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# Executive Summary (1/2)

- The objective of the Monitoring & Evaluation (M&E) Framework is to describe how the Global Fund will ensure availability of reliable evidence to inform decisions, ensure accountability and transparency, and facilitate continuous learning to achieve the goals of the post-2022 Global Fund Strategy.
- An M&E Framework needs to enable the systematic measurement and availability of different forms of evidence to holistically monitor and evaluate performance of the Global Fund. Key Performance Indicators (KPIs) are one of the key mechanisms through which Strategy performance is monitored, therefore the processes that will take place over the course of 2021/2022 to develop both the M&E and KPI Frameworks will be closely interrelated and mutually reinforcing. This report (section 1) outlines the timeline and roles and responsibilities of different stakeholders for the development of both Frameworks and next steps.
- However, KPIs are not the only mechanism through which performance and progress is assessed. The Global Fund M&E landscape encompasses a broad scope of internal and partner-led M&E activities that serve a wide variety of audiences and uses at the grant, country and Strategy level. Section 1 describes the structure and overview of the main components of the Global Fund M&E Framework. Each component, and how they interact in the context of broader performance management and facilitation of learning and accountability, will be examined over the course of the Framework development process.
- In advance of the next Strategy period, there are lessons to be learned from how M&E functions have operated in the current Strategy which are instrumental in enabling successful implementation of the M&E Framework from the start of the next Strategy period. One of these components is independent evaluation which is the focus of section 2.
- The Global Fund is committed to strengthening the independent evaluation function to address the challenges identified in the Independent Assessment of the TERG (2019) and the M&E Review (2020); both reports concluded that the current evaluation approach is not fully meeting its objectives, particularly around learning.

# Executive Summary (2/2)

- Several actions to strengthen the evaluation function have already been implemented, including the development of an integrated Secretariat-TERG Evaluation Calendar and piloting an approach where the Secretariat leads on a few strategic reviews but with TERG oversight. At the request of the 14<sup>th</sup> Strategy Committee (SC) further details on the calendar and new approach to managing Strategic evaluations are included here for information.
- The Independent Assessment of the TERG and the M&E Review recommended however that, to address many of the challenges related to independent evaluation, changes should be made to TERG's role and to how evaluation is managed and coordinated within the Secretariat. To support the SC and Board in its decision-making, the Secretariat commissioned an external senior M&E consultant to develop different options for models for the independent evaluation function. These are summarized in section 2 and the consultant's independent report describing how the models can address pain points identified from the previous reviews, is shared in Annex 2.
- Following input from the 15<sup>th</sup> SC, further elaboration is provided in section 2 on which model the Secretariat believes can most adequately address the key challenges relating to the current evaluation function and how independence can be safeguarded under this model.
- Following inputs from the Board on the preferred model, the Secretariat will develop details on roles, operational modality as well as resources needs to discuss at the next SC session and for Board decision in November 2021.

## **Input Received**

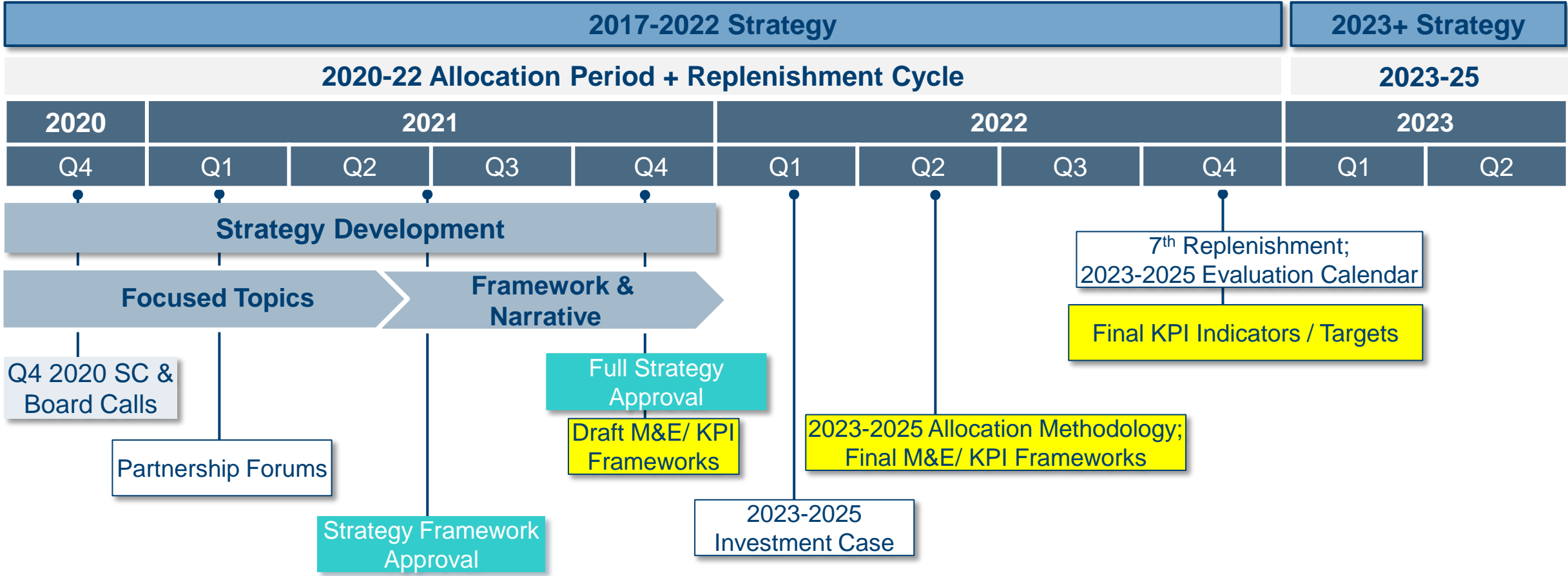
- Input from the TERG, SC M&E Working Group and SC has been received.

## **Input Sought**

- Input and steer is requested from the Board on the M&E Framework design and on the options for the models of independent evaluation function.

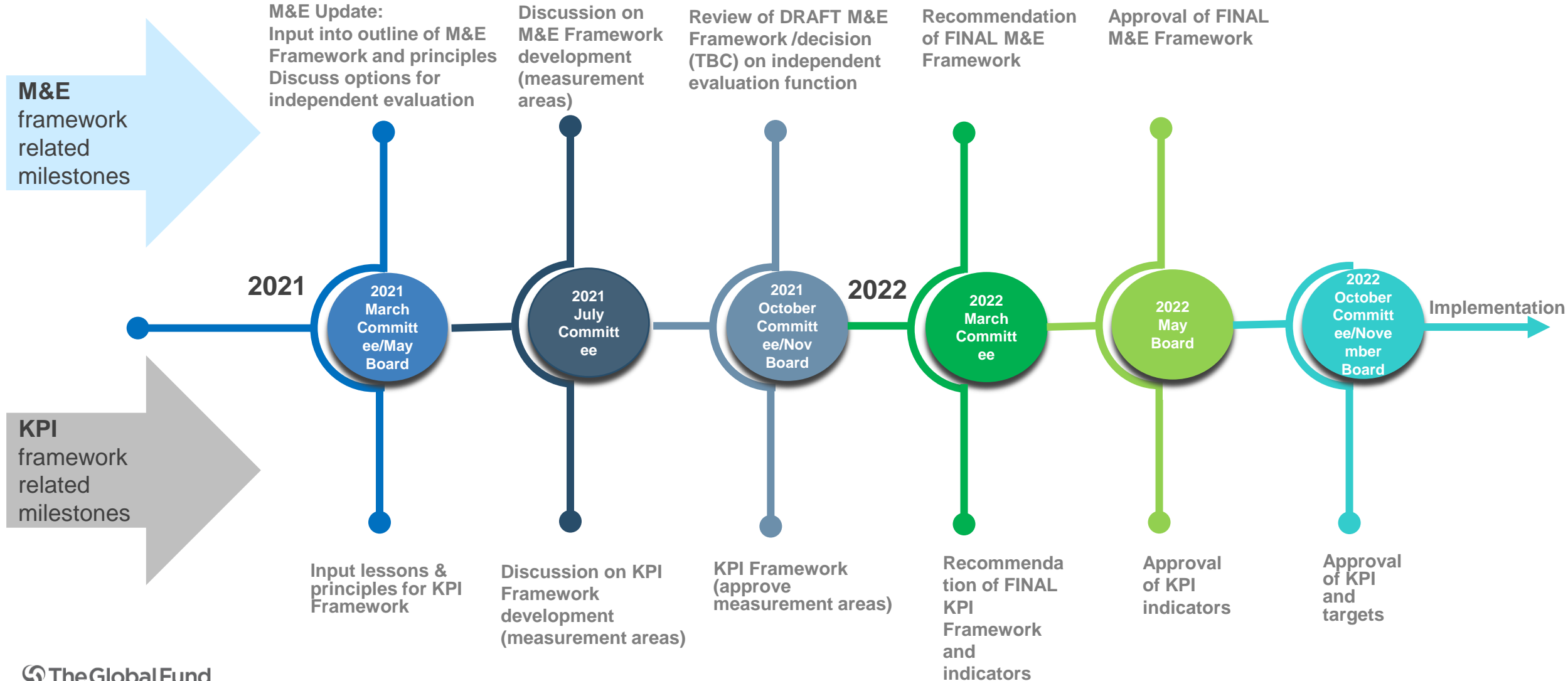
# Section 1: Timeline, Roles and Responsibilities, Objective and Design for M&E Framework Development

# Global Fund Strategy, M&E and KPI Framework Development Timeline



# M&E/KPI Framework Development Key Milestones

Development of the M&E and KPI Frameworks will be a closely interrelated process with multiple touchpoints for engagement with Committees and Board



# Roles and Responsibilities of Different Stakeholders

Roles and Responsibilities in the M&E and KPI Framework development process	
Board	<ul style="list-style-type: none"> <li>Provide steer throughout development, input into principles and framework drafts and approval of final M&amp;E and KPI Frameworks.</li> </ul>
Coordinating Group	<ul style="list-style-type: none"> <li>Facilitate coordination between committees &amp; Board on cross-cutting matters.</li> </ul>
Strategy and Audit and Finance Committees	<ul style="list-style-type: none"> <li>Review/input into principles, drafts and final M&amp;E/KPI Frameworks and provide overall oversight and recommendations to the Board for approval.</li> <li>SC: advise the Board on KPI Framework (overall) and on methodology and targets to assess performance on Strategy and grant portfolio.</li> <li>Audit and Finance Committee (AFC): advise on methodology and targets for KPIs related to corporate and financial management.</li> </ul>
Strategy Committee M&E Working Group	<ul style="list-style-type: none"> <li>Represented by members of SC, AFC and Ethics and Governance Committee (EGC).</li> <li>Consult on workstreams related to the M&amp;E Framework development, including the interlinkages and relationship with the KPI Framework, to ensure M&amp;E systems/approaches are aligned to the next Strategy, with particular focus on linkages to risk and assurance frameworks, future of independent evaluation, approaches to measuring impact and quality and more difficult areas to measure and learning.</li> </ul>
Constituencies	<ul style="list-style-type: none"> <li>Engage in Board and Committee deliberations. Provide inputs into SC/AFC discussions through established practices. Nominate technical experts to engage in technical consultations.</li> </ul>
TERG	<ul style="list-style-type: none"> <li>Responsible for reviewing and advising on the broader M&amp;E Framework (through an appointed small group), on the principles for the future KPI Framework and definition of measurement area.</li> <li>Liaise regularly with members from the Secretariat M&amp;E Working Group and provide feedback and comments to improve M&amp;E and KPI Frameworks at each stage of process.</li> <li>Provide views on M&amp;E and KPI Framework development to the SC and the Board at regular meetings.</li> </ul>
Technical partners	<ul style="list-style-type: none"> <li>Advise on specific measurement areas, M&amp;E tools, activities and KPIs through consultations technical teams in the Secretariat and the Situation Rooms.</li> </ul>
Secretariat	<ul style="list-style-type: none"> <li><b>Coordinate development of M&amp;E and KPI Frameworks under overall oversight from the Committees and for final approval by the Board.</b></li> <li>Consolidate lessons learned from implementation of current Global Fund Strategic Performance Monitoring approach and to propose principles to guide development of M&amp;E and KPI Frameworks.</li> <li>Propose critical measurement areas against the new Strategy and to define measurement approaches (both quantitative and qualitative) for development of M&amp;E Framework and identification of Strategy KPIs including targets.</li> <li>Ensure that all of the above is conducted with internal consultations and external consultations with the TERG, technical partners for specific subject areas, other subject matter experts, Committees and the Board.</li> <li>Ensure mechanisms in place to use, learn from and be able to transform outputs of the M&amp;E Framework and the KPI results into initiatives and actions which accelerate performance.</li> </ul>

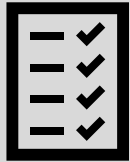


# Objective of the Global Fund M&E Framework

The Global Fund's overarching M&E Framework will describe how the Global Fund will ensure **availability of reliable evidence to inform decisions, ensure accountability and transparency**, and facilitate **continuous learning** to achieve the **post 2022-Strategy goals**.

Specifically, the objective is to:

- identify the different **information needs** required to measure and assess progress against achievement of the post-2022 Strategy goals;
- outline the **data and information sources, tools, systems and mechanisms** that address these information needs;
- describe **how and when information is analysed, reported and disseminated and the feedback, follow-up and accountability mechanisms in place**; and
- explain **how information is used to inform key decision-making processes** at different stages of Global Fund grant and Strategy cycles.



# Outline of the Global Fund M&E Framework

Following the 2020 Global Fund M&E Review, an outline of the M&E Framework was proposed which demarcates and identifies objectives for M&E at the grant/country level and objectives at the enterprise/strategy level. Starting with this outline, the ongoing development of the Framework will provide a detailed lens (and narrative) on each of the different components at country and Strategy level and on the interlinkages between the components.



Framework first developed by Spark Street Advisors through consultations with the Secretariat, the TERG and an independent panel of experts and presented to SC in March 2020.



# Proposed Core Principles of the M&E Framework and Associated Definitions

**Goal: Facilitate continuous learning, accountability and improved decision-making through provision of relevant, useful, reliable, and timely information to improve efficiency, effectiveness, quality and impact of Global Fund investments**

Transparency	<ul style="list-style-type: none"><li>Methods, findings and reports made widely available, including at country level.</li><li>Data sharing agreements in place, where relevant.</li></ul>
Utility	<ul style="list-style-type: none"><li>Data, findings and recommendations presented clearly and concisely.</li><li>Perceived as relevant, useful, accessible, timely and prioritized.</li><li>Feeds into learning cycle.</li></ul>
Quality	<ul style="list-style-type: none"><li>Designed to produce reliable, robust, rigorous, replicable and high-quality evidence.</li></ul>
Partnership	<ul style="list-style-type: none"><li>Country leadership and stakeholder engagement.</li><li>Investment in strengthening national systems, existing M&amp;E capacity and data use.</li><li>Collaboration to maximize synergies and avoid duplication of effort.</li></ul>
Alignment	<ul style="list-style-type: none"><li>Alignment with in-country systems, processes and indicators.</li><li>Harmonization with partners including on approaches and tools.</li></ul>
Adaptability and differentiation	<ul style="list-style-type: none"><li>Due consideration to different contexts in which the Global Fund operates.</li></ul>
Independence	<ul style="list-style-type: none"><li>Free from political influence and organizational pressure in commissioning evaluations; full access to information and by full autonomy in carrying out evaluations/reviews and reporting findings.</li></ul>

# Ongoing Development of the Global Fund M&E Framework



- A **Theory of Change (ToC)** will underpin the post-2022 Strategy and will be instrumental in guiding the M&E Framework development. The conceptual pathway(s) outlined in the ToC and the technical consultations with subject matter experts on measurement areas will support in:
  1. Identifying all types of monitoring data, evaluations and routine studies or assessments required to holistically understand progress towards the Strategy goals; and
  2. Selection of indicators for the KPI/Results Framework.
- **Learning** is positioned as an objective of the M&E Framework which means that for each component there will be consideration and description on:
  1. How knowledge generated at each level of the conifer and at the country and portfolio level, effectively contributes to timely decision-making and how decision-making processes foster the effective use of monitoring data analyses and/or evaluations; and
  2. How knowledge generated through GF supported M&E systems and activities further contributes to sector-wide learning.
- **Roles and responsibilities** will be defined throughout the M&E Framework development process. The type of roles and responsibilities to be clarified include:
  1. Role of Secretariat functions related to different aspects of oversight and assurance including Risk and OIG and relationship to the components of the M&E framework; and
  2. Within the M&E framework clarification on who does what across the different components and different levels including accountabilities of country and technical partners.



## Section 2: Evaluation Calendar and Options for Independent Evaluation

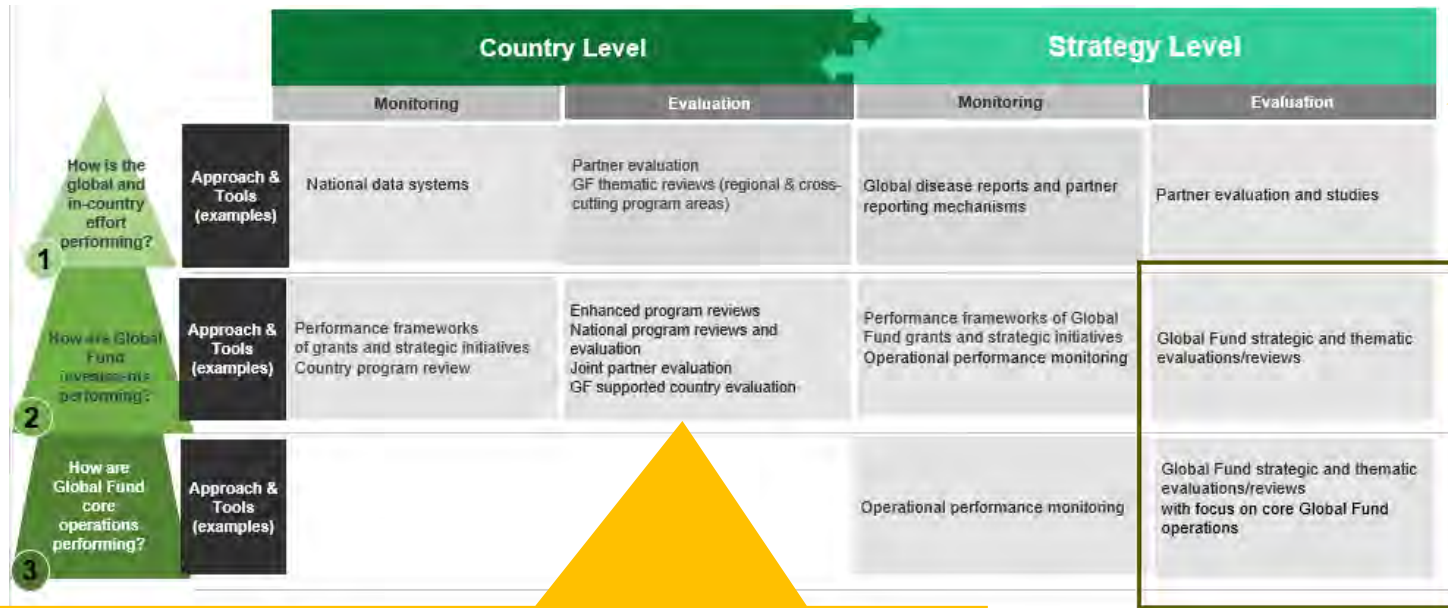
# Focus on Evaluation

- **The Secretariat is committed to strengthening its independent evaluation function and is working with TERG to address pain points identified from the Independent Assessment of TERG (2019) and the M&E Review (2020).** This has included the development of an integrated Evaluation Calendar and establishing a pilot approach for Secretariat-led evaluations with TERG oversight which includes, for example, looking at how to improve the development of actionable evaluation recommendations at the end of an evaluation process. At the request of the SC further details on the procedures for the new evaluation modality and an expanded Evaluation Calendar containing information on audits and advisories (conducted by the OIG) to take place over the same period, are contained in this report.
- However, the Independent Assessment of the TERG and the M&E Review strongly recommended that to fully address the current challenges related to independent evaluation, **changes need to be made to TERG's role and to how evaluation is managed and coordinated within the Secretariat.** The Secretariat commissioned an external senior M&E consultant to **provide potential options for models of a new independent evaluation function that will target the specific pain points related to role and structure.**
- **Following consultations with the TERG, the Strategy Committee M&E Working Group and Secretariat, the consultant proposed 3 options to the 15<sup>th</sup> SC.** The 3 options are outlined in this report and the consultant's full independent report submitted to the 15<sup>th</sup> SC is contained in Annex 2.
- The options were discussed by the SC, and it was evident that there was **no support for the model proposed under option 1 with constituencies leaning towards options 2 and 3.** The SC requested further elaboration on how option 2 and 3 can address pain points to deliver on improved learning from evaluation and how, in the case of option 2, independence can be safeguarded outside of a completely structurally independent model. Further focus on these issues is included in this report.
- It is anticipated that the SC will make a recommendation to the Board for decision in the 46<sup>th</sup> Board Meeting.



# Where does independent evaluation fit into the M&E Framework?

In the current Strategy the Global Fund has been commissioning strategic, thematic and country/program level independent evaluation. Partner evaluations have also served as an indispensable tool for the Global Fund's learning needs at both the country and global level.



**Strategic:** Periodic review of the implementation of the Global Fund Strategy, business model, policies and processes.

**Thematic:** Review of cross-portfolio or cross-cutting program components, such as gender, human rights, transition, etc., that cut across countries, regions, and sectors.

**Country/Program:** Assessment of implementation, effectiveness and impact of programs or specific program areas. In the current Strategy, Country evaluations include the Prospective Country Evaluations (PCEs) managed by TERG, program evaluations in focused countries managed by the Secretariat and program evaluations in high impact countries supported through the grants and with partners. In the post-2022 Strategy the GF will continue to commission and support country focused and country-led independent evaluation, type, frequency and details to be determined and will also be informed from findings of the evaluation of the PCEs (currently ongoing).

In the post-2022 Strategy it is proposed that evaluation plays a stronger and more systematic role in providing alternative measurement approaches in program areas that are difficult to measure through purely quantitative KPIs. Evaluations for this purpose need to be planned from the outset alongside the KPI framework and incorporated into Strategic Performance reporting.

An evaluation calendar will serve as a plan to implement the evaluation components of the broader M&E Framework aligned to the post-2022 Strategy.



# Secretariat-Led Reviews with TERG Oversight (1/2)

The Secretariat and TERG have agreed on roles and responsibilities for this new approach, the following table highlights the main focus of each stakeholder. The Health Security Review which is in its early stage of implementation, will be the pilot for this approach.

Internal	Focus
<b>Secretariat technical focal point(s)</b>	<ul style="list-style-type: none"> <li>• Ensure the evaluation/ review addresses the appropriate questions, issues or knowledge gaps in the subject area with linkages to relevant policies, global plans and commitments etc.</li> <li>• Ensure consultants have the required subject knowledge, that Global Fund documents and data/information are made available, and the review remains on track to answer the questions set out in the inception report.</li> <li>• Ensure the management response is based on actionable recommendations for the subject area and findings and implementation of recommendations are promoted, used and applied.</li> </ul>
<b>Secretariat M&amp;E Working Group</b>	<ul style="list-style-type: none"> <li>• Ensure the review is implemented in a timely manner and to a high level of quality and to provide technical support and quality assurance to the technical focal points in the planning and management of the review/evaluation.</li> <li>• Members of the working group will support the selection of competent consultants with required evaluation/methodological expertise.</li> <li>• Ensure that the TERG &amp; governance bodies are updated on progress of the review/evaluation, management response and implementation of actions and to follow up/resolves any issues identified by TERG for where quality or behavioral independence is considered to be compromised.</li> <li>• Ensure timeliness of the management response, quality of recommendations and engagement of all relevant stakeholders. The WG will monitor actions to implement agreed recommendations.</li> </ul>
<b>TERG Secretariat</b>	<ul style="list-style-type: none"> <li>• Coordinate and facilitate smooth communication and liaison between TERG and technical focal points and Secretariat M&amp;E Working Group.</li> <li>• The TERG Secretariat (through role in the Secretariat M&amp;E Working Group above) will also focus on ensuring the reviews implemented in a timely manner and to a high level of quality providing support at critical stages in process.</li> </ul>
External	Focus
<b>TERG</b>	<ul style="list-style-type: none"> <li>• Through appointing focal points to the review, TERG will comment on the scope of the evaluation/review and will engage at critical stages to provide quality assurance to the process - level of oversight quality assurance will vary according to the review/evaluation subject.</li> <li>• To provide a commentary on the quality of the inception and final reports, independent opinion on recommendations and Secretariat response and whether the evaluation/review has been conducted adhering to good evaluation practice and principles particularly related to behavioral independence.</li> </ul>
<b>Strategy Committee</b>	<ul style="list-style-type: none"> <li>• Endorses overall scope and objectives of the review.</li> <li>• Receives report, recommendations and Secretariat response and TERG commentary.</li> <li>• Focus on application and follow up to agreed recommendations.</li> </ul>

# Secretariat Led Reviews with TERG Oversight (2/2)

During the TERG and Secretariat consultations, some high-level principles were agreed upon to guide the process. There have also been discussions on how to improve the quality and utility of evaluation recommendations and management responses.

## Recommended Principles

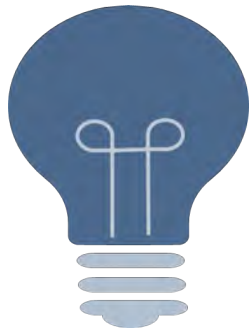
The overall process should not become heavier so that the time to complete reviews is extended beyond the current average duration for TERG led reviews /evaluations.

Additional processes to what is already in place for TERG led reviews/evaluations with Committees and the Board should not be added under this new approach.

Level of TERG quality assurance and oversight may vary according to subject of review/evaluation.

Procedures need to allow for agility and flexibility so that findings feed into the decision making the review or evaluation is designed to inform.

## Rethinking the approach to formulation of recommendations



- The Independent Assessment of the TERG (2019) and M&E review (2020) identified particular challenges related to relevance and actionability of evaluation recommendations and follow up on management responses. There is potential to change how the final stage of the evaluation proceeds to ensure that it culminates with practical and relevant recommendations for the Secretariat that can be translated into actionable management responses.
- An option proposed which follows current best practice in the evaluation field, is for the evaluators and the Secretariat to jointly draft recommendations and actions, based on the evaluator's independently collected, analyzed and presented findings. This approach will be applied for the current Secretariat-led Health Security Review and will be conducted under full oversight of the TERG.
- Under this approach, the TERG will not only assess the quality of the review and final evaluation report, but also whether the recommendations are comprehensive and appropriately addressing the key findings and conclusions from the review.
- The Secretariat management response would be presented at the same time as the final report to the SC so both aspects are discussed together with the TERG providing their external commentary on both elements.

# Options for Models for Independent Evaluation

- An independent consultant outlined 3 models for the SC, that have the potential to resolve many of the challenges identified from the 2019 Independent Assessment of TERG and 2020 M&E Review. Options for models were refined through consultations with the TERG, the Strategy Committee M&E Working Group and the Secretariat. See Annex 2 for the consultant's full independent report.
- The consultant's report also includes reflections from the TERG's position paper on the different models (see annex - page 52). The paper indicated a preference for model 2, stating that it would be the best way to address the pain points and ensure the balance between the three tensions inherent in evaluation (independence, utility and quality).

## Summary of Models

1. Secretariat has an **embedded Secretariat evaluation unit reporting directly to the Office of the Executive Director (OED)**. The unit coordinates and oversees all evaluation related activity and manages strategic level evaluation. **An independent evaluation committee provides an oversight function on the evaluation workplan, evaluation terms of reference and quality of evaluation reports reporting to the SC/Board**. The committee engages with the evaluation unit but there is no formal reporting relationship.
2. Secretariat has an **embedded Secretariat evaluation unit reporting administratively directly to OED**. Unit coordinates and oversees all evaluation related activity and manages Strategic level evaluation. **An independent evaluation committee provides an oversight function on the evaluation workplan, evaluation terms of reference and quality of evaluation reports reporting to the SC/Board**. However, unlike option 1, the committee also has oversight over the evaluation unit and the evaluation unit is accountable programmatically to the committee to ensure independence.
3. An **evaluation unit that is structurally independent from the Secretariat and reports directly to the SC/Board**. The unit manages all strategic evaluation and determines the evaluation workplan in consultation with the SC/Board.

# Options for Independent Evaluation: Secretariat View

The Secretariat is committed to strengthening an evaluation function that serves interrelated purposes of learning and accountability. Each of the proposed models has its merits, however, it is a priority that any restructure of the function enables better utility for learning to inform timely decision-making in the organization.

- Based on evaluations of organizations that have a structurally independent model (such as the IMF<sup>1</sup> and World Bank<sup>2</sup>), there is a risk that the current challenges, including those related to fragmentation of evaluation related activities, and to relevance and utility of evaluation may continue, which will not facilitate improved learning.
- The Secretariat supports a refocus of the mandate of an independent evaluation committee proposed under option 2 so that it becomes a body which is focused on providing oversight to ensure credibility and quality of evaluation.
- The Secretariat also supports the creation of a dedicated appropriately resourced evaluation unit that can manage high-quality evaluations, strengthen dissemination and facilitate learning from all evaluation-related activity commissioned by the Secretariat.

## Discussion at the 15<sup>th</sup> SC.

**No constituency expressed preference for model 1. Constituencies were divided between model 2 and 3 and requested to understand more on how the models address pain points, particularly around learning and how independence can be safeguarded under option 2. The following slides provide more detail on these aspects addressing comments from the 15<sup>th</sup> SC and the SC M&E Working Group.**

*[1 Time for a reboot at a critical time for multilateralism, The Third External Evaluation of the IEO, July 2018](#)*

*[2 External Review of the Independent Evaluation Group of the World Bank Group, June 2015](#)*







# Promoting Independence under Option 2

Whole slide considerably revised with inclusion of risks and expansion on mitigation measures

Under any structure, functional and behavioral independence needs to be promoted at all stages of the evaluation process from planning to dissemination. The yellow boxes below describe risks that need to be avoided in order to safeguard independence, the boxes below the evaluation lifecycle timeline proposes how risks can be mitigated under model 2 addressing functional and behavioral considerations.

## Risks

Risk that topics known to be challenging or problematic, or topics requested by Board for assurance needs are avoided. Risk that input into workplan is not initiated or is dismissed.

Perception that in an internal evaluation function evaluations are conducted by GF staff. Risk that evaluations are conducted by small pool of consultants well known or too close to the GF with little effort to ensure sufficient competition.

Risk that ToRs/inception reports avoid evaluation questions of most interest to governance bodies. Risk that Secretariat staff influence or interfere in evaluation process and content of reports.

Risk that Secretariat does not respond fully to evaluation findings selects/developing recommendations that are easy to act upon or in line with the status quo.

Risk that not all evaluation reports and management responses are made public in a timely manner.

## Planning

## Commissioning

## Implementing

## Response/Action

## Dissemination/ Learning

### Evaluation Calendar:

A formalized annual process between the EC, Secretariat and Board with transparent criteria for selection and prioritization of topics aligned with the post 2022 Strategy and mechanisms to ensure input from countries.

### Recruiting evaluator(s):

All evaluations are undertaken by independent consultants/firms selected through a competitive process following Secretariat recruitment rules and procedures. Member(s) of the EC will be part of recruitment panel. Evaluation Unit responsible for orienting evaluators, conducting regular bidder meetings, and onboarding new potential suppliers. Potential conflicts of interest, are assessed at stage of terms of reference development and before final the selection of evaluator(s) with the EC.

### Implementation and Sign Off:

Reviews (including for quality assurance purposes) to be undertaken at stage of ToR, inception reports and evaluation reports. Reviews by EC and SC for ToRs of Strategic level evaluations. Final sign off/ endorsement of report to come from EC. All staff in evaluation unit as well as any Secretariat staff involved in managing thematic evaluations in other departments to be fully orientated in evaluation norms and standards and ethics/code of conduct.

### Management response:

Developed by Secretariat. Formulation/discussions of recommendation with evaluators overseen and monitored by the EC. Scheduled reporting and follow-up on management responses to Committees/Board will be the responsibility of Head of evaluation unit.

### Publication of reports:

Policy in place to assure full transparency of all evaluations and reviews with attention to established timelines for publications. Head of evaluation unit to submit an annual report on the evaluation function with status of all reports/management response and follow up.

## Mitigation Measures

# Summary and Next Steps

- The Secretariat will continue to collaborate closely with TERG to strengthen coordination and timing of evaluations through the Evaluation Calendar and address pain points, not reliant on model, for example related to the development of actionable evaluation recommendations between evaluators and Secretariat with TERG oversight.
- However, the Secretariat is also eager to advance on implementing changes in role and structure around the independent evaluation function to address more systemic challenges related to fragmentation of the function and increasing utility and learning from all Global Fund supported evaluations and reviews.
- Independent evaluation will have a prominent role in the M&E Framework for the post-2022 Strategy so it will be highly conducive to have structural and oversight aspects of the evaluation function established and functioning by the start of 2023.
- The Secretariat and TERG believe the model outlined under option 2 is the most appropriate model to pursue based on reasons related to learning and utility of evaluation and with confidence that independence can be safeguarded through functional processes, and ongoing attention to address behavioral independence, under oversight from the proposed independent evaluation committee.
- Following inputs from the Board on the preferred model, the Secretariat will develop details on roles and responsibilities, operational modality as well as resource needs to discuss at the next SC session in July 2021 and for Board decision in November 2021.

# Annex 1: 2021-2022 Evaluation Calendar: Details on Strategic and Thematic Evaluation and Reviews

# Strategic Evaluation/Reviews: 2021-2022 (1/2)

Topic	Focus	Source of proposal	Implementation start-end dates	Decision making process findings need to be available to inform	Entity to manage evaluation
<b>Global Health Security</b>	Identifying opportunities and positioning the Global Fund within global health security architecture (lessons from COVID-19).	SC	Jan - May 2021	Latter stages of strategy development process	Secretariat with TERG oversight
<b>Strategic Initiatives</b>	To evaluate the efficiency and effectiveness of strategic initiative implementation – are they doing the right thing and are they getting the intended results?	SC	Jan – June 2021	Next allocation cycle and use of catalytic funds (required March 2022)	TERG
<b>Regional/ Multi-country grants</b>	To evaluate strengths and weaknesses of selection of multi-country grants throughout the grant cycle; understand key success criteria as well as bottlenecks encountered to improve future multi-country grants.	SC	April – Dec 2021	Next allocation cycle and use of catalytic funds (required March 2022)	TERG
<b>PCE Evaluation</b>	To draw lessons learned from the PCE model for future Global Fund independent evaluation approaches.	TERG/ PCEs	Feb – July 2021	Inform new M&E Framework development Q3 2021	TERG
<b>WAMBO Pilot</b>	To evaluate the wambo.org pilot for non-grant financed orders, as instructed by the Board in GF/B42/DP05, prior to a Board decision on wambo.org's future strategy for non-grant financed orders.	Board	May – Nov 2021	Decision to open/ extend Wambo pilot. March 2022 for SC recommendation for May 2022 Board decision	TERG
<b>Payment for Results</b>	To examine experience to date of Global Fund and other development partners with PfR.	SR2020	June -Dec 2021	To inform the next cycle of grant guidance	Secretariat with TERG oversight
<b>TB Prevention</b>	To evaluate the effectiveness, efficiency and equity of the Global Fund's contributions to TB prevention.	Board/SC	May – Dec 21	Inform guidance (technical notes?) on TB funding requests	Secretariat with TERG oversight





# Secretariat Thematic Reviews: 2021-2023 (2/2)

Implementation focus	Objectives	Department managing and approx. timeline
7. Document lessons learnt, best practices, challenges in Global Fund supported AGYW programs.	<ul style="list-style-type: none"> <li>To identify lessons learnt, best practices and challenges to inform program implementation and new grants.</li> <li>To identify best practices and lessons learnt to improve program.</li> </ul>	CRG/MECA <b>Timeline: 2021</b>
8. Outcome measurement of AGYW programs (ongoing)	<ul style="list-style-type: none"> <li>To support 5 countries to collect outcome data using polling booth survey.</li> </ul>	<b>CRG/MECA</b> <b>Timeline:2021</b>
9. Cost-effectiveness of TB interventions	<ul style="list-style-type: none"> <li>Review cost of providing TB services.</li> <li>Assess cost of TB case finding.</li> <li>Comparing different strategies of TB service delivery.</li> </ul>	<b>TAP/TB</b> (3-4 countries in Africa and Asia) <b>Timeline: 2021</b>
10. Review of national lab network for HIV, TB and Malaria services, including waste management; Current practice and lessons learnt.	<ul style="list-style-type: none"> <li>To identify best practices to strengthen laboratory systems and increase efficient service provision.</li> <li>To define cost efficient reference models that strengthen capacity of national lab systems ensuring access to VL testing, Gene expert optimization, RDT and samples transport systems.</li> </ul>	<b>GMD (EECA, LAC, MENA HIA1&amp;WCA)</b> <b>Timeline: 2023</b>
11. Scaling up digital health in middle-income countries (HMIS, CHIS, LMIS): Challenges and lessons learnt	<ul style="list-style-type: none"> <li>To identify challenges and lessons learnt in efforts to scale up digital health in middle-income countries.</li> </ul>	MECA <b>Timeline: 2023</b>
12. Linkage between current KPIs, global targets, PF grants targets, investment case and Global Technical Strategies (HTM)	<ul style="list-style-type: none"> <li>To provide recommendations to align KPI, targets and Global technical strategies where needed.</li> </ul>	Malaria/TB/KPI teams <b>Timeline: Q3 2021</b>

# Annex 2: Options for models for the Global Fund Independent Evaluation Function Independent Report from Spark Street Advisors





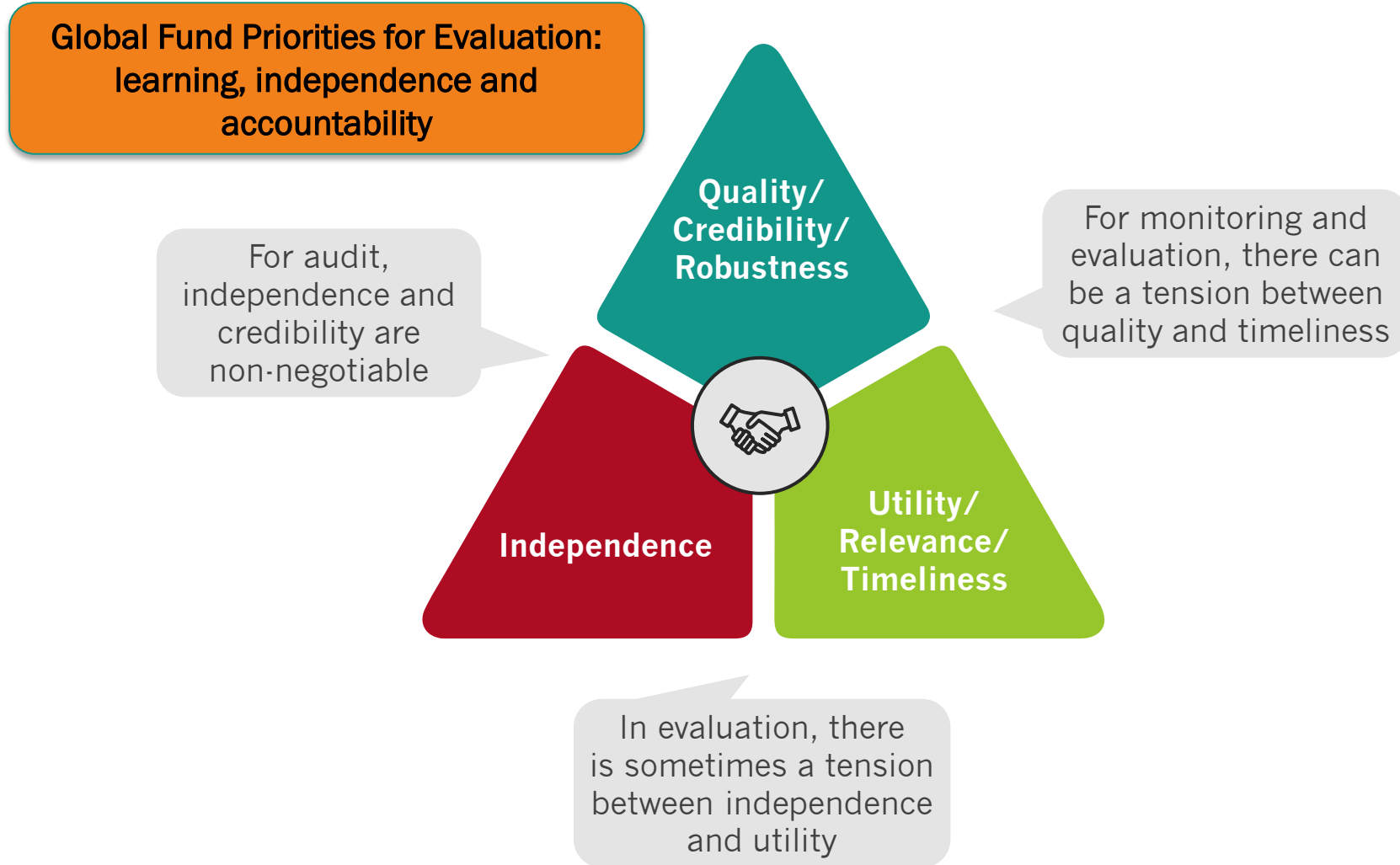








# Typical tensions – balance associated with priorities









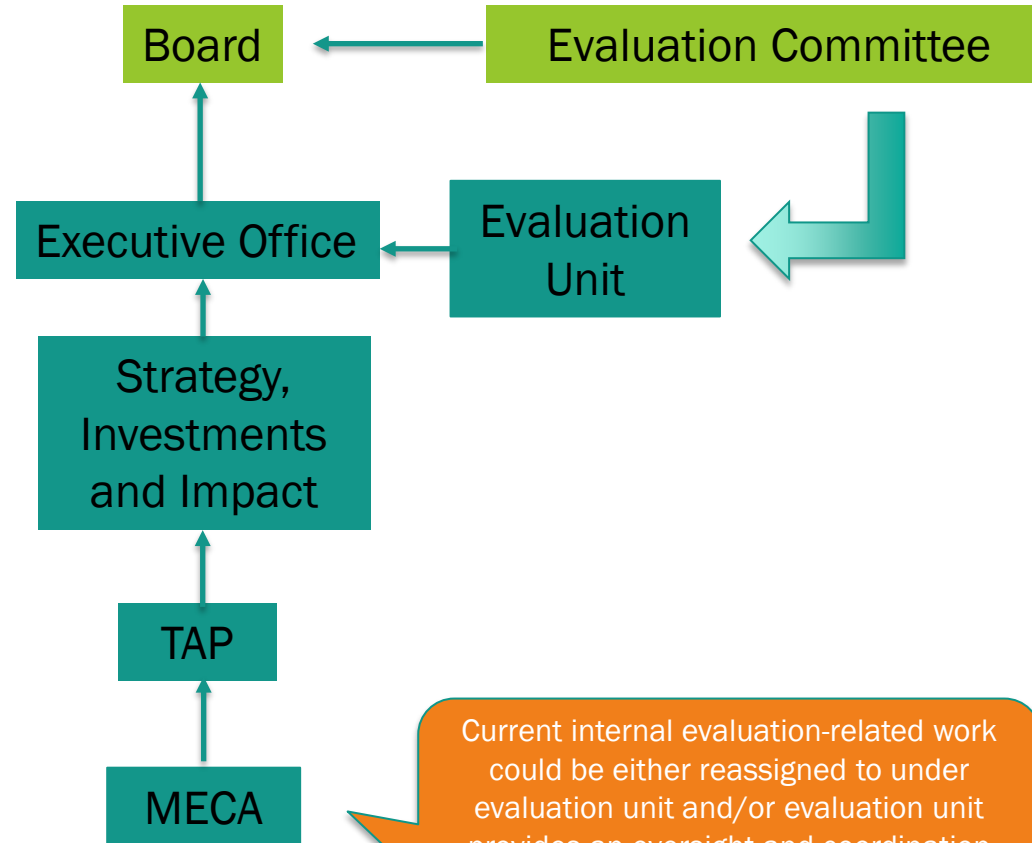
# Embedded in OED with limited independent oversight (model 1)

## Evaluation committee

- Approves evaluation work plan
- For strategic/priority evaluations:
  - reviews RFP questions
  - reviews final report and reports to board on quality of evaluation

## Evaluation unit

- Reports to OED
- Engages with committee but no formal reporting relationship
- End-to-end management of evaluations
- Coordinates co-creation of recommendations
- Focal point for coordination, dissemination, etc.
- Maintains overview of all evaluation related activities



Current internal evaluation-related work could be either reassigned to under evaluation unit and/or evaluation unit provides an oversight and coordination role to this work





# Elements of model relative to current (model 1)

Elements of model	Key points
Behavioral independence (from management)	Evaluation unit reports to Secretariat from management perspective but, is accountable to committee for quality. In this model there is no formal reporting structure to committee, which is advisory to Board.
Structural independence (from management)	While reporting to management, less internal layers for potential compromise of independence. However, evaluation unit is responsible and accountable to management as engagement with Committee is limited to quality of evaluation.
Relevance to countries and organization	This model would improve on the current in that the function would sit in the EO and thus be placed in a position where it would have insight into the full range of activities at the Global Fund and more engagement with staff, MEC and countries. This could improve planning and relevance as well as buy-in and ownership.
Learning/ownership (acceptance, buy-in, ownership)	OED responsible for evaluation and management response and implementation of changes and organizational learning which should increase buy-in, ownership and action. There would also be more engagement with staff, countries, etc. than under current model.
Accountability (related to use of findings)	OED responsible for accountability vis-a-vis use of findings. Committee's role limited to assurance of quality of evaluation and SC monitors appropriateness/implementation of response.
Transaction cost/\$ for secretariat (builds on existing systems)	Would require expansion of current team to fulfill learning, dissemination and other core functions.
Transaction cost/\$ for evaluation committee (engagement in management)	Less engagement by committee than under current model



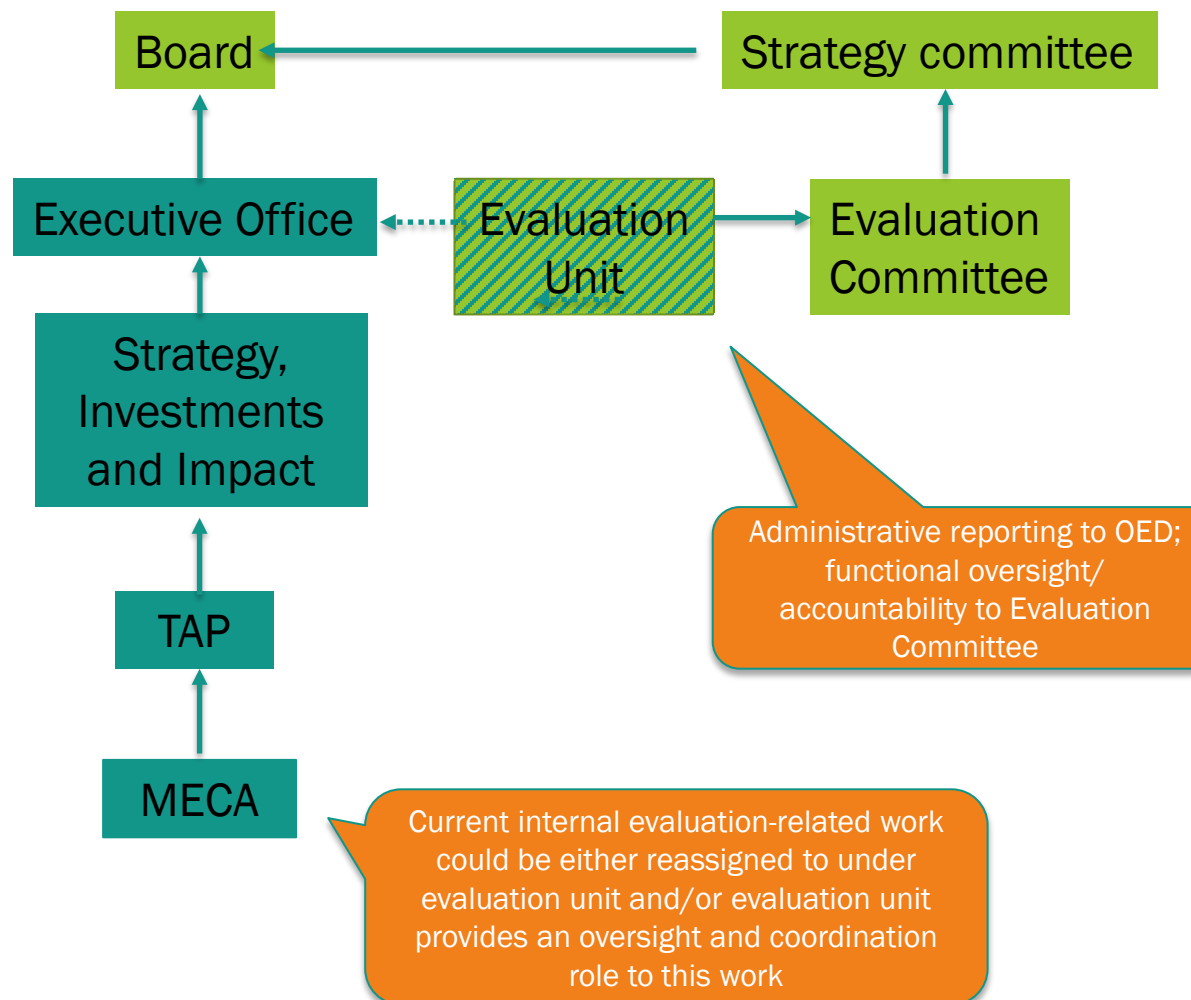
# Embedded in OED with significant independent oversight (model 2)

## Evaluation committee

- Approves work plan
- Oversees and assures quality of strategic evaluations (reviews RFPs, selection of bidder, inception and final reports)
- Provides technical oversight of evaluation unit
- Contributes to performance reviews

## Evaluation unit

- Oversight by/accountability to committee; management reporting to OED
- Executes strategic evaluations on behalf of Committee
- Coordinates co-creation of recommendations
- Focal point for coordination, dissemination, etc.
- Maintains overview of all evaluation related activities





# Elements of model relative to current (model 2)

Elements of model	Key points
Behavioral independence (from management)	Function reports from a content perspective to Committee and performance review conducted with Committee increasing potential for behavioral independence.
Structural independence (from management)	While reporting to management, less internal layers for potential compromise of independence; this however is “safeguarded” by dual reporting structure and engagement by Committee with SC
Relevance to countries and organization	This model would improve on the current in that the function would sit in the EO and thus be placed in a position where it would have insight into the full range of activities at the Global Fund and more engagement with staff, MEC and countries. This could improve planning and relevance as well as buy-in and ownership.
Learning/ownership (acceptance, buy-in, ownership)	OED responsible for evaluation and management response and implementation of changes and organizational learning which should increase buy-in, ownership and action. There would also be more engagement with staff, countries, etc. than under current model.
Accountability (related to use of findings)	OED responsible for accountability vis-a-vis use of findings. Committee’s role limited to quality assurance of evaluation. SC monitors appropriateness/implementation of response.
Transaction cost/\$ for secretariat (builds on existing systems)	Uses additional GF mechanisms/additional cost to build out team
Transaction cost/\$ for evaluation committee (engagement in management)	Less time commitment for TERG as heavy lifting performed by Secretariat. Committee more focused on quality assurance and oversight.



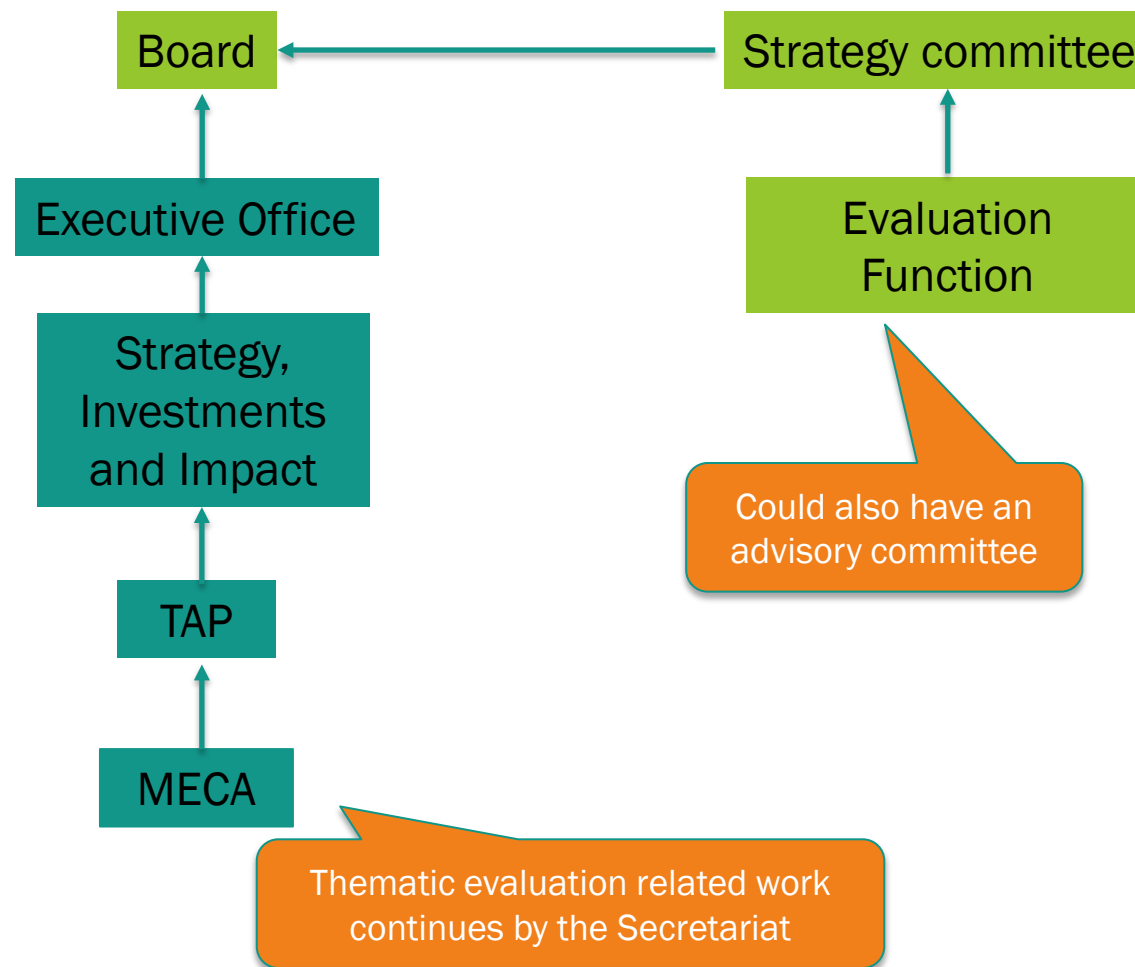
# Structurally independent from Secretariat (model 3)

## Strategy committee

- Approves evaluation agenda in consultation with the Board

## Evaluation function

- Responsible for setting evaluation agenda
- Manages strategic evaluations
- Reports directly to the Strategy committee
- No formal relationship with Secretariat





# Elements of model relative to current (model 3)

Elements of model	Key points
Behavioral independence (from management)	No formal relationship with Secretariat. Complete behavioral independence. Protected from outside interference and avoids conflicts of interest.
Structural independence (from management)	No formal relationship with Secretariat. Complete structural independence. Protected from outside interference and avoids conflicts of interest.
Relevance to countries and organization	Similar to current model in terms of how evaluation agenda is defined and by whom. This has been considered a weakness vis-a-vis relevance, usefulness, accountability and influence. Alignment with org. strategy required.
Learning/ownership (acceptance, buy-in, ownership)	Evaluations of other organizations with this type of structure have shown that cycles of learning, course corrections, buy-in and ownership of findings has been a challenge.^
Accountability (related to use of findings)	Board is ultimately holding management accountable for findings.
Transaction cost/\$ for secretariat (builds on existing systems)	Separate and distinct operating structure reporting to Board/SC.
Transaction cost/\$ for evaluation committee (engagement in management)	Separate and distinct operating structure reporting to Board/SC.

^

<https://www.brettonwoodsproject.org/2017/01/world-banks-independent-evaluation-group/>

<https://ieg.worldbankgroup.org/sites/default/files/Data/Evaluation/files/ieg-external-review-report.pdf>

<https://www.brettonwoodsproject.org/wp-content/uploads/2019/02/071718report-of-3rd-external-evaluation-of-ieo-7.pdf>



# Potential improvements relative to current model

Elements of model	Embedded w/limited oversight	Imbedded in OED with full committee oversight	Independent reporting to board
Behavioral independence (from management)	Low	Medium	High
Structural independence (from management)	Low	Medium	High
Relevance	High	High	Medium
Learning/ownership (acceptance, buy-in, ownership)	High	High	Low
Accountability (related to use of findings)	High	High	Medium
Transaction cost/\$ cost for secretariat (builds on existing systems)	\$\$	\$\$	\$
Transaction cost/\$ cost for evaluation committee (engagement in management of evaluations)	\$	\$\$	\$\$\$



# Addressing pain points related to structure and positioning

Pain point/area for improvement	Models
No overarching M&E framework or Evaluation Policy	Under development by Secretariat for approval by SC and Board. Model does not need to address.
No evaluation entity currently has an <b>overall coordination role</b> which leads to <b>fragmentation</b> and certain overlaps (including with OIG).	For models 1 and 2, fragmentation issues would be addressed through coordination and oversight to all strategic and thematic evaluation work by the evaluation unit. Model 3 has some risk of fragmentation as an independent evaluation function would focus on strategic evaluations and other reviews and evaluations might continue internally with no visibility per se and thus there may be a risk of continued fragmentation and overlap.
Current <u>ToR</u> /mandate of TERG is broad but <b>TERG capacity is overstretched</b> , limiting their ability to perform their role	For models 1 and 2, Evaluation Committee will not be managing day-to-day aspects of evaluation and will have a narrower oversight focus (workplan RFP and quality assurance, to final report). That said, model 2 has more engagement with the Evaluation Unit than option 1. For model 3, there would be no oversight committee per say as the evaluation unit would carry out all evaluations. Dedicated function so capacity should no be an issue.
There is lack of clarity with regard to <b>what should be defined as internally managed evaluations</b> and <b>what would benefit from independent oversight</b>	There is a process currently underway to address this and do joint planning engaging the TERG, Secretariat, board, SC, technical partners, etc. While such processes also possible with model 3, there would be less visibility on the activities conducted by the Secretariat than if work planning driven by the Secretariat, with approval from a committee.
Strong <b>perception of independence of management of evaluations</b>	For model 1, there would be external oversight of quality of evaluations but not of staff in the evaluation unit thus potential compromise to behavioral independence. For model 2, while administratively reporting to OED, functional reporting to committee which inputs and signs off on performance review of Head of Unit. Model 3 is completely independent and thus would carry the strongest perception of independence. Respect for autonomy of evaluators would also need to be core to any model



# Addressing pain points related to relevance, quality and usability issues

Pain point/area for improvement	Models
Relevance of evaluations diminished through <b>lack of theories of change (ToC) at all levels</b> available to evaluators to frame evaluation questions and focus, compounded by disparate SC and Secretariat input	Working with business owners to facilitate development a Theory of Change requires dedicated resource, time and trust. While the business owners are ultimately responsible to the ToC, this type of facilitative support could be performed under any of the models proposed with the appropriate team in place. However, the unit would need to be strong in terms of systematic compilation of various stakeholders to frame and focus questions.
<b>Relevance of some TERG evaluations perceived as low</b> as there is limited alignment to GF cycles and do not address Secretariat learning needs	For models 1 and 2, placement in OED would help drive alignment with GF cycles and learning needs of Secretariat. Under the supervision of the OED, the unit would develop a coordinated prioritized work plan aligned with policy and program decision calendar; coordinate with internal stakeholders and partners. While this could also happen with an independent body per model 3 it could be more difficult to engage with the organization in particular in terms of “real time” learning needs which may be best assessed by senior management.
<b>Lack of evaluators in-depth knowledge of Global Fund model</b> seen as cause of some poor <b>quality evaluations</b>	For all three models, the unit would be responsible for orienting evaluators, conducting regular bidder meetings, and onboarding new potential suppliers.
Usability of recommendations from some evaluations deemed low as <b>recommendations do not always appear linked to actual findings</b> of reports, are not always actionable and / or well aligned to GF reality	For models 1 and 2, a dedicated function to conduct co-creation workshops and ensure engagement from relevant GF teams in developing/responding to recommendations. While this could also be function of the unit in option 3, actionability could be an issue with a completely independent function that does not interact on a regular basis with the business or policy owners. In all three models, evaluators would retain the final decision on recommendations in the reports.





# Addressing pain points related to action and learning issues

Pain point/area for improvement	Models
<b>No organisational culture of learning from evaluation</b> to promote use of findings across all evaluation work.	Regardless of the model chosen, the GF will need to invest in learning systems to target and disseminate findings from evaluations and support learning. In models 1 and 2 this would be part of the TOR of the function. The importance of evaluation learning culture could be reinforced if driven at level of OED. While with model 3, an external evaluation committee can definitely advise and promote wider-sector learning, when completely external, there a risk of lack of ownership of findings by the business owners as evaluation considered more an accountability instrument than a learning tool and reaction to findings defensive.
<b>No formal system for development of management responses and no accountability for implementation or follow up to management responses</b> systematically across all evaluations	For models 1 and 2, the ED would be responsible. The evaluation unit would be mandated in its TOR to ensure there is a timely response from management, owned by the OED, with a systematic approach to follow-up and reporting against implementation. This is not part of the current system. For model 3, while the external function could monitor the development of a management response, follow-up might compromise its independence as it would then be engaging in the day-to-day operations of the GF. As such, the Board would be directly accountable for follow-up.
<b>Lack of full transparency</b> in the publication of TERG reports and management responses	This could be addressed by any of the three models and is an important part of promoting a culture of learning (see above).
<b>No central repository</b> for Secretariat-led evaluations	In option 1 and 2 this can be addressed by Evaluation unit which has oversight of all GF evaluation work. For option 3, would apply to strategic evaluations only.





Annex slides







