties described above. These findings also inform learning needs for independent evaluation consideration.

<p>Strategic & Thematic Evaluation</p>	<p>Independent vehicle used for the purpose of generating learnings to (i) support improvements in the performance of Global investments (ii) support improvements in the Global Fund business model to deliver on the Strategy goals and objectives and (iii) to provide independent assurance on programmatic progress or lack thereof. Expressed through:</p> <ul style="list-style-type: none"> • Multi-Year Evaluation Calendar topics, which fill evidence gaps in areas of the Strategy where progress cannot be sufficiently measured from data generated through routine monitoring, thereby complementing performance observed through Strategic, Program and Secretariat Monitoring to explain why progress and change is or is not happening. Topics for the 2023-2028 Strategy period were identified through the Measurement Consultations process. <p>The Multi-Year Evaluation Calendar is a flexible tool that responds to key learning needs arising over the Strategy period. Identification of learning needs is heavily informed by performance data and evidence coming from the other three components of the M&E Framework.</p> <p>Strategic and thematic evaluation is conducted under the oversight of an Independent Evaluation Panel (IEP) that is accountable to the Board through the Strategy Committee.</p>	<p>Evaluating progress towards achieving the goals and objectives of the Strategy to enable high-level oversight of strategy implementation through:</p> <ul style="list-style-type: none"> • Strategic oversight and decision-making using Strategic and Thematic Evaluation reports upon evaluation conclusion and related key findings incorporated where relevant into bi-annual Strategic Performance Reports, which are reported to Governance bodies and MEC to provide an in-depth and independent view of progress of implementation across different areas of the Strategy to facilitate Strategic level oversight and steer. To further drive learning and utility, every Strategic and Thematic Evaluation is accompanied by a Secretariat management response which identifies the key actions required by the Secretariat (and other partners when relevant) based on the recommendations. • Program and/ or Secretariat oversight and decision-making, as specific Evaluation findings are used by the Secretariat to learn what is and what is not working well and to apply those lessons in the review of business processes for the next grant cycle and development of the next Strategy. <p>Adhering to publication policies Strategic and Thematic Evaluation are also published and made publicly available to contribute to sector wide learning.</p>
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<p>Program Monitoring</p>	<p>Routine and periodic data collection and in-country evidence generation reported to the Global Fund, which leverage (where possible) existing routine national monitoring systems and reported to the Global Fund through:</p> <ul style="list-style-type: none"> • Performance frameworks (PF) that are developed in grants informed by the Modular Framework (MF), which is a Global Fund guidance document that provides standard modules, interventions, and programmatic impact, outcome, and coverage indicators. MF indicators for 2023-2025 cycle were identified through the Measurement Consultation process. • Monitoring frameworks for Catalytic Investments that are integrated into or guided by the PFs (for Matching Funds and Multicountry Funds, respectively) or tailored to the specific measurement needs of the investment priorities (for Strategic Initiatives). <p>In instances where routine data systems cannot provide required data to monitor and assess progress towards all areas of the Strategy, supplemental monitoring may be undertaken by PRs, partners, and/or third-party service providers to provide more targeted, granular, and/or frequent data. This may involve country-led surveys, assessments, and program reviews and evaluations, as well as reporting from Local Fund Agents (LFAs) or other service providers that conduct local audits, assessments, and reviews.</p>	<p>Monitoring investment performance, including grants and Catalytic Investments, and progress of Principal Recipients (PR) operations through:</p> <ul style="list-style-type: none"> • Strategic oversight and decision-making, by serving as the source for several KPIs, periodically providing contextual information around the drivers of observed strategic performance in the form of complementary insights, and being leveraged for use by Strategic & Thematic Evaluations where relevant. • Programmatic investment oversight and decision-making by Secretariat teams and formal committees, including Grant Approval Committee (GAC) and the Secretariat’s Management Executive Committee (MEC). Decisions include (but are not limited to) performance assessment and annual disbursements, portfolio management and reprogramming, portfolio optimization, among others. • Secretariat oversight and decision-making by Secretariat teams and the Secretariat’s Management Executive Committee (MEC) to support early identification of implementation risks and potential implementation bottlenecks, and to support countries with problem solving. <p>These formalized decision-making processes occur in a context where data and evidence are used for continuous analysis, learning, and engagement between countries, the Secretariat, and partners for the purpose of increasing program effectiveness and impact. Decisions and learning at the Secretariat are cascaded to countries through revisions to processes, guidance, and tools, which are communicated through Country Engagement to further support local programmatic decision-making and learning.</p>
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Secretariat Monitoring

Data generation and analysis conducted by Secretariat teams across all functional areas, drawing from both data generated through Program Monitoring and internal data systems. A subset of this data is expressed through:

- **Performance & Accountability (P&A)**, which is an internal performance management tool that provides visibility into how the various functions of the Secretariat are delivering on the Global Fund Strategy and how efficiently & effectively the Secretariat's business processes are operating. Early candidates for 2023 metrics were identified through the Measurement Consultation process.

Monitoring performance of day-to-day Secretariat operations and assessing whether Global Fund's core operating functions are facilitating investments to maximize impact through:

- **Secretariat oversight and decision-making** by Secretariat teams, MEC, and SteerCos related to implementation of Secretariat initiatives and business processes crucial for delivery of priorities in the Strategy. Decisions may include (but are not limited to) advocacy approaches, replenishment and communications strategies, market shaping and pooled procurement priorities, financial management, among others.
- **Strategic oversight and decision-making**, by serving as the source for several KPIs, periodically providing contextual information around the drivers of observed strategic performance in the form of complementary insights and being leveraged for use by Strategic & Thematic Evaluations where relevant.

Annex 2: Key Performance Indicator (KPI) Framework Recommended for Board Approval

KPI H1: People living with HIV who know their status	
Definition	Portfolio performance for percentage of people living with HIV who know their HIV status
Formula	Portfolio performance for “% of people living with HIV who know their HIV status at the end of the reporting period” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting and UNAIDS
Baseline	101% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI H2: ART coverage	
Definition	Portfolio performance for percentage of people living with HIV who are on ART
Formula	Portfolio performance for “% of people on ART among all people living with HIV at the end of the reporting period” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting and UNAIDS
Baseline	95% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI H3: Viral load suppression	
Definition	Portfolio performance for percentage of people living with HIV and on ART who are virologically suppressed
Formula	Portfolio performance for “% of people living with HIV and on ART who are virologically suppressed” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting and UNAIDS
Baseline	105% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI H4: KP reached with prevention programs	
Definition	Portfolio performance for coverage of prevention services among specific Key Populations
Formula	Portfolio performance for “% of Key Populations reached with HIV prevention programs - defined package of services” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s). Key Populations include Men who have sex with men (MSM), Transgender (TG), Sex workers (SW), People who inject drugs (PWID)
Data source	Routine grant reporting
Baseline	91% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI H5: AGYW reached with prevention programs	
Definition	Portfolio performance for coverage of prevention services among high-risk adolescent girls and young women
Formula	Portfolio performance for “% of high-risk adolescent girls and young women reached with HIV prevention programs- defined package of services” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	13 AGYW priority countries
Data source	Routine grant reporting
Baseline	29% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI H6: Elimination of vertical transmission	
Definition	Portfolio performance for percentage of pregnant women living with HIV who received antiretroviral medicine
Formula	Portfolio performance for “% of pregnant women living with HIV who received antiretroviral medicine to reduce the risk of vertical transmission of HIV” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting and UNAIDS
Baseline	90% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI H7: PLHIV on ART who initiated TPT	
Definition	Portfolio performance for percentage of people living with HIV on ART who initiated TB preventive therapy
Formula	Portfolio performance for “% of people living with HIV currently enrolled on antiretroviral therapy who started TB preventive treatment (TPT) during the reporting period” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	88% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI T1: TB notifications, all forms	
Definition	Portfolio performance for number of patients with all forms of TB notified
Formula	Portfolio performance for “# of patients with all forms of TB notified (i.e., bacteriologically confirmed + clinically diagnosed); *includes only those with new and relapse TB” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (#) • <u>Denominator</u> = Aggregate portfolio target (#)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	78% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI T2: TB treatment success rate, all forms	
Definition	Portfolio performance for TB Treatment Success Rate (all forms)
Formula	Portfolio performance for “% of patients with all forms of TB, bacteriologically confirmed plus clinically diagnosed, successfully treated (cured plus treatment completed) among all TB patients notified during a specified period; *includes only those with new and relapse TB” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	96% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI T3: People with confirmed DR-TB on treatment	
Definition	Portfolio performance for percentage of people with confirmed RR-TB and/or MDR-TB on treatment
Formula	Portfolio performance for “% of people with confirmed RR-TB and/or MDR-TB that began second-line treatment” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	97% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI T4: DR-TB treatment success rate	
Definition	Portfolio performance for Treatment Success Rate of RR/MDR
Formula	Portfolio performance for “% of patients with RR and/or MDR-TB successfully treated” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	85% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI T5: TB contacts on preventive therapy	
Definition	Portfolio performance for number of TB contacts on preventive therapy
Formula	Portfolio performance for “# of people in contact with TB patients who began preventive therapy” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (#) • <u>Denominator</u> = Aggregate portfolio target (#)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	29% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI T6: ART coverage for HIV-positive TB patients	
Definition	Portfolio performance for percentage of HIV-positive registered TB patients on ART
Formula	Portfolio performance for “% of HIV-positive new and relapse TB patients on ART during TB treatment” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	92% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI M1: LLINs distributed	
Definition	Portfolio performance for number of LLINs distributed through mass campaign and continuous distribution
Formula	Portfolio performance for “#LLINs distributed through mass campaign and continuous distribution” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (#) • <u>Denominator</u> = Aggregate portfolio target (#)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	76% portfolio performance over 2019-2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI M2: Malaria testing, public facilities	
Definition	Portfolio performance for proportion of suspected malaria cases that receive a parasitological test at public sector health facilities
Formula	Portfolio performance for “Proportion of suspected malaria cases that receive a parasitological test at public sector health facilities” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	99% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI M3: Malaria cases treated, public facilities	
Definition	Portfolio performance for proportion of confirmed malaria cases that received first-line antimalarial treatment at public sector health facilities
Formula	Portfolio performance for “Proportion of confirmed malaria cases that received first-line antimalarial treatment at public sector health facilities” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	96% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI M4: IPTp3 coverage	
Definition	Portfolio performance for proportion of pregnant women attending antenatal clinics who received three or more doses of intermittent preventive treatment for malaria
Formula	Portfolio performance for “ <i>Proportion of pregnant women attending antenatal clinics who received three or more doses of intermittent preventive treatment for malaria</i> ” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target (%)
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	85% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI M5: Children receiving full course of SMC	
Definition	Portfolio performance for percentage of children who received the full number of courses of seasonal malaria chemoprevention (SMC) per transmission season in the targeted areas
Formula	Portfolio performance for “ <i>Percentage of children who received the full number of courses of seasonal malaria chemoprevention (SMC) per transmission season in the targeted areas</i> ” with: <ul style="list-style-type: none"> • <u>Numerator</u> = Aggregate portfolio result (%) • <u>Denominator</u> = Aggregate portfolio target %
Cohort	All countries monitoring progress of indicator through grant(s)
Data source	Routine grant reporting
Baseline	107% portfolio performance for year 2021
Target	Achieve or sustain Global Fund grant portfolio performance at or above 90%, assessed annually

KPI S1: Provision of integrated, people-centered, high-quality services	
Definition	Percentage of countries with improvement in scores for provision of integrated, people-centered, high quality service delivery from latest baseline
Formula	<ul style="list-style-type: none"> • <u>Numerator</u>: # of countries that showed significant improvement in scores compared to latest baseline • <u>Denominator</u>: Total # countries in cohort
Cohort	Select cohort of 10-20 priority countries for focused RSSH measurement.
Data source	Targeted health facility assessment (HFA)
Baseline	2023 results used as baseline for 2024,2025 results. 2025 results used as baseline for 2026-2028 results
Target	100% countries improved scores compared to latest baseline (2023,2025) by mid Strategy (2025) and end of Strategy (2028)

KPI S2: Provision of integrated supportive supervision	
Definition	Percentage of countries with improvement in scores for provision of integrated supportive supervision at health facilities from latest baseline
Formula	<ul style="list-style-type: none"> • <u>Numerator</u>: # of countries that showed statistically significant improvement in scores compared to latest baseline • <u>Denominator</u>: Total # countries in cohort
Cohort	Select cohort of 10-20 priority countries for focused RSSH measurement.
Data source	Targeted health facility assessment (HFA)
Baseline	2023 results used as baseline for 2024,2025 results. 2025 results used as baseline for 2026-2028 results
Target	100% countries improved scores compared to latest baseline (2023,2025) by mid Strategy (2025) and end of Strategy (2028)

KPI S3: HTM integrated services offered to pregnant women	
Definition	Percentage of countries with improvement in scores for provision of HTM integrated services to pregnant women from latest baseline
Formula	<ul style="list-style-type: none"> • Numerator: # of countries that showed statistically significant improvement in scores compared to latest baseline • Denominator: Total # countries in cohort
Cohort	Select cohort of 10-20 priority countries for focused RSSH measurement.
Data source	Targeted health facility assessment (HFA)
Baseline	2023 results used as baseline for 2024,2025 results. 2025 results used as baseline for 2026-2028 results
Target	100% countries improved scores compared to latest baseline (2023,2025) by mid Strategy (2025) and end of Strategy (2028)

KPI S4: Community systems for service delivery	
Definition	Percentage of countries with systems in place for community health service delivery
Formula	<ul style="list-style-type: none"> • Numerator: # of countries that have maturing or strong systems in place for community health service delivery (i.e., met at least 3 of 4 criteria) • Denominator: Total # countries in cohort • Threshold: 75% (3/4) of criteria met for having community health service delivery
Cohort	All countries receiving Global Fund allocation in the relevant Allocation Period
Data source	1. National Commitments and Policy Instrument; 2. Global Fund Funding Request; 3. Global Fund PR ratings & capacity assessments; 4. WHO Global Tuberculosis Report
Baseline	18% (19 countries) meet 75% criteria in 2020-2022 Allocation Period
Target	38% (40 countries) meet at least 3 /4 criteria by end of Strategy (2028)

KPI S5: Systems readiness for CHWs	
Definition	Percentage of countries with improvement in scores for system readiness for community health workers from latest baseline
Formula	<ul style="list-style-type: none"> • Numerator: # of countries that showed statistically significant improvement in scores compared to latest baseline • Denominator: Total # countries in cohort
Cohort	Select cohort of 10-20 priority countries for focused RSSH measurement.
Data source	Targeted health facility assessment (HFA)
Baseline	2023 results used as baseline for 2024,2025 results. 2025 results used as baseline for 2026-2028 results
Target	100% countries improved scores compared to latest baseline (2023,2025) by mid Strategy (2025) and end of Strategy (2028)

KPI S6a: Secure, maintained, and interoperable HMIS	
Definition	Percentage of countries with digital HMIS functionality baseline maturity score of 3 or less that increased by at least one maturity level
Formula	<ul style="list-style-type: none"> • Numerator: # countries that increased maturity score by one or more • Denominator: Total # countries in cohort
Cohort	All countries that scored <=3 at baseline, limited to High Impact and Core countries, excluding acute emergency countries
Data source	Global Fund M&E systems country profile, master digital HMIS maturity model
Baseline	To be confirmed in Spring 2023, based on year 2022
Target	100% of countries increase by at least one maturity level by end of Strategy (2028)

KPI S6b: Data driven decision making	
Definition	Percentage of countries with data use maturity score of 3 or less that increased by at least one maturity level in terms of leveraging programmatic monitoring for data driven decision making
Formula	<ul style="list-style-type: none"> • <u>Numerator</u>: # countries that increased maturity score by one or more • <u>Denominator</u>: Total # countries in cohort
Cohort	All countries that scored <=3 at baseline, limited to High Impact and Core countries, excluding acute emergency countries
Data source	Annual LFA review, Global Fund M&E systems country profile
Baseline	To be confirmed in Spring 2023, based on year 2022
Target	90% of countries increase by at least one maturity level by end of Strategy (2028)

KPI S7: Use of disaggregated data for planning or decision making	
Definition	Percentage of countries that have documented evidence of using required disaggregated data to inform planning or programmatic decision making for priority populations in HIV, TB and malaria
Formula	<ul style="list-style-type: none"> • <u>Numerator</u>: # countries at or above threshold country score for “use” of disaggregated data • <u>Denominator</u>: Total # countries in the cohort • <u>Threshold</u>: 50% score at country level
Cohort	All High Impact and Core countries, excluding acute emergency countries
Data source	Targeted country-based survey
Baseline	68%, based on year 2021 and for High Impact countries only
Target	80% countries meeting threshold for use of disaggregated data by end of Strategy (2028)

KPI S8: On Shelf Availability (OSA)	
Definition	Percentage of health facilities with tracer health products available on the day of visit for HIV, TB & malaria respectively
Formula	On-Shelf Availability (OSA) for each product category is the ratio of: <ul style="list-style-type: none"> • <u>Numerator</u>: # of health facilities with tracer products available on the day of the visit • <u>Denominator</u>: Total health facilities where tracer products are expected to be available
Cohort	<u>Countries</u> : High Impact & Core countries based on the following criteria: (1) highest burden and levels of investment for HIV, TB & Malaria; (2) In-Country Supply Chain Risk Rating, (3) level of PSM investment; <u>12 Product groups</u> : HIV (Dx, Adult FLD, Pediatric FLD, Adult SLD, Pediatric SLD, VLD); TB (Dx, Adult FLD, Adult SLD); Malaria (Dx, FLD, SLD)
Data source	Supply Chain and Health Services Spot Checks
Baseline	OSA for HIV= 83%; TB= 81%, Malaria=84%, based on Round 2 spot checks conducted in 2022.
Target	Achieve OSA of at least 90% by 2025 and maintain annual 90% result till end Strategy (2028) for HIV,TB, Malaria respectively

KPI S9: Supply continuity	
Definition	Percentage of priority products with the desired number of suppliers that meet Quality Assurance requirements
Formula	<ul style="list-style-type: none"> • Numerator: # of products with active* suppliers above threshold that meet Quality Assurance requirements • Denominator: Total # products • Threshold: >=4 suppliers for high volume products; >=2 suppliers for low volume products <p><i>* Suppliers are considered active if they produce the respective product or are committed to making production capacity available as per supplier performance reviews.</i></p>
Cohort	WHO-recommended 1st & 2nd line ARVs, ACTs, LLINs, TB products agreed with Stop TB. List of products revised annually
Data source	Quality Assurance list, Supplier performance reviews, StopTB database
Baseline	96% for the year 2021 (this does not include TB products)
Target	90% of priority products have desired number of suppliers that meet quality assurance requirements, assessed annually

KPI S10: Introduction of new products	
Definition	Percentage of new products introduced, from an agreed list of new products
Formula	<ul style="list-style-type: none"> • Numerator: # products that have become eligible and available for country procurement • Denominator: Total new products to be introduced in the year
Cohort	Agreed set of new products recommended for introduction – Revised annually in alignment with external partners
Data source	KPI specific database
Baseline	Not available (new KPI)
Target	80% of new products available for country procurement, assessed annually

KPI E1: Scale up of programs to address Human Rights-related barriers	
Definition	Percentage of countries with increases in scale of programs to reduce Human Rights-related barriers for a) HIV; b) TB; c) Malaria respectively
Formula	<ul style="list-style-type: none"> • Numerator: # countries showing an increase in scale of programs from baseline for HIV, TB, Malaria respectively • Denominator: Total countries in reporting period for HIV, TB, Malaria respectively
Cohort	For HIV: receiving Human Rights Matching Funds in relevant Allocation Period; for TB: all TB SI countries among those receiving Matching Funds in relevant Allocation Period; for malaria: Kenya, Uganda
Data source	Funding Request, annual reports from TA providers
Baseline	Staggered baseline data provided by countries at time of Funding Request submission for 2023-2025 Allocation Period. 2025 results serve as baseline for 2026-2028 Allocation Period
Target	To be confirmed in Spring 2023, for 2023-2025 Allocation period. TBC in Spring 2026 for 2026-2028 Allocation Period

KPI E2a: Reaching marginalized sub-populations

Definition Percentage of countries with at least half of the custom equity indicators performing at minimum acceptable level

Formula

- Numerator: # countries with at least half of the custom equity indicators performing at or above the threshold
- Denominator: Total # countries in cohort for the reporting period
- Threshold: At least 50% custom equity indicators have performance $\geq 90\%$

Cohort All High Impact and Core countries and priority Focused countries

Data source Routine grant reporting

Baseline Not available (new KPI)

Target 70% countries have at least half of the custom equity indicators performing at minimum acceptable level, assessed annually

KPI E2b: Reducing inequities in HTM

Definition Percentage of countries with at least half of the custom equity indicators showing a faster progression compared to the standard indicator

Formula

- Numerator: # countries with at least half of the custom equity indicators showing a faster progression compared to standard indicator
- Denominator: Total # countries in cohort for the reporting period
- Threshold: At least 50% custom equity indicators show change in result greater than standard indicator

Cohort All High Impact and Core countries and priority Focused countries

Data source Routine grant reporting

Baseline Not available (new KPI)

Target 70% countries have at least half of the custom equity indicators showing faster progression compared to standard indicator, assessed annually

KPI E3a: Advancing gender equality – engagement in grant cycle

Definition Satisfaction of women and gender-diverse communities with engagement in grant cycle consistently above minimum acceptable level

Formula

- Numerator: # grant cycle stages with scores above threshold
- Threshold: 75% minimum satisfaction score

Cohort all countries receiving Global Fund allocation in relevant Allocation Period

Data source Standardized survey conducted at different stages across grant cycle

Baseline Not available (new KPI)

Target 3 stages (out of 3), i.e., each stage of the grant cycle has at least 75% satisfaction level, assessed annually

KPI E3b: Performance of gender-specific indicators

Definition Percentage of countries with at least half of the gender indicators performing at minimum acceptable level

Formula

- Numerator: # countries with at least half of gender indicators performing above threshold
- Denominator: Total # countries in cohort for the reporting period
- Threshold: At least half of gender indicators have performance $\geq 90\%$

Cohort All High Impact and Core countries and priority Focused countries

Data source Routine grant reporting

Baseline Not available (new KPI)

Target 70% countries have at least half of the gender indicators performing at minimum acceptable level, assessed annually

KPI C1: Community engagement across Global Fund grant cycle	
Definition	Satisfaction of communities with engagement across the grant cycle consistently above minimum acceptable level
Formula	<ul style="list-style-type: none"> • <u>Numerator</u>: # grant cycle stages with scores above threshold • <u>Threshold</u>: 75% minimum satisfaction score
Cohort	all countries receiving Global Fund allocation in relevant Allocation Period
Data source	Standardized survey conducted at different stages across the grant cycle
Baseline	Not available (new KPI)
Target	3 stages (out of 3), i.e., each stage of the grant cycle has at least 75% satisfaction level, assessed annually

KPI R1a: Realization of domestic co-financing commitments	
Definition	Percentage realization of domestic co-financing commitments to health across the whole portfolio
Formula	<ul style="list-style-type: none"> • <u>Numerator</u>: Total Co-financing amount realized in the Allocation Period under review • <u>Denominator</u>: Total Co-financing commitments for the Allocation Period under review
Cohort	All country-components, excluding, components: (a) exempted or granted waiver from co-financing requirements; (b) given extension for reporting co-financing, beyond KPI deadline; and/or (c) that did not access funding in previous Allocation Period
Data source	Global Fund Health Financing co-financing monitoring database
Baseline	85% commitments realized in 2017-2019 Allocation Period by 2020-2022 eligible components
Target	85% co-financing commitment realized for each Allocation Period, assessed annually

KPI R1b: Mitigation actions for countries at risk of not meeting co-financing commitments	
Definition	Percentage of milestones achieved for implementation of mitigating actions by countries at risk of not meeting co-financing commitments
Formula	Average score for the % of milestones reached across portfolio
Cohort	All countries identified as having material risks for co-financing with mitigation actions specified in grant agreements that were due in the year for which KPI results are reported. Exclusion: Milestones of mitigation actions that were extended beyond the KPI reporting period
Data source	Global Fund Health Financing co-financing monitoring database
Baseline	To be confirmed in Spring 2023. Baseline based on 2020-2022 Allocation Period
Target	80% mitigation actions implemented by countries at risk of not meeting co-financing commitments, assessed annually

KPI R2: Timeliness and quality of external audit process performed by SAIs	
Definition	Percentage of countries meeting criteria of timeliness and quality for audit deliverables
Formula	<ul style="list-style-type: none"> • <u>Numerator</u>: # countries for which SAIs audit of grants meet threshold for timeliness & quality • <u>Denominator</u>: # countries using SAIs for the audit of grants for the relevant financial year • <u>Threshold</u>: grant audit reports score >2.3
Cohort	High Impact/Core countries using Supreme Audit Institutions (SAIs) for the audit of Global Fund grants (with Govt. PRs) for the relevant financial year
Data source	Global Fund External Audit Tracking (EAT) tool
Baseline	To be confirmed in Spring 2023. Baseline year 2022
Target	80% countries meet criteria for timeliness and quality of audit deliverables, assessed annually

KPI R3: Announced pledges	
Definition	Announced pledges as ratio of Replenishment target
Formula	<ul style="list-style-type: none"> • <u>Numerator</u>: total pledges secured at Replenishment Conference and throughout the Replenishment Period • <u>Denominator</u>: target set out in the Investment Case for the 3-year Replenishment Period <p><i>*all amounts in USD, calculated using the respective Replenishment Period exchange rates</i></p>
Cohort	All pledges to Global Fund for the given 3-year Replenishment Period (whether announced prior to, during or after the Pledging Conference). Excludes co-financing/co-investment and any other fundraising initiatives not factored in during initial target-setting (e.g., C19RM in 2020-2022)
Data source	Global Fund pledges and contributions database
Baseline	100% for 6 th Replenishment Period
Target	100% of Replenishment Target for 7 th and 8 th Replenishment respectively, assessed annually

KPI P1: Progress in laboratory testing modalities	
Definition	Percentage of countries with improved or sustained high performance in laboratory testing capacity modalities
Formula	<p>Performance measured using SPAR C4.4</p> <ul style="list-style-type: none"> • <u>Numerator</u>: # of countries that show significant improvement, or maintain high performance* compared to baseline • <u>Denominator</u>: Total # countries in cohort <p><i>* Country is considered as meeting the KPI if it has progressed its score from 0 to 40; from 20 to 60; from 40 to 80; from 60 to 80 or if it maintained its score if it was already at 80 or at 100 in 2022</i></p>
Cohort	All countries investing Global Fund funds related to the specified technical domain
Data source	WHO IHR Electronic State Parties Self-Assessment Annual Reporting (e-SPAR)
Baseline	To be confirmed in Fall 2023. Baseline year 2022.
Target	90% of countries show significant improvement, or have maintained high performance by end of Strategy (2028)

KPI P2: Progress in early warning surveillance function	
Definition	Percentage of countries with improved or sustained high performance in early warning surveillance function
Formula	<p>Performance measured using SPAR C5.1</p> <ul style="list-style-type: none"> • <u>Numerator</u>: # of countries that show significant improvement, or maintain high performance* compared to baseline • <u>Denominator</u>: Total # countries in cohort <p><i>* Country is considered as meeting the KPI if it has progressed its score from 0 to 40; from 20 to 60; from 40 to 80; from 60 to 80 or if it maintained its score if it was already at 80 or at 100 in 2022</i></p>
Cohort	All countries investing Global Fund funds related to the specified technical domain
Data source	WHO IHR Electronic State Parties Self-Assessment Annual Reporting (e-SPAR)
Baseline	To be confirmed in Fall 2023. Baseline year 2022.
Target	90% of countries show significant improvement, or have maintained high performance by end of Strategy (2028)

KPI P3: Progress in human resources for implementation of IHR	
Definition	Percentage of countries with improved or sustained high performance in human resources for implementation of IHR
Formula	Performance measured using SPAR C6.1 <ul style="list-style-type: none"> Numerator: # of countries that show significant improvement, or maintain high performance* compared to baseline Denominator: Total # countries in cohort <p>* Country is considered as meeting the KPI if it has progressed its score from 0 to 40; from 20 to 60; from 40 to 80; from 60 to 80 or if it maintained its score if it was already at 80 or at 100 in 2022</p>
Cohort	All countries investing Global Fund funds related to the specified technical domain
Data source	WHO IHR Electronic State Parties Self-Assessment Annual Reporting (e-SPAR)
Baseline	To be confirmed in Fall 2023. Baseline year 2022.
Target	90% of countries show significant improvement, or have maintained high performance by end of Strategy (2028)
KPI I1: Mortality rate	
Definition	Reduction in Mortality rate
Formula	Projected reduction in combined mortality rate across the three diseases from 2021 baseline to end 2028
Cohort	Fixed cohort of countries eligible for funding in 2023-2025 Allocation Period that have a modeled projection
Data source	Baseline: UNAIDS (for HIV) and WHO (for TB and malaria) Projections: Goals model (HIV), TIME model (TB) and Imperial College London model (malaria)
Baseline	To be confirmed in Spring 2023. Baseline year 2021.
Target	To be confirmed in Spring 2023 for end Strategy (2028)
KPI I2: Incidence rate	
Definition	Reduction in Incidence rate
Formula	Projected reduction in combined incidence rate across the three diseases from 2021 baseline to end 2028
Cohort	Fixed cohort of countries eligible for funding in 2023-2025 Allocation Period that have a modeled projection
Data source	Baseline: UNAIDS (for HIV) and WHO (for TB and malaria) Projections: Goals model (HIV), TIME model (TB) and Imperial College London model (malaria)
Baseline	To be confirmed in Spring 2023. Baseline year 2021
Target	To be confirmed in Spring 2023 for end Strategy (2028)
KPI F1: Pledge conversion	
Definition	Pledge conversion rate
Formula	<ul style="list-style-type: none"> Numerator: Absolute cash receipts received (cumulative year on year) Denominator: Adjusted pledges expected to be received for the Replenishment Period <p><i>*all amounts in USD, calculated using the respective Replenishment Period exchange rates</i></p>
Cohort	All contributions from pledges linked to a given Replenishment Period. Excludes Special Purpose Resource Mobilizations such as C19RM
Data source	Global Fund Financial database
Baseline	Y1: 24%; Y2: 54%; Y3: 86%; Y4: 100%. Baseline from 5 th Replenishment (2017-2019 Allocation Period)
Target	For 7 th and 8 th Replenishment respectively: Pledge conversion rate by end Y1:30%; Y2:60%; Y3:90%; Y4:100%, assessed annually

KPI F2a: Corporate asset utilization	
Definition	Utilization of corporate assets across approved uses of funds (e.g., Grants, SI, and OPEX) in the Replenishment Period
Formula	<ul style="list-style-type: none"> • Numerator: Total asset utilization (actual + forecast) in the Replenishment Period • Denominator: Total corporate assets in the Replenishment Period <i>*all amounts in USD, calculated using the respective Replenishment Period exchange rates</i>
Cohort	All corporate assets
Data source	Global Fund Financial database
Baseline	95% as of October 2022 AFC report
Target	95-98% corporate asset utilization, assessed annually

KPI F2b: Allocation utilization	
Definition	Portion of allocated grant funds that are disbursed or forecast to be disbursed
Formula	<ul style="list-style-type: none"> • Numerator: Total disbursements (actual + forecast) for the Allocation Period • Denominator: Total allocated grant funds for the Allocation Period <i>*all amounts in USD, calculated using the respective Replenishment Period exchange rates</i>
Cohort	All grant uses of funds. Excluding Special Purpose Resource Mobilization funds such as C19RM
Data source	Global Fund Financial database
Baseline	>93% as of October 2022 AFC report
Target	95% allocation utilization, assessed annually

KPI F3: In-country absorption	
Definition	Portion of grant budgets that have been reported by country programs as spent on services delivered
Formula	<ul style="list-style-type: none"> • Numerator: Cumulative in-country expenditure during Grant Implementation Period for relevant Allocation Period • Denominator: Cumulative grant budget during Grant Implementation Period for relevant Allocation Period <i>*all amounts in USD, calculated using the respective Replenishment Period exchange rates</i>
Cohort	All Global Fund active grants for the relevant Allocation Period, excluding Special Purpose Resource Mobilization such as C19RM
Data source	Routine grant reporting
Baseline	Y1: 62%; Y2: 70%; Y3: 89% for 2017-2019 Allocation Period
Target	For each Allocation Period, in-country absorption by end Y1: 75%, Y2: 80%, Y3: 85%, assessed annually

Annex 3: Topics for Multi-Year Evaluation Calendar 2023-2028 Recommended for Board Approval

Code	Topic	Source of proposal	Year	Strategic Justification
EV1	End-term Strategic Review (2017-2022)	Historical precedent	2023	Critical Cyclical
EV2	Resource Allocation Model	Board (Nov 2021)	2023	Critical Cyclical: Board decision as part of its decision on the Global Disease Split for the 2023-2025 Allocation Methodology.
EV3	Country Steered Review	Board (Nov 2021)	2023	Critical Cyclical: Referred to in Board decision on the new Evaluation Function.
EV4	COVID-19 Response Mechanism	Board (Nov 2020)	2024	Critical Strategy Delivery: Referred to in Nov 2020 Board decision on Second Extension of C19RM and Operational Flexibilities
EV20	2023-2025 Funding Request/ Grant-making Cycle	Strategy Committee	2024	Critical Cyclical
EV16	Gender	Strategy Committee	2024	Critical Complement to KPI Framework
EV14	Community Engagement	Measurement consultations	2024 & 2027	Critical Complement to KPI Framework
EV12	Community Systems Strengthening	Measurement consultations	2024 & 2027	Critical Complement to KPI Framework and Critical Strategy Delivery
EV6	HIV	Measurement consultations	2024 & 2027	Critical Strategy Delivery
EV8	Malaria	Measurement consultations	2024 & 2027	Critical Strategy Delivery
EV7	TB	Measurement consultations	2025	Critical Strategy Delivery topic
EV9	RSSH: Integrated People-centered and Quality Services (IPCQS)	Measurement consultations	2025 & 2027	Critical Complement to KPI Framework and Critical Strategy Delivery.
EV18	Sustainability	Measurement consultations	2025	Critical Complement to KPI Framework
EV15	Human Rights	Measurement consultations	2025	Critical Complement to KPI Framework.
EV11	Data Systems	Measurement consultations	2025	Critical Strategy Delivery
EV10	Innovations	Measurement consultations	After 2025	Critical Complement to KPI Framework and Critical Strategy Delivery
EV5	Mid-term Strategic Review (2023-2028)	Historical precedent	2026	Critical Cyclical
EV13	Private sector	Measurement consultations	TBD	Critical Complement to KPI Framework
EV19	RSSH and Pandemic Preparedness	Measurement consultations	TBD	Critical Strategy Delivery
EV17	Data-driven Equitable Response	Measurement consultations	TBD	Critical Strategy Delivery
EV21	Partnerships	Strategy Committee	TBD	Critical Strategy Delivery

Annex 4: Relevant Past Board Decisions

Relevant past Decision Point	Summary and Impact
<u>Independent Evaluation Function</u> (November 2021) GF/B46/DP06	The Board approves a new independent evaluation model which replaces the TERG and includes the creation of a new independent evaluation panel. Through this decision the Board amends the SC Charter, which includes SC approval and oversight over the annual evaluation workplan and budget.

Annex 5: Relevant Past Documents & Reference Materials

- [GF/B45/16](#): Lessons Learned from the Implementation of the 2017-2022 KPI Framework [May 2021]
- [GF/B45/15](#): Update on M&E Matters [May 2021]
- [GF/B46/14](#): Update on M&E & KPI 2023+ Framework Development [Nov 2021]
- [GF/B47/15](#): Update on M&E and KPI Framework Development [May 2022]
- [Secretariat Response to input received on M&E and KPI Frameworks](#)
- [KPI Handbook](#) (including indicator definitions and targets)
- [Description of M&E Framework and Strategic Level Components](#)