Multilateral Organisation Performance Assessment Network

Organisational Effectiveness Assessment

Global Alliance for Vaccines and Immunisation (GAVI) 2012

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MOPAN

Appendices

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Appendix I Methodology

1.1 Introduction

This document describes the MOPAN Common Approach methodology for the 2012 assessment, those who participated in the study, and the data collection and analysis process for this year.

Background

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of 16 donor countries[1] with a common interest in assessing the organisational effectiveness of the multilateral organisations they fund.

The MOPAN Common Approach methodology was developed to address the recognised need for a common comprehensive system to assess multilateral organisations. Its aim is to respond to the information needs of donors by producing information that would not be available otherwise about how an organisation is doing in areas that donors consider important.

The Common Approach aims to reduce the need for other assessment approaches by bilateral donors. It was derived from existing bilateral assessment tools and complements and draws on other assessment processes for development organisations – such as the bi-annual Survey on Monitoring the Paris Declaration on Aid Effectiveness and annual reports of the Common Performance Assessment System (COMPAS) published by the multilateral development banks.

Purpose

MOPAN assessments are intended to:

- Generate relevant, credible and robust information MOPAN members can use to meet their domestic accountability requirements and fulfil their responsibilities and obligations as bilateral donors.
- Provide an evidence base for MOPAN members, multilateral organisations and direct partners to discuss organisational effectiveness and, in doing so, build better understanding and improve organisational effectiveness and learning over time.
- Support dialogue between MOPAN members, multilateral organisations and their partners, with a specific focus on improving organisational effectiveness over time, both at country and headquarters level.

The MOPAN Common Approach does not compare multilateral organisations to one another as their mandates and structures vary too much in nature and scope. MOPAN assessments are repeated at intervals and therefore can help determine whether a multilateral organisation's performance is perceived to have changed over time in the areas examined by the MOPAN Common Approach. It is important to note, however, that as MOPAN continues to improve the methodology for the Common Approach from year to year, comparisons of this year's results with those of previous years should be handled cautiously.

Evolution

The MOPAN Common Approach methodology evolves in response to what is learned from year to year, and to accommodate multilateral organisations with different mandates.

[1] MOPAN members in 2012: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, the Netherlands, Norway, Republic of Korea, Spain, Sweden, Switzerland, and the United Kingdom.

The MOPAN methodology was initially designed to assess the organisational effectiveness of multilateral organisations, which MOPAN defines as the extent to which a multilateral organisation is organised to contribute to development results in the countries where it operates. Given this focus, MOPAN assessments emphasised the organisational practices, systems, and behaviours that MOPAN believes are important for multilateral organisations in managing for development results.

In 2011, MOPAN began exploring options for expanding its assessment framework to include a review of the results achieved by multilateral organisations, including collaboration with the OECD DAC Evaluation Network. In 2012, MOPAN tested an approach to assessing the key results of multilateral organisations.

2. MOPAN Common Approach Design

2.1 Evolution of MOPAN Assessment Framework

MOPAN continues to refine its assessment framework. In 2009, the MOPAN Common Approach replaced the Annual MOPAN Survey, which had been conducted since 2003.

The MOPAN Common Approach is broader and deeper than the previous surveys and includes the following components:

- Expanded survey – The MOPAN survey now brings in the views of direct partners or clients of multilateral organisations and those of donors, that is, MOPAN members at both headquarters and country level.
- Document review – Since 2010, survey data are complemented by a review of documents prepared by the multilateral organisations being assessed and other sources.
- Interviews – In 2012, MOPAN will complement survey data and document review with consultations and interviews at the headquarters of multilateral organisations assessed.

In 2012 MOPAN tested a new component to assess the results of multilateral organisations.[2]

2.2 Performance Areas and Indicators

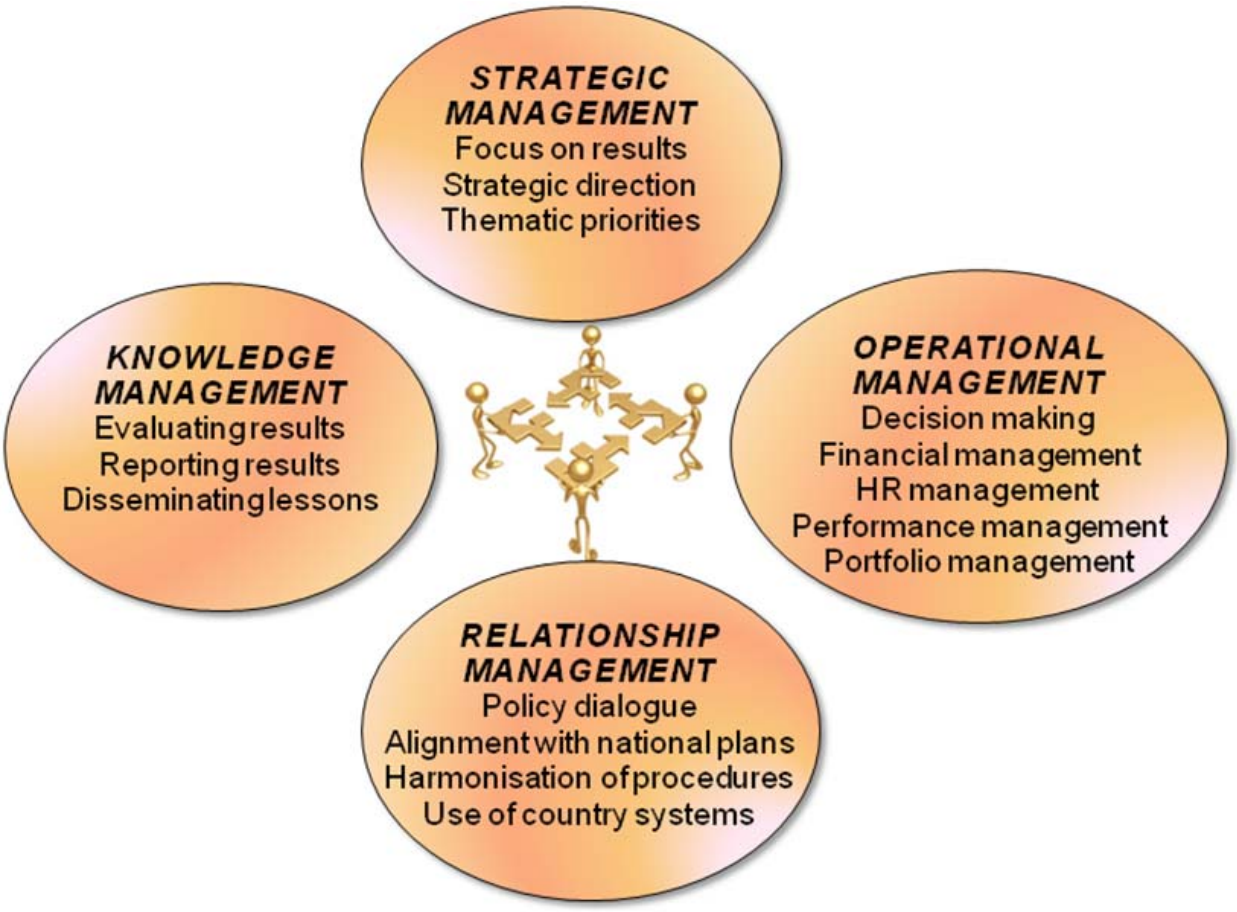
The MOPAN Common Approach examines organisational systems, practices, and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to results at the country level. The Common Approach framework groups these organisational capacities in four areas of performance:

- *Strategic management*: developing and following strategies that reflect good practices in managing for development results;
- *Operational management*: managing operations in a way that is performance-oriented, thus ensuring organisational accountability for resources and results;
- *Relationship management*: engaging in relationships with direct partners/clients and other donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Paris Declaration; and
- *Knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

While these definitions and performance areas are broadly applicable to a range of types of multilateral organisations (including those involved in humanitarian and normative work), the dimensions explored in the MOPAN Common Approach are adjusted as necessary to reflect the mandates of each organisation assessed.

[2] This component was tested in 2012 with the African Development Bank, UNICEF, UNDP, and the World Bank.

Dimensions of organisational effectiveness in the MOPAN Common Approach



Key Performance Indicators and Micro-Indicators

Within each performance area, organisational effectiveness is described using several key performance indicators (KPIs) that are then measured in a series of micro-indicators (MIs).

The 2012 assessment draws on indicators that MOPAN has developed since 2007 (see sidebar) and tailors them, as required, for each of the organisations being assessed.

Evolution of MOPAN Indicators

2007: In an initial mapping exercise of existing bilateral donor assessment tools, MOPAN identified 250 indicators, many of which were overlapping.

2008: MOPAN reduced these to 35 key performance indicators (KPI) and 120 micro-indicators (MI)

2009 – 2011: MOPAN assessments included between 18 and 21 key performance indicators and between 60 and 75 micro-indicators, depending on the nature of the organisation and its mandate.

2.3 Multilateral Organisation Selection

Each year MOPAN selects multilateral organisations for assessment on the basis of the following criteria:

- Perceived importance and interest to all MOPAN members
- Medium-term strategic planning (or equivalent) and replenishment cycles – with a view to assessing organisations prior to the planning process or the start of the replenishment negotiation process
- A mix of international financial institutions (IFI); UN funds, programmes, and specialised agencies; and humanitarian organisations.

On the basis of these criteria MOPAN aims to assess multilateral organisations on a 3-5 year cycle.

In 2012, MOPAN assessed six organisations: the African Development Bank (AfDB), the *GAVI* Alliance (formerly the Global Alliance for Vaccines and Immunisation), the Joint United Nations Programme on HIV/AIDS (UNAIDS), the United Nations Development Programme (UNDP), the United Nations Children's Fund (UNICEF), and the World Bank. Four of these organisations were assessed by MOPAN in 2009 (AfDB, UNDP, UNICEF, and the World Bank).

2.4 Country Selection

Each year countries are selected for the MOPAN assessment based on the following criteria:

- multilateral organisation presence in-country
- presence and availability of MOPAN members
- no recent inclusion in the survey
- the need for geographical spread
- a mix of low income and middle income countries (middle income countries being subdivided into lower middle and upper middle).

The assessment in 2012 was conducted in Cambodia, Democratic Republic of Congo, Ghana, Honduras, Philippines, Morocco, Niger, Nigeria, and Zimbabwe.

3. Survey

3.1 Overview

The MOPAN Common Approach gathers stakeholder perception data through a survey of MOPAN members (at headquarters and in-country) and other key stakeholders of the multilateral organisations under review, including direct partners or clients, peer organisations, and host or recipient government representatives. The number and type of respondent groups may vary for each organisation and additional respondent types may be included.

The main instrument for conducting the survey is an online survey. Respondents are able to complete the web-based survey in English, French, or Spanish.[3] When it is not possible for respondents to complete the online survey, off-line methods are used. Respondents may fill out a paper-based survey, complete an electronic version of the survey in Microsoft Word that is sent by email, or participate in a structured interview either in person or by telephone.

In order to ensure confidentiality, consultants (independent of MOPAN) manage the survey process and carry out the interviews.

[3] A paper version of the questionnaire is translated into local languages, as required.

Respondent Types

To gather diverse perspectives on the multilateral organisations being assessed, MOPAN generally seeks the perceptions of the following primary respondent groups:

- **Donor Headquarters Oversight (HQ):** Professional staff, working for a MOPAN donor government, who share responsibility for overseeing / observing a multilateral organisation at the institutional level. These respondents may be based at the permanent mission of the multilateral organisation or in the donor capital.
- **Donor Country Office Oversight (CO):** Individuals who work for a MOPAN donor government and are in a position that shares responsibility for overseeing/observing a multilateral organisation at the country level.
- **Direct Partner/Client (DP):**[4] Typically, individuals who work for a national partner organisation (government or civil society) in a developing country. Respondents are usually professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or that have direct interaction with it at country level (this could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.). The definition of "direct partner" varies according to the context of each organisation assessed. In some cases, direct partners include staff members from international agencies that are implementing projects in conjunction with the multilateral organisation being reviewed.

For some organisations, other respondent categories are also used, such as peer organisations, co-sponsoring agencies, or recipient/host governments.

3.2 Sampling and Response Rates

Sampling

The Common Approach uses a purposive sampling method called 'expert sampling' in which potential respondents are identified by either MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed.

The identification process, which involves all MOPAN members in collaboration with the multilateral organisations assessed, results in a list of the population (all potential respondents) for each of the multilateral organisations.

Individuals are invited to complete the survey for each organisation for which they have functional responsibility and sufficient knowledge.[5] This is confirmed through a screening question that asks respondents to indicate their level of familiarity with the multilateral organisation being assessed, using a scale from 1 (not at all familiar) to 5 (very familiar). Respondents can continue the survey only if they indicate they are familiar with the multilateral organisation (i.e., a rating of 2, 3, 4, or 5).

The sample size is taken into account when deciding how to present survey data at the country level. If a threshold of respondents is not met, data summaries exclude the respondent group.

Response rate

MOPAN aims to achieve a 70 per cent response rate from donors at headquarters and a 50 per cent response rate from all other target groups, which is considered acceptable for a survey of

[4] In the context of IFIs, these are referred to as "clients" and some organisations refer simply to "partners."

[5] Each individual respondent is provided with a unique link that reflects the respondent type and the multilateral organisation(s) they have been assigned to. Some individuals, particularly MOPAN members, may complete surveys on more than one organisation.

respondents who need to have detailed knowledge about the organisation in order to participate.

During the survey period, response rates are monitored regularly. Respondents who do not access the survey or who do not complete it receive reminders from a range of sources:

- Email reminders from the survey consultant
- MOPAN country office and headquarter respondents will receive reminders from their MOPAN Focal Point
- Direct partners will receive reminders from the local survey consultant.

Responses provided through all off-line methods (including paper-based surveys, surveys in MS Word provided by email, and surveys completed through structured interviews) are entered into the online instrument using a separate link to the survey instrument. Data for online and off-line responses are merged only after quality control measures such as confirming correct type of stakeholder, country, etc are performed.

3.3 Survey Instrument

Survey Customisation

The survey instrument draws on the existing set of indicators and is customised for each multilateral organisation assessed, to reflect both the type of organisation and the types of respondents. This is done in consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who are familiar with these organisations.

A core set of questions is developed for all respondents and additional questions are designed for specific respondent groups (reflecting their functional responsibility or relationship with the organisations). For example, questions relating to corporate issues, such as reporting to the Executive Board, are asked only of donors at headquarters. Questions on country-specific issues, such as the use of country systems, are asked only of donors in-country and clients/direct partners of multilateral organisations. Some questions are adjusted to reflect the nature of the multilateral organisation (e.g., cross-cutting thematic priorities).

Survey Instrument

At the beginning of the survey, respondents are invited to assess the organisational effectiveness of the multilateral organisation and are also asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. In addition, respondents are invited to provide comments on each of the four dimensions of effectiveness.

The main part of the survey consists of a series of closed-ended questions on the micro-indicators for each key performance indicator (KPI). Respondents are presented with a statement describing an organisational practice, system, or behaviour and asked to rate the organisation's performance on a scale of 'very weak' to 'very strong' as shown below. There is also a 'don't know' option.

Score	Rating	Definition
1	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern
2	Weak	The multilateral organisation has this system but there are important deficiencies.
3	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.

Score	Rating	Definition
4	Adequate	The multilateral organisation's system is acceptable in this area.
5	Strong	The multilateral organisation's system is more than acceptable, yet without being "best practice" in this area.
6	Very Strong	The multilateral organisation's system is "best practice" in this area.

3.4 Survey Data Analysis

SPSS and Stata statistical software are used to analyse survey responses.

First level data analysis

First level survey data analysis includes calculations of mean scores, medians, standard deviations, frequencies (including analysis of 'don't know' and missing responses), as well as content analysis of open-ended questions.

Frequency Calculation: Frequencies are calculated on both a weighted and un-weighted basis (see below for further explanation of our approach to weighting). Frequencies are calculated based on answers to survey questions corresponding to micro-indicators. In both sets of calculations, 'don't know' responses and missing responses are calculated as a part of the overall total frequencies. In addition to raw frequencies, all frequencies are translated into percentages for ease of interpretation.

Mean Score Calculation: Scores are calculated based on answers to survey questions corresponding to micro-indicators. Mean scores are calculated on a weighted basis only, based on the number of valid responses to each question. Valid responses exclude 'don't know' responses and missing data (i.e., where respondents decide not to answer, or do not conform to required criteria such as location of work).

Mean scores are calculated for each survey question (micro-indicator) and then for each key performance indicator (KPI) by aggregating the scores for the micro-indicators (MI) within that KPI. Equal weight is applied to each MI. For example, a KPI consisting of three micro-indicators that individually score 2, 3, and 4 will have a KPI mean of 3. In cases where multiple survey questions are needed to develop a concept, micro-indicators are composed of multiple sub-indicators. In such cases, the mean score of the sub-indicators is used to calculate the score for that particular MI.

A weighting scheme is applied to ensure that no single respondent group or country is under-represented in the analysis. The weighting is intended to correct for discrepancies/variation in:

- The number of individuals in each respondent group [6]
- The number of countries where the survey took place
- The numbers of donors in-country, direct partners, and other respondent groups within each country where the survey took place.[7]

[6] To account for the different numbers of respondents in each respondent group, individual weights are applied to each group.

[7] Weights for these groups are determined by the total number of respondents from each group who answer in their country, relative to the total number answering in other countries. Thus, a respondent in a country with a lower number of respondents carries a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

A weight is calculated for each multilateral organisation using the following equation:

$$W = \frac{P}{RCG}$$

Where:

W = weight factor for a given respondent group set for the multilateral organisation

P = total number of respondents for the multilateral organisation

R = number of respondent groups in the survey sample for the multilateral organisation

C = number of countries in the survey sample (per respondent group)

G = number of respondents in a particular country/respondent group set for the multilateral organisation

Weighted figures are carefully reviewed and analysed before inclusion in the multilateral organisation reports.

Converting Individual Scores to Group Ratings

A mean score is calculated for each respondent group (e.g., donors at HQ). Since mean scores are not necessarily whole numbers (from 1 to 6) MOPAN assigns numerical ranges and descriptive ratings for each range (from very weak to very strong) as shown below.

Range of the mean scores	Rating
1 to 1.49	Very Weak
1.50 to 2.49	Weak
2.50 to 3.49	Inadequate
3.50 to 4.49	Adequate
4.50 to 5.49	Strong
5.50 to 6.00	Very Strong

The ranges are presented to two decimal places, which is simply the result of a mathematical transformation and should not be interpreted as representing a high degree of precision. The ratings applied to the various KPIs should be viewed as indicative judgments rather than precise measurements.

Second level analysis

Second level analysis examines differences in the responses among categories of respondents and other variables, as relevant for each organisation. Appropriate methods of statistical analysis are applied, including analysis of variance (ANOVA) for differences among multiple groups, t-tests for comparisons of differences between pairs of groups, and non-parametric methods where numbers of respondents required such an approach (e.g. to address assumptions of non-normality where they exist). The normal convention for statistical significance is adopted ($p \leq .05$) and these are reported where significant differences are found.

Given the small size of the samples, particularly for some respondent groups, the comparisons across respondent groups are provided as indicative information that can be used as a basis for discussion.

4. Document Review

4.1 Overview

Through an examination of publicly available documents,[8] the MOPAN document review explores evidence that multilateral organisations have the systems that MOPAN considers to be important factors in an organisation's effectiveness.

The document review considers three types of documents:

- Multilateral organisation documents relevant to the assessment of the MOPAN micro-indicators. The organisations help to identify these documents.
- Organisational reviews or assessments (external or internal) about the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management, and knowledge management). These studies are either found on the organisation's web site or are provided by the organisation.
- External assessments such as the Survey on Monitoring the Paris Declaration (2011), the Common Performance Assessment (COMPAS) report (2010), and previous MOPAN surveys.[9]

4.2 Document Sampling

The multilateral organisations selected for review represent a wide variety of organisational structures, processes, and practices – which makes it challenging to create a generic sampling strategy. However, the collection of documents follows a number of overall principles to ensure consistency and focus the sampling process.

All documents, regardless of type or level within the organisation, should be approved by the relevant authority (e.g., organisation-wide documents are usually approved by the multilateral organisation's Executive Management or Board).[10]

All documents (including policies, guidelines, strategies, thematic documents and web site information) are selected at least in part based on the requirements noted below.

- Policies or guidelines, at any level within the multilateral organisation, are selected only if they are in force as of the year of assessment.
- Strategies, regardless of level within the multilateral organisation, are selected only if they are being implemented within the year of assessment.
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, are selected based on a principle of reviewing a mix of thematic areas.
- Any information presented on the multilateral organisation's web site (i.e., the text from a page on this site, not a downloadable document available on the site) is retrieved within the year of assessment, and is assumed to be current unless the web page itself states otherwise.

[8] Documents are considered to be "publicly available" if they are on the organisation's web site or if the organisation is able to provide them upon request for the purpose of assessing the micro-indicators.

[9] If data from these sources are not available for the multilateral organisations participating in this year's survey, either an alternate approach is developed or the micro-indicators are not assessed.

[10] This is intended to ensure that documents reviewed are final documents (rather than drafts) and that they are providing guidance for organisational behaviour.

- All documents (except for policies, guidelines and strategies) should be published within the following timelines:
  - Project/programme level documents: the current or previous year
  - Country, regional, or organisation-wide documents: the past three years inclusive of the year of assessment
- When specific MIs require a sample of sector strategies, country strategies, or project level documentation, a specific sampling approach is developed and tailored for each multilateral organisation.

4.3 Document Collection

The collection of documents follows the general steps outlined below, although it is not a linear process:

- Initial document research on the web site of the multilateral organisation
- Collection of COMPAS and Paris Declaration Survey Data
- Consultation with the multilateral organisation, who review and refine the initial data set (through the MOPAN Institutional Lead)
- Finalisation of document list.

Once the document list is finalised and the document review has commenced, further documentation needed to fill any gaps in information for certain indicators is requested from the multilateral organisation. If the documents obtained from the third request do not contain the information needed, the consultant team makes the assessment based on the information available.

Other external assessments

As noted above, the document review includes a review of other external assessments.

Common Performance Assessment System (COMPAS) report, 2009 and 2010

COMPAS provides a framework through which the multilateral development banks (MDBs) can track their capacities to manage for development results (MfDR). The annual COMPAS report provides data in four categories (Country Strategies, Managing for Development Results through the Project Cycle, Corporate Results Reporting, Private Sector Development and Operations) that are relevant to the MDBs' implementation of the MfDR agenda. The data are gathered by internal management units in the MDBs, generally those that are supporting the implementation of MfDR. For the IFIs, MOPAN focuses primarily on the following indicators from the COMPAS report: B. Managing for Development Results through the Project Cycle

- Implementation performance
  - B. 8. Number and percentage of projects that were unsatisfactory in FY08 and that became satisfactory in FY09.
- Project completion reporting and evaluation
  - B. 11. Number of projects independently reviewed ex post during FY09, as a percentage of the average number of projects completed annually during the last 5 years.

Survey on Monitoring the Paris Declaration, 2008 and 2011

The two most recent monitoring surveys (2008 and 2011), managed by the OECD, highlight areas in which countries and organisations may be falling short in reaching the targets established by the Paris Declaration. Since a number of the MOPAN indicators are based on the Paris Declaration indicators, the assessment looks at the data provided in Appendix C of

the monitoring survey report, entitled "Donor Data"[11], for the following indicators, when applicable:

- Indicator 3: Aid flows aligned on national procedures
- Indicator 4: Strengthen capacity by co-ordinated support
- Indicator 5 a and b. Use of country public financial systems and use of country procurement systems
- Indicator 6: Strengthen capacity by avoiding parallel implementation structures
- Indicator 7: Aid is more predictable
- Indicator 9: Use of common arrangements or procedures
- Indicator 10a: Joint missions

The OECD survey reports data for the United Nations as a whole, thus MOPAN relies on UN organisations to provide their data as input for these indicators. Other data sources will also be consulted to complement the OECD survey reports.

4.4 Document Analysis

The multilateral organisations are assessed on relevant micro-indicators in the Common Approach document review framework.[12] The document review ratings build on the definitions and scale used in the survey, as described in section 3.3 above.[13] The document review ratings range from 1 (Very Weak) to 6 (Very Strong).

For most micro-indicators, five criteria are established which, taken together, are considered to represent the best practice in that topic area. Each criterion is designed as a yes/no alternative and each "yes" answer counts as one point in the rating. Ratings are arrived at by totalling the number of criteria met, taking into account all the evidence in the assessment, and the Assessment Team's judgment.

Document review criteria and rating

Number of criteria met	Descriptors	Definitions
No criteria met (or required document(s) do not exist)	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern/ or the multilateral organisation has no document that provides evidence of such a system being in place.
One criterion met	Weak	The multilateral organisation has this system but there are important deficiencies.
Two criteria met	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
Three criteria met	Adequate	The multilateral organisation's system is acceptable in this area.

[11] In general, the assessment draws on the data from the "Average Country Ratio – All Countries", unless it is not available.

[12] Not all MOPAN micro-indicators are identified for document review.

[13] For document review, however, the definition of "Very Weak" is expanded to mean that "the multilateral organisation does not have this system in place and this is a source of concern / or the organisation has no document that can provide evidence of such a system being in place."

Number of criteria met	Descriptors	Definitions
Four criteria met	Strong	The multilateral organisation's system is more than acceptable yet without being "best practice" in this area.
All five criteria met	Very Strong	The multilateral organisation's system is "best practice" in this area.

Some micro-indicators, such as those using Paris Declaration Survey data as the primary data source,[14] follow a different rating method. In these cases, ratings are established on a case-by-case basis according to three descriptive criteria – 'inadequate', 'adequate' and 'strong'.

Ratings for key performance indicators (KPIs) are based solely on the ratings for the component micro-indicators in each KPI. Each KPI rating is calculated by taking the arithmetic mean of all micro-indicator ratings in that KPI rounded to the nearest whole number. This number is given the appropriate descriptor. In cases where the micro-indicator ratings for one key performance indicator are highly divergent (i.e., if there are two micro-indicators, and one is rated as "very weak" while the other is rated as "very strong"), this is noted in the narrative of the report.

Content Analysis

Documents are reviewed by content analysis based on the themes of the micro-indicators. Specific criteria for assessing the content of documents have been developed, based on existing standards and guidelines for each of the indicator areas (for example, any UNEG or OECD-DAC guidelines), on MOPAN identification of key aspects to consider, and on the input of subject-matter specialists.

The analysis includes an examination of four broad areas:

- **Quality:** Documents are assessed in terms of their content, and in particular for the presence or absence of particular items or characteristics noted in standards as best practice.
- **Use:** While difficult to assess by document review, some proxy indicators for the use or implementation of a document are examined, such as evidence from budget documents that a certain policy or priority area is being financed, or evidence from evaluations that show implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type are examined (such as country strategies in different countries) to assess the extent to which criteria are met consistently across the organisation.
- **Improvement over time:** In some cases, documents are examined over several years to assess the extent to which progress can be seen over time.

Documents are also used to aid in the understanding of the context in which the multilateral organisations work.

5. Interviews

As of 2012, interviews are conducted at the headquarters of multilateral organisations with individuals who are knowledgeable in areas that relate to the MOPAN assessment.

Interviewees are asked to provide knowledge, insight, and contextual information that could assist the MOPAN Assessment Team in analysing document review data, and to identify other

[14] Paris Declaration Survey data will be the primary, but not the only, source for those MIs that are based on Paris Declaration indicators.

relevant documents for the Assessment Team to consider. This helps ensure that the Assessment Team has all the appropriate and necessary documents, enhances the Team's ability to triangulate data from various sources, and assists the Assessment Team in the analysis of the key performance indicators by providing contextual information.

Interviews are conducted with a small number of staff who work in the primary units that relate to areas of the MOPAN assessment (e.g., strategy and planning, human resources, RBM, and evaluation). Interviewees are identified by the multilateral organisation in conjunction with the Assessment Team and MOPAN.

Interviews are semi-structured but flexible, allowing new questions to be brought up during the interview as a result of what the interviewee says. This type of interview does not follow a tightly prescribed questionnaire, but does require prior preparation of the key interview themes. The interview themes and questions are shaped by the MOPAN assessment framework and are tailored for each of the respondents according to his/her functional responsibility. An interview guide is prepared and interviewees are advised of the content areas beforehand.

Interviews are intended to provide several benefits to the MOPAN assessment. First, they provide the multilateral organisation with a better understanding of the types of documented data that are required for the MOPAN assessment so that they can fill in any gaps in the documentation required for the document review. Second, they provide the MOPAN Assessment Team an opportunity to better understand the multilateral organisation's practices and systems.

Data gathered during interviews is used as background information on the various areas being assessed – specifically, to understand the context in which the agency is working, as well as how decisions are made. In the event that survey data presents a picture that is very different from the assessment made in the document review, information from the interviews can help clarify how the multilateral organisation approached a certain issue.

The interviews are conducted after the Assessment Team has conducted a preliminary review of documents and are scheduled primarily during the months of April and May. If the multilateral organisation and MOPAN agree, the interviews are conducted in person during visits to the headquarters of the multilateral organisations. Alternatively, interviews are carried out by telephone or via video-conference.

6. Basis for Judgment

From 2003 to 2009, the basis for judgment in MOPAN assessments was the perceptions of survey respondents. With the introduction of the document review in 2010 and interviews in 2012, judgments now draw on a variety of sources that can be compared and triangulated.

- **Survey**: Survey respondent perceptions are still an important component of the judgments on multilateral organisation performance and now include a broader range of stakeholders.
- **Document Review**: The document review process is guided by specific criteria for assessing the content of documents in relation to the micro-indicators. These criteria draw on existing standards where available (e.g., OECD-DAC, UNEG or other standards) and are adapted to the needs of the MOPAN Common Approach.
- **Interviews**: The interviews are used to triangulate data with the other two data sources. The MOPAN Assessment Team explores the convergence (or non-convergence) of the data, and when there is no convergence the team relies on expert judgment.

To the extent possible, the assessment standards and criteria are tailored to reflect the nature and operating environment of the multilateral organisations under review.

Triangulation

Triangulation is the process of using multiple data sources, data collection methods, and/or theories to validate research findings. Triangulation helps eliminate bias, and detect errors or anomalies.[15] In the Common Approach, triangulation is done in a number of ways:

- Document review ratings are presented separately from survey results in order to illustrate convergence with or divergence from them.
- Additional assessments of the organisations are reviewed to help to validate or question the findings.
- Interviews are conducted to provide additional data and contextual information.
- The findings are widely vetted within the MOPAN network and revised based on feedback from members.
- The reports are shared with the multilateral organisations and their review constitutes the final stage of the data collection process.

The MOPAN reports gain trustworthiness through the multiple reviews and validation processes that are carried out by members of the network and by the multilateral organisations themselves.

7. Reporting

7.1 Institutional Reports

Individual institutional reports are produced for the multilateral organisations assessed. Survey results are reported using means and frequencies. At the organisation-wide level, mean scores are predominantly used to report results from micro-indicators.

The results of the document review are presented alongside the survey results and discussed in light of the perception-based scores and interviews, in order to further substantiate and contextualise the overall findings.

7.2 Country Data Summaries

A short summary of the results of the survey is produced for each of the MOs in each of the countries surveyed where sufficient survey data exists. Country data summaries (CDS) include a short analysis of micro-indicators rated by MOPAN members, direct partners and other survey respondents at the country level.

Country Data Summaries are prepared in order to provide feedback to those who participated in the MOPAN assessment and to provide input for a dialogue process. These summaries highlight main strengths and areas for improvement as perceived by survey respondents in each country. The data summaries are based on the perceptions of a range of stakeholders depending on the multilateral organisation assessed (MOPAN donors, clients/direct partners, peer organisations, etc.). They also describe differences in ratings between the different countries in which an organisation was assessed.

There are, however, some limitations to the MOPAN assessment at the country level. One relates to achieving an adequate response rate from each of the respondent groups and another is the sometimes high level of “don’t know” responses on the survey questions, particularly from MOPAN donors. The Assessment Team together with MOPAN takes these limitations into account when deciding what Country Data Summaries to prepare, and which respondent groups to include in the analysis.

[15] Wholey, J.S., Hatry, H.P., Newcomer, K.E. Eds (2010) Handbook of Practical Program Evaluation (Third Edition), San Francisco, California: Jossey-Bass, p. 446-447.

Country Data Summaries are not published and are shared only with individuals who attend the country workshop on the MOPAN assessment findings, which takes place in the first quarter of the year following the assessment.

8. Strengths and Limitations of the Common Approach

MOPAN continues to improve methodology based on the experience of each year of implementation. The following strengths and limitations should be considered when reading MOPAN reports.

Strengths

- The MOPAN Common Approach is based on the core elements of existing bilateral assessment tools. In the long term, the intent is to replace or reduce the need for other assessment approaches by bilateral donors.
- It seeks perceptual information from different perspectives: MOPAN donors (at headquarters and in-country), direct partners/clients of multilateral organisations, peer organisations, and other relevant stakeholders. This is in line with the commitments made by donors to the Paris Declaration on Aid Effectiveness, the Accra Agenda for Action, and the Busan High Level Forum regarding harmonisation, partner voice, and mutual accountability.
- It complements perceptual data with document review and interviews, thus using multiple sources of data. This should enhance the analysis, provide a basis for discussion of agency effectiveness, and increase the validity of the assessment through triangulation of data.
- The reports undergo a validation process, including multiple reviews by MOPAN members, and review by the multilateral organisation being assessed.
- MOPAN strives for consistency across its survey questions and document review for each of the multilateral organisations, while allowing for customisation to account for differences between types of multilateral organisations.

Limitations

MOPAN Framework

- The countries are selected based on established MOPAN criteria and comprise only a small proportion of each institution's operations, thus limiting broader generalisations.
- The Common Approach indicators were designed for multilateral organisations that have operations in the field. For organisations that have limited field presence or that have regional structures in addition to headquarters and country operations, there have been some modifications made in the data collection method and there will be a need for greater nuance in the analysis of the data.

Data sources

- The Common Approach is based primarily on a perception survey and document review. It produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and the organisation's direct partners/clients.
- The MOPAN Common Approach asks MOPAN members and the organisations assessed to select the most appropriate individuals to complete the survey. While MOPAN sometimes discusses the selection with the organisation being assessed, it has no means of determining whether the most knowledgeable and qualified individuals are those that complete the survey.

- The document review component works within the confines of an organisation's disclosure policy. In some cases, low document review ratings may be due to unavailability of organisational documents that meet the MOPAN criteria (some of which require a sample of a type of document, such as country plans, or require certain aspects to be documented explicitly). When information is insufficient to make a rating, this is noted in the charts.

Data Collection Instruments

- Three issues potentially affect survey responses. First, the survey instrument is long and a fatigue factor may affect responses and rates of response. Second, respondents may not have the knowledge to respond to all the questions (e.g., survey questions referring to internal operations of the organisation, such as financial accountability and delegation of decision-making, seem difficult for many respondents, who frequently answer 'don't know.') Third, a large number of 'don't know' responses may imply that respondents did not understand certain questions.
- The rating choices provided in the MOPAN survey may not be used consistently by all respondents, especially across the many cultures involved in the MOPAN assessment. One potential limitation is 'central tendency bias' (i.e., a tendency in respondents to avoid extremes on a scale). Cultural differences may also contribute to this bias as respondents in some cultures may be unwilling to criticise or too eager to praise.
- Because one of MOPAN's intentions is to merge previously existing assessment tools into one, and to forestall the development of others, the survey instrument remains quite long.

Data Analysis

- While the document review can serve to evaluate the contents of a document, it cannot assess the extent to which the spirit of that document has been implemented within the organisation (unless implementation is documented elsewhere).
- Mean scores are used in the MOPAN reports to provide central tendency values of the survey results. The mean has the advantage of being the most commonly understood measure of central tendency, however, there is a disadvantage in using the mean because of its sensitivity to extreme scores (outliers), particularly when population samples are small. The assessment team reviewed the median and standard deviations in analysing the survey results. Volume II, Appendix V provides the standard deviations for each survey question.

Basis for Judgment

- Although MOPAN uses recognised standards and criteria for what constitutes good practice for a multilateral organisation, such criteria do not exist for all MOPAN indicators. As a result, many of the criteria used in reviewing document content were developed by MOPAN in the course of the assessment process. The criteria are a work in progress and should not be considered definitive standards.
- The Common Approach assessment produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide general indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and other stakeholders, including direct partners.

Despite some limitations, the Assessment Team believes that the MOPAN reports generally provide a reasonable picture of systems associated with the organisational effectiveness of multilateral organisations.

Appendix II MOPAN Common Approach Survey for GAVI 2012

Note: This is the survey used to assess GAVI in 2012. It contains all of the possible questions, but not all questions were asked of all respondent groups.

[Introduction]

Welcome to the Survey for the MOPAN Common Approach in 2012 and thank you for agreeing to participate.

In responding to the survey, feel free to base your answers on your perceptions and knowledge of the Global Alliance for Vaccines and Immunisation (GAVI). Your perceptions may be shaped by your experience with and exposure to GAVI.

Please be assured that your answers will remain confidential. Any comments you make will not be attributable to you, or be used in a way which might identify you or your organisation as the author of these comments. Findings will be reported in aggregate form only.

The survey should take approximately 45 minutes to complete. Note, however, that it may take longer depending on the answers you give.

Please note: It would be ideal if you would complete the survey in one session; however, if you would like to continue the survey later, you can do this at any point by closing the internet browser that displays the survey (i.e. this window). When you would like to continue, you can return to the point that you left off by clicking on the original link to the survey included in the email you received from us.

If at any point you have questions about this survey please contact mopan2012@epinion.dk. You can move back and forth in the questionnaire at any point if you would like to change a response or a comment.

Your time spent in participating in the Common Approach is very much appreciated.

Please click the 'Start' button below to begin.

[1 - Samplegroup - single]

Samplegroup - Auto answered

❒ 1. HQ
❒ 2. CO
❒ 3. GOV/CSO
❒ 4. IP – Country
❒ 5. IP – Global
❒ 6. Other GAP

[2 - single]

You have been identified to assess the organisational practices, systems and behaviours of GAVI. However, before answering the questionnaire we would like to know how familiar you are with GAVI and the way it works. Please use the scale below to indicate your degree of familiarity, where 5 is "Very familiar" and 1 is "Not at all familiar".

❒ 1. Not at all familiar
❒ 2.
❒ 3.
❒ 4.
❒ 5. Very familiar

[Condition 2= 1]

You have indicated that you are not at all familiar with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer or hit 'Next' to exit the survey.

[3 - single]

Fake

❒ 1. Fake [Filtered]

[4 - single]

Which of the following best describes how often you have been in contact with GAVI (through correspondence, over the phone, or in person)?

❒ 1. Daily
❒ 2. Weekly
❒ 3. Monthly

❒ 4. A few times per year or less
❒ 5. Never

[Condition 4= 5]

You indicated that you never have contact with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer or hit 'Next' to exit the survey.

[5 - single]

Fake

❒ 1. Fake [Filtered]

Thank you very much for taking the time to fill out this survey. On the basis of the answers you have provided, we understand that you are not sufficiently familiar with the organisation to respond to further questions. We will therefore not ask you to complete the rest of the survey. The types of questions asked require a certain level of familiarity with GAVI. Please contact mopan2012@epinion.dk if you think you have been screened out of the survey by mistake.

[Overall Performance]

We would like to ask you a few questions about the effectiveness of GAVI, its strengths and its areas for improvement. Unless otherwise specified, GAVI refers to the GAVI Alliance. Only certain questions refer specifically to the GAVI Secretariat.

[6 - single]

Thinking about GAVI, and the way it operates, what do you consider to be its greatest strength?

Please type your answer into the box below:

❒ 1. Note:

[7 - single]

And still thinking about GAVI and the way it operates, what do you consider to be the area where it most needs improvement?

Please type your answer into the box below:

❒ 1. Note:

[8 - single]

How would you rate the overall organisational effectiveness of GAVI?

Please use the scale below, where 6 means "Very effective" and 1 means "Not effective at all".

❒ 1. Not effective at all
❒ 2.
❒ 3.
❒ 4.
❒ 5.
❒ 6. Very effective
❒ 7. Don't Know

DEFINITION:

Organisational effectiveness = Being organised to support partners to deliver expected development results.

We would like to ask you some questions about specific aspects of GAVI's performance. In thinking about these questions, please consider all you know about GAVI.

[Performance Areas]

You will see a series of statements that describe the practices, systems or behaviours in any multilateral organisation. Please rate how you think GAVI performs in those areas. Unless otherwise specified, GAVI refers to the GAVI Alliance. Only certain questions refer specifically to the GAVI Secretariat. You will see a six-point scale as described below. The scale will stay the same for all statements.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:

Very weak = GAVI does not have this practice, behaviour or system in place and this is a source of concern.

Weak = GAVI has this practice, behaviour or system, but there are important deficiencies.

Inadequate = GAVI's practice, behaviour or system in this area has deficiencies that make it less than acceptable.

Adequate = GAVI's practice, behaviour or system is acceptable in this area.

Strong = GAVI's practice, behaviour or system is more than acceptable yet without being "best practice" in this area.

Very strong = GAVI's practice, behaviour or system is "best practice" in this area.

At the end of each section, you will have the opportunity to make comments on any of the statements.

The statements are divided into four areas: Strategic Management, Operational Management, Relationship Management, Knowledge Management.

[Strategic Management]

Strategic Management

First of all we would like to ask you about Strategic Management.

[Corporate Governance]

Providing direction for results

To start with, we would like to ask you some questions related to GAVI's ability to provide direction for results. According to what you know, how do you think GAVI performs in relation to the practices, systems or behaviours described in the following statements?

[9 - single]

GAVI's institutional culture reinforces a focus on results.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[10 - single]

GAVI's institutional culture is focused on implementing countries (governments and supported CSOs where applicable).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[11 - single]

GAVI's senior management shows leadership on results management.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 2 OR 1= 3 OR 1= 4 OR 1= 5 OR 1= 6]

[12 - single]

GAVI makes key documents readily available to its stakeholders.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

DEFINITIONS:

[DEFINITION 1]

Implementing countries = Countries that implement activities with GAVI's support.

[Condition 1= 1 OR 1= 5 OR 1= 6]

[DEFINITION 2]

Results management = Management for results, or results-based management (RBM). That is, managing and implementing aid in a way that focuses on the desired results and uses information on performance to improve decision-making.

[Condition 1= 2 OR 1= 3 OR 1= 4 OR 1= 5 OR 1= 6]

[DEFINITION 3]

Key documents = Documents that describe strategies, policies, key financial information, and other types of reports at organisation-wide, country, and/ or project/ programme level.

[13 - single]

Do you have any additional comments on GAVI's institutional culture and values in providing direction for results?

❒ 1. Yes, please note:
❒ 2. No

[Corporate Strategy1]

Organisation-wide Strategy

Still thinking about Strategic Management, but now about organisation-wide strategies, how do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[14 - single]

GAVI is appropriately positioned within the international development architecture.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[15 - single]

GAVI's strategy and business plan is based on a clear definition of mandate.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[16 - single]

GAVI's strategy and business plan rests upon a clear understanding of its comparative advantage.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[17 - single]

The overall institutional architecture of GAVI is suited to the organisation's mandate.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[18 - single]

The overall institutional architecture of GAVI is suited to the delivery of results.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[19 - single]

GAVI ensures the application of results management across the organisation.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[20 - single]

GAVI's strategy and business plan contain explicit development results (Key Performance Indicators).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[21 - single]

GAVI's strategy and business plan contain explicit management results (Key Performance Indicators).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate

❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[22 - single]

GAVI results in its strategy and business plan have causal links from outputs (deliverables) to outcomes (objectives) to impacts (strategic goals).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[23 - single]

GAVI's strategy and business plan include measurable indicators at output (deliverables) and outcome (objectives) levels.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

DEFINITIONS:

Strategy/ business plan = High level document(s) that guide and direct the operations of the multilateral organisation.

Development results = A description (in tabular, chart or narrative form) of development, beneficiary/stakeholder focused results, including indicators, that are expected to be achieved from the multilateral organisation's activities.

Management results = A description (in tabular, chart or narrative form) of management (in-house/business focused) results, including indicators, that are expected to be achieved from the multilateral organisation's activities.

Causal links = A fundamental principle of results based management (RBM) / managing for development results (MfDR) is that results statements must be articulated in a framework or results chain, with clear causal linkages between each level of results. This linkage is a performance relationship between the results statements.

[Corporate Strategy2]

Cross-cutting Priorities

We would like you to think about how GAVI approaches 'cross-cutting' priorities. According to what you know about GAVI, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[24 - single]

GAVI sufficiently mainstreams gender equality in its work.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[25 - single]

GAVI addresses environmental issues that are relevant to its mandate (such as waste disposal).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[26 - single]

GAVI sufficiently promotes anti-corruption and transparency among grant recipients and partners.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong

❒ 6. Very strong
❒ 7. Don't Know

[27 - single]

GAVI sufficiently applies human rights-based approaches in its work (e.g., right to health).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

DEFINITION:

Mainstreaming = The horizontal and vertical integration of a topic so as to produce process-related and programmatic results.

[28 - single]

Do you have any additional comments on GAVI's organisation-wide strategy?

❒ 1. Yes, please note:
❒ 2. No

[Strategies-Country, Regional]

Support to countries

We would like to ask you about the results focus of GAVI's support to country programmes. How do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[29 - single]

Approved applications link results at appropriate levels, i.e. district and national levels.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 2 OR 1= 3 OR 1= 4]

[30 - single]

Approved applications include indicators at applicable levels, i.e. district and national levels.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 2 OR 1= 3 OR 1= 4]

[31 - single]

Approved applications include statements of expected results that appear in the multiyear plan for immunisation (MYP).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 2 OR 1= 3 OR 1= 4]

[32 - single]

Approved applications include statements of expected results that are consistent with the national health plan or strategy.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 2 OR 1= 3 OR 1= 4]

[33 - single]

Statements of expected results included in approved applications are developed by national governments, CSOs (where applicable), together with other partners.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 2 OR 1= 3 OR 1= 4]

[34 - single]

Approved applications include results for gender equality and environment (e.g., waste disposal), as appropriate.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[35 - single]

Do you have any additional comments on GAVI's country strategies?

❒ 1. Yes, please note:
❒ 2. No

[36 - single]

Is there anything further you would like to say about GAVI's Strategic Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

❒ 1. Yes, please type your answer into the box below:
❒ 2. No

[Operational Management]

Operational Management

We would like to know what you think about Operational Management within GAVI.

[Condition 1= 1 OR 1= 2 OR 1= 3 OR 1= 4]

[Financial Resources1]

Financial Resources and Risk Management

We would first like to ask you some questions about GAVI's financial resources and risk management. According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[37 - single]

GAVI makes readily available its criteria for approving applications for support.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 3 OR 1= 4]

[38 - single]

Approvals for support are granted in conformity with stated selection criteria.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 3 OR 1= 4]

[39 - single]

GAVI makes decisions on financial and other support based on independent review.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 2 OR 1= 3 OR 1= 4]

[40 - single]

Planned resources are released according to agreed schedules, if preconditions such as transparency requirements and performance targets are met.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1]

[41 - single]

GAVI links funds and vaccine support to expected results.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong

❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1]

[42 - single]

GAVI disbursements/support are linked to reported results.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 3 OR 1= 4 OR 1= 5 OR 1= 6]

[Financial Resources2]

Financial Resources and Risk Management

Still thinking about financial resources and risk management.

According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1]

[43 - single]

GAVI's external audits are meeting the needs of the Board.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[44 - single]

The support provided by GAVI undergoes appropriate external audit.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 3 OR 1= 4 OR 1= 6]

[45 - single]

GAVI appropriately follows up on financial irregularities, including fraud and corruption.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 4 OR 1= 6]

[46 - single]

Appropriate systems are in place for the external audit of sub-contracted entities.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[47 - single]

Internal financial audits provide credible information to the GAVI Board/ CEO.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[48 - single]

GAVI's procurement and contract management processes for the provision of vaccines are effective.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 4 OR 1= 5 OR 1= 6]

[49 - single]

GAVI has appropriate strategies and plans for risk management.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[50 - single]

GAVI ensures sufficient level of risk analysis/assessment for its applicants and implementers.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

DEFINITIONS:

[DEFINITION 1]

Effective procurement/contract management processes = Procurement or contract management processes are carried out in an efficient manner and the objectives are met.

[Condition 1= 1 OR 1= 4 OR 1= 5 OR 1= 6]

[DEFINITION 2]

Risk management = Risk management involves the identification, analysis, monitoring, mitigation, and reporting of those risks that impact on achievement of results, and actions to address them.

[DEFINITION 3]

Risk analysis/assessment = A systematic process for assessing and integrating professional judgements about probable adverse conditions and/or events. The risk assessment process should provide means of organising and integrating professional judgements for development of the work schedule.

[Condition 1= 1 OR 1= 3 OR 1= 4 OR 1= 5 OR 1= 6]

[51 - single]

Do you have any additional comments on GAVI's financial resources and risk management?

❒ 1. Yes, please note:
❒ 2. No

[Performance Management]

Performance Management

We would like you to think about performance management - the way GAVI manages the performance of its operations. According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1 OR 1= 5 OR 1= 6]

[52 - single]

GAVI uses information on performance to revise its strategy and business plan.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[53 - single]

GAVI uses information on performance when it adjusts current grant windows.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[54 - single]

GAVI uses information on performance when it designs and introduces new funding windows.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[55 - single]

Poorly performing grants are subject to proactive management.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[56 - single]

GAVI appropriately tracks implementation of evaluation recommendations reported to the Board.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 3 OR 1= 4 OR 1= 5 OR 1= 6]

[57 - single]

GAVI initial grant decisions are based on plans and targets.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 3 OR 1= 4 OR 1= 5 OR 1= 6]

[58 - single]

GAVI subsequent grants are based on performance.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[59 - single]

Do you have any additional comments on GAVI's performance management?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 1 OR 1= 5]

[HRM]

[Human Resources Management]

Human Resources Management

We would like you to think about the way the GAVI Secretariat manages human resources. According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in the following statement(s)?

[60 - single]

GAVI Secretariat uses results-focused performance assessment for its senior staff.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[61 - single]

GAVI Secretariat uses a transparent system to manage staff performance.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5]

[62 - single]

Do you have any additional comments on the GAVI Secretariat's management of human resources?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 1 OR 1= 2 OR 1= 3 OR 1= 4]

[Portfolio Management]

Portfolio Management

We would like you to think about portfolio management. According to what you know

about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in the following statement(s)?

[Condition 1= 1 OR 1= 4]

[63 - single]

Applications considered for GAVI support are subject to analysis of planned benefits (environmental, economic, social, etc), as applicable.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 4]

[64 - single]

GAVI subjects applications to risk analysis/assessment prior to approval.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 2 OR 1= 3 OR 1= 4]

[65 - single]

Milestones/targets to monitor implementation progress are included in applications for GAVI support.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 4]

[DEFINITION]

DEFINITION:

Risk Analysis/Assessment = A systematic process for assessing potentially adverse conditions and/or events that could affect results.

[Condition 1= 1 OR 1= 2 OR 1= 3 OR 1= 4]

[66 - single]

Do you have any additional comments on GAVI's portfolio management?

❒ 1. Yes, please note:
❒ 2. No

[67 - single]

Before moving on to the next section, is there anything further you would like to say about GAVI's Operational Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

❒ 1. Yes, please type your answer into the box below:
❒ 2. No

[Condition 1= 1 OR 1= 2 OR 1= 3 OR 1= 4]

[Relationship Management]

Relationship Management

We would like to ask you about some aspects of Relationship Management, especially GAVI's relationship with its implementing partners at country level (e.g. governments and civil society organisations, where applicable) and donors.

[Ownership]

Ownership

According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[68 - single]

Proposals submitted to GAVI are developed by national governments or other applicants.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong

❒ 6. Very strong
❒ 7. Don't Know

[69 - single]

GAVI agrees with governments on co-financing schedules based on ability to pay for vaccines.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[70 - single]

GAVI agrees with governments on co-financing schedules based on willingness to pay for vaccines.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[71 - single]

GAVI provides support in a way that does not distort or skew national priorities.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 2 OR 1= 3 OR 1= 4]

[72 - single]

GAVI uses procedures (ex: funding application and reporting requirements) that can be easily understood and followed by national governments and other applicants.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 2 OR 1= 3 OR 1= 4]

[73 - single]

The length of time it takes to complete GAVI procedures does not negatively affect implementation.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[74 - single]

The grant recipient can adjust implementation of activities within overall guidelines where justified.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[75 - single]

Do you have any additional comments on GAVI's efforts to support country ownership?

❒ 1. Yes, please note:
❒ 2. No

[Alignment]

Alignment

According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[76 - single]

GAVI support uses country systems (e.g.: procurement, public financial management, etc.) where appropriate.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[77 - single]

GAVI promotes a mutual assessment of progress in implementing agreed partnership commitments.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[78 - single]

GAVI provides valuable inputs to policy dialogue on immunisation.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[79 - single]

GAVI respects the views of national governments and civil society (where relevant) when it undertakes policy dialogue.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[80 - single]

Do you have any additional comments on GAVI's performance with regard to alignment?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 2 OR 1= 3 OR 1= 4]

[Harmonisation]

Harmonisation

According to what you know about GAVI, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[81 - single]

GAVI often participates in joint missions.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[82 - single]

GAVI's technical assistance is coordinated with other donors and partners (WHO/UNICEF).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[83 - single]

GAVI grants are used in the context of programme-based approaches to support national health plans.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

DEFINITIONS:

Joint missions = Missions/visits to implementing countries that are carried out jointly by GAVI Alliance and other organisations.

Programme based approaches (PBAs) = A way of engaging in development co-operation based on the principles of co-ordinated support for a locally owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organisation.

[Condition 1= 2 OR 1= 3 OR 1= 4]

[84 - single]

Do you have any additional comments on GAVI's performance with regard to harmonisation?

❒ 1. Yes, please note:
❒ 2. No

[85 - single]

Before moving on to the next section, is there anything further you would like to say about GAVI's Relationship Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

❒ 1. Yes, please type your answer into the box below:
❒ 2. No

[Knowledge Management]

Knowledge Management

In this last section we would like to ask you about Knowledge Management within GAVI.

[Performance Evaluation]

Performance Evaluation

We would like to ask you about performance evaluation. According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in the following statement?

[Condition 1= 1 OR 1= 5 OR 1= 6]

[86 - single]

GAVI uses evaluation findings in its decisions on programming, policy and strategy.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[87 - single]

GAVI involves grant recipients in the evaluation of its programmes.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[88 - single]

GAVI involves Alliance partners in the evaluation of its programmes.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[89 - single]

Do you have any additional comments on GAVI's performance evaluation?

❒ 1. Yes, please note:
❒ 2. No

[Condition 1= 1 OR 1= 5 OR 1= 6]

[Performance Reporting]

Performance Reporting

Please think now about performance reporting.

According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[90 - single]

GAVI's reports to the Board provide clear measures of achievement of outcomes (objectives).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[91 - single]

GAVI reports adequately against its corporate strategy (2011-2015 Strategy/Business Plan).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate

❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1]

[92 - single]

GAVI reports to its Board on performance in relation to its commitments under the Paris Declaration Principles (i.e., Country ownership, Alignment, Harmonisation, Managing for results, Mutual accountability).

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[Condition 1= 1 OR 1= 5 OR 1= 6]

[93 - single]

Do you have any additional comments on GAVI's performance reporting?

❒ 1. Yes, please note:
❒ 2. No

[Dissemination]

Dissemination

We would like you to think about how GAVI disseminates lessons learned.

According to what you know about GAVI, how do you think GAVI performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1]

[94 - single]

GAVI identifies and disseminates lessons learned from performance information.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[95 - single]

GAVI provides opportunities for Alliance-wide sharing of lessons learned.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[96 - single]

GAVI promotes opportunities for grant recipients to learn from each other.

❒ 1. Very weak
❒ 2. Weak
❒ 3. Inadequate
❒ 4. Adequate
❒ 5. Strong
❒ 6. Very strong
❒ 7. Don't Know

[97 - single]

Do you have any additional comments on how GAVI disseminates lessons learned?

❒ 1. Yes, please note:
❒ 2. No

[98 - single]

Is there anything further you would like to say about GAVI's Knowledge Management? This could be anything related to the statement(s) you have rated, or anything else you would like us to know.

❒ 1. Yes, please type your answer into the box below:
❒ 2. No

[Background Questions]

[Condition 1= 1 OR 1= 2]

[99 - single]

Background Questions

What MOPAN member country do you work with?

❒ 1. Australia
❒ 2. Austria
❒ 3. Belgium
❒ 4. Canada
❒ 5. Denmark
❒ 6. Finland
❒ 7. France
❒ 8. Germany

❒ 9. Ireland
❒ 10. Republic of Korea
❒ 11. The Netherlands
❒ 12. Norway
❒ 13. Spain
❒ 14. Sweden
❒ 15. Switzerland
❒ 16. United Kingdom

[Condition 1= 1]

[100 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

❒ 1. MOPAN member organisation, GAVI focal point
❒ 2. MOPAN member organisation, with participation in GAVI Board
❒ 3. Other:

[Condition 1= 2]

[101 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

❒ 1. MOPAN member organisation, in country/regional offices (including embassies)
❒ 2. Other:

[Condition 1= 3]

[102 - single]

Background Questions

What type of organisation do you work for? Choose the one that best describes your organisation:

❒ 1. Developing country government
❒ 2. Civil society organisation
❒ 3. Other:

[Condition 1= 4 OR 1= 5]

[103 - single]

Background Questions

What type of organisation do you work for? Choose the one that best describes your organisation:

❒ 1. Multilateral organisation
❒ 2. Other:

[Condition 1= 6]

[104 - single]

Background Questions

What type of organisation do you work for? Choose the one that best describes your organisation:

❒ 1. Multilateral organisation
❒ 2. Civil society organisation
❒ 3. Donor/foundation
❒ 4. Research or Technical Health Institute
❒ 5. Vaccine/pharmaceutical industry
❒ 6. Other:

[105 - single]

How would you define your level of seniority within the organisation? Choose the one that best describes your position:

❒ 1. Senior-level professional
❒ 2. Mid-level professional
❒ 3. Junior professional

[ALMOST DONE]

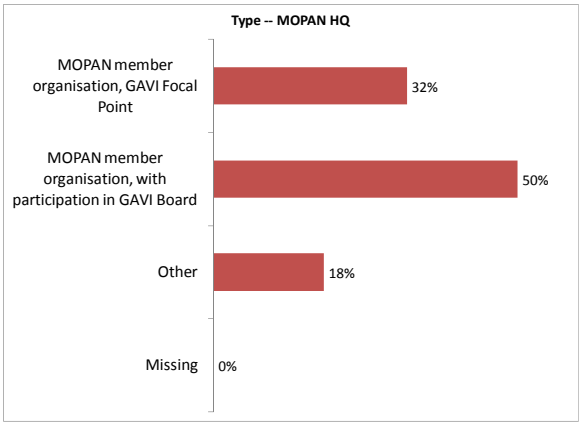
You have now answered the last question. Once you click 'Next' you cannot go back and edit your answers.

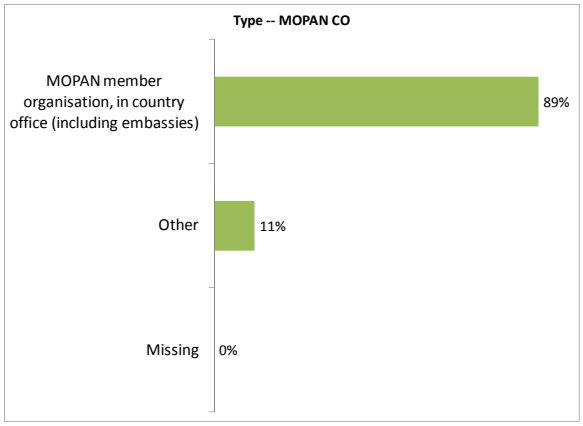
[End of Interview]

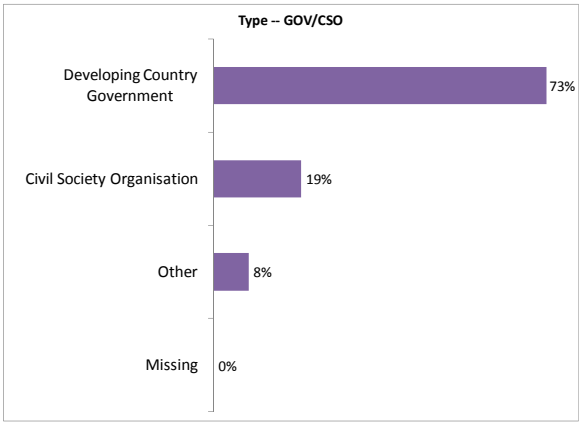
Thank you very much for sharing your insights and taking time to answer this survey, which is aimed at improving the dialogue on organisational learning and effectiveness of multilateral organisations.

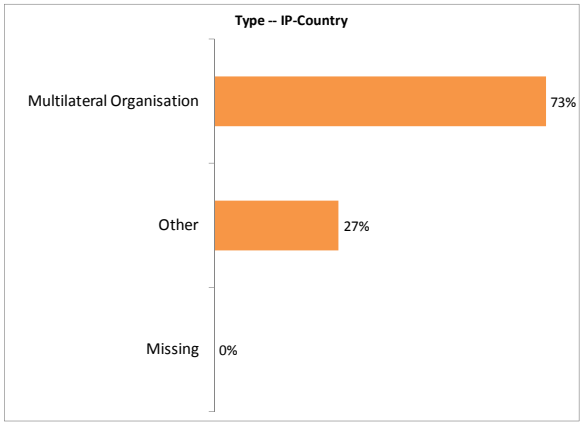
Appendix III Respondent Profile

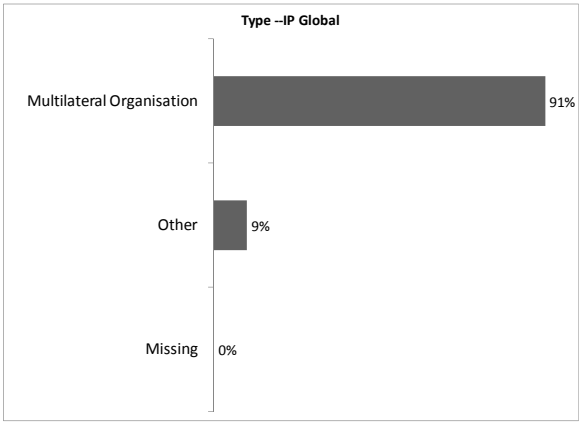
Type of Respondents

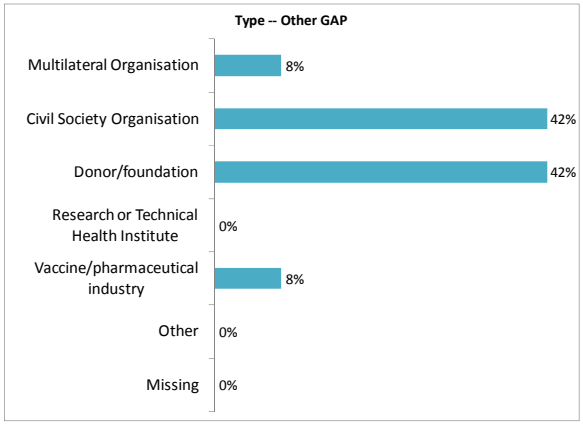




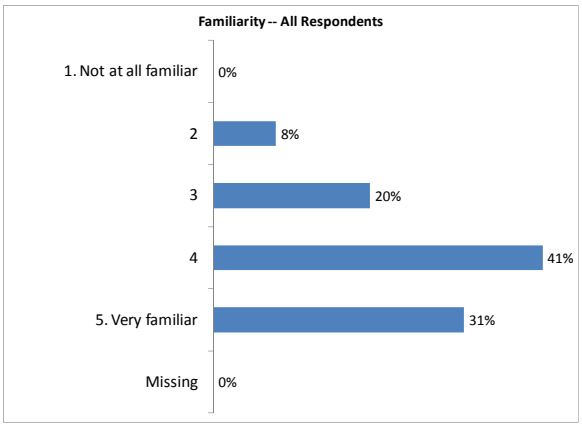


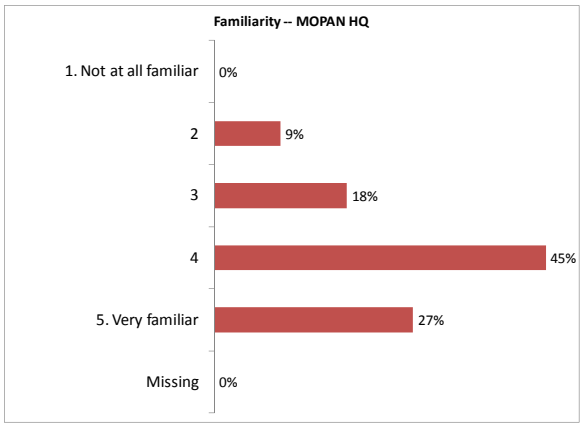


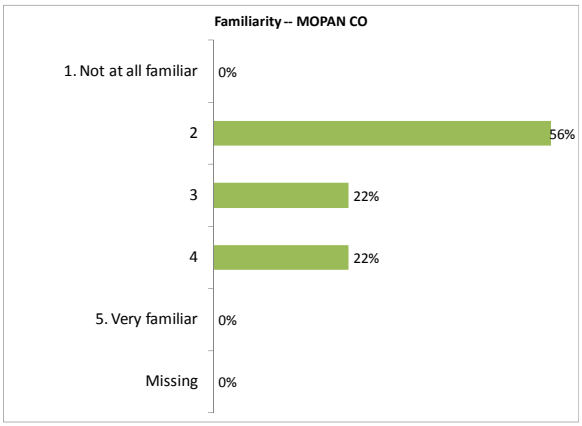


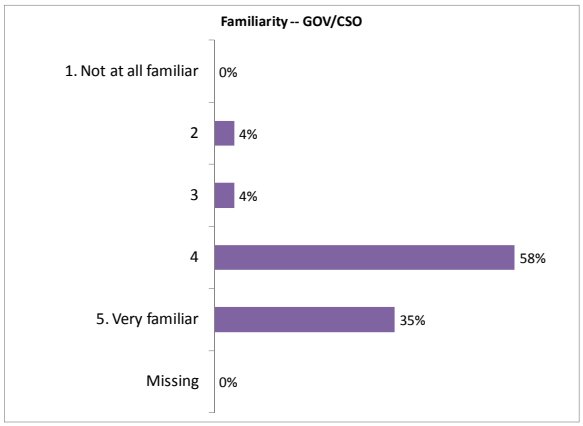


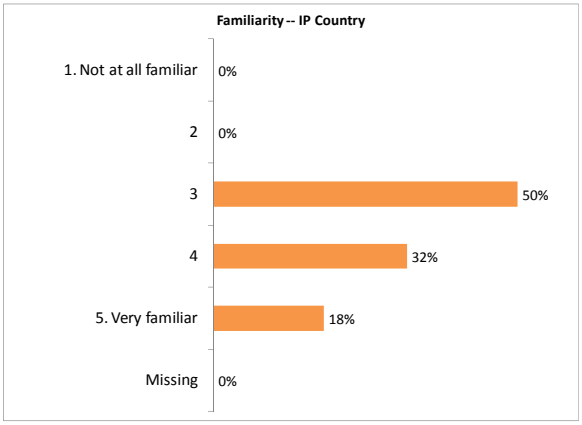
Respondent Familiarity with Multilateral Organisation

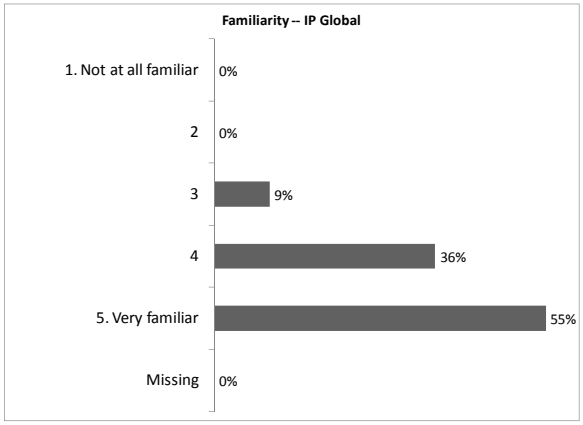


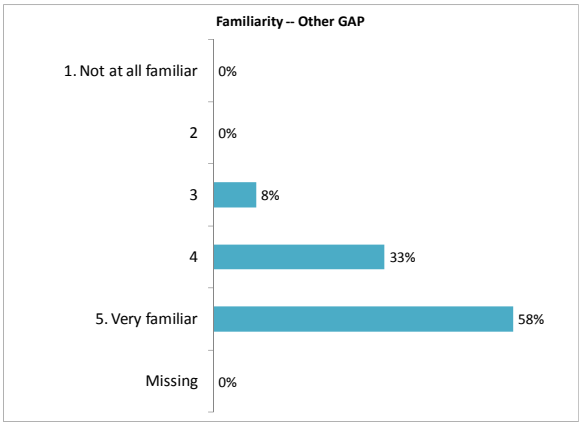




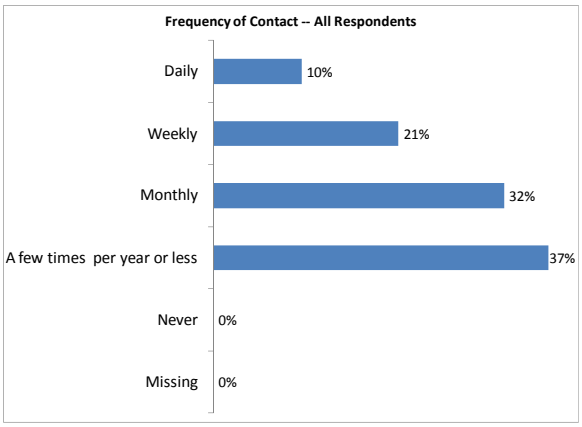


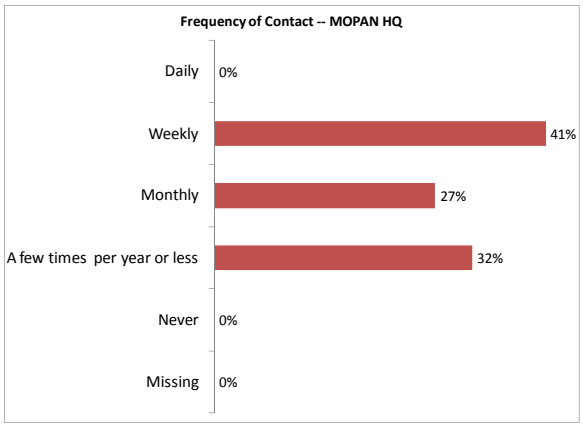


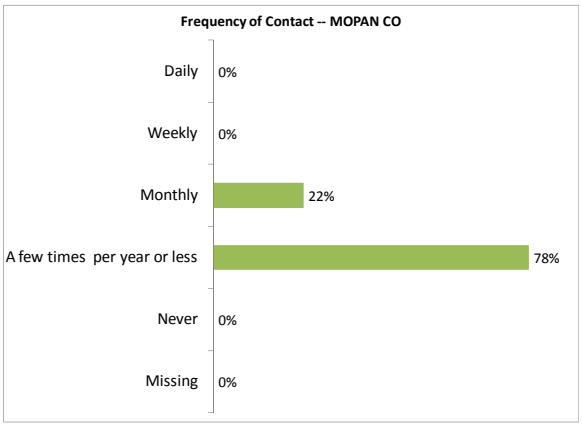


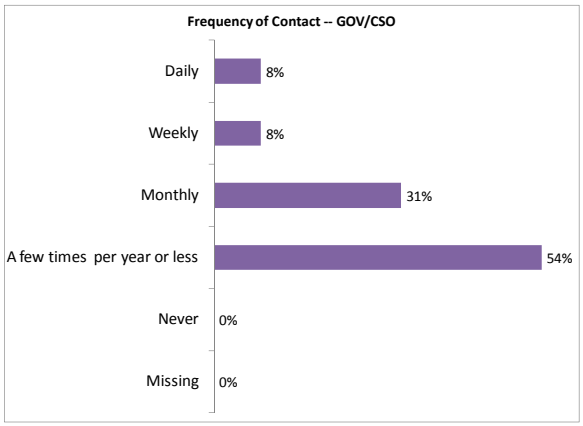


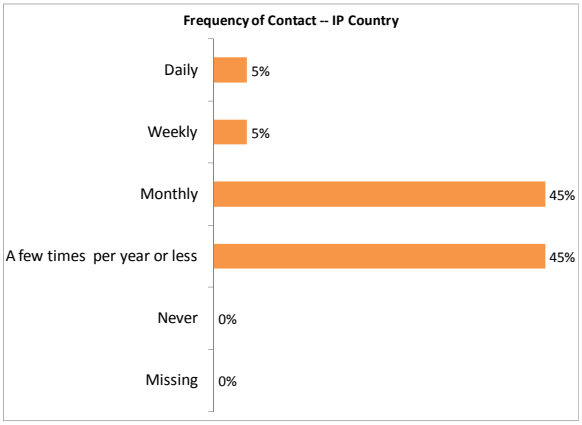
Respondent Frequency of Contact with Multilateral Organisation

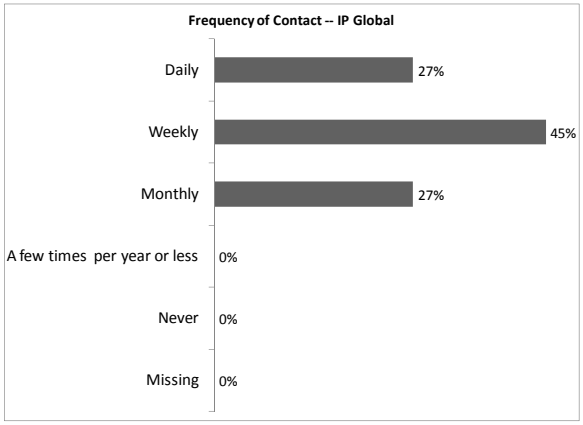


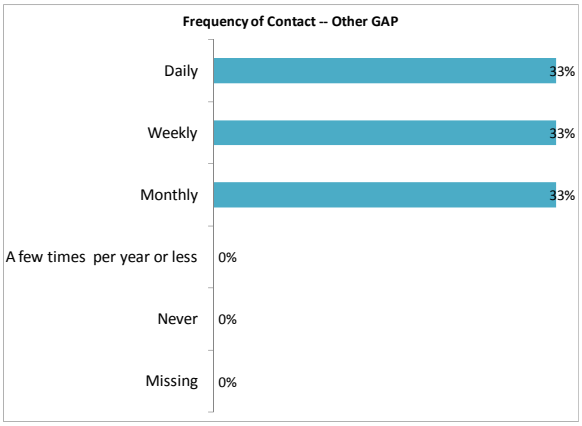




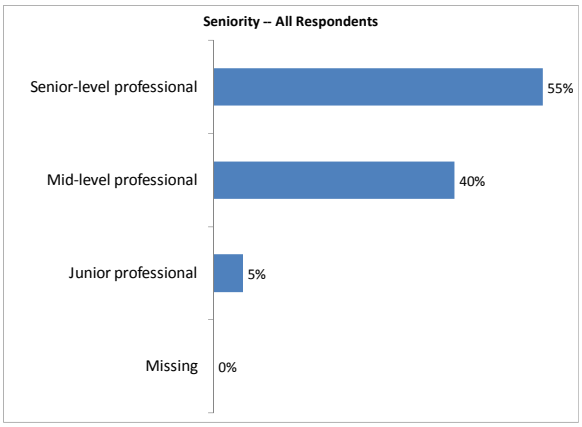


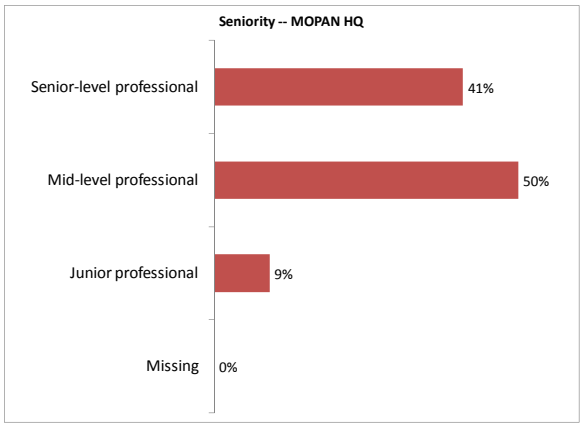


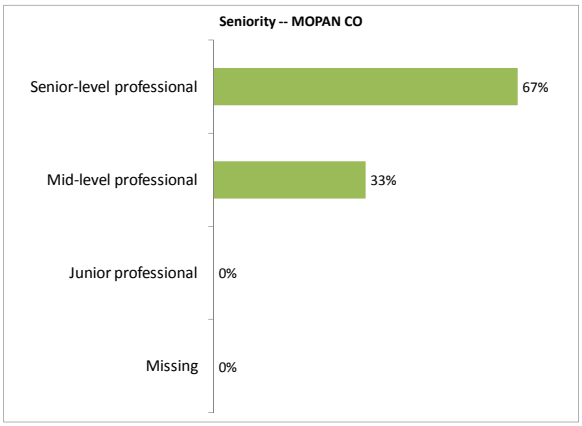


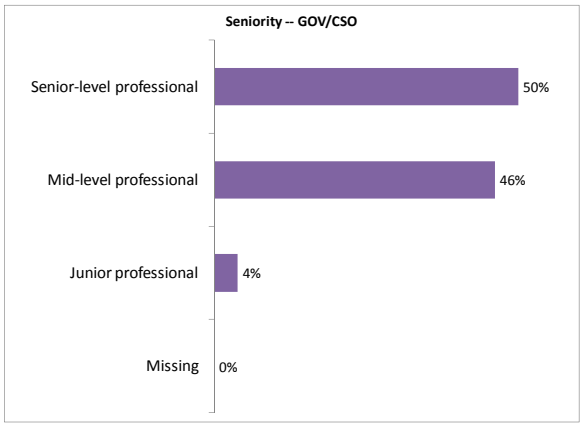


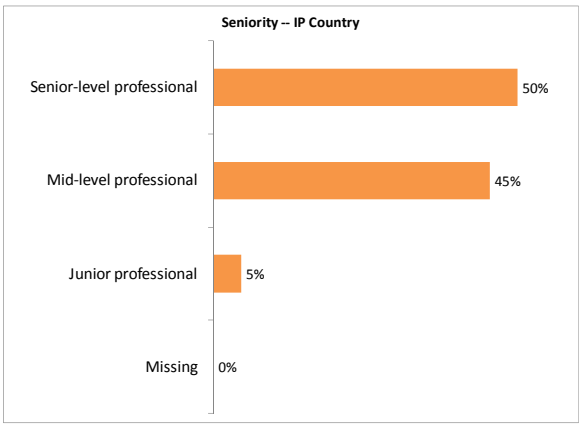
Respondent Level of Seniority

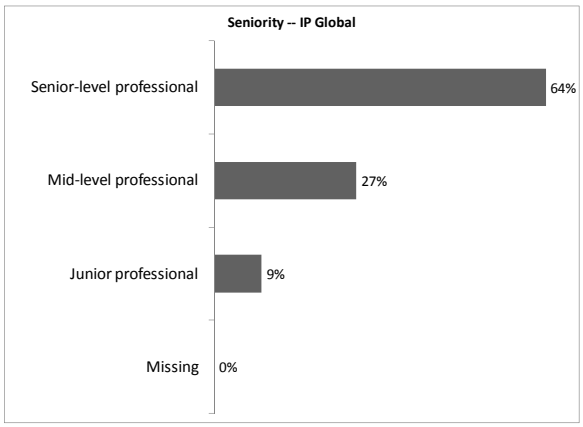


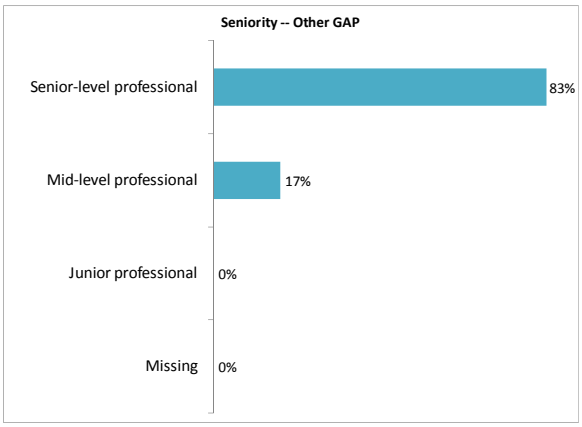












Appendix IV Base Size and Rate of "Don't Know" Responses

N (#) = number of respondents who were asked the question (un-weighted data).
% DK = percentage of respondents who indicated "Don't Know" to the question (weighted data).
"--" indicates that the question was not asked among a particular respondent group

I- Strategic Management

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 1	**The Multilateral Organisation's (MO) Executive Management provides direction for the achievement of external / beneficiary focused results**	**76**	**3%**	**22**	**3%**	**9**	**14%**	**26**	**3%**	**22**	**1%**	**11**	**0%**	**12**	**3%**
MI 1.1	The MO has a value system that supports a results-orientation and a focus on direct partners	102	2%	22	2%	9	3%	26	4%	22	1%	11	0%	12	0%
Sub-MI	i) GAVI's institutional culture reinforces a focus on results [9]	102	1%	22	0%	9	0%	26	4%	22	2%	11	0%	12	0%
Sub-MI	ii) GAVI's institutional culture is focused on implementing countries (governments and supported CSOs where applicable) [10]	102	2%	22	5%	9	5%	26	4%	22	0%	11	0%	12	0%
MI 1.2	The MO's Executive Management shows leadership on results management	45	2%	22	5%	--	--	--	--	--	--	11	0%	12	0%
MI 1.3	Key MO documents are available to the public	80	7%	--	--	9	25%	26	2%	22	0%	11	0%	12	8%
KPI 2	**The MO's corporate strategies and plans are focused on the achievement of results**	**53**	**5%**	**22**	**9%**	**9**	**0%**	**26**	**4%**	**22**	**0%**	**11**	**3%**	**12**	**4%**

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 2.1	The MO is appropriately positioned within the international aid architecture	102	1%	22	0%	9	0%	26	4%	22	0%	11	0%	12	0%
MI 2.2	The MO's organisation-wide strategy is based on a clear definition of mandate / comparative advantage	45	1%	22	2%	--	--	--	--	--	--	11	0%	12	0%
Sub-MI	i) GAVI's strategy and business plan is based on a clear definition of mandate [15]	45	0%	22	0%	--	--	--	--	--	--	11	0%	12	0%
Sub-MI	ii) GAVI's strategy and business plan rests upon a clear understanding of its comparative advantage [16]	45	2%	22	5%	--	--	--	--	--	--	11	0%	12	0%
MI 2.3	The MO's overall institutional architecture is suited to the mandate and delivery of results	45	4%	22	11%	--	--	--	--	--	--	11	0%	12	0%
Sub-MI	i) The overall institutional architecture of GAVI is suited to the organisation's mandate [17]	45	6%	22	18%	--	--	--	--	--	--	11	0%	12	0%
Sub-MI	ii) The overall institutional architecture of GAVI is suited to the delivery of results [18]	45	2%	22	5%	--	--	--	--	--	--	11	0%	12	0%
MI 2.4	The MO has an organisation-wide policy on results management	45	10%	22	5%	--	--	--	--	--	--	11	0%	12	25%
MI 2.5	Organisation-wide plans and strategies contain frameworks of expected management and development results	45	5%	22	11%	--	--	--	--	--	--	11	5%	12	0%
Sub-MI	i) GAVI's strategy and business plan contains explicit development results (Key Performance Indicators) [20]	45	2%	22	5%	--	--	--	--	--	--	11	0%	12	0%

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
Sub-MI	ii) GAVI's strategy and business plan contains explicit management results (Key Performance Indicators) [21]	45	9%	22	18%	--	--	--	--	--	--	11	9%	12	0%
MI 2.6	Results frameworks have causal links from outputs through to impacts / final outcomes	45	8%	22	14%	--	--	--	--	--	--	11	9%	12	0%
MI 2.7	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and outcome level	45	11%	22	23%	--	--	--	--	--	--	11	9%	12	0%
KPI 3	**The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or based on its mandate and international commitments**	**102**	**13%**	**22**	**17%**	**9**	**24%**	**26**	**4%**	**22**	**5%**	**11**	**23%**	**12**	**6%**
MI 3.1	Gender equality	102	18%	22	9%	9	40%	26	8%	22	13%	11	36%	12	0%
MI 3.2	Environment	102	15%	22	41%	9	10%	26	0%	22	6%	11	18%	12	17%
MI 3.3	Good Governance	102	6%	22	5%	9	15%	26	0%	22	0%	11	18%	12	0%
MI 3.4	Human Rights based approaches	102	13%	22	14%	9	30%	26	6%	22	0%	11	18%	12	8%
KPI 4	**The MO's support to country programmes is results-focused**	**70**	**8%**	**15**	**39%**	**9**	**10%**	**26**	**3%**	**22**	**1%**	**6**	**18%**	**6**	**17%**
MI 4.1	Results frameworks link results at appropriate levels (i.e., district and national levels)	102	11%	22	32%	9	0%	26	0%	22	0%	11	18%	12	17%
MI 4.2	Results frameworks include relevant indicators at appropriate levels (i.e., district and national levels)	57	0%	--	--	9	0%	26	0%	22	0%	--	--	--	--

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 4.3	Statements of expected results appear in the approved proposals and are consistent with those in multiyear plans for immunisation (MYP) and/or with those in national strategies	57	6%	--	--	9	18%	26	0%	22	0%	--	--	--	--
Sub-MI	i) Approved applications include statements of expected results that appear in the multiyear plan for immunisation (MYP) [31]	57	12%	--	--	9	35%	26	0%	22	0%	--	--	--	--
Sub-MI	ii) Approved applications include statements of expected results that are consistent with the national health plan or strategy [32]	57	0%	--	--	9	0%	26	0%	22	0%	--	--	--	--
MI 4.4	Statements of expected results are developed through consultation with direct partners and beneficiaries	57	4%	--	--	9	5%	26	7%	22	0%	--	--	--	--
MI 4.5	Results for cross-cutting thematic priorities are included in results frameworks - gender equality, environment (as appropriate).	79	21%	22	45%	9	25%	26	7%	22	6%	--	--	--	--

II- Operational Management

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 5	**The MO makes transparent and predictable decisions about its financial and other support**	**69**	**5%**	**22**	**18%**	**9**	**3%**	**26**	**3%**	**22**	**0%**	**--**	**--**	**--**	**--**
MI 5.1	The MO publishes its criteria for approving applications for support	79	5%	22	14%	9	5%	26	2%	22	0%	--	--	--	--
MI 5.2	Approvals for support are granted in conformance with stated selection criteria	70	10%	22	23%	--	--	26	6%	22	0%	--	--	--	--
MI 5.3	MO makes decisions on grants based on independent review	70	6%	22	18%	--	--	26	0%	22	0%	--	--	--	--
MI 5.4	Planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	57	1%	--	--	9	0%	26	2%	22	0%	--	--	--	--
KPI 6	**The MO's financial and other support is linked to performance**	**22**	**14%**	**22**	**14%**	**--**	**--**	**--**	**--**	**--**	**--**	**--**	**--**	**--**	**--**
MI 6.1	Budget allocations are linked to expected development results	22	5%	22	5%	--	--	--	--	--	--	--	--	--	--
MI 6.2	Disbursements are linked to reported results (variances explained)	22	23%	22	23%	--	--	--	--	--	--	--	--	--	--
KPI 7	**The MO has policies and processes for financial accountability (financial accountability, risk management, anti-corruption)**	**69**	**17%**	**22**	**18%**	**--**	**--**	**26**	**10%**	**22**	**16%**	**11**	**31%**	**12**	**8%**

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 7.1	External audits (meeting recognised international standards) are performed across the organisation.	22	18%	22	18%	--	--	--	--	--	--	--	--	--	--
MI 7.2	External audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	93	12%	22	18%	--	--	26	6%	22	7%	11	27%	12	0%
MI 7.3	Guidelines are in place for immediate measures against irregularities identified at the country (or other) level	82	12%	22	0%	--	--	26	19%	22	27%	--	--	12	0%
MI 7.4	Systems are in place for external audits (meeting recognised international standards) on sub-contracted entities	56	26%	22	41%	--	--	--	--	22	21%	--	--	12	17%
MI 7.5	Internal financial audit processes are used to provide management / governing bodies with credible information	45	26%	22	14%	--	--	--	--	--	--	11	55%	12	8%
MI 7.6	The MO has a policy on anti-corruption	--	--	--	--	--	--	--	--	--	--	--	--	--	--
MI 7.7	The MO's procurement and contract management processes for the provision of services or goods are timely, efficient and effective	93	13%	22	23%	--	--	26	6%	22	9%	11	18%	12	8%
MI 7.8	The MO has strategies in place for risk management (identification, mitigation, monitoring and reporting)	67	16%	22	14%	--	--	--	--	22	14%	11	27%	12	8%

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 7.9	The MO ensures sufficient level of risk assessment on applicants and implementers	93	17%	22	18%	--	--	26	8%	22	14%	11	27%	12	17%
KPI 8	**Performance information on results is used by the MO**	**66**	**15%**	**22**	**17%**	**9**	**10%**	**26**	**17%**	**22**	**10%**	**11**	**14%**	**12**	**15%**
MI 8.1	Revising and adjusting policies	45	6%	22	9%	--	--	--	--	--	--	11	0%	12	8%
MI 8.2	Planning new interventions	45	20%	22	20%	--	--	--	--	--	--	11	23%	12	17%
Sub-MI	i) GAVI uses information on performance when it adjusts current grant windows [53]	45	22%	22	23%	--	--	--	--	--	--	11	27%	12	17%
Sub-MI	ii) GAVI uses information on performance when it designs and introduces new funding windows [54]	45	18%	22	18%	--	--	--	--	--	--	11	18%	12	17%
MI 8.3	Proactive management of poorly performing programmes, projects, and/or initiatives	102	20%	22	23%	9	10%	26	31%	22	20%	11	18%	12	17%
MI 8.4	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	45	20%	22	9%	--	--	--	--	--	--	11	27%	12	25%
MI 8.5	The MO's resources allocated to countries and projects reflect performance	93	7%	22	23%	--	--	26	4%	22	0%	11	0%	12	8%
Sub-MI	(i) GAVI initial grant decisions are based on plans and targets [57]	93	6%	22	18%	--	--	26	4%	22	0%	11	0%	12	8%
Sub-MI	(ii) GAVI subsequent grants are based on performance [58]	93	8%	22	27%	--	--	26	4%	22	0%	11	0%	12	8%

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 9	**The MO manages human resources using methods to improve organisational performance**	**33**	**65%**	**22**	**57%**	**--**	**--**	**--**	**--**	**--**	**--**	**11**	**73%**	**--**	**--**
MI 9.1	Results focused performance agreement systems are in place for senior staff	33	66%	22	59%	--	--	--	--	--	--	11	73%	--	--
MI 9.2	There is a transparent incentive and reward system for staff performance	33	64%	22	55%	--	--	--	--	--	--	11	73%	--	--
KPI 10	**Country programming processes are performance oriented**	**62**	**17%**	**22**	**33%**	**9**	**5%**	**26**	**0%**	**22**	**9%**	**--**	**--**	**--**	**--**
MI 10.1	Applications considered for support are subject to benefits and risk analyses (environmental, economic, social, etc)	44	26%	22	34%	--	--	--	--	22	17%	--	--	--	--
Sub-MI	i) Applications considered for GAVI support are subject to analysis of planned benefits (environmental, economic, social, etc), as applicable [63]	44	24%	22	41%	--	--	--	--	22	7%	--	--	--	--
Sub-MI	ii) GAVI subjects applications to risk analysis/assessment prior to approval [64]	44	27%	22	27%	--	--	--	--	22	27%	--	--	--	--
MI 10.2	Milestones/targets for monitoring and reporting of progress are included in applications for MO support	79	9%	22	32%	9	5%	26	0%	22	0%	--	--	--	--

III- Relationship Management

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 11	**Applications approved by the MO support national/regional plans and partner plans**	**79**	**5%**	**22**	**14%**	**9**	**0%**	**26**	**6%**	**22**	**1%**	**--**	**--**	**--**	**--**
MI 11.1	Extent to which MO supported funding proposals have been fully designed and developed with partners (national governments, NGOs, etc), rather than conceptualised or initiated by the MO itself	79	4%	22	14%	9	0%	26	2%	22	0%	--	--	--	--
MI 11.2	MO's conditionality (if any) draws on national / government 's own agreed benchmarks / indicators / results	79	10%	22	23%	9	0%	26	14%	22	2%	--	--	--	--
Sub-MI	i) GAVI agrees with governments on co-financing schedules based on ability to pay for vaccines [69]	79	4%	22	14%	9	0%	26	2%	22	0%	--	--	--	--
Sub-MI	ii) GAVI agrees with governments on co-financing schedules based on willingness to pay for vaccines [70]	79	15%	22	32%	9	0%	26	25%	22	4%	--	--	--	--
MI 11.3	The MO provides support in a way that does not distort or skew national priorities	79	2%	22	5%	9	0%	26	2%	22	0%	--	--	--	--
KPI 12	**The MO's procedures take into account local conditions and capacities**	**64**	**9%**	**22**	**27%**	**9**	**20%**	**26**	**1%**	**22**	**2%**	**--**	**--**	**--**	**--**
MI 12.1	The procedures of the MO can be easily understood and completed by national governments and other applicants	57	8%	--	--	9	25%	26	0%	22	0%	--	--	--	--

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 12.2	The length of time for completing MO procedures does not have a negative effect on implementation	57	3%	--	--	9	5%	26	4%	22	0%	--	--	--	--
MI 12.3	The MO has operational flexibility to approve requests by partners to adjust implementation in response to major unforeseen changes in circumstances	79	16%	22	27%	9	30%	26	0%	22	7%	--	--	--	--
KPI 13	**The MO uses country systems for disbursement and operations**	**79**	**7%**	**22**	**14%**	**9**	**13%**	**26**	**4%**	**22**	**0%**	**--**	**--**	**--**	**--**
MI 13.1	% of the MO's overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	--	--	--	--	--	--	--	--	--	--	--	--	--	--
MI 13.2	The MO's overall ODA disbursements / support using national systems and procedures	79	5%	22	9%	9	5%	26	5%	22	0%	--	--	--	--
MI 13.3	The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	79	10%	22	18%	9	20%	26	2%	22	0%	--	--	--	--
KPI 14	**The MO adds value to policy dialogue with its direct partners**	**79**	**7%**	**22**	**9%**	**9**	**5%**	**26**	**4%**	**22**	**11%**	**--**	**--**	**--**	**--**
MI 14,1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	79	6%	22	9%	9	5%	26	4%	22	7%	--	--	--	--
MI 14.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	79	8%	22	9%	9	5%	26	4%	22	14%	--	--	--	--

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 15	**The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate**	**57**	**4%**	**--**	**--**	**9**	**12%**	**26**	**1%**	**22**	**0%**	**--**	**--**	**--**	**--**
MI 15.1	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	57	9%	--	--	9	25%	26	2%	22	0%	--	--	--	--
MI 15.2	Extent to which technical cooperation financed by the MO is coordinated with other donors	57	2%	--	--	9	5%	26	0%	22	0%	--	--	--	--
MI 15.3	% of the MO's cash grants/ support that is for government-led PBAs (SWAps, basket funding, etc)	57	2%	--	--	9	5%	26	0%	22	0%	--	--	--	--

IV- Knowledge Management

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
KPI 16	**The MO consistently monitors and evaluates its delivery and external results**	**74**	**8%**	**22**	**8%**	**9**	**8%**	**26**	**17%**	**22**	**4%**	**11**	**11%**	**12**	**8%**
MI 16.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	--	--	--	--	--	--	--	--	--	--	--	--	--	--
MI 16.2	The evaluation function provides sufficent coverage of the MO's programming activity (completed grants)	--	--	--	--	--	--	--	--	--	--	--	--	--	--
MI 16.3	The MO ensures quality of its evaluations	--	--	--	--	--	--	--	--	--	--	--	--	--	--
MI 16.4	Evaluation findings are used to inform decisions on programming, policy, and strategy.	45	6%	22	0%	--	--	--	--	--	--	11	9%	12	8%
MI 16.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes	102	11%	22	16%	9	8%	26	17%	22	4%	11	14%	12	8%
Sub-MI	i) GAVI involves grant recipients in the evaluation of its programmes [87]	102	17%	22	32%	9	10%	26	12%	22	6%	11	27%	12	17%
Sub-MI	ii) GAVI involves Alliance partners in the evaluation of its programmes [88]	102	5%	22	0%	9	5%	26	21%	22	2%	11	0%	12	0%
KPI 17	**The MO presents performance information on its effectiveness**	**37**	**3%**		**2%**	**--**	**--**	**--**	**--**	**--**	**--**	**11**	**5%**	**12**	**0%**

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
MI 17.1	Reports on the achievement of outcomes, not just inputs, activities and outputs	45	0%	22	0%	--	--	--	--	--	--	11	0%	12	0%
MI 17.2	Reports performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--	--	--	--	--	--	--
MI 17.3	Reports against its Corporate Strategy, including expected management and development results	45	3%	22	0%	--	--	--	--	--	--	11	9%	12	0%
MI 17.4	Reports against its Paris Declaration commitments using indicators and country targets	22	5%	22	5%	--	--	--	--	--	--	--	--	--	--
MI 17.5	Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information	--	--	--	--	--	--	--	--	--	--	--	--	--	--
MI 17.6	Reports on country (or other) level programming adjustments made or recommended based on performance information	--	--	--	--	--	--	--	--	--	--	--	--	--	--
KPI 18	**The MO encourages identification, documentation and dissemination of lessons learned and/or best practices**	**62**	**13%**	**22**	**18%**	**9**	**8%**	**26**	**5%**	**22**	**8%**	**11**	**14%**	**12**	**17%**
MI 18.1	Reports on lessons learned based on performance information	22	14%	22	14%	--	--	--	--	--	--	--	--	--	--
MI 18,2	Learning opportunities are organised to share lessons (ex. development effectiveness, etc) at all levels of the organisation	102	12%	22	23%	9	8%	26	5%	22	8%	11	14%	12	17%

		Total		HQ		CO		Gov/CSO		IP Country		IP Global		Other GAP	
		N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK	N#	%DK
Sub-MI	i) GAVI provides opportunities for Alliance-wide sharing of lessons learned [95]	102	6%	22	14%	9	5%	26	6%	22	4%	11	0%	12	8%
Sub-MI	ii) GAVI promotes opportunities for grant recipients to learn from each other [96]	102	19%	22	32%	9	10%	26	5%	22	13%	11	27%	12	25%

Appendix V KPI and MI Data by Quadrant

Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

a) equal weight is given to the views of each of the five respondent groups;

b) equal weight is given to each of the countries where the survey took place;

c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted.[16] Total – includes all respondents. "--" indicates that the question was not asked among a particular respondent group

Strong (4.5-5.49)
Adequate (3.5-4.49)

I- Strategic Management

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
	Base (un-weighted)	***102***	***22***	***9***	***26***	***22***	***11***	***12***	***102***	***22***	***9***	***26***	***22***	***11***	***12***
KPI 1	**The Multilateral Organisation's (MO) Executive Management provides direction for the achievement of external / beneficiary focused results**	**4.37**	**5.08**	**4.10**	**4.47**	**4.48**	**4.23**	**4.05**	**1.13**	**0.55**	**1.15**	**1.17**	**1.17**	**0.98**	**1.27**
MI	The MO has a value system that supports a results-orientation and a focus on direct partners	4.39	5.06	4.26	4.49	4.53	3.95	4.04	1.03	0.56	0.85	1.21	1.07	0.93	1.07
Sub-MI	i) GAVI's institutional culture reinforces a focus on results [9]	4.48	5.27	4.10	4.49	4.59	4.18	4.25	1.02	0.46	0.86	1.15	1.17	0.86	1.12
Sub-MI	ii) GAVI's institutional culture is focused on implementing countries (governments and supported CSOs where applicable) [10]	4.29	4.86	4.42	4.48	4.48	3.73	3.83	1.03	0.66	0.84	1.28	0.96	0.99	1.02
MI	The MO's Executive Management shows leadership on results management	4.42	5.10				4.45	3.75	1.09	0.54				0.68	1.40

[16] For a description of weighting, please see the Methodology in Appendix I.

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
MI	Key MO documents are available to the public	4.31		3.93	4.45	4.44	4.27	4.36	1.28		1.45	1.13	1.28	1.33	1.34
KPI 2	**The MO's corporate strategies and plans are focused on the achievement of results**	**4.52**	**5.00**	**4.55**	**4.84**	**4.80**	**4.57**	**4.07**	**0.95**	**0.76**	**0.76**	**1.04**	**0.90**	**0.72**	**1.05**
MI	The MO is appropriately positioned within the international aid architecture	4.91	5.41	4.55	4.84	4.80	5.00	4.83	0.83	0.74	0.76	1.04	0.90	0.44	0.82
MI	The MO's organisation-wide strategy is based on a clear definition of mandate / comparative advantage	4.68	5.42				4.55	4.08	1.10	0.64				0.91	1.25
Sub-MI	i) GAVI's strategy and business plan is based on a clear definition of mandate [15]	4.63	5.45				4.45	4.00	1.13	0.60				0.81	1.33
Sub-MI	ii) GAVI's strategy and business plan rests upon a clear understanding of its comparative advantage [16]	4.72	5.38				4.64	4.17	1.08	0.67				1.01	1.18
MI	The MO's overall institutional architecture is suited to the mandate and delivery of results	4.38	4.83				4.36	4.00	1.01	0.77				0.80	1.25
Sub-MI	i) The overall institutional architecture of GAVI is suited to the organisation's mandate [17]	4.42	4.89				4.36	4.08	0.98	0.84				0.80	1.15
Sub-MI	ii) The overall institutional architecture of GAVI is suited to the delivery of results [18]	4.34	4.76				4.36	3.92	1.04	0.71				0.80	1.36
MI	The MO has an organisation-wide policy on results management	4.30	4.81				4.36	3.56	0.87	0.68				0.50	1.00
MI	Organisation-wide plans and strategies contain frameworks of expected management and development results	4.60	4.91				4.85	4.08	0.91	0.77				0.69	1.01

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
Sub-MI	i) GAVI's strategy and business plan contains explicit development results (Key Performance Indicators) [20]	4.81	5.10				5.09	4.25	0.89	0.77				0.69	0.95
Sub-MI	ii) GAVI's strategy and business plan contains explicit management results (Key Performance Indicators) [21]	4.39	4.72				4.60	3.92	0.92	0.76				0.69	1.07
MI	Results frameworks have causal links from outputs through to impacts / final outcomes	4.25	4.79				4.30	3.75	1.10	0.79				1.04	1.20
MI	Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and outcome level	4.50	4.82				4.60	4.17	0.83	0.89				0.69	0.82
KPI 3	**The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or based on its mandate and international commitments**	**4.19**	**4.32**	**3.96**	**4.69**	**4.14**	**3.88**	**4.01**	**1.04**	**1.02**	**0.52**	**1.13**	**1.13**	**0.84**	**1.03**
MI	Gender equality	4.31	4.35	3.92	4.77	4.05	4.29	4.33	1.01	1.15	0.29	1.22	1.10	0.47	1.06
MI	Environment	3.82	3.69	3.89	4.41	4.13	3.22	3.40	1.09	1.12	0.33	1.35	0.94	0.95	1.24
MI	Good Governance	4.44	4.90	3.76	4.90	4.30	4.22	4.42	1.00	0.71	0.98	0.82	1.33	0.65	0.98
MI	Human Rights based approaches	4.18	4.32	4.29	4.70	4.10	3.78	3.91	1.06	1.12	0.47	1.12	1.15	1.27	0.82
KPI 4	**The MO's support to country programmes is results-focused**	**4.44**	**3.93**	**4.32**	**4.78**	**4.42**	**4.00**	**3.40**	**1.02**	**0.93**	**0.73**	**1.16**	**0.97**	**0.98**	**1.33**
MI	Results frameworks link results at appropriate levels (i.e., district and national levels)	4.13	4.20	3.95	4.77	4.35	4.00	3.40	1.08	0.87	0.89	1.23	0.72	0.98	1.33
MI	Results frameworks include relevant indicators at appropriate levels (i.e., district and national levels)	4.56		4.45	4.95	4.29			0.89		0.61	1.08	0.84		

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
MI	Statements of expected results appear in the approved proposals and are consistent with those in multiyear plans for immunisation (MYP) and/or with those in national strategies	4.85		4.48	5.10	4.94			1.00		0.64	1.06	1.06		
Sub-MI	i) Approved applications include statements of expected results that appear in the multiyear plan for immunisation (MYP) [31]	4.96		4.77	5.10	4.94			0.99		0.44	1.15	1.09		
Sub-MI	ii) Approved applications include statements of expected results that are consistent with the national health plan or strategy [32]	4.75		4.20	5.11	4.94			1.01		0.84	0.97	1.02		
MI	Statements of expected results are developed through consultation with direct partners and beneficiaries	4.60		4.32	4.87	4.63			1.07		1.01	1.08	1.11		
MI	Results for cross-cutting thematic priorities are included in results frameworks - gender equality, environment (as appropriate).	4.07	3.67	4.40	4.22	3.89			1.08	1.00	0.51	1.36	1.13		

II- Operational Management

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
	Base (un-weighted)	***102***	***22***	***9***	***26***	***22***	***11***	***12***	***102***	***22***	***9***	***26***	***22***	***11***	***12***
KPI 5	**The MO makes transparent and predictable decisions about its financial and other support**	**4.74**	**5.00**	**4.54**	**4.75**	**4.63**			**0.99**	**0.89**	**0.49**	**1.11**	**1.09**		
MI	The MO publishes its criteria for approving applications for support	4.70	4.89	4.68	4.57	4.68			0.91	0.94	0.48	1.24	0.87		
MI	Approvals for support are granted in conformance with stated selection criteria	4.89	5.06		4.79	4.87			0.90	0.83		1.04	0.84		
MI	MO makes decisions on grants based on independent review	4.82	5.06		4.95	4.50			1.08	0.88		0.91	1.34		
MI	Planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year)	4.52		4.40	4.68	4.49			1.07		0.50	1.26	1.30		
KPI 6	**The MO's financial and other support is linked to performance**	**4.67**	**4.67**						**0.72**	**0.72**					
MI	Budget allocations are linked to expected development results	4.81	4.81						0.82	0.82					
MI	Disbursements are linked to reported results (variances explained)	4.53	4.53						0.63	0.63					
KPI 7	**The MO has policies and processes for financial accountability (financial accountability, risk management, anti-corruption)**	**4.63**	**4.80**		**4.94**	**4.23**	**4.56**	**4.51**	**0.93**	**0.76**		**0.82**	**1.19**	**0.81**	**1.02**

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
MI	External audits (meeting recognised international standards) are performed across the organisation.	4.89	4.89		.	.	.	.	0.68	0.68		.	.	.	.
MI	External audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	4.62	4.83		4.82	4.17	4.63	4.67	1.01	0.71		0.94	1.34	0.89	0.97
MI	Guidelines are in place for immediate measures against irregularities identified at the country (or other) level	4.81	5.00		4.93	4.25	.	4.92	0.98	0.82		0.82	1.32		0.89
MI	Systems are in place for external audits (meeting recognised international standards) on sub-contracted entities	4.44	4.62			4.14	.	4.60	1.17	0.78			1.43		1.15
MI	Internal financial audit processes are used to provide management / governing bodies with credible information	4.91	5.16			.	4.80	4.73	0.85	0.69				0.80	0.99
MI	The MO has a policy on anti-corruption														
MI	The MO's procurement and contract management processes for the provision of services or goods are timely, efficient and effective	4.87	4.76		5.19	4.85	5.11	4.45	0.91	0.76		0.84	1.00	0.59	1.11
MI	The MO has strategies in place for risk management (identification, mitigation, monitoring and reporting)	4.21	4.53		.	4.00	4.13	4.18	0.94	0.91		.	1.05	0.81	0.97
MI	The MO ensures sufficient level of risk assessment on applicants and implementers	4.32	4.61		4.81	4.00	4.13	4.00	0.93	0.70		0.69	1.02	0.97	1.04

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
KPI 8	**Performance information on results is used by the MO**	**4.18**	**4.53**				**4.26**	**3.42**	**0.97**	**0.67**				**0.64**	**1.16**
MI	Revising and adjusting policies	4.11	4.60				4.09	3.64	0.94	0.69				0.53	1.27
MI	Planning new interventions	4.01	4.49				4.29	3.30	0.97	0.73				0.69	0.99
Sub-MI	i) GAVI uses information on performance when it adjusts current grant windows [53]	4.04	4.65				4.25	3.30	0.95	0.61				0.69	0.93
Sub-MI	ii) GAVI uses information on performance when it designs and introduces new funding windows [54]	3.98	4.33				4.33	3.30	0.99	0.85				0.69	1.04
MI	Proactive management of poorly performing programmes, projects, and/or initiatives	4.11	4.18	4.39	4.86	4.15	4.22	3.00	0.94	0.64	0.61	0.83	0.92	0.65	0.93
MI	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	4.07	4.65				4.13	3.33	1.06	0.59				0.63	1.39
MI	The MO's resources allocated to countries and projects reflect performance	4.61	4.72		5.23	4.69	4.59	3.82	0.94	0.69		0.71	0.73	0.72	1.22
Sub-MI	(i) GAVI initial grant decisions are based on plans and targets [57]	4.74	4.94		5.28	4.73	4.73	4.00	0.88	0.73		0.69	0.60	0.64	1.17
Sub-MI	(ii) GAVI subsequent grants are based on performance [58]	4.49	4.50		5.17	4.65	4.45	3.64	1.00	0.64		0.72	0.85	0.81	1.27
KPI 9	The MO manages human resources using methods to improve organisational performance	3.58	4.27				2.50		1.13	0.66				0.80	

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
MI	Results focused performance agreement systems are in place for senior staff	3.66	4.33				2.67		0.99	0.51				0.53	
MI	There is a transparent incentive and reward system for staff performance	3.50	4.20				2.33		1.28	0.80				1.06	
KPI 10	**Country programming processes are performance oriented**	**4.40**	**4.52**	**4.32**	**4.95**	**4.29**			**0.91**	**0.65**	**0.82**	**0.94**	**1.08**		
MI	Applications considered for support are subject to benefits and risk analyses (environmental, economic, social, etc)	4.18	4.37			4.02			0.91	0.67			1.06		
Sub-MI	i) Applications considered for GAVI support are subject to analysis of planned benefits (environmental, economic, social, etc), as applicable [63]	4.03	4.23			3.90			0.92	0.61			1.07		
Sub-MI	ii) GAVI subjects applications to risk analysis/assessment prior to approval [64]	4.32	4.50			4.15			0.91	0.74			1.05		
MI	Milestones/targets for monitoring and reporting of progress are included in applications for MO support	4.62	4.67	4.32	4.95	4.56			0.92	0.62	0.82	0.94	1.09		

III- Relationship Management

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
	Base (un-weighted)	***102***	***22***	***9***	***26***	***22***	***11***	***12***	***102***	***22***	***9***	***26***	***22***	***11***	***12***
KPI 11	**Applications approved by the MO support national/regional plans and partner plans**	**4.72**	**4.45**	**4.45**	**5.21**	**4.75**			**0.95**	**0.88**	**0.85**	**0.88**	**0.98**		
MI	Extent to which MO supported funding proposals have been fully designed and developed with partners (national governments, NGOs, etc), rather than conceptualised or initiated by the MO itself	4.91	4.79	4.45	5.30	5.11			0.87	0.79	0.61	0.77	1.04		
MI	MO's conditionality (if any) draws on national / government 's own agreed benchmarks / indicators / results	4.62	4.36	4.60	5.08	4.45			0.99	0.97	0.87	1.01	1.02		
Sub-MI	i) GAVI agrees with governments on co-financing schedules based on ability to pay for vaccines [69]	4.75	4.53	4.65	5.20	4.59			0.89	0.91	0.59	1.04	0.90		
Sub-MI	ii) GAVI agrees with governments on co-financing schedules based on willingness to pay for vaccines [70]	4.50	4.20	4.55	4.97	4.31			1.09	1.03	1.15	0.98	1.13		
MI	The MO provides support in a way that does not distort or skew national priorities	4.61	4.19	4.30	5.25	4.69			1.00	0.88	1.09	0.87	0.89		
KPI 12	**The MO's procedures take into account local conditions and capacities**	**4.52**	**4.38**	**4.54**	**4.61**	**4.44**			**0.96**	**0.73**	**0.83**	**1.00**	**1.11**		
MI	The procedures of the MO can be easily understood and completed by national governments and other applicants	4.70		4.80	4.79	4.54			0.94	.	0.87	0.91	1.04		
MI	The length of time for completing MO procedures does not have a negative effect on implementation	4.32		4.26	4.39	4.31			0.99	.	0.88	0.91	1.19		

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
MI	The MO has operational flexibility to approve requests by partners to adjust implementation in response to major unforeseen changes in circumstances	4.53	4.38	4.57	4.66	4.49			0.97	0.73	0.76	1.16	1.10		
KPI 13	**The MO uses country systems for disbursement and operations**	**4.72**	**4.50**	**4.57**	**5.12**	**4.65**			**0.89**	**0.87**	**0.70**	**0.88**	**0.98**		
MI	% of the MO's overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans														
MI	The MO's overall ODA disbursements / support using national systems and procedures	4.78	4.45	4.58	5.16	4.92			0.93	0.95	0.77	0.92	0.97		
MI	The extent to which the MO has promoted a mutual assessment of progress in implementing agreed partnership commitments (mutual accountability)	4.65	4.56	4.56	5.07	4.38			0.86	0.79	0.63	0.83	0.99		
KPI 14	**The MO adds value to policy dialogue with its direct partners**	**4.65**	**4.98**	**4.45**	**4.89**	**4.27**			**1.06**	**0.81**	**0.64**	**1.16**	**1.37**		
MI	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs	4.58	5.05	4.53	4.64	4.11			1.09	0.89	0.52	1.22	1.42		
MI	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives	4.71	4.90	4.37	5.14	4.42			1.03	0.72	0.76	1.10	1.31		
KPI 15	**The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc) as appropriate**	**4.40**		**4.12**	**4.75**	**4.30**			**1.06**		**0.86**	**1.13**	**1.10**		

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
MI	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	3.95		3.73	4.37	3.71			1.27		1.17	1.35	1.23		
MI	Extent to which technical cooperation financed by the MO is coordinated with other donors	4.48		4.11	4.75	4.56			1.10		0.88	1.12	1.24		
MI	% of the MO's cash grants/ support that is for government-led PBAs (SWAps, basket funding, etc)	4.76		4.53	5.12	4.62			0.80		0.52	0.90	0.83		

IV- Knowledge Management

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
	Base (un-weighted)	***102***	***22***	***9***	***26***	***22***	***11***	***12***	***102***	***22***	***9***	***26***	***22***	***11***	***12***
KPI 16	**The MO consistently monitors and evaluates its delivery and external results**	**4.14**	**4.74**	**4.14**	**4.45**	**4.08**	**3.93**	**3.49**	**1.24**	**0.75**	**1.03**	**1.11**	**1.28**	**1.17**	**1.58**
MI	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board														
MI	The evaluation function provides sufficent coverage of the MO's programming activity (completed grants)														
MI	The MO ensures quality of its evaluations														
MI	Evaluation findings are used to inform decisions on programming, policy, and strategy.	4.24	4.82				4.30	3.55	1.18	0.80				0.93	1.42
MI	Direct beneficiaries and stakeholder groups are involved in evaluation processes	4.05	4.65	4.14	4.45	4.08	3.57	3.44	1.31	0.70	1.03	1.11	1.28	1.41	1.73
Sub-MI	i) GAVI involves grant recipients in the evaluation of its programmes [87]	3.99	4.53	4.22	4.34	4.02	3.50	3.30	1.28	0.65	0.88	1.27	1.27	1.47	1.61
Sub-MI	ii) GAVI involves Alliance partners in the evaluation of its programmes [88]	4.11	4.77	4.05	4.56	4.15	3.64	3.58	1.33	0.76	1.18	0.96	1.28	1.34	1.86
KPI 17	**The MO presents performance information on its effectiveness**	**4.38**	**4.70**				**4.29**	**4.17**	**0.83**	**0.69**				**0.47**	**1.09**
MI	Reports on the achievement of outcomes, not just inputs, activities and outputs	4.50	4.91				4.27	4.33	0.79	0.61				0.46	1.06
MI	Reports performance using data obtained from measuring indicators														

		Mean Score							Standard Deviation						
		Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP	Total	HQ	CO	Gov/ CSO	IP Country	IP Global	Other GAP
MI	Reports against its Corporate Strategy, including expected management and development results	4.44	5.00				4.30	4.00	0.89	0.62				0.47	1.11
MI	Reports against its Paris Declaration commitments using indicators and country targets	4.19	4.19						0.82	0.82					
MI	Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information														
MI	Reports on country (or other) level programming adjustments made or recommended based on performance information														
KPI 18	**The MO encourages identification, documentation and dissemination of lessons learned and/or best practices**	**4.15**	**4.34**	**4.19**	**4.08**	**3.63**	**3.34**	**3.25**	**1.05**	**0.80**	**0.89**	**1.35**	**1.44**	**1.26**	**1.39**
MI	Reports on lessons learned based on performance information	4.53	4.53						0.85	0.85	.				
MI	Learning opportunities are organised to share lessons (ex. development effectiveness, etc) at all levels of the organisation	3.78	4.16	4.19	4.08	3.63	3.34	3.25	1.25	0.74	0.89	1.35	1.44	1.26	1.39
Sub-MI	i) GAVI provides opportunities for Alliance-wide sharing of lessons learned [95]	4.00	4.58	4.16	4.27	3.78	3.55	3.73	1.21	0.77	0.96	1.38	1.42	1.19	1.25
Sub-MI	ii) GAVI promotes opportunities for grant recipients to learn from each other [96]	3.57	3.73	4.22	3.89	3.48	3.13	2.78	1.29	0.71	0.81	1.32	1.47	1.32	1.54

Appendix VI Document Review Ratings, Criteria and Evidence by KPI and MI

QUADRANT I – STRATEGIC MANAGEMENT

KPI 1. The MO's Executive Management provides direction for the achievement of external/beneficiary focused results

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
1.3. Key MO documents are available to the public	More than half of the documents in the sample (excluding the disclosure policy) are available on the public website.	Met	Governance meeting minutes & decisions: (Also available for 2009) March 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/19-march/final-minutes/gavi-alliance-board-meeting,-19-march-2010,-final-minutes/ April 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/20-april/final-minutes/gavi-alliance-board-meeting,-20-april-2010,-final-minutes/ June 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/final-minutes/gavi-alliance-board-meeting,-16-17-june-2010,-final-minutes/ August 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/13-august/final-minutes/gavi-alliance-board-meeting,-13-august-2010,-final-minutes/ November 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/final-minutes/gavi-alliance-board-meeting,-30-november---1-december-2010,-final-minutes/ March 2011 http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/8-march/final-minutes/gavi-alliance-board-meeting,-8-march-2011,-final-minutes/ July 2011 http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/final-minutes/gavi-alliance-board-meeting,-7-8-july-2011,-final-minutes/ http://www.gavialliance.org/about/governance/gavi-board/decisions/2011/gavi-alliance-board-decisions-7-8-july-2011/ November 2011 http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/final-minutes/gavi-

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			alliance-board-meeting,-16-17-november-2011,-final-minutes/ 2012- not available yet Performance information (Annual Reports or other) Annual Progress Reports are available on the GAVI website for the period 2002-2011 2011 Annual Progress Report http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2011/ 2010 Annual Progress Report http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ Organisation mandate & structure GAVI's mandate http://www.gavialliance.org/library/gavi-documents/legal/gavi-alliance-statutes/ Board composition: http://www.gavialliance.org/uploadedImages/About_the_Alliance/Governing_GAVI/GAVI_Board/board-composition_220.gif Board committees: http://www.gavialliance.org/uploadedImages/About_the_Alliance/Governing_GAVI/GAVI_Board/Committees/committees-organigram.gif GAVI Secretariat: http://www.gavialliance.org/about/governance/secretariat/ Organisation-wide strategic plan http://www.gavialliance.org/library/publications/pledging-conference-for-immunisation/4--gavi-strategy---business-plan/ Key financial information (or found in Annual Report including donor funding information) 2010 Financial Report http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/ GAVI's financial statements from 2006 to 2009 are available on its website: http://www.gavialliance.org/funding/financial-reports/ GAVI Financial Forecast Update: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/financial-forecast-update/ GAVI Alliance Progress Report 2010: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Annual Donor Contributions to GAVI 2000-2031, as of 31 January 2012: http://www.gavialliance.org/funding/donor-contributions-pledges/ Thematic reports Pneumococcal Advance Market Commitment: Lessons Learnt on Disease and Design Choices and Processes http://www.gavialliance.org/library/gavi-documents/white-papers/ Building Ownership and Sustainability: Country co-financing of vaccines http://www.gavialliance.org/library/gavi-documents/white-papers Audits and evaluations Annual internal audit report: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/annual-internal-audit-report/ Independent Auditor's Reports are available within the Annual Financial Reports Evaluations GAVI Second Evaluation Report 2010: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010 International Finance Facility for Immunisation Evaluation: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/iffim-evaluation--full-report/ Review of GAVI- Independent Review Committees (IRCs) March 2010: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/ Baseline Study for pneumococcal vaccine AMC: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/baseline-study-for-pneumococcal-vaccine-amc/ Evaluations prior to 2010 are also available on GAVI's website: http://www.gavialliance.org/results/gavis-evaluation-studies/ Country-level planning and/or programming documents Approved proposals and progress reports- Cambodia: http://www.gavialliance.org/country/cambodia/documents/ Approved proposals and progress reports- DRC: http://www.gavialliance.org/country/drc/documents/ Approved proposals and progress reports- Ghana: http://www.gavialliance.org/country/ghana/documents/ Approved proposals and progress reports- Honduras: http://www.gavialliance.org/country/honduras/documents/ Approved proposals and progress reports- Nigeria: http://www.gavialliance.org/country/nigeria/documents/ Approved proposals and progress reports- Niger: http://www.gavialliance.org/country/niger/documents/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Approved proposals and progress reports- Zimbabwe: http://www.gavialliance.org/country/zimbabwe/documents/ Approved proposals and progress reports- Tanzania: http://www.gavialliance.org/country/tanzania/documents/ Approved proposals and progress reports- Rwanda: http://www.gavialliance.org/country/rwanda/documents/ Approved proposals and progress reports- Indonesia: http://www.gavialliance.org/country/indonesia/documents/ Approved proposals and progress reports- Nicaragua: http://www.gavialliance.org/country/nicaragua/documents/ Approved proposals and progress reports- Pakistan: http://www.gavialliance.org/country/pakistan/documents/ Approved proposals and progress reports- Yemen: http://www.gavialliance.org/country/yemen/documents/ Approved proposals and progress reports- Bangladesh: http://www.gavialliance.org/country/bangladesh/documents/ Approved proposals and progress reports- Georgia: http://www.gavialliance.org/country/georgia/documents/
	(If first criterion met) all of the documents in the sample (excluding the disclosure policy) are available on the public website.	Met	Governance meeting minutes & decisions: (Also available for 2009) March 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/19-march/final-minutes/gavi-alliance-board-meeting,-19-march-2010,-final-minutes/ April 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/20-april/final-minutes/gavi-alliance-board-meeting,-20-april-2010,-final-minutes/ June 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/final-minutes/gavi-alliance-board-meeting,-16-17-june-2010,-final-minutes/ August 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/13-august/final-minutes/gavi-alliance-board-meeting,-13-august-2010,-final-minutes/ November 2010 http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/final-minutes/gavi-alliance-board-meeting,-30-november---1-december-2010,-final-minutes/ March 2011 http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/8-march/final-minutes/gavi-alliance-board-meeting,-8-march-2011,-final-minutes/ July 2011 http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/final-minutes/gavi-alliance-board-meeting,-7-8-july-2011,-final-minutes/ http://www.gavialliance.org/about/governance/gavi-board/decisions/2011/gavi-alliance-board-decisions-7-8-july-

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			2011/ November 2011 http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/final-minutes/gavi-alliance-board-meeting,-16-17-november-2011,-final-minutes/ 2012- not available yet Performance information (Annual Reports or other) Annual Progress Reports are available on the GAVI website for the period 2002-2011 2011 Annual Progress Report http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2011/ 2010 Annual Progress Report http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ Organisation mandate & structure GAVI's mandate http://www.gavialliance.org/library/gavi-documents/legal/gavi-alliance-statutes/ Board composition: http://www.gavialliance.org/uploadedImages/About_the_Alliance/Governing_GAVI/GAVI_Board/board-composition_220.gif Board committees: http://www.gavialliance.org/uploadedImages/About_the_Alliance/Governing_GAVI/GAVI_Board/Committees/committees-organigram.gif GAVI Secretariat: http://www.gavialliance.org/about/governance/secretariat/ Organisation-wide strategic plan http://www.gavialliance.org/library/publications/pledging-conference-for-immunisation/4--gavi-strategy---business-plan/ Key financial information (or found in Annual Report including donor funding information) 2010 Financial Report http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/ GAVI's financial statements from 2006 to 2009 are available on its website: http://www.gavialliance.org/funding/financial-reports/ GAVI Financial Forecast Update: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/financial-forecast-update/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			2011 Annual Progress Report: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2011/ 2010 Annual Progress Report: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010 Annual Donor Contributions to GAVI 2000-2031, as of 31 January 2012: http://www.gavialliance.org/funding/donor-contributions-pledges/ Thematic reports Pneumococcal Advance Market Commitment: Lessons Learnt on Disease and Design Choices and Processes http://www.gavialliance.org/library/gavi-documents/white-papers/ Building Ownership and Sustainability: Country co-financing of vaccines http://www.gavialliance.org/library/gavi-documents/white-papers Audits and evaluations Annual internal audit report: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/annual-internal-audit-report/ Independent Auditor's Reports are available within the Annual Financial Reports Evaluations GAVI Second Evaluation Report 2010: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010 International Finance Facility for Immunisation Evaluation: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/iffim-evaluation--full-report/ Review of GAVI- Independent Review Committees (IRCs) March 2010: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/ Baseline Study for pneumococcal vaccine AMC: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/baseline-study-for-pneumococcal-vaccine-amc/ Evaluations prior to 2010 are also available on GAVI's website: http://www.gavialliance.org/results/gavis-evaluation-studies/ Country-level planning and/or programming documents Approved proposals and progress reports- Cambodia: http://www.gavialliance.org/country/cambodia/documents/ Approved proposals and progress reports- DRC: http://www.gavialliance.org/country/drc/documents/ Approved proposals and progress reports- Ghana: http://www.gavialliance.org/country/ghana/documents/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Approved proposals and progress reports- Honduras: http://www.gavialliance.org/country/honduras/documents/ Approved proposals and progress reports- Nigeria: http://www.gavialliance.org/country/nigeria/documents/ Approved proposals and progress reports- Niger: http://www.gavialliance.org/country/niger/documents/ Approved proposals and progress reports- Zimbabwe: http://www.gavialliance.org/country/zimbabwe/documents/ Approved proposals and progress reports- Tanzania: http://www.gavialliance.org/country/tanzania/documents/ Approved proposals and progress reports- Rwanda: http://www.gavialliance.org/country/rwanda/documents/ Approved proposals and progress reports- Indonesia: http://www.gavialliance.org/country/indonesia/documents/ Approved proposals and progress reports- Nicaragua: http://www.gavialliance.org/country/nicaragua/documents/ Approved proposals and progress reports- Pakistan: http://www.gavialliance.org/country/pakistan/documents/ Approved proposals and progress reports- Yemen: http://www.gavialliance.org/country/yemen/documents/ Approved proposals and progress reports- Bangladesh: http://www.gavialliance.org/country/bangladesh/documents/ Approved proposals and progress reports- Georgia: http://www.gavialliance.org/country/georgia/documents/
	(If first criterion met) More than 50% of the documents in the sample are available on the public website in multiple languages in keeping with the organisation's policies.	Not met	GAVI Working Languages Policy – August 2011 (Document provded by GAVI) Performance information (Annual Reports or other) Reports to the GAVI Alliance Board in French 2002-2010: http://fr.gavialliance.org/publications/index.php Organisation mandate & structure GAVI's mandate (French, Spanish, Russian) http://www.gavialliance.org/library/gavi-documents/legal/gavi-alliance-statutes-(fr)/ http://www.gavialliance.org/library/gavi-documents/legal/gavi-alliance-statutes-(esp)/ http://www.gavialliance.org/library/gavi-documents/legal/gavi-alliance-statutes-(rus)/ Board composition: http://fr.gavialliance.org/resources/board_graph_FR.jpg Rapport de situation GAVI Alliance 2010 (page 45): http://www.gavialliance.org/library/publications/gavi/francais/gavi-alliance-rapport-de-situation-2010/ Key financial information (or found in Annual Report including donor funding information) Reports to the GAVI Alliance Board in French 2002-2010: http://fr.gavialliance.org/publications/index.php Country-level planning and/or programming documents DRC Proposal for NVS-pneumo (French): http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-nvs---pneumo-support--congo,-

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			democratic-republic-of-the--fran%c3%a7ais-/ DRC Proposal for CSO (French): http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-cso---a-support--congo,-democratic-republic-of-the--fran%c3%a7ais-/ Honduras 2010 progress report (Spanish) http://www.gavialliance.org/country/honduras/documents/aprs/informe-anual-de-progreso-honduras-2010/ Nicaragua 2010 progress report (Spanish) http://www.gavialliance.org/country/nicaragua/documents/aprs/informe-anual-de-progreso-nicaragua-2010/
	A disclosure / access to information policy exists and is available on the MO website.	Met	GAVI Alliance Access to Information Policy. Version No.: 1.0 (Document provided by GAVI) http://www.gavialliance.org/about/governance/programme-policies/access-to-information-policy/
	Clear procedures exist to contact the MO and receive a timely reply.	Met	http://www.gavialliance.org/contact
Overall Score MI 1.3: Strong			

KPI 2. The MO's corporate strategies and plans are focused on the achievement of results

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.1. The MO's organisation-wide strategy is based on a clear definition of mandate	The necessary periodic revisions of the MO mandate are made so it has continuing relevance.	Met	GAVI Alliance Statutes. Approved on 29-30 October 2008 http://www.gavialliance.org/library/gavi-documents/legal/gavi-alliance-statutes/
	The organisational strategic plan articulates goals & focus priorities.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	The organisational strategic plan gives a clear indication of how the MO will	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	implement the mandate in a certain period.		
	(If criteria two and three are met) there is an implicit link between these goals and focus priorities to the organisation's mandate/articles of agreement.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	(If criteria two and three are met) there is an explicit link between these goals and focus priorities to the organisation's mandate/articles of agreement.	Met	GAVI Alliance Statutes – Approved on 29-30 October 2008 – Revised 17 November 2011 (Document provided by GAVI) GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
Overall Score MI 2.2.1: Very strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.2.2. The MO's organisation-wide strategy is based on a clear definition of comparative advantage	The organisational strategic plan identifies the MO's comparative advantage.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 GAVI website http://www.gavialliance.org/about/gavis-business-model/
	The organisational strategic plan gives a clear indication of how the MO will operationalise its comparative	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	advantage.		
	There is evidence that the MO monitors its comparative advantage.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010 Evaluation of the GAVI Phase 1 Performance (2000-2005) - 2008 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/first-gavi-evaluation-2000-2005/
Overall Score MI 2.2.2: Very Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.4. The MO has an organisation-wide policy on results management	An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) and/or management for development results (MfDR) in the organisation is corporately approved (alternatively, the approach to RBM/MfDR may be described in the context of a strategic plan and further operationalised through other	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 Report to the GAVI Alliance Board, 16-17 November 2011. Performance Based Funding. Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/performance-based-funding/ Swedish Assessment of the GAVI Alliance 2011 Available here: http://www.sweden.gov.se/download/83b15b05.pdf?major=1&minor=180565&cn=attachmentPublDuplicator_0_attachment Report to the GAVI Alliance Board, 7-8 July 2011 - Update on Performance and Risk Management Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/update-on-performance-and-risk-management/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	documents).		
	The MO has guidelines on RBM, either in hard copies or online.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 Report to the GAVI Alliance Board, 16-17 November 2011. Performance Based Funding. Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/performance-based-funding/ Report to the GAVI Alliance Board, 7-8 July 2011 - Update on Performance and Risk Management Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/update-on-performance-and-risk-management/
	The MO provides opportunities for capacity building of staff on RBM/MfDR.	Not met	
	There is evidence (e.g. in the policy itself, in the MO's general reform agenda, etc.) that the MO reviews its policy on RBM/MfDR to ensure its adequate implementation.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 Report to the GAVI Alliance Board, 16-17 November 2011. Performance Based Funding. Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/performance-based-funding/
	There is evidence that the MO holds its partners accountable for results-based management (e.g. proposal and report formats require results-based formulations).	Met	GAVI Alliance Performance Review – Q4 2011 (Document provided by GAVI) Annual Progress Report Bangladesh 2010 Available here: http://www.gavialliance.org/country/bangladesh/documents/aprs/annual-progress-report-2010-bangladesh/ Annual Progress Report Democratic Republic of the Congo 2010 Available here: http://www.gavialliance.org/country/drc/documents/aprs/annual-progress-report-democratic-republic-of-the-congo-2010/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Annual Progress Report Ghana 2010 Available here: http://www.gavialliance.org/country/ghana/documents/aprs/annual-progress-report-ghana-2010/ Annual Progress Report Honduras 2010 Available here: http://www.gavialliance.org/country/honduras/documents/aprs/annual-progress-report-honduras-2010/ Annual Progress Report Pakistan 2010 Available here: http://www.gavialliance.org/country/pakistan/documents/aprs/annual-progress-report-pakistan-2010/
Overall Score MI 2.4: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.5 Organisation-wide plans and strategies contain frameworks of expected management and development results	A corporate management results framework (MRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	Not met	Corporate Key Performance Indicators (Document provided by GAVI)
	A development results framework (DRF) exists, either contained within the strategic plan or as a separate document which is referred to by the strategic plan.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	(If either first or second criterion met) at least one results framework (MRF or	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	DRF) contains both statements of outputs and expected outcomes.		Corporate Key Performance Indicators (Document provided by GAVI)
	(If third criterion met) in the same results framework as #3, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	(If most above criteria met) all above criteria are met for both MRF and DRF.	Not met	Corporate Key Performance Indicators (Document provided by GAVI)
Overall Score MI 2.5: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.6. Results frameworks have causal links from outputs through to impacts / final outcomes	At least one results framework exists at the organisation-wide level (i.e., MRF and/or DRF).	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 Corporate Key Performance Indicators (Document provided by GAVI)
	(If first criterion is met) there is either an *implicit or explicit* description in the DRF (or in the strategic plan) of the results chain – that is, how the outputs in the results	Not met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	framework(s) are linked to the expected outcomes.		
	In the DRF, there is a clear and logical progression from outcomes to impact.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	(If first three criteria are met) there is either an *implicit or explicit* description in the MRF of the results chain at the level of outputs and outcomes.	Not met	Corporate Key Performance Indicators (Document provided by GAVI)
	(If first four criteria are met) there is a clear and logical progression from outcomes to impact in the MRF.	Not met	Corporate Key Performance Indicators (Document provided by GAVI)
Overall Score MI 2.6: Inadequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
2.7. Standard performance indicators included in organisation-wide plans and strategies at a delivery (output) and outcome level	A development results framework exists at the organisation-wide level and contains adequate performance indicators at both the output and outcome levels.	Not met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	In the DRF, more than half of the	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	performance indicators are relevant to the results they are associated with in the framework(s).		http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	In the DRF, more than half of the performance indicators are clear (i.e. it is clear what is to be measured).	Not met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	In the DRF, more than half of all indicators (most likely at the outcome level) include targets with clear dates for achievement.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	(All above criteria met) in both an MRF and DRF.	Not met	Corporate Key Performance Indicators (Document provided by GAVI)
Overall Score MI 2.7: Inadequate			

KPI 3. The MO maintains focus on the cross-cutting priorities identified in its strategic framework, and/or based on its mandate and international commitments [17]

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
3.1 Gender equality	The organisation has developed a policy or strategic framework on the mainstreaming of gender.	Met	GAVI Alliance Gender Policy. Version No.: 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-gender-policy
	The organisation has clearly defined roles and responsibilities with regard to the mainstreaming of gender.	Met	ANNEX 1: GAVI Alliance Gender Policy Implementation Plan (2009 – 2010) (in the Second Report on Implementation of the Gender Policy) Available here: http://www.gavialliance.org/WorkArea/DownloadAsset.aspx?id=2147490540
	The organisation has carried out an expenditure review/costing and budgetary allocation for the implementation of mainstreaming activities.	Met	Second Report on Implementation of the Gender Policy (including ANNEX 1: GAVI Alliance Gender Policy Implementation Plan (2009 – 2010)) Available here: http://www.gavialliance.org/WorkArea/DownloadAsset.aspx?id=2147490540 Third Annual Report on Implementation of the Gender Policy Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/third-report-on-gender-policy/ 2011 Workplan for the GAVI Gender Working Group - Updated: 31 Dec 2011 (Provided by GAVI) 2012 Work Plan for the GAVI Gender Working Group Updated: 4 May 2012 (Provided by GAVI) GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	The organisation has	Met	Second Report on Implementation of the Gender Policy (including ANNEX 1: GAVI Alliance Gender Policy

[17] Before assessing the organisation on any indicators in this KPI, it is important to understand how they have designed their approach to these issues (if at all) in their strategic framework/strategy. Sometimes these issues may be "cross-cutting", sometimes they may be "principles", and sometimes they may be "focus areas" (and therefore explicit outcomes of the organisation). The intent of these MIs on cross-cutting themes is to understand the extent to which the organisation has committed to this area and is making efforts (as evidenced in their systems) to put them into practice.

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	functioning systems (organisational and programmatic) and relevant capacities (e.g. planning, human resources, budgeting, etc.) to ensure effective mainstreaming.		Implementation Plan (2009 – 2010)) Available here: http://www.gavialliance.org/WorkArea/DownloadAsset.aspx?id=2147490540 Third Annual Report on Implementation of the Gender Policy Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/third-report-on-gender-policy/ 2011 Workplan for the GAVI Gender Working Group - Updated: 31 Dec 2011 (Provided by GAVI) Supporting Paper 8 – GAVI Second Evaluation – Performance Evaluation Assessment – 13 September 2010 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/supporting-paper-8--gavi-second-evaluation,-performance-evaluation-assessment/ Factsheet: HPV (human papillomavirus) Available here: http://www.gavialliance.org/library/publications/gavi-fact-sheets/factsheet--hpv-(human-papillomavirus)/ Factsheet: Gender and immunisation Available here: http://www.gavialliance.org/library/publications/gavi-fact-sheets/factsheet--gender-and-immunisation/ GAVI website on rubella http://www.gavialliance.org/support/nvs/rubella/ Vaccine Investment Strategy- Executive Summary Available here : http://www.gavialliance.org/library/gavi-documents/strategy/vaccine-investment-strategy---executive-summary/ Guidelines for Applications – New and Underused Vaccines Support 2012 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-nvs-application-guidelines-2012-en-final/ Information Note: Gender-Related Barriers to Vaccination Services Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/hsfp-information-note---gender-related-barriers-to-vaccination-services/ Gender and Immunisation. Summary Report for SAGE, November 2010

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: http://www.gavialliance.org/library/publications/other-publishers/who/gender-and-immunisation---summary-report-for-sage/ GAVI Template for Board and Committee Papers – April 12 (Document provided by GAVI) Report to the GAVI Alliance Board. 16-17 November 2011. Performance Based Funding Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/performance-based-funding/
	The organisation has defined accountability mechanisms, both programmatic and operational, to ensure monitoring and continuous improvement of mainstreaming efforts.	Not met	GAVI Alliance Gender Policy. Version No.: 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-gender-policy/ GAVI Template for Board and Committee Papers – April 12 (Document provided by GAVI) GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 Zimbabwe Annual Progress Report 2010 Available here: http://www.gavialliance.org/country/zimbabwe/documents/aprs/annual-progress-report-zimbabwe-of-2010/ Nicaragua Informe Anual de Progreso 2010 Available here: http://www.gavialliance.org/country/nicaragua/documents/aprs/informe-anual-de-progreso-nicaragua-2010/ Congo Monitoring IRC Report (Provided by GAVI) Ghana Monitoring IRC Report (Provided by GAVI) Pakistan Monitoring IRC Report (Provided by GAVI)
Overall Score MI 3.1: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
3.2 Environment	The organisation-wide strategic plan identifies environment as a cross-cutting	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	priority or focus area.		
	(If the first criterion is met) the organisation has defined results related to environment-related principles either in the organisation-wide strategic plan or in a separate policy document.	Met	
	The organisation has a separate policy or strategy that describes how it promotes environment in its programming.	Met	GAVI Performance Review Q4 2011 (Document provided by GAVI) Organisational Assessment 2011 (carried out by the Ministry of Foreign Affairs- Sweden) Available here: http://www.sweden.gov.se/content/1/c6/18/05/65/83b15b05.pdf Multilateral Aid Review: Assessment of GAVI Alliance – February 2011 (carried out by DFID) Available here: www.dfid.gov.uk/Documents/publications1/mar/GAVI-Alliance.pdf
	There is evidence that the organisation supports environment-related activities through the allocation of resources (financial, human, etc) as part of its programming (in reports to the Board, evaluations, etc.).	Not met	Evaluation of GAVI's Injection Safety Support (2009) Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/evaluation-of-gavi-s-injection-safety-support/ GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010 Second GAVI Evaluation - Recommendations Paper – 2010 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/second-gavi-evaluation--recommendations-paper/ Management Response to the Second GAVI Evaluation Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/management-response-to-the-second-gavi-evaluation/ GAVI Alliance Strategy and Business Plan 2011-2015

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	An organisation-wide evaluation or review has been undertaken that documents progress in implementing the commitment to promoting environment.	Not met	Evaluation of GAVI's Injection Safety Support (2009) Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/evaluation-of-gavi-s-injection-safety-support/ GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010 Second GAVI Evaluation - Recommendations Paper – 2010 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/second-gavi-evaluation--recommendations-paper/ Report from the Chair of the Evaluation Advisory Committee to the Board - Evaluation Advisory Committee report to the Board on the Second GAVI Evaluation Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/evaluation-advisory-committee-report-to-the-board-on-the-second-gavi-evaluation/
Overall Score MI 3.2: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
3.3 Good Governance	The organisation-wide strategic plan identifies good governance as a cross-cutting priority or focus area.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	(If the first criterion is met) the organisation has defined results related to good governance principles	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	either in the organisation-wide strategic plan or in a separate policy document.		
	The organisation has a separate policy or strategy that describes how it promotes good governance in its programming.	Met	Organisational Assessment 2011 (carried out by the Ministry of Foreign Affairs- Sweden) Available here: http://www.sweden.gov.se/content/1/c6/18/05/65/83b15b05.pdf Transparency & Accountability Policy. Version No. 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/
	There is evidence that the organisation supports good governance activities through the allocation of resources (financial, human, etc) as part of its programming (in reports to the Board, evaluations, etc.).	Met	Organisational Assessment 2011 (carried out by the Ministry of Foreign Affairs- Sweden) Available here: http://www.sweden.gov.se/content/1/c6/18/05/65/83b15b05.pdf Transparency & Accountability Policy. Version No. 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/
	An organisation-wide evaluation or review has been undertaken that documents progress in implementing the commitment to promoting good governance.	Not met	Organisational Assessment 2011 (carried out by the Ministry of Foreign Affairs- Sweden) Available here: http://www.sweden.gov.se/content/1/c6/18/05/65/83b15b05.pdf
Overall Score MI 3.3: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
3.4 Human rights-based approaches	The organisation has undertaken a situation analysis and planning related to the mainstreaming of human rights-based approaches.	Met	GAVI website http://www.gavialliance.org/about/mission/challenges/ GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 Organisational Assessment 2011 (carried out by the Ministry of Foreign Affairs- Sweden) Available here: http://www.sweden.gov.se/content/1/c6/18/05/65/83b15b05.pdf
	The organisation has clearly defined roles and responsibilities with regard to the mainstreaming of human rights-based approaches.	Not met	
	The organisation has carried out an expenditure review/costing and budgetary allocation for the implementation of mainstreaming activities.	Not met	
	The organisation has integrated institutional systems and associated capacities (e.g. policy, planning, human resources, budgeting, etc.) to ensure effective	Not met	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	mainstreaming.		
	The organisation has defined accountability mechanisms to ensure monitoring and continuous improvement of mainstreaming efforts (feedback loops).	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
Overall Score MI 3.4: Inadequate			

KPI 4. The MO's support to country programmes is results-focused

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
4.2 Results frameworks include relevant indicators at appropriate levels (i.e., district and national levels)	More than half of the proposals sampled have the following characteristics: More than half of the performance indicators are *adequate* (i.e. provide a sufficient basis to assess performance).	Not met	Bangladesh - Application for Country Proposal: Phase 2 – New and Under-Used Vaccine. Approved: 6 May 2008 Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-nvs---penta-support--bangladesh/ Bangladesh - Application GAVI Alliance Health System Strengthening (HSS) Applications- Resubmitted 11 September 2008 - Approved: 29 October 2008 Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-hss-support--bangladesh/ Bangladesh - Application Form for Country Proposals – Immunisation Services, Injection Safety and New and Under-Used Vaccines- Approved: 21 April 2009 Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-iss-support--bangladesh/ Ghana - GAVI Alliance Health System Strengthening (HSS) Application - October 2007- Approved: 01 November 2007 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Ghana – Application Form for Country Proposals – Immunisation Services, Injection Safety and New and Under-

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Used Vaccines- Approved: 21 April 2009 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Ghana – GAVI Alliance CSO to Strengthen the Involvement of Civil Society Organisations in Immunisation and Related Health Services-Application Form B from the HSCC to GAVI Alliance Secretariat for: GAVI Alliance CSO Support in 10 Pilot GAVI Eligible Countries -Approved: 29 July 2010 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/ Honduras Application for: GAVI Alliance Health System Strengthening (HSS) -October 2007 - Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Honduras- Country Proposal Report in support of: Immunisation Services - Honduras, 2007-2010 – Approved: 4 March 2011 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-iss-support--honduras/ Honduras- Application Form for Country Proposals New and Under-Used Vaccines: Rotavirus and Pneumococcus 2008-2010- Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-nvs---pneumo,-rota-support--honduras/
	More than half of the performance indicators are *relevant* to the results they are associated with in the country strategies.	Not met	Ghana - GAVI Alliance Health System Strengthening (HSS) Application - October 2007- Approved: 01 November 2007 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Ghana – Application Form for Country Proposals – Immunisation Services, Injection Safety and New and Under-Used Vaccines- Approved: 21 April 2009 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Ghana – GAVI Alliance CSO to Strengthen the Involvement of Civil Society Organisations in Immunisation and Related Health Services-Application Form B from the HSCC to GAVI Alliance Secretariat for: GAVI Alliance CSO Support in 10 Pilot GAVI Eligible Countries -Approved: 29 July 2010 Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/ Honduras Application for: GAVI Alliance Health System Strengthening (HSS) -October 2007 - Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Honduras- Country Proposal Report in support of: Immunisation Services - Honduras, 2007-2010 – Approved: 4 March 2011 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-iss-support--honduras/ Honduras- Application Form for Country Proposals New and Under-Used Vaccines: Rotavirus and Pneumococcus 2008-2010- Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-nvs---pneumo,-rota-support--honduras/
	More than half of the performance indicators are *clear* (i.e. it is clear what is to be measured).	Met	Ghana - GAVI Alliance Health System Strengthening (HSS) Application - October 2007- Approved: 01 November 2007 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Ghana – Application Form for Country Proposals – Immunisation Services, Injection Safety and New and Under-Used Vaccines- Approved: 21 April 2009 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Ghana – GAVI Alliance CSO to Strengthen the Involvement of Civil Society Organisations in Immunisation and Related Health Services-Application Form B from the HSCC to GAVI Alliance Secretariat for: GAVI Alliance CSO Support in 10 Pilot GAVI Eligible Countries -Approved: 29 July 2010 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/ Honduras Application for: GAVI Alliance Health System Strengthening (HSS) -October 2007 - Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Honduras- Country Proposal Report in support of: Immunisation Services - Honduras, 2007-2010 – Approved: 4 March 2011

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-iss-support--honduras/ Honduras- Application Form for Country Proposals New and Under-Used Vaccines: Rotavirus and Pneumococcus 2008-2010- Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-nvs---pneumo,-rota-support--honduras/
	Data sources and data collection methods are appropriate for more than half of the performance indicators.	Met	Ghana - GAVI Alliance Health System Strengthening (HSS) Application - October 2007- Approved: 01 November 2007 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Ghana – Application Form for Country Proposals – Immunisation Services, Injection Safety and New and Under-Used Vaccines- Approved: 21 April 2009 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Ghana – GAVI Alliance CSO to Strengthen the Involvement of Civil Society Organisations in Immunisation and Related Health Services-Application Form B from the HSCC to GAVI Alliance Secretariat for: GAVI Alliance CSO Support in 10 Pilot GAVI Eligible Countries -Approved: 29 July 2010 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/ Honduras Application for: GAVI Alliance Health System Strengthening (HSS) -October 2007 - Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Honduras- Country Proposal Report in support of: Immunisation Services - Honduras, 2007-2010 – Approved: 4 March 2011 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-iss-support--honduras/ Honduras- Application Form for Country Proposals New and Under-Used Vaccines: Rotavirus and Pneumococcus 2008-2010- Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-nvs---pneumo,-rota-support--honduras/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	More than half of the performance indicators are monitorable (i.e. they have targets set for them, and the date(s) for target achievement is clear).	Met	Ghana - GAVI Alliance Health System Strengthening (HSS) Application - October 2007- Approved: 01 November 2007 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Ghana – Application Form for Country Proposals – Immunisation Services, Injection Safety and New and Under-Used Vaccines- Approved: 21 April 2009 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Ghana – GAVI Alliance CSO to Strengthen the Involvement of Civil Society Organisations in Immunisation and Related Health Services-Application Form B from the HSCC to GAVI Alliance Secretariat for: GAVI Alliance CSO Support in 10 Pilot GAVI Eligible Countries -Approved: 29 July 2010 Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/ Honduras Application for: GAVI Alliance Health System Strengthening (HSS) -October 2007 - Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Honduras-Country Proposal Report in support of: Immunisation Services - Honduras, 2007-2010 – Approved: 4 March 2011 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-iss-support--honduras/ Honduras- Application Form for Country Proposals New and Under-Used Vaccines: Rotavirus and Pneumococcus 2008-2010- Approved: 1 November 2007 Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-nvs---pneumo,-rota-support--honduras/
Overall Score MI 4.2: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
4.3 Statements of expected results	At least half of the proposals	Met	Proposal for CSO support- Ghana (2010-2011, approved 2010) Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
appear in the approved proposals and are consistent with those in multiyear plans for immunisation (MYP) and/or with those in national strategies	sampled contain statements of expected results.		Proposal for HSS support- Ghana (2008-2011, approved 2007) Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Proposal for HSS support- Honduras (2008-2011, approved 2007) Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Proposal for CSO-A support- DRC (approved 2007) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-cso---a-support--congo,-democratic-republic-of-the/ Proposal for HSS support- DRC (2007-2009, approved 2007) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-hss-support--congo,-democratic-republic-of-the/ Proposal for CSO support-Pakistan (approved 2008) Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-cso-support--pakistan/ Proposal for HSS support- Bangladesh (2009-2010, approved 2008) Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-hss-support--bangladesh/
	At least half of the proposals sampled contain reference to the country's MYP (or other national health strategy or plan) as applicable.	Met	Proposal for ISS support- Ghana (2007-2011, approved 2009): http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Proposal for HSS support- Honduras (2008-2011, approved 2007): http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Proposal for NVS- pneumo support-DRC (2008-2010, approved 2008) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-nvs---pneumo-support--congo,-democratic-republic-of-the/ Proposal for NVS Pneumosupport-Pakistan(2011-2015, approved 2015) Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-nvs-pneumosupport--pakistan/ Proposal for ISS support- Bangladesh (2008-2010, approved 2008) Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-iss-support--bangladesh/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	(If first two criteria are met) in at least half of the cases, the link between the sampled proposals expected results and those identified in the MYP (or other national health strategy or plan) is at least implicit.	Met	cMYP Ghana 2007-2011 Available here: http://www.gavialliance.org/country/ghana/documents/cmyps/cmyps-ghana-2007-2011/ cMYP Honduras 2006-2011 Available here: http://www.gavialliance.org/country/honduras/documents/cmyps/cmyps-honduras-2006-2010/ cMYP RDC 2008-2012 (Document provided by GAVI) cMYP Pakistan 2005-2010 Available here: http://www.gavialliance.org/resources/Pakistan_cMYP_2005_10.pdf/ cMYP Bangladesh 2011-2016 (Document provided by GAVI)
	(If all above criteria are met) at least half of the proposals sampled *explicitly* demonstrate the link between the sampled proposals expected results and those identified in the MYP (or other national health strategy or plan)	Met	ibid
	(If all above criteria are met) all above criteria are met for all proposals sampled.	Met	ibid
Overall Score MI 4.3: Very strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
4.5 Results for cross-cutting thematic priorities are included in results frameworks - gender equality, environment (as appropriate).	More than half of the proposals sampled identify (at least briefly mention) at least two of the organisationally relevant cross-cutting themes (the same ones assessed in KPI 3).	Met	Proposal for CSO support- Ghana (2010-2011, approved 2010) Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/ Proposal for ISS support- Ghana (2007-2011, approved 2009) Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Proposal for HSS support- Ghana (2008-2011, approved 2007) Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Proposal for ISS support- Honduras (2007-2011, approved 2011) Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-iss-support--honduras/ Proposal for NVS- pneumo support-DRC (2008-2010, approved 2008) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-nvs---pneumo-support--congo,-democratic-republic-of-the/ Proposal for HSS support- DRC (2007-2009, approved 2007) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-hss-support--congo,-democratic-republic-of-the/ Proposal for NVS Pneumo support-Pakistan(2011-2015, approved 2015) Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-nvs-pneumosupport--pakistan/ Proposal for ISS support-Pakistan (2006-2010, approved 2007) Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-iss-support--pakistan/ Proposal for NVS- Hib support- Pakistan (2008-2010, approved 2007) Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-nvs---hib-support--pakistan/ Proposal for ISS support- Bangladesh (2008-2010, approved 2008) Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-iss-support--bangladesh/ Proposal for HSS support- Bangladesh (2009-2010, approved 2008) Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-hss-support--bangladesh/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Proposal for NVS- Penta support- Bangladesh (2008-2010, approved 2008) Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-nvs---penta-support--bangladesh/
	More than half of the proposals sampled identify (at least briefly mention) all of the key cross-cutting themes for the organisation being assessed.	Not Met	ibid
	(If first criterion is met) more than half of proposals sampled identify results that integrate at least two of the issues / themes, as relevant.	Met	See 4.1
	(If first criterion is met) more than half of proposals sampled provide evidence of strategies and approaches to address or apply the cross-cutting issue / theme.	Met	ibid
	(If first criterion met) all above criteria are met for all proposals sampled.	Not met	ibid
Overall Score MI 4.5: Adequate			

QUADRANT II – OPERATIONAL MANAGEMENT

KPI 5. The MO makes transparent and predictable decisions about its financial and other support

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
5.1 The MO publishes its criteria for approving applications for support	A policy for the allocation of financial and other support exists.	Met	GAVI Alliance Country Eligibility Policy Available here: http://www.gavialliance.org/about/governance/programme-policies/country-eligibility/ Guidelines on Country Proposals For Support for: New and Underused Vaccines, 2011 Round Available here: http://www.gavialliance.org/resources/GAVI_Guidelines_2011_Round_May_11.pdf Health Systems Strengthening Resource Allocation Available here : http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/minutes/health-systems-strengthening-(hss)-resource-allocation/ GAVI Alliance Board Meeting. 16-17 June 2010. Final Minutes Available here : http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/final-minutes/gavi-alliance-board-meeting,-16-17-june-2010,-final-minutes/ GAVI Alliance Pilot Prioritisation Mechanism - Version No. 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-pilot-prioritisation-mechanism/ Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (Document provided by GAVI) Terms of Reference and Mandate for the 2009 GAVI Alliance Integrated New Proposals Independent Review Committee (IRC) Available here: http://www.fr.gavialliance.org/.../Mandate_TOR_NewProposals_IRC_2009.pdf GAVI Alliance Handbook http://gavistg3.elca-services.com/resources/Handbook_in_English.pdf
	The policy is reviewed on at least a 5-year cycle.	Met	GAVI Alliance Country Eligibility Policy Available here: http://www.gavialliance.org/about/governance/programme-policies/country-eligibility/ Health Systems Strengthening Resource Allocation

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here : http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/minutes/health-systems-strengthening-(hss)-resource-allocation/ GAVI Alliance Board Meeting. 16-17 June 2010. Final Minutes Available here : http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/final-minutes/gavi-alliance-board-meeting,-16-17-june-2010,-final-minutes/ GAVI Alliance Pilot Prioritisation Mechanism - Version No. 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-pilot-prioritisation-mechanism/ Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (Document provided by GAVI) Terms of Reference and Mandate for the 2009 GAVI Alliance Integrated New Proposals Independent Review Committee (IRC) Available here: http://www.fr.gavialliance.org/.../Mandate_TOR_NewProposals_IRC_2009.pdf
	There is evidence of the application of this policy.	Met	GAVI Alliance Pilot Prioritisation Mechanism - Version No. 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-pilot-prioritisation-mechanism/
	The policy is available on the agency's public website.	Met	GAVI Alliance Country Eligibility Policy Available here: http://www.gavialliance.org/about/governance/programme-policies/country-eligibility/ GAVI Alliance Pilot Prioritisation Mechanism - Version No. 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-pilot-prioritisation-mechanism/ Health Systems Strengthening Resource Allocation Available here : http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/minutes/health-systems-strengthening-(hss)-resource-allocation/ Terms of Reference and Mandate for the 2009 GAVI Alliance Integrated New Proposals Independent Review Committee (IRC) Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.fr.gavialliance.org/.../Mandate_TOR_NewProposals_IRC_2009.pdf
	The policy is available in more than one language relevant for the MO.	Met	Directives pour les demandes de Soutien aux vaccins nouveaux ou sous-utilises 2012 http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-nvs-application-guidelines-2012-fr-final/
Overall Score MI 5.1: Very strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
5.2 Approvals for support are granted in conformance with stated selection criteria	A policy for the allocation of financial and other support exists.	Met	GAVI Alliance Country Eligibility Policy Available here: http://www.gavialliance.org/about/governance/programme-policies/country-eligibility/ Guidelines on Country Proposals For Support for: New and Underused Vaccines, 2011 Round Available here: http://www.gavialliance.org/resources/GAVI_Guidelines_2011_Round_May_11.pdf Health Systems Strengthening Resource Allocation Available here : http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/minutes/health-systems-strengthening-(hss)-resource-allocation/ GAVI Alliance Board Meeting. 16-17 June 2010. Final Minutes Available here : http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/final-minutes/gavi-alliance-board-meeting,-16-17-june-2010,-final-minutes/ GAVI Alliance Pilot Prioritisation Mechanism - Version No. 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-pilot-prioritisation-mechanism/ Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (Document provided by GAVI) Terms of Reference and Mandate for the 2009 GAVI Alliance Integrated New Proposals Independent Review Committee (IRC) Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.fr.gavialliance.org/.../Mandate_TOR_NewProposals_IRC_2009.pdf
	(If first criterion is met) at least half of the IRC's recommendations on approved proposals sampled are in conformance with the policy.	Met	Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (Document provided by GAVI) Terms of Reference and Mandate for the 2009 GAVI Alliance Integrated New Proposals Independent Review Committee (IRC) Available here: http://www.fr.gavialliance.org/.../Mandate_TOR_NewProposals_IRC_2009.pdf Review of GAVI Independent Review Committees (IRCs). 30th March 2012-05-28 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/ List of requirements for HSFP Submissions (Document provided by GAVI) IRC Report on NVS Application from Ghana (included as Appendix A in the letter to the Ministry of Health dated 27 September 2011) (Document provided by GAVI) IRC Report on NVS Application from DRC - 22nd Independent Review Committee- Geneva, 6-14 June 2008 (Document provided by GAVI) Report on NVS Application from Honduras - 20th Independent IRC Review Committee Meeting Geneva, 18 – 27 October, 2007 (Document provided by GAVI) IRC Report on NVS Application from Pakistan (included as Appendix B in the letter to the Ministry of Health dated 8 September 2010) (Document provided by GAVI)
	(If second criterion is met) more than half of the IRC's recommendations on approved proposals sampled are in conformance with the policy.	Not met	IRC Report on NVS Application from Ghana (included as Appendix A in the letter to the Ministry of Health dated 27 September 2011) (Document provided by GAVI) IRC Report on NVS Application from DRC - 22nd Independent Review Committee- Geneva, 6-14 June 2008 (Document provided by GAVI) Report on NVS Application from Honduras - 20th Independent IRC Review Committee Meeting Geneva, 18 – 27 October, 2007 (Document provided by GAVI) IRC Report on NVS Application from Pakistan (included as Appendix B in the letter to the Ministry of Health dated 8 September 2010) (Document provided by GAVI)
	(If third criterion is met) *all* the IRC's recommendations on approved proposals sampled are in	Not met	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	conformance with the policy.		
	The IRC's recommendations, including the reasons leading to the recommendations, are communicated to the respective applicants OR The IRC's recommendations are available on the MO's web site.	Met	Letter to Ministry of Health of Ghana dated 27 September 2011 (Document provided by GAVI) Letter to Ministry of Health of Ghana dated 9 May 2011 (Document provided by GAVI) Letter to Ministry of Health of Ghana dated 4 November 2010 (Document provided by GAVI) Letter to Ministry of Health of Ghana dated 22 November 2010 (Document provided by GAVI) Letter to The Minister of Health and Family Welfare, Bangladesh, 13 October 2011 (Document provided by GAVI) Letter to the Ministry of Public Health of DRC dated 8 August 2008 (Document provided by GAVI) Letter to Ministry of Health of Pakistan dated 8 September 2010 (Document provided by GAVI) Letter to the Ministry of Health of Honduras dated 19 October 2010 (Document provided by GAVI)
Overall Score MI 5.2: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
5.3 MO makes decisions on grants based on independent review	The MO has a body mandated to review the received applications for support.	Met	GAVI website http://www.gavialliance.org/support/apply/independent-review-committees/ Review of GAVI Independent Review Committees (IRCs). Final Report. March 30th 2010. Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/ Terms of Reference of the Review of 2010 Progress Reports by the Monitoring Independent Review Committee (Document provided by GAVI) Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (IRC) (Document provided by GAVI) Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI)
	(If first criterion met) there is evidence that the	Met	IRC Report on NVS Application from Ghana (included as Appendix A in the letter to the Ministry of Health 27 September 2011) (Document provided by GAVI) IRC Report – IRC New Proposals – Ghana/CSO Support- 9 - 23 October 2009 (Document provided by GAVI)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	body reviews the applications received according to the MO's policy on the allocation of support.		IRC Report on NVS Application from DRC - 22nd Independent Review Committee- Geneva, 6-14 June 2008 (Document provided by GAVI) Report on NVS Application from Honduras - 20th Independent IRC Review Committee Meeting Geneva, 18 – 27 October, 2007 (Document provided by GAVI) WHO New Vaccine Introduction Pre-Review Form – Honduras – October 2007 – NVS (Document provided by GAVI) Country Application Pre-Assessment – UNICEF –Honduras - October 2007– NVS (Document provided by GAVI) WHO New Vaccine Introduction Pre-Review Form – Ghana – September 2009 – NVS (Document provided by GAVI) Country New Vaccines Application Pre-Assessment Prepared by UNICEF Supply Division - September 2009 (Document provided by GAVI) Country Application Pre-Assessment Prepared by UNICEF SD -June 2008 (Document provided by GAVI) 2009 Annual Progress Report Review Pre-assessment Prepared by UNICEF Supply Division- June 2010 (Document provided by GAVI) WHO New Vaccine Introduction Pre-Review Form – Pakistan– September 2009 – NVS (Document provided by GAVI)
	(If first criterion met) the terms of reference of the review body include potential conflict of interest situations to avoid.	Met	Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (IRC) (Document provided by GAVI) Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI) Review of GAVI Independent Review Committees (IRCs). Final Report. March 30th 2010. Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/
	(If first criterion met) the recommendations of the review body to allocate financial and other support are taken into account by the GAVI Board.	Met	Report of the Executive Committee Chair – GAVI Alliance Board Meeting, 30 November-1 December 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/report-of-the-executive-committee-chair/ GAVI Alliance Executive Committee Meeting, 12 April 2011. Final Minutes Available here: http://www.gavialliance.org/about/governance/gavi-board/executive-committee/2011/executive-committee-meeting,-12-april-2011,-final-minutes/
	There is evidence, from an audit,	Not met	Review of GAVI Independent Review Committees (IRCs). Final Report. March 30th 2010.

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	evaluation or other review that the review of applications for support is independent.		Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/ Management response to HLSP IRC Review Report released in March 2010 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/management-response-to-review-of-gavi-independent-review-committees/ Terms of Reference of the Review of 2012 Country Applications by the New Proposals Independent Review Committee (IRC) Terms of Reference of the Review of 2012 Country Progress Reports by the Monitoring Independent Review Committee (IRC) Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (IRC) (Document provided by GAVI) Terms of Reference of the Review of 2011 Country Applications by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI) Terms of Reference and mandate for the 2009 GAVI Alliance integrated new proposals Independent Review Committee (IRC) Available here: http://www.fr.gavialliance.org/.../Mandate_TOR_NewProposals_IRC_2009.pdf
Overall Score MI 5.3: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
5.4 Planned resources (financial / technical co-operation, etc) are released according to agreed schedules (in-year).	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to improve predictability and delivery of		

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	funding.		
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to the predictability and delivery of funding.		Table C.11 (p.175), Aid Effectiveness 2005-2010: Progress in Implementing the Paris Declaration: http://www.oecd.org/dataoecd/49/26/48726821.pdf GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010 Country Programme Update– Report to the GAVI Alliance Board, 16-17 November 2011 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/country-programme-update/ GAVI website http://www.gavialliance.org/about/gavis-business-model/securing-predictable-financing/ Evaluation of the International Finance Facility for Immunisation (IFFIm) – June 2011 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/iffim-evaluation--full-report/ AMC Factsheet Available here: http://www.gavialliance.org/library/documents/amc/factsheet--advance-market-commitment/ GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to improve predictability and delivery of funding.		

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
Overall Score MI 5.4: Adequate			

KPI 6. The MO's financial and other support is linked to performance

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
6.1 Budget allocations are linked to expected development results	In the most recent annual or multi-year organisation-wide budget, budget information is presented in a results-oriented way.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ 2009 GAVI Work Plan and Administrative Budget (*including the 2010 Work Plan Budget*) Available here: http://fr.gavialliance.org/resources/9._Workplan_and_admin_budget.pdf 2010 GAVI Administrative and Work Plan Budget Available here: http://fr.gavialliance.org/resources/03b_GAVI_2010_administrative_and_work_plan_budget.pdf
	Some output costs and/or outcome costs in the DRF and MRF are presented in the budget document.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ Corporate Key Performance Indicators (Document provided by GAVI)
	Most output costs and/or outcome costs in the DRF and MRF are presented in the budget document.	Not met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ Corporate Key Performance Indicators (Document provided by GAVI)
	There is evidence of improvement of outputs and outcomes costing over time in budget documents reviewed (evidence of building a better system).	Met	2009 GAVI Work Plan and Administrative Budget (*including the 2010 Work Plan Budget*) Available here: http://fr.gavialliance.org/resources/9._Workplan_and_admin_budget.pdf GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ GAVI Alliance Board Meeting, 30 November -1 December 2010 Doc #07g – GAVI Alliance Business Plan Budget

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			2009 Work Plan Information and Update – GAVI Alliance Board Meeting, 16-17 June 2010 Available here: http://fr.gavialliance.org/resources/04___2009_Work_Plan_Information_and_Update.pdf GAVI 2007 Work Plan and Budget and 2007-10 "Roadmap" Available here: http://fr.gavialliance.org/resources/19brd_2007WorkPlan.pdf
	There is evidence (from evaluations or audits conducted in this area) of a system that allows the organisation to track costs from activity through to outcome.	Not met	
Overall Score MI 6.1: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
6.2 Disbursements are linked to reported results (variances explained)	The most recent annual reports show financial disbursements aligned with achieved results (i.e., the report shows how much was spent to achieve each result).	Not met	GAVI Alliance Annual Financial Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/ GAVI Alliance Annual Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/ 2009 GAVI Alliance Work Plan and Administrative Budget Available here: http://fr.gavialliance.org/resources/9._Workplan_and_admin_budget.pdf
	In the most recent annual reports, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan.	Met	Report to the GAVI Alliance Board, 16-17 November 2011. GAVI Business Plan 2012 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/business-plan-2012/ GAVI Alliance Annual Financial Report 2010

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/ GAVI Alliance Annual Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/
	In the most recent annual reports, variances in operational expenditure and results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are reported.	Not met	GAVI Alliance Annual Financial Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/ GAVI Alliance Annual Financial Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/
	(If the third criterion is met) In the most recent annual reports, variances in operational expenditure and results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are explained.	Not met	
	In the documents consulted, there is evidence of consistent improvement over time in the degree of alignment between operational expenditures and results achievement.	Not met	
Overall Score MI 6.2: Weak			

KPI 7. The MO has policies and processes for financial accountability (financial accountability, risk management, anti-corruption)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.1 External financial audits (meeting recognised international standards) are performed across the organisation	Annual organisation-wide reports on financial performance exist.	Met	GAVI Alliance Annual Financial Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/ GAVI's Financial Statements Available here: http://www.gavialliance.org/funding/financial-reports/
	(If first criterion is met) the most recent annual financial report reviewed is accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level.	Met	GAVI Alliance Annual Financial Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/
	(If first two criteria are met) the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent).	Met	GAVI Alliance Annual Financial Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/ International Financial Reporting Standards (IFRS) Available here: http://www.ifrs.com/pdf/IFRSUpdate_V8.pdf
	(If first criterion is met) *all* annual financial reports reviewed are accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level.	Met	GAVI's financial statements Available here: http://www.gavialliance.org/funding/financial-reports/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	(If criterion 4 is met) in *all* financial reports reviewed, the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent).	Met	GAVI's financial statements Available here: http://www.gavialliance.org/funding/financial-reports/
Overall Score MI 7.1: Very Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.2 External financial audits (meeting recognised international standards) are performed at the regional, country or project level (as appropriate)	The documents available provide evidence that audits are performed at regional, country, or project levels (as appropriate)	Met	How the GAVI Alliance manages oversight of its cash-based programmes Available here: http://www.gavialliance.org/library/gavi-documents/policies/how-the-gavi-alliance-manages-oversight-of-its-cash-based-programmes/ GAVI Alliance steps up transparency on oversight of its cash programme Available here: http://fr.gavialliance.org/media_centre/statements/transparency.php Update on audit of GAVI cash-based support to Zambia 2006-2009 http://www.gavialliance.org/library/news/statements/2011/update-on-audit-of-gavi-cash-based-support-to-zambia-2006-2009/ GAVI Alliance Guidelines on Country Proposals June 2011 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/guidelines-on-country-proposals-for-nvs-support-2011/ GAVI Alliance Transparency and Accountability Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/ Report to the GAVI Alliance Board, 7-8 July 2011. CEO Report Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/ceo-report/
	There are established	Met	GAVI Alliance Guidelines on Country Proposals June 2011

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	rules/procedures for the conduct of audits in the organisation.		Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/guidelines-on-country-proposals-for-nvs-support-2011/
	The rules/procedures ensure ample audit coverage of the organisation's programmes and operations.	Met	GAVI Alliance Guidelines on Country Proposals June 2011 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/guidelines-on-country-proposals-for-nvs-support-2011/
	The evidence also indicates that the audits will be carried out using international standards, or provides an indication that the MO will be using national audit systems and procedures.	Met	GAVI Alliance Guidelines on Country Proposals June 2011 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/guidelines-on-country-proposals-for-nvs-support-2011/
	External financial audit reports at country/project/regional level are made available to the public by the MO.	Not Met	GAVI Access to Information Policy (Document provided by GAVI)
Overall Score MI 7.2: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.3 Guidelines in place for immediate measures against irregularities identified at the country (or other) level	There is a policy on financial audit that refers to measures to be taken against irregularities.	Met	GAVI Transparency and Accountability Policy Implementation in 2009 & 10 Available here: http://fr.gavialliance.org/resources/Transparency Accountability_Policy_implementation_plan.pdf GAVI Alliance Audit and Finance Committee Meeting, 24 March 2011. Teleconference. Final Minutes Available here: http://www.gavialliance.org/about/governance/gavi-board/audit-and-finance-committee/2011/audit-and-finance-committee-teleconference,-24-march-2011,-final-minutes/ Procedures for Handling Situations that Warrant Increased Attention, and Suspected and Actual Cases of Misuse of Funds Version No.: 2.0 (Document provided by GAVI)
	Management guidelines or rules support the policy and describe the procedure for a response to	Met	GAVI Transparency and Accountability Policy Implementation in 2009 & 10 Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	irregularities identified during an external financial audit.		http://fr.gavialliance.org/resources/Transparency___Accountability_Policy_implementation_plan.pdf Update on audit of GAVI cash-based support to Zambia 2006-2009 Available here: http://www.gavialliance.org/library/news/statements/2011/update-on-audit-of-gavi-cash-based-support-to-zambia-2006-2009/ Procedures for Handling Situations that Warrant Increased Attention, and Suspected and Actual Cases of Misuse of Funds – Version No.: 2.0 (Document provided by GAVI)
	(If second criterion is met) these guidelines set timelines for the response to irregularities identified during an external financial audit (in other words, the managers have to respond to audit findings within a certain period of time).	Not met	GAVI Transparency and Accountability Policy Implementation in 2009 & 10 Available here: http://fr.gavialliance.org/resources/Transparency___Accountability_Policy_implementation_plan.pdf
	There is evidence (in audit reports to the Board or other documents) that audit recommendations are followed up by management.	Met	GAVI Alliance steps up transparency on oversight of its cash programmes Available here: http://fr.gavialliance.org/media_centre/statements/transparency.php
	Major or systemic irregularities are reported to the board/governing body, as appropriate.	Met	Report to the GAVI Alliance Board, 7-8 July 2011. CEO Report Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/ceo-report/ Report to the GAVI Alliance Board, 16-17 November 2011. Report of the Chief Executive Officer Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/ceo-report/
Overall Score MI 7.3: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.4 Systems are in place for external audits (meeting	The MO's policy on financial audit (or guidelines/instructions on external financial audits)	Met	GAVI Alliance Procurement Policy Available here :

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
recognised international standards) on sub-contracted entities	requires the external audit of sub-contracted entities.		http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-procurement-policy/
	There is evidence (in audit reports to the Board or other documents) that external audits of sub-contracted entities have taken place.	Not met	
	(If second criterion met) there is evidence (in audit reports to the Board or other documents) that external audits of sub-contracted entities have been carried out using international standards.	Met	
	Management guidelines or rules support the policy and describe the procedure for a response to irregularities identified during an external financial audit of sub-contracted entities.	Not met	
	The MO's policy on financial audit (or guidelines/instructions on external financial audits) also covers the entities subcontracted by the MO's partners.	Met	GAVI Alliance Procurement Policy Available here : http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-procurement-policy/
Overall Score MI 7.4: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.5 Internal financial audit processes are used to provide management / governing bodies with credible information	There is evidence of practice of internal financial audits in the organisation.	Met	Report to the GAVI Alliance Board, 7-8 July 2011, Annual Internal Audit Report Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/annual-internal-audit-report/ GAVI Alliance Post-FMA Follow-up Mission—Bangladesh (Files supplied by GAVI: Bangladesh Aide memoire follow-up)
	(If the first criterion is met) an organisation-wide guideline/policy for the practice of internal financial audits exists and is corporately approved.	Met	GAVI Alliance Internal Audit Terms of Reference Available here: http://www.gavialliance.org/library/gavi-documents/legal/internal-audit--terms-of-reference
	(If first criterion is met) there is evidence in these documents that the internal audit function is separate from the programming areas, enabling it to provide an "independent" audit opinion. The key is that internal auditors are not influenced by the programs they are auditing.	Met	GAVI Alliance Internal Audit Terms of Reference Available here: http://www.gavialliance.org/library/gavi-documents/legal/internal-audit--terms-of-reference
	There is evidence in these documents that the internal audit function reports directly to the Board, thus providing maximum assurance of its independence from programming.	Met	GAVI Alliance Internal Audit Terms of Reference Available here: http://www.gavialliance.org/library/gavi-documents/legal/internal-audit--terms-of-reference Report to the GAVI Alliance Board, 7-8 July 2011, Annual Internal Audit Report Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/annual-internal-audit-report/
	Reports available from the Audit Committee (or equivalent) of the Board confirm receipt of internal audit information.	Met	GAVI Alliance Audit and Finance Committee Meeting 28 October 2011 Geneva, Switzerland/Washington, DC USA Final Minutes Available here: http://www.gavialliance.org/about/governance/gavi-board/audit-and-finance-committee/2011/audit-and-finance-committee-meeting,-28-october-2011,-final-minutes/ Report to the GAVI Alliance Board, 7-8 July 2011, Annual Internal Audit Report

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/annual-internal-audit-report/ Audit and Finance Committee Minutes, 25 October 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/audit-and-finance-committee/2010/audit-and-finance-committee-meeting,-25-october-2010,-final-minutes/
Overall Score MI 7.5: Very Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.6 The MO has a policy on anti-corruption	Guidelines, policy or a framework on anti-corruption are corporately approved (in other words, not in draft form).	Met	GAVI Alliance Conflict of Interest Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-conflict-of-interest-policy/ GAVI Alliance Transparency and Accountability Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/ GAVI Alliance Whistleblower Policy, 2009 Available here: http://www.gavialliance.org/about/governance/internal-audit/ GAVI Alliance Internal Audit Terms of Reference Available here: http://www.gavialliance.org/library/gavi-documents/legal/internal-audit--terms-of-reference
	(If first criterion is met) the document includes operational policy measures which pro-actively support solutions to counter corruption at the local level (e.g. training, incentive and reward structures for staff, complaint and advocacy mechanisms, whistle blowing	Met	GAVI Alliance Whistleblower Policy, 2009 Available here: http://www.gavialliance.org/about/governance/internal-audit/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	mechanisms, etc.).		
	(If first criterion is met) the policy commits the organisation to design and manage programs and services which are compliant with preventing and combating fraud and corruption.	Met	GAVI Alliance Conflict of Interest Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-conflict-of-interest-policy/ GAVI Alliance Transparency and Accountability Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/
	(If first criterion is met) the policy defines the roles, responsibilities and accountabilities of Management, Staff and Experts / Specialists in implementing & complying with the policy.	Met	GAVI Alliance Whistleblower Policy, 2009 Available here: http://www.gavialliance.org/about/governance/internal-audit/
	(If first criterion is met) the policy commits the organisation to review its activities on combating fraud and corruption or there is other evidence that the organisation has reviewed its policy and/or practice in this area.	Met	GAVI Alliance Transparency and Accountability Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/ GAVI Alliance Conflict of Interest Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-conflict-of-interest-policy/ GAVI Alliance Board Meeting, 30 November – 1 December 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/risk-oversight/
Overall Score MI 7.6: Very Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.7 The MO's procurement and contract management processes for the	There is one or more organisation-wide policy, guideline or instructions on procurement and contract management processes.	Met	GAVI Alliance Procurement Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-procurement-policy/ GAVI Alliance Vaccine Supply and Procurement Strategy for the Period 2011-2015

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
provision of services or goods are timely, efficient and effective.			Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-vaccine-supply-and-procurement-strategy-2011-2015/ Report to the GAVI Alliance Board, 16-17 November 2011- Vaccine supply and procurement strategy for the period 2011-2015 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/vaccine-supply-and-procurement-strategy/
	(If the first criterion has been met) This/these document(s) explicitly sets targets or requirements for timeliness of delivery of products and services.	Met	GAVI Alliance Procurement Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-procurement-policy/ Advanced Market Commitments (AMC) for vaccines: Advance Market Commitment for Pneumococcal Vaccines Annual Report 12 June 2009 – 31 March 2010 Available here: http://www.gavialliance.org/library/documents/amc/2010-pneumococcal-amc-annual-report/ GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ Delhi GAVI Boards meeting 6-7 December 2005 - Recommended Supply Strategy for Hib and HepB Containing Vaccines Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/supply-strategy-for-hib-and-hepb-containing-vaccines/
	(If the first criterion is met) This/these document(s) establish requirements to ensure quality, efficiency and effectiveness of these products and services.	Met	GAVI Alliance Procurement Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-procurement-policy/ Delhi GAVI Boards meeting 6-7 December 2005 - Recommended Supply Strategy for Hib and HepB Containing Vaccines Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/supply-strategy-for-hib-and-hepb-containing-vaccines/ Report to the GAVI Alliance Board, 16-17 November 2011- Vaccine supply and procurement strategy

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			for the period 2011-2015 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/vaccine-supply-and-procurement-strategy/ Guidelines on Country Proposals For Support for: New and Underused Vaccines, 2011 Round Available here: http://www.gavialliance.org/resources/GAVI_Guidelines_2011_Round_May_11.pdf GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015
	An audit, evaluation or other review has been undertaken, at the country, regional or organisation-wide level, which examined the timeliness, efficiency and/or effectiveness of the MO's procurement and contract management processes, and found that these are in general satisfactory or better.	Met	Report to the GAVI Alliance Board, 16-17 November 2011- Vaccine supply and procurement strategy for the period 2011-2015 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/vaccine-supply-and-procurement-strategy/ Lessons Learned : New Procurement Strategies for Vaccines. Final Report to the GAVI Board Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/mercer-report-on-vaccine-procurement/ GAVI Procurement agent Study for Rotavirus and pneumococcal vaccines Available here: http://fr.gavialliance.org/resources/AF_2_Procurement_agent_review.pdf
	There is other documentary evidence that the MO has functioning procurement and contract management systems in place.	Met	
Overall Score MI 7.7: Very Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.8 The MO has strategies in place for risk management (identification, mitigation, monitoring and reporting)	An organisation-wide policy, strategy, framework or guideline on risk management is corporately approved.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ GAVI Alliance Transparency and Accountability Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/ Guidance Note GAVI Financial Management Assessments- February 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-financial-management-assessments--guidance-note/ Procedures for Handling Situations that Warrant Increased Attention, and Suspected and Actual Cases of Misuse of Funds Version No.: 2.0 (Document provided by GAVI) GAVI Risk Management Process (Document provided by GAVI) Report to the GAVI Alliance Board, 16-17 November 2011- Report of the Chief Executive Officer Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/ceo-report/
	(If first criterion is met) this document follows international standards on managing risk, including a description of roles and responsibilities of key actors.	Met	Guidance Note GAVI Financial Management Assessments- February 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-financial-management-assessments--guidance-note/ GAVI Risk Management Process (Document provided by GAVI) Internal Audit Terms of Reference Available here: http://www.gavialliance.org/library/gavi-documents/legal/internal-audit--terms-of-reference
	(If first criterion is met) this document applies to country, regional and corporate activities. In other words, risk analysis is undertaken as appropriate at these different levels.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ GAVI Risk Management Process (Document provided by GAVI)
	(If first criterion is met) major risk analysis (significant programs,	Met	Report to the Executive Committee, 9 March 2012- Risk management update (Document provided by

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	projects, etc.) is presented to the Board.		GAVI) Report to the GAVI Alliance Board, 7-8 July 2011 - Update on Performance and Risk Management Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/update-on-performance-and-risk-management/ Risk Oversight - Presentation to the GAVI Alliance Board, December 2010 http://www.gavialliance.org/library/gavi-documents/legal/risk-oversight--presentation-to-the-gavi-alliance-board,-december-2010/ Risk Oversight—GAVI Alliance Board Meeting, 30 November – 1 December 2010: Doc 10 http://www.gavialliance.org/library/gavi-documents/legal/risk-oversight--gavi-alliance-board-meeting,-december-2010/
	(If first criterion is met) management and/or Board documents demonstrate utilisation of risk management policy and procedures.	Met	Report to the Executive Committee, 9 March 2012- Risk management update (Document provided by GAVI) Report to the GAVI Alliance Board, 7-8 July 2011 - Update on Performance and Risk Management Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/update-on-performance-and-risk-management/ Risk Oversight - Presentation to the GAVI Alliance Board, December 2010 http://www.gavialliance.org/library/gavi-documents/legal/risk-oversight--presentation-to-the-gavi-alliance-board,-december-2010/ Risk Oversight—GAVI Alliance Board Meeting, 30 November – 1 December 2010: Doc 10 http://www.gavialliance.org/library/gavi-documents/legal/risk-oversight--gavi-alliance-board-meeting,-december-2010/
Overall Score MI 7.8: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
7.9 The MO ensures sufficient level of risk assessment on applicants and	An organisation-wide policy, strategy, framework or guideline on risk management is corporately approved.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here : http ://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ GAVI Alliance Transparency and Accountability Policy

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
implementers.			Available here : http ://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/ Guidance Note GAVI Financial Management Assessments- February 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-financial-management-assessments--guidance-note/ Procedures for Handling Situations that Warrant Increased Attention, and Suspected and Actual Cases of Misuse of Funds Version No.: 2.0 (Document provided by GAVI) GAVI Risk Management Process (Document provided by GAVI) Report to the GAVI Alliance Board, 16-17 November 2011- Report of the Chief Executive Officer Available here : http ://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/ceo-report/
	(If first criterion is met) this document this document follows international standards on managing risk, including a description of roles and responsibilities of key actors.	Met	Guidance Note GAVI Financial Management Assessments- February 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-financial-management-assessments--guidance-note/ GAVI Risk Management Process (Document provided by GAVI) Internal Audit Terms of Reference Available here: http://www.gavialliance.org/library/gavi-documents/legal/internal-audit--terms-of-reference
	(If first criterion is met) this document applies to applicants and implementers.	Met	Guidance Note – GAVI Financial Management Assessments – February 2009 Available here: http://fr.gavialliance.org/resources/FMA_Framework_Guidance_Note_English.pdf GAVI Alliance Transparency and Accountability Policy Available here : http ://www.gavialliance.org/library/gavi-documents/policies/transparency-and-accountability-policy/ GAVI Alliance Strategy and Business Plan 2011-2015 Available here : http ://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ Report to the GAVI Alliance Board, 7-8 July 2011 – Update on Performance and Risk Management Available here :

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http ://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/update-on-performance-and-risk-management/
	(If first criterion is met) major risk analysis of applicants and implementers is presented to the Board.	Met	Update on Performance and Risk Management Available here : http ://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/update-on-performance-and-risk-management/ GAVI Alliance Board Meeting, 16-17 November 2011 Available here : http ://www.gavialliance.org/about/governance/gavi-board/minutes/2011/
	(If first criterion is met) management and/or Board documents demonstrate utilisation of risk management policy and procedures.	Met	Report to the GAVI Alliance Board, 7-8 July 2011 – CEO Report Available here : http ://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/ceo-report/ Pakistan Annual Progress Report 2010 http://www.gavialliance.org/search/?SearchFor=0&SearchText=Pakistan+Annual+Progress+Report Update on Performance and Risk Management Available here : http ://www.gavialliance.org/about/governance/gavi-board/minutes/2011/7-july/minutes/update-on-performance-and-risk-management/ GAVI Alliance performance review–Q4 2011 (Document provided by GAVI)
Overall Score MI 7.9: Very Strong			

KPI 8. Performance information on results is used by the MO

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
8.1 Revising and adjusting policies	Information on organisation-wide performance (i.e., progress towards outcomes) is available, for instance in annual performance reports, or from an organisation-wide evaluation or audit.	Met	Report to the GAVI Alliance Board, 16-17 November 2011, Report of the Chief Executive Officer Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/ceo-report/ Report to the GAVI Alliance Board Board-2011-Mtg-3-Doc 03b 16-17 November 2011 -Country Programmes Update Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/country-programme-update/ GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ International Finance Facility for Immunisation Evaluation Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/iffim-evaluation--full-report/ Review of GAVI- Independent Review Committees (IRCs) March 2010 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/ GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010/
	(If first criterion is met) There is evidence that the MO analyses/ assesses its performance in a systematic manner and takes into account recommendations from organisation-wide audits, performance reports and/or evaluations.	Met	Background Information – to GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--background-information/ GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 (For Public Comments) Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--for-public-comments/ GAVI Alliance Board Meeting, 30 November - 1 December 2010 - Doc #11 – Report of PPC Chair- Report of the Programme and Policy Committee Chair, June – December 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/report-of-the-programme-and-policy-committee-chair/ Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI)
	(If the first two criteria are met)	Met	Background Information – to GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	There is evidence that the MO takes steps to respond to the *specific* performance-related problems highlighted in audits, performance reports and/or evaluations.		2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--background-information/ GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 (For Public Comments) Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--for-public-comments/ GAVI Alliance Board Meeting, 30 November - 1 December 2010 - Doc #11 – Report of PPC Chair- Report of the Programme and Policy Committee Chair, June – December 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/report-of-the-programme-and-policy-committee-chair/ Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI)
	(If the first two criteria are met) There is evidence that the MO revises and adjusts its *broader* programming and policies in response to performance issues raised in audits, performance reports and /or evaluations (problems and successes).	Met	Background Information – to GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--background-information/ GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 (For Public Comments) Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--for-public-comments/ GAVI Alliance Board Meeting, 30 November - 1 December 2010 - Doc #11 – Report of PPC Chair- Report of the Programme and Policy Committee Chair, June – December 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/report-of-the-programme-and-policy-committee-chair/ Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI)
	(If criterion 4 is met) There is	Met	GAVI Second Evaluation Report 2010

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	evidence that the MO systematically evaluates and audits its policies, procedures and practices so as to ensure continuous learning and improvement of processes and performance.		Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010/ International Finance Facility for Immunisation Evaluation Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/iffim-evaluation--full-report/ Review of GAVI- Independent Review Committees (IRCs) March 2010 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/ Baseline Study for pneumococcal vaccine AMC Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/baseline-study-for-pneumococcal-vaccine-amc/
Overall Score MI 8.1: Very Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
8.2 Planning new interventions	Information on the MO's performance in the country (i.e., progress towards outcomes) is available.	Met	Update on Country Programmes 2009 Available here: http://fr.gavialliance.org/resources/DOC__11f_Country_Programme_Updates_2009.pdf Report to the GAVI Alliance Board-Country Programmes Update 16-17 November 2011 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/country-programme-update/ GAVI Alliance Annual Progress Report 2010 : Honduras Available here: http://www.gavialliance.org/search/?SearchText=Honduras+IRC+report&SearchFor=0 GAVI Alliance Annual Progress Report 2009 : Republic of Congo Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Congo+IRC+report GAVI Alliance Annual Progress Report 2010 : Ghana

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Ghana+IRC+report GAVI Alliance Annual Progress Report 2010 : Bangladesh Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Bangladesh+IRC+report GAVI Alliance Annual Progress Report 2010: Pakistan Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Pakistan+IRC+report
	(If first criterion is met) for at least half of the countries, there is evidence of an analysis/ assessment of performance (problems as well as successes).	Met	GAVI Alliance Ghana IRC Report, September 2010 (Document provided by GAVI) GAVI Alliance Congo IRC Report, July 2011 (Document provided by GAVI) GAVI Alliance Pakistan IRC Report, July 2011 (Document provided by GAVI) GAVI Alliance Honduras IRC Report, July 2011 (Document provided by GAVI) GAVI Alliance Bangladesh IRC Report, July and September 2011 (Document provided by GAVI)
	(If second criterion is met) There is evidence of an analysis of the implications of this performance information on planning subsequent interventions (i.e., how new interventions in the planning stage need to be altered, or what subsequent interventions should be developed in response to the performance information).	Met	GAVI Alliance GHANA IRC Report, September 2010 (Document provided by GAVI) GAVI Alliance Congo IRC Report, July 2011 (Document provided by GAVI) GAVI Alliance Pakistan IRC Report, July 2011 (Document provided by GAVI) GAVI Alliance Honduras IRC Report, July 2011 (Document provided by GAVI) GAVI Alliance Bangladesh IRC Report, July and September 2011 (Document provided by GAVI)
	4. (If all above criteria are met) for at least half of the countries, there is evidence from IRC's	Not met	Review of GAVI Independent Review Committees (IRCs) Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	recommendations that subsequent interventions have been introduced in response to the performance information.		http://fr.gavialliance.org/resources/IRC_Final_report_30.03.2010.pdf GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010/ GAVI Alliance Annual Progress Report 2010 : Democratic Republic of Congo Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Congo+annual+progress+reports GAVI Alliance Annual Progress Report 2010 : Ghana Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Ghana+IRC+report GAVI Alliance Annual Progress Report 2010: Honduras http://www.gavialliance.org/search/?SearchFor=0&SearchText=Honduras+IRC+report GAVI Alliance Annual Progress Report 2010: Bangladesh Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Bangladesh+annual+progress+reports GAVI Alliance Annual Progress Report 2010: Pakistan Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Pakistan+IRC+report
	5. (If all above criteria are met) all criteria met for all countries.	Met	Ibid.
Overall Score MI 8.2: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
8.3 Proactive management of poorly performing programmes, projects, and/or initiatives	The MO has a process for reviewing the performance of its programmes/projects or investments.	Met	Review of GAVI Independent Review Committees (IRCs) Available here: http://fr.gavialliance.org/resources/IRC_Final_report_30.03.2010.pdf Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
interventions			Terms of Reference of the Review of 2011 Country Applications- by the New Proposals Independent Review Committee (IRC) (Document provided by GAVI)
	There is evidence that the MO is implementing this process.	Met	Review of GAVI Independent Review Committees (IRCs) Available here: http://fr.gavialliance.org/resources/IRC_Final_report_30.03.2010.pdf
	The MO has a specific process for reviewing unsatisfactory programmes/projects or investments.	Not met	Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI)
	The MO has a way for following up on unsatisfactory programmes/projects or investments.	Met	Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI) Report to the GAVI Alliance Board 16-17 November 2011 http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/country-programme-update/
	There is evidence that changes to unsatisfactory programmes/projects or investments are being implemented.	Not met	Review of GAVI Independent Review Committees (IRCs) Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=IRC+Review+Report Report to the GAVI Alliance Board 16-17 November 2011 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/country-programme-update/ Ghana Annual Progress Report 2010 Available here: http://www.gavialliance.org/search/?SearchFor=0&SearchText=Ghana+IRC+report
Overall Score MI 8.3: Adequate			

Micro-Indicator	Criteria	Status	Document consulted| (Title and Hyperlink if available)
8.4 Evaluation recommendatio	MO Evaluation Policy or guidelines exist and include the	Not met	GAVI Alliance Evaluation policy Available here:

Micro-Indicator	Criteria	Status	Document consulted| (Title and Hyperlink if available)
ns reported to the Executive Committee/Board are acted upon by the responsible units and/or initiatives interventions	requirement of a management response, action plan and/or agreement stating responsibilities and accountabilities for follow-up to evaluations (accepting recommendations).		http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/ Management Response to the Second GAVI Evaluation Available here: http://www.gavialliance.org/results/evaluations/gavi-second-evaluation-report/ GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ Management Response to Review of GAVI Independent Review Committees: *Management Response to HLSP IRC Review Report released in March 2010* Available here: http://www.gavialliance.org/results/evaluations/irc-review/
	MO Evaluation Policy outlines a process for tracking the implementation of accepted evaluation recommendations.	Not met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/ Management Response to Review of GAVI Independent Review Committees: *Management Response to HLSP IRC Review Report released in March 2010* Available here: http://www.gavialliance.org/results/evaluations/irc-review/
	There is evidence that the management response, action plan and/or agreement accepting recommendations are presented to the Executive Office/Board.	Met	Management Response to Review of GAVI Independent Review Committees: *Management Response to HLSP IRC Review Report released in March 2010* Available here: http://www.gavialliance.org/results/evaluations/irc-review/
	There is evidence of periodic reports on the status of the implementation of these evaluation recommendations accepted by management/governing body.	Met	GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010/ GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/

Micro-Indicator	Criteria	Status	Document consulted| (Title and Hyperlink if available)
	There is evidence of a systematic process for follow-up on the evaluation of the recommendations accepted by management/governing body (regularly on the agenda of the Board; reports or presentations to Board illustrate regular tracking of follow up).	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/
Overall Score MI 8.4: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
8.5 MO resources allocated to countries and projects reflect performance	The MO has a resource allocation system/policy that is publicly available that explains the way financial and other support are allocated to countries.	Met	GAVI Alliance Pilot Prioritisation Mechanism Available here: http://www.gavialliance.org/about/governance/programme-policies/prioritisation/ GAVI Alliance Board Meeting, 30 November - 1 December 2010, Final Minutes Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/
	The system/policy includes performance as one of the criteria, in addition to other considerations, including improvements over time in different areas (governance, executing capacity, results, etc).	Met	GAVI Alliance Pilot Prioritisation Mechanism Available here: http://www.gavialliance.org/about/governance/programme-policies/prioritisation/ Document 11-HSS Resource Allocation Method, presented and approved at Board Meeting 16-17 June 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/ GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/
	There is evidence that the system is applied.	Not met	GAVI Alliance Pilot Prioritisation Mechanism Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.gavialliance.org/about/governance/programme-policies/prioritisation/ Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/
	There is a review procedure that helps to improve the policy.	Met	GAVI Alliance Pilot Prioritisation Mechanism Available here: http://www.gavialliance.org/about/governance/programme-policies/prioritisation/
	(If previous criteria are met) Over time, there is evidence that performance becomes an increasingly important criterion.	Met	Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015/
Overall Score MI 8.5: Strong			

KPI 9. The MO manages human resources using methods to improve organisational performance

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
9.1 Results-focused performance assessment systems are in place for senior staff	There is evidence in the documents reviewed that a system is in place that requires performance assessments for certain staff.	Met	Performance Development Plan (Document provided by GAVI)
	The evidence suggests that this applies to senior staff (e.g., president/CEO, vice presidents, sector/programme/division directors) and/or that the MO has a specific performance assessment system for senior staff.	Met	Performance Development Plan (Document provided by GAVI) Report to the GAVI Alliance Board. 16-17 November 2011. Report of the Chief Executive Officer Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/ceo-report/
	The system includes a description of the approach to	Met	Performance Development Plan (Document provided by GAVI)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	creating performance assessments and the content of those assessments.		
	There is an explicit policy (HR or otherwise) that summarises all the aims and content of the performance assessment system for senior staff.	Met	GAVI Personal Development Process. Team Leader User Guide. 2011 (Document Provided by GAVI)
	(If the first two criteria are met) There is evidence of compliance with the performance assessment system. In other words, there are management indicators that monitor the application of the performance assessment system, or there are other sources – newsletters, reports etc—that comment on how many senior staff go through this system every year.	Met	360 Feedback for GAVI's Executive Management (Document provided by GAVI)
Overall Score MI 9.1: Very strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
9.2 There is a transparent incentive and reward system for staff performance	There is evidence (either in a HR policy or through various documents) that the MO has a system for managing staff performance (see 9.1) that is operational.	Met	Performance Development Plan (Document provided by GAVI) Talent Management - Focus on Performance Management (Document provided by GAVI)
	There is evidence that the organisation is making efforts to better link the assessment of staff performance with incentives and/or rewards (is it looking at this issue at all – for	Met	Report to the GAVI Alliance Board. 16-17 November 2011. Report of the Chief Executive Officer Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/ceo-report/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	example, has it set up a working group, is it reviewing its policy to better address this, is it seeking data from partner agencies or other organisations, etc).		
	There is an explicit effort to explain how performance of staff relates to promotion (advancing from one grade to the next).	Not met	GAVI Alliance Human Resources Manual (Document provided by GAVI)
	There is an explicit description of the relationship between staff performance and rewards.	Not met	
	There is a review or evaluation that comments positively on the performance management system and MO transparency in HR decisions, specifically with regards to incentives and rewards.	Not met	
Overall Score MI 9.2: Inadequate			

KPI 10. Country programming processes are performance oriented

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
10.1 Applications considered for support are subject to benefits and risk analyses (environmental,	There is a policy that requires an impact/benefits analysis to be conducted prior to initiating new programmes/projects/ investments.	Met	GAVI website http://www.gavialliance.org/about/strategy/vaccine-investment-strategy/ Health Systems Funding Platform (HSFP) Health Systems Strengthening (HSS) Support – Common Proposal Form Available here: http://www.gavicsoconstituency.org/pdf/R11_ProposalHSSA-C_Form_en.pdf GAVI Alliance Pilot Prioritisation Mechanism. Version No: 1.0

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
economic, social, etc)			Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (IRC) – As of 22 March 2011 (Document provided by GAVI) Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-pilot-prioritisation-mechanism/ Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (IRC) – As of 22 March 2011 (Document provided by GAVI)
	2. There are guidelines for staff on the types of analysis to be carried out.	Met	Health Systems Funding Platform (HSFP) Health Systems Strengthening (HSS) Support – Common Proposal Form Available here: http://www.gavicsoconstituency.org/pdf/R11_ProposalHSSA-C_Form_en.pdf GAVI Alliance Pilot Prioritisation Mechanism. Version No: 1.0 Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-pilot-prioritisation-mechanism/ Terms of Reference of the Review of 2011 Country Applications by the New Proposals Independent Review Committee (IRC) – As of 22 March 2011 (Document provided by GAVI)
	3. There is evidence that the MO's staff are informed about and trained on the guidelines.	Not met	
	4. There is evidence that the guidelines are implemented.	Not met	
	5. There is evidence that benefits/impact analysis is used for decision-making in the sample of projects/initiatives reviewed.	Met	
Overall Score MI 10.1: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
10.2 Milestones/targets for monitoring and reporting of progress are included in applications for MO support	At least two of the applications or other work plans sampled contain a description of milestones and/or targets for project/programme implementation.	Met	Proposal for NVS - pneumo support: Democratic Republic of the Congo (Date of GAVI Board Approval: 24 July 2008) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-nvs---pneumo-support--congo,-democratic-republic-of-the--fran%c3%a7ais-/ Proposal for CSO support: Ghana (Date of GAVI Board Approval: 29 July 2010) Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/
	(If first criterion is met) in most cases, baseline values have been established for each indicator used to measure the progress of project/programme implementation.	Met	Proposal for CSO support: Ghana (Date of GAVI Board Approval: 29 July 2010) Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/ Proposal for ISS support- Ghana (2007-2011, approved 2009): Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Proposal for HSS support- Ghana (2008-2011, approved 2007): Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Proposal for NVS- MenA support- Ghana (February 2011): Available here: P:\Projects\1580 MOPAN 2012\Document Review\GAVI\ Documents\country programmes\ Ghana\Proposals to review Proposal for NVS - pneumo support: Democratic Republic of the Congo (Date of GAVI Board Approval: 24 July 2008) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-nvs---pneumo-support--congo,-democratic-republic-of-the--fran%c3%a7ais-/ Proposal for ISS, NVS- Hib Support- DRC (2008-2012, approved 2007) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-iss,-nvs---hib-support--congo,-democratic-republic-of-the/ Proposal for HHS support – DRC (October 2006)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: P:\Projects\1580 MOPAN 2012\Document Review\ GAVI\Documents\country programmes\DRC\Proposals reviewed Proposal for ISS support- Honduras (2007-2011, approved 2011): Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-iss-support--honduras/ Proposal for HSS support: Honduras (Date of GAVI Board Approval: 01 November 2007) Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Proposal for NVS-Pneumo, Rota support- Honduras (2008-2010, approved 2007): Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-nvs---pneumo,-rota-support--honduras/ Proposal for NVS Pneumosupport-Pakistan (2011-2015, approved 2015): Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-nvs-pneumosupport--pakistan/ Proposal for NVS- Hib support- Pakistan (2008-2010, approved 2007): Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-nvs---hib-support--pakistan/ Proposal for ISS support-Pakistan (December 2007): Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-iss-support--pakistan/ Proposal for CSO support-Pakistan (2006-2010, approved 2007): Available here: P:\Projects\1580 MOPAN 2012\Document Review\GAVI\ Documents\country programmes\ Pakistan\Proposals to review Proposal_CSO_2_2007 Available here: P:\Projects\1580 MOPAN 2012\Document Review\GAVI\ Documents\country programmes\ Pakistan\Proposals to review PAKISTAN_CSO_Proposal_Mar_Oct_08.pdf

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: P:\Projects\1580 MOPAN 2012\Document Review\GAVI\ Documents\country programmes\ Pakistan\Proposals to review Proposal_HSS_2007.pdf Available here: P:\Projects\1580 MOPAN 2012\Document Review\GAVI\ Documents\country programmes\ Pakistan\Proposals to review Proposal for ISS support- Bangladesh (2008-2010, approved 2008): Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-iss-support--bangladesh/ Proposal for HSS support- Bangladesh (2009-2010, approved 2008): Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-hss-support--bangladesh/
	(If first criterion is met) in most cases, the milestones/targets provided are appropriate to the activities described in the applications.	Not met	Proposal for HSS support: Honduras (Date of GAVI Board Approval: 01 November 2007) Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/
	(If first criterion is met) dates are established for the milestones/targets, in more than half of the applications or other work plans sampled.	Met	Proposal for CSO support: Ghana (Date of GAVI Board Approval: 29 July 2010) Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-cso-support--ghana/ Proposal for ISS support- Ghana (2007-2011, approved 2009): Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-iss-support--ghana/ Proposal for HSS support- Ghana (2008-2011, approved 2007): Available here: http://www.gavialliance.org/country/ghana/documents/proposals/proposal-for-hss-support--ghana/ Proposal for NVS - pneumo support: Democratic Republic of the Congo (Date of GAVI Board Approval: 24 July 2008) Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-nvs---pneumo-support--congo,-democratic-republic-of-the--fran%c3%a7ais-/ Proposal for ISS, NVS- Hib Support- DRC (2008-2012, approved 2007)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Available here: http://www.gavialliance.org/country/drc/documents/proposals/proposal-for-iss,-nvs---hib-support--congo,-democratic-republic-of-the/ Proposal for ISS support- Honduras (2007-2011, approved 2011): Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-iss-support--honduras/ Proposal for HSS support: Honduras (Date of GAVI Board Approval: 01 November 2007) Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-hss-support--honduras/ Proposal for NVS-Pneumo, Rota support- Honduras (2008-2010, approved 2007): Available here: http://www.gavialliance.org/country/honduras/documents/proposals/proposal-for-nvs---pneumo,-rota-support--honduras/ Proposal for NVS Pneumosupport-Pakistan(2011-2015, approved 2015): Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-nvs-pneumosupport--pakistan/ Proposal for NVS- Hib support- Pakistan (2008-2010, approved 2007): Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-nvs---hib-support--pakistan/ Proposal for ISS support-Pakistan (2006-2010, approved 2007): Available here: http://www.gavialliance.org/country/pakistan/documents/proposals/proposal-for-iss-support--pakistan/ Proposal for ISS support- Bangladesh (2008-2010, approved 2008): Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-iss-support--bangladesh/ Proposal for HSS support- Bangladesh (2009-2010, approved 2008): Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-hss-support--bangladesh/ Proposal for NVS- Penta support- Bangladesh (2008-2010, approved 2008): Available here: http://www.gavialliance.org/country/bangladesh/documents/proposals/proposal-for-nvs---penta-support--

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			bangladesh/
	(If all above criteria are met) all above criteria are met for all applications or other work plans sampled.	Not met	
Overall Score MI 10.2: Adequate			

QUADRANT III – RELATIONSHIP MANAGEMENT

KPI 11. Applications approved by the MO support national/regional plans and partner plans

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
11.2 The MO's conditionality (if any) draws on national / government's own agreed benchmarks / indicators / results	(If applicable) MO has a policy that aligns its conditions for financial or other support with the principles of country ownership.	Met	GAVI Alliance Revised Co-financing Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-revised-co-financing-policy/ Co-financing Policy Revisions Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/co-financing-policy-revisions/ Country Commitment to Co-Financing Available here: http://www.gavialliance.org/about/gavis-business-model/country-commitment-to-co-financing/ GAVI Guidelines on Country Proposals 2011 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/guidelines-on-country-proposals-for-nvs-support-2011/ GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010 GAVI Health Systems Strengthening Support Evaluation 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/gavi-health-systems-strengthening-support-evaluation-2009--volume-2-full-evaluation-report/ Vaccine Co-financing. Frequently Asked Questions. April 2011 Available here: http://www.gavialliance.org/library/gavi-documents/guidelines-and-forms/vaccine-co-financing--frequently-asked-questions/
	(If first criterion is met), the MO policy also provides guidance to align the organisation with other good practice principles for conditionality.	Not met	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	There is evidence of MO intent/or practice (depending on the timing of the policy) of reviewing its progress in implementing changes in its approach to conditionality.	Met	GAVI Alliance Programme and Policy Committee Meeting. 21-22 October 2010. Final Minutes Available here: http://www.gavialliance.org/about/governance/gavi-board/programme-policy-committee/2010/programme-and-policy-committee-meeting,-21-22-october-2010,-final-minutes/ GAVI Alliance Executive Committee Meeting. 30 September 2009. Final Minutes Available here: http://www.gavialliance.org/about/governance/gavi-board/executive-committee/2009/executive-committee-meeting,-30-september-2009,-final-minutes/
	There is evidence of the MO reporting to the Board on progress/issues on implementation of the policy.	Met	GAVI Alliance Board Meeting. 17-18 November 2009. Final Minutes Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2009/17-november/final-minutes/gavi-alliance-board-meeting,-17-18-november-2009,-final-minutes/
	There is evidence of implementation of the policy either in special evaluation studies, or in the review of a sample of actual project documents/grant-making agreements.	Met	GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010 GAVI Health Systems Strengthening Support Evaluation 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/gavi-health-systems-strengthening-support-evaluation-2009--volume-2-full-evaluation-report/
Overall Score MI 11.2: Strong			

KPI 13 The MO uses country systems for disbursement and operations

Microthe for - Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
13.2 The MO's overall ODA disbursements / support using national systems and procedures	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to use country systems for disbursements and operations.		

Microthe for - Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to the use of country systems for disbursement and operations.		
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to use country systems for disbursements and operations.		
	According to the data from the *2005-2010 Survey on Monitoring the Paris Declaration*, in 2010, GAVI scored 0% on indicator 5a *Use of country public financial management systems* (against 33% in 2005 and 30% in 2007) as well as on indicator 5b *Use of country procurement systems* (against 2% in 2005 and 11% in 2007). The IHP+ Scorecard uses three sub-indicators (called performance standard measures) related to the use and strengthening of country systems for procurement & public financial management, namely: Percentage of health sector aid that uses country procurement systems Percentage of health sector aid that uses public financial		GAVI Guidelines on Country Proposals 2011 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/guidelines-on-country-proposals-for-nvs-support-2011/ Table C.11, Aid Effectiveness 2005-2010: Progress in Implementing the Paris Declaration Available here: http://www.oecd.org/dataoecd/49/26/48726821.pdf IHP+ Development Partner Scorecard for GAVI Available here: http://ihpresults.net/scorecard/partner/GAVI/ GAVI Health Systems Strengthening Support Evaluation 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/gavi-health-systems-strengthening-support-evaluation-2009--volume-2-full-evaluation-report/ GAVI Secretariat management response to the GAVI Health Systems Strengthening Support (HSS) Evaluation 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/gavi-secretariat-management-response-to-the-health-systems-strengthening-support-evaluation-2009/ Guidance Note. GAVI Financial Management Assessments. February 2009. Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-financial-

Microthe for - Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	management systems Number of parallel project implementation units (PIU) per country. The first and third sub-indicators were deemed not applicable to GAVI and for the second one insufficient data were available. As explained by GAVI, in fact, while "countries have the option to self-procure vaccines, the vast majority choose to use the global procurement mechanism (via Unicef), to ensure quality and value. GAVI uses PFM systems, wherever possible, and does not use separate Project Implementation Units." The application guidelines for GAVI's support explain that "GAVI prefers to rely on country systems for monitoring and auditing performance." The review of the application guidelines showed that GAVI does not impose special requirements in terms of reporting, accounting and auditing and requires that funds shall be "managed within accounts that meet national legal requirements for auditing, accounting and procurement." GAVI has also put in place, for cash-based programmes, a system for financial management assessments (FMA). The aim of the FMA is to identify and agree with the		management-assessments--guidance-note/

Microthe for - Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	country the best financing mechanism to manage GAVI's funds that the country has, instead of creating one specific for GAVI's support.		
Overall Score MI 13.2: No Rating			

KPI 15. The MO harmonises arrangements and procedures with other programming partners (donors, development banks, UN agencies, etc) as appropriate

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
15.1 The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to participate in joint missions.		
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to participate in joint missions.		
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to participate in joint missions.	Met	Table C.11, Aid Effectiveness 2005-2010: Progress in Implementing the Paris Declaration Available here: http://www.oecd.org/dataoecd/49/26/48726821.pdf Aid Quality and Donor Rankings. Policy Research Working Paper 5290 Available here: http://fr.gavialliance.org/resources/Aid_quality_and_donor_rankings.pdf Joint Trip Report - Pilot of the Health Systems Funding Platform 'Funding Request Template" - Addis Ababa, June 20&21st, 2011 (Document provided by GAVI) GAVI Trip Report (related to HSS Proposal Peer Review Workshop) (Document provided by GAVI) Travel Report Synergies between Global Health Initiatives and Health Systems, Siem Reap Cambodia, 11-14 January 2011 (Document provided by GAVI)

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
Overall Score MI 15.1: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
15.3 Percentage of the MO's cash grants/ support that is for government-led PBAs (SWAps, basket funding, etc)	Inadequate: Paris Declaration data and other sources indicate limited progress towards the target and limited evidence of the organisation's efforts to disburse through programme-based approaches.		
	Adequate: Evidence exists of both progress made and areas requiring improvement with regard to disbursement through programme-based approaches.		Table C.11, Aid Effectiveness 2005-2010: Progress in Implementing the Paris Declaration Available here: http://www.oecd.org/dataoecd/49/26/48726821.pdf IHP+ Development Partner Scorecard for GAVI Available here: http://ihpresults.net/scorecard/partner/GAVI/ Aid Quality and Donor Rankings. Policy Research Working Paper 5290 Available here: http://fr.gavialliance.org/resources/Aid_quality_and_donor_rankings.pdf
	Strong: Paris Declaration data and other sources consistently indicate progress towards the target and clear evidence of the organisation's efforts to disburse through programme-based approaches.		
Overall Score MI 15.3: Adequate			

QUADRANT IV – KNOWLEDGE MANAGEMENT

KPI 16 The MO consistently evaluates its delivery and external results

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
16.1 The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	An organisation-wide (central) evaluation unit or function exists.	Met	GAVI website http://www.gavialliance.org/about/governance/secretariat/policy-and-performance/ GAVI Alliance Evaluation Advisory Committee Charter - Approved on 30 July 2009 Available here: http://www.gavialliance.org/library/gavi-documents/legal/evaluation-advisory-committee/
	An organisation-wide evaluation policy exists, which includes guidance on how the MO is to conduct independent evaluations.	Met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/
	(If first criterion is met) there is evidence in reports being submitted by the organisation-wide evaluation unit or function to Executive Office (of the Secretariat) or Board/committee responsible for independent evaluations.	Met	GAVI Alliance Evaluation Advisory Committee Meeting 20-21 January 2011 Available here: http://www.gavialliance.org/about/governance/gavi-board/evaluation-advisory-committee/2011/evaluation-advisory-committee-meeting,-20-21-january-2011,-final-minutes/ GAVI Alliance Evaluation Advisory Committee Meeting 2 June 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/evaluation-advisory-committee/2010/evaluation-advisory-committee-teleconference,-2-june-2010,-final-minutes/
	(If first criterion is met), the organisation-wide evaluation unit has a direct reporting function to the Executive Office (of the Secretariat)	Met	GAVI Alliance Evaluation Advisory Committee Charter Available here: http://www.gavialliance.org/library/gavi-documents/legal/evaluation-advisory-committee/ GAVI website http://www.gavialliance.org/about/governance/secretariat/
	The central evaluation unit has a direct reporting function to the MO's Board.	Not met	GAVI Alliance Evaluation Advisory Committee Charter Available here: http://www.gavialliance.org/library/gavi-documents/legal/evaluation-advisory-committee/
Overall Score MI 16.1: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
16.2 The evaluation function provides sufficient coverage of the MO's programming activity (completed grants)	An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent evaluations of projects and programmes.	Met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/
	(If first criterion is met) this policy or plan defines the evaluation coverage of projects and programmes (i.e., the number or percent of projects/programmes requiring evaluations of *any type*) or it clearly explains how evaluations are planned and prioritised.	Met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/
	(If first criterion is met) this policy or plan defines the amount or % of programming (or % of expenditures) that needs an *independent* evaluation.	Not met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/
	Recent independent evaluation reports are available for *at least half of the* completed grants.	Not met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/ GAVI Health Systems Strengthening Support Evaluation 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/gavi-health-systems-strengthening-support-evaluation-2009--volume-2-full-evaluation-report/ GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010
	(If fourth criterion is met) reports of independent evaluations exist for *all* completed grants.	Not met	
Overall Score MI 16.2: Inadequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
16.3 The MO ensures quality of its evaluations	The MO has a policy/procedures for the quality control of its evaluations.	Met	GAVI Alliance Evaluation Advisory Committee Charter: Available here: http://www.gavialliance.org/library/gavi-documents/legal/evaluation-advisory-committee/ GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/ Revised Evaluation Policy (Document provided by GAVI) Monitoring and Evaluation Framework and Strategy. GAVI Alliance. 2011-2015 Available here: http://fr.gavialliance.org/resources/GAVI_Alliance_ME_Framework_and_Strategy.pdf GAVI Alliance Evaluation Advisory Committee Meeting 19 January 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/evaluation-advisory-committee/2010/evaluation-advisory-committee-teleconference,-19-january-2010,-final-minutes/
	The MO implemented the quality control procedures (i.e. reviewed its evaluations) within the past five years.	Met	GAVI Alliance Evaluation Advisory Committee Meeting 2 June 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/evaluation-advisory-committee/2010/evaluation-advisory-committee-teleconference,-2-june-2010,-final-minutes/
	There is evidence (in the reports on the quality of evaluations/review of evaluations) that the MO is respecting relevant evaluation standards (e.g. DAC standards, ECG standards) in its centralised and decentralised evaluations.	Met	GAVI Alliance Evaluation Advisory Committee Meeting 2 June 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/evaluation-advisory-committee/2010/evaluation-advisory-committee-teleconference,-2-june-2010,-final-minutes/
	The reviews of the MO's evaluations (i.e. the reports on the quality of evaluations) cover organisation-wide, country and project level evaluations.	Met	GAVI Alliance Evaluation Advisory Committee Meeting 2 June 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/evaluation-advisory-committee/2010/evaluation-advisory-committee-teleconference,-2-june-2010,-final-minutes/ GAVI Alliance Evaluation Advisory Committee Meeting 19 January 2010 Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.gavialliance.org/about/governance/gavi-board/evaluation-advisory-committee/2010/evaluation-advisory-committee-teleconference,-19-january-2010,-final-minutes/
	There is evidence that the MO's evaluation practices have changed as a result of the review of evaluations.	Not met	
Overall Score MI 16.3: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
16.5 Direct beneficiaries and stakeholder groups are involved in evaluation processes	MO Evaluation Policy requires the involvement of direct beneficiaries in evaluation processes.	Met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/ Revised Evaluation Policy (Document provided by GAVI)
	MO Evaluation Policy requires the involvement of other stakeholder groups in evaluation processes.	Met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/
	MO Evaluation Policy sets the process for the involvement of direct beneficiaries and stakeholder groups.	Met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/ Revised Evaluation Policy (Document provided by GAVI) Checklist for Managing GAVI Evaluations (Document provided by GAVI)
	MO Evaluation Policy requires direct beneficiaries and stakeholder groups to contribute to evaluation design, including by identifying evaluation questions or issues.	Met	GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/ Checklist for Managing GAVI Evaluations (Document provided by GAVI)
	There is evidence (in the evaluation reports) of compliance with the MO Evaluation Policy regarding involvement of direct beneficiaries and other stakeholder groups in	Not met	GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010/ International Finance Facility for Immunisation Evaluation

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	evaluation processes.		Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/iffim-evaluation--full-report/ Review of GAVI- Independent Review Committees (IRCs) March 2010 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/
Overall Score MI 16.5: Strong			

KPI 17 The MO presents performance information on its effectiveness

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.1 Reports on the achievement of outcomes, not just inputs, activities and outputs	Annual performance reports exist at the organisation-wide level.	Met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ GAVI Alliance Progress Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/ GAVI Alliance Annual Financial Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/
	(If first criterion is met) the most recent performance report sampled describes outputs achieved.	Met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 GAVI Alliance Strategy (2007-10) (Document provided by GAVI)
	(If first two criteria are met) the most recent performance report sampled discusses expected outcomes	Met	GAVI Alliance Progress Report 2010 Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	achieved.		http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/
	(If first two criteria are met) the most recent performance report sampled provides evidence for the MO's contribution to outcome achievement (i.e., establishes a link between organisation-wide outputs and outcomes).	Not met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/
	(If all above criteria are met) all above criteria are met *for all performance reports sampled*.	Not met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ GAVI Alliance Progress Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/
Overall Score MI 17.1: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.2 Reports on performance using data obtained from measuring indicators	Annual performance reports exist at the organisation-wide level.	Met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ GAVI Alliance Progress Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/ GAVI Alliance Annual Financial Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-financial-report/
	(If first criterion is met) the most recent performance report sampled specifies indicators for the reporting period that respect SMART or	Met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	CREAM criteria for indicators.		
	(If first criterion is met) the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e., indicator data are compared across X years).	Met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/
	(If first criterion is met) the most recent performance report sampled compares indicator measurement to baseline (in the case of outcomes) and target amounts (in the case of both outputs and outcomes) (either in graph or narrative form).	Not met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/
	(If all above criteria are met) all above criteria are met for all performance reports sampled.	Not met	
Overall Score MI 17.2: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.3 Reports against its Corporate Strategy, including expected management and development results	Annual performance reports exist at the organisation-wide level.	Met	GAVI Alliance Progress Report 2011 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2011/ GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ GAVI Alliance Progress Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/ GAVI Alliance Annual Financial Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-reports/2010/gavi-alliance-annual-

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			financial-report/ Corporate Key Performance Indicators (Document provided by GAVI) GAVI Alliance performance review–Q4 2011 (Document provided by GAVI)
	(If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide DRF and MRF.	Met	Corporate Key Performance Indicators (Document provided by GAVI) GAVI Alliance performance review–Q4 2011 (Document provided by GAVI) GAVI Alliance Progress Report 2011 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2011/ GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 GAVI Alliance Strategy (2007-10) (Document provided by GAVI)
	(If criterion two is met) the most recent performance report sampled describes the extent of achievement to date of results identified in the DRF and MRF, along with an explanation of any variances.	Met	GAVI Alliance Progress Report 2011 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2011/ GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ Corporate Key Performance Indicators (Document provided by GAVI) GAVI Alliance performance review–Q4 2011 (Document provided by GAVI)
	(If all above criteria are met) all above criteria are met for all performance reports sampled.	Not met	Corporate Key Performance Indicators (Document provided by GAVI) GAVI Alliance performance review–Q4 2011 (Document provided by GAVI) GAVI Alliance Progress Report 2011 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2011/ GAVI Alliance Progress Report 2010 Available here:

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ GAVI Alliance Progress Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/
	There is an independent evaluation/review confirming the quality of organisation-wide reporting on results.	Not met	GAVI Second Evaluation Report Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010/
Overall Score MI 17.3: Adequate			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.4 Reports against its Paris Declaration commitments using indicators and country targets	An annual, organisation-wide report on the MO's performance against Paris Declaration (PD) commitments exists (this may not be a separate report, but part of another report, such as the annual performance report).	Not met	GAVI Alliance Progress Report 2010 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2010/ GAVI Alliance Progress Report 2009 Available here: http://www.gavialliance.org/library/publications/gavi-progress-reports/gavi-alliance-progress-report-2009/
	(If the first criterion is met) the most recent report describes the extent of overall achievement to date on PD commitments, using indicators.	Not met	
	(If the first two criteria are met) the most recent report shows country targets for PD commitments.	Not met	
	(If all above criteria are met) the most recent report shows the extent of achievement to date of PD commitments by country.	Not met	
	(If all above criteria are met) all above criteria are met for all reports sampled.	Not met	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
Overall Score MI 17.4: Very Weak			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.5 Reports on adjustments made or recommended to organisation-wide policies and strategies are based on performance information	The MO has a policy that defines how annual performance reporting will be carried out.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 GAVI Alliance Performance Review – Q4 2011 (Document provided by GAVI)
	The MO has a policy that defines how annual performance reporting will be systematically used.	Met	GAVI Alliance Strategy and Business Plan 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/strategy/gavi-alliance-strategy-and-business-plan-2011-2015 GAVI Alliance Performance Review – Q4 2011 (Document provided by GAVI) Country Programme Update– Report to the GAVI Alliance Board, 16-17 November 2011 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/country-programme-update/
	There is evidence that annual performance reviews (e.g. audits, evaluations) are systematically used to adjust strategies/policies.	Met	Background Information – to GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--background-information/ GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 (For Public Comments) Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--for-public-comments/ GAVI Alliance Board Meeting, 30 November - 1 December 2010 - Doc #11 – Report of PPC Chair- Report of the Programme and Policy Committee Chair, June – December 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/report-of-the-programme-and-policy-committee-chair/

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
			Terms of Reference of the Review of 2010 Country Progress Reports by the Monitoring Independent Review Committee (IRC) (Document provided by GAVI)
	There is evidence that annual performance reviews (e.g. audits, evaluations) are systematically used to adjust budgets.	Not met	GAVI Alliance & Fund Board meeting 28-29 Nov 2007- Doc # AF-6 - 2008 GAVI Alliance Work Plan and Budget Available here: http://fr.gavialliance.org/resources/2008_Workplan_and_budget.pdf GAVI Alliance Board meeting, 17-18 November 2009 -Doc 03b – 2010 budget- GAVI 2010 administrative and work plan budget Available here: http://fr.gavialliance.org/resources/03b_GAVI_2010_administrative_and_work_plan_budget.pdf GAVI Alliance Board Meeting, 16-17 June 2010-Doc 04 – 2009 Work Plan Information/Update Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/16-june/minutes/work-plan-2009-information-and-update/
	The Board receives annual reports on strategy and/or budgetary changes that are based on performance information.	Met	Background Information – to GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--background-information/ GAVI's Alliance Draft Vaccine Supply and Procurement Strategy for the period 2011-2015 (For Public Comments) Available here: http://www.gavialliance.org/library/gavi-documents/supply-procurement/gavi-alliance%e2%80%99s-draft-vaccine-supply-and-procurement-strategy-2011-2015--for-public-comments/ GAVI Alliance Board Meeting, 30 November - 1 December 2010 - Doc #11 – Report of PPC Chair- Report of the Programme and Policy Committee Chair, June – December 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/report-of-the-programme-and-policy-committee-chair/
Overall Score MI 17.5: Strong			

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
17.6 Reports on country (or other) level programming adjustments made or recommended based on performance information	The MO has a policy that defines how annual performance reporting will be carried out at the country level.	Met	GAVI website http://www.gavialliance.org/country/ Guidelines for Applications – New and Underused Vaccines Support 2012 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-nvs-application-guidelines-2012-en-final/
	The MO has a policy that defines how annual performance reporting will be systematically used at the country level.	Met	Guidelines for Applications – New and Underused Vaccines Support 2012 Available here: http://www.gavialliance.org/library/documents/gavi-documents/guidelines-and-forms/gavi-nvs-application-guidelines-2012-en-final/
	There is evidence that annual performance reviews (e.g. audits, evaluations) at the country level are systematically used to adjust projects.	Not met	Monitoring IRC reports
	There is evidence that annual performance reviews (e.g. audits, evaluations) at the country level are systematically used to adjust grants or other support.	Not met	Review of GAVI Independent Review Committees (IRCs). Final report 30th March 2010 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/review-of-gavi-independent-review-committees/
	The Board receives annual reports on project and/or grant changes at the country level that are based on performance information.	Met	Country Programme Update 2009 – GAVI Alliance Board Meeting 30 November – 1 December 2010 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2010/30-november/minutes/update-on-country-programmes-2009/ Country Programme Update – Report to the GAVI Alliance Board 16-17 November 2011 Available here: http://www.gavialliance.org/about/governance/gavi-board/minutes/2011/16-nov/minutes/country-programme-update/
Overall Score MI 17.6: Adequate			

KPI 18. The MO encourages identification, documentation and dissemination of lessons learned and/or best practices

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
18.1 Reports on lessons learned based on performance information	There is evidence that the organisation is committed to the identification of lessons learned and/or best practices.	Met	Pneumococcal Advance Market Commitment: Lessons Learnt on Disease and Design Choices and Processes Available here: http://www.gavialliance.org/library/gavi-documents/amc/monitoring-and-evaluation/pneumococcal-advance-market-commitment--lessons-learnt-on-disease-and-design-choices-and-processes/ Market Shaping : Strategic Considerations for a Healthy Vaccine Marketplace Available here: http://www.gavialliance.org/library/gavi-documents/white-papers/market-shaping--strategic-considerations-for-a-healthy-vaccine-marketplace/ Financial Sustainability for Immunisation in the Poorest Countries: Lessons from GAVI 2000-2006 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-sustainability-for-immunisation-in-the-poorest-countries/ GAVI Alliance Evaluation Policy Available here: http://www.gavialliance.org/library/gavi-documents/policies/gavi-alliance-evaluation-policy/ GAVI Second Evaluation Report 2010 Available here: http://www.gavialliance.org/library/gavi-documents/evaluations/second-gavi-evaluation-2006-2010
	There is a unit/coordinating group responsible for documenting and disseminating lessons learned and/or best practices.	Met	Pneumococcal Advance Market Commitment: Lessons Learnt on Disease and Design Choices and Processes Available here: http://www.gavialliance.org/library/gavi-documents/amc/monitoring-and-evaluation/pneumococcal-advance-market-commitment--lessons-learnt-on-disease-and-design-choices-and-processes/ Market Shaping : Strategic Considerations for a Healthy Vaccine Marketplace Available here: http://www.gavialliance.org/library/gavi-documents/white-papers/market-shaping--strategic-considerations-for-a-healthy-vaccine-marketplace/ Financial Sustainability for Immunisation in the Poorest Countries: Lessons from GAVI 2000-2006 Available here: http://www.gavialliance.org/library/gavi-documents/finance/financial-sustainability-for-immunisation-in-the-poorest-countries/
	The MO has a system for collecting	Met	

Micro-Indicator	Criteria	Status	Document consulted (Title and Hyperlink if available)
	and disseminating internal lessons learned and/or best practices.		
	(If third criterion is met) The MO has an easily accessible system that collects and disseminates *both* internal *and* external lessons learned and/or best practices.	Met	GAVI Health Systems Strengthening Support Evaluation 2009 Available here: http://www.gavialliance.org/library/documents/gavi-documents/evaluations/gavi-health-systems-strengthening-support-evaluation-2009--volume-2-full-evaluation-report/
	There is evidence that the MO uses lessons learned and/or best practices based on performance to change management and programming practices.	Not met	
Overall Score MI 18.1: Strong			

Appendix VII GAVI – Geneva Interviews

Name	Title	Affiliation	Method of Consulation	Period of Consulation
Seth Berkley	CEO	GAVI	Face to face interview	27/03/2012
Peter Hansen, Marie-Ange Saraka-Yao, Violaine Messager	Focal Points	GAVI	Face to face interview	27/03/2012
Helen Evans	Deputy CEO	GAVI	Face to face interview	27/03/2012
Nina Schwalbe	Managing Director, P&P	GAVI	Face to face interview	27/03/2012
Peter Hansen	Director M&E, P&P	GAVI	Face to face interview	27/03/2012
Bakhuti Shengelia	Director, Country Reviews & Grant Renewals, CP	GAVI	Face to face interview	27/03/2012
Joelle Tanguy	Managing Director, External Relations	GAVI	Face to face interview	28/03/2012
Geoff Adlide	Director, Advocacy & Public Policy	GAVI	Face to face interview	28/03/2012
Abdallah Bchir	Senior Specialist, Evaluation, P&P	GAVI	Face to face interview	28/03/2012
Cees Klumper	Director of Internal Audit	GAVI	Face to face interview	28/03/2012
Jeffrey Rowland	Director Media & Communications	GAVI	Face to face interview	28/03/2012
Paul Kelly	Director, Country Programmes	GAVI	Face to face interview	28/03/2012
Barry Greene	Managing Director, Finance & Operations	GAVI	Face to face interview	29/03/2012
Tony Dutson	Senior Director and Chief Accounting Officer, Finance and Operations	GAVI	Face to face interview	29/03/2012
Marthe Essengue Elouma	Senior Programme Manager (CRO)	GAVI	Face to face interview	30/03/2012
Jorn Heldrup	Senior Programme Manager (CRO)	GAVI	Face to face interview	30/03/2012
Ranjana Kumar	Senior Specialist, Country Programmes (CRO)	GAVI	Phone interview	30/03/2012
Par Eriksson	Senior Programme Manager (CRO)	GAVI	Face to face interview	30/03/2012
Santiago Cornejo	Country Reviews/Grant Renewals	GAVI	Phone interview	12/04/2012
Adrien de Chaisemartin	Head of Performance Management	GAVI	Phone interview	12/04/2012