



MOPAN 2015-16 Assessments

Gavi, the Vaccine Alliance

Institutional Assessment Report



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Preface

ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of donor countries with a common interest in assessing the effectiveness of multilateral organisations. Today, MOPAN is made up of 18 donor countries: Australia, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Luxembourg, the Netherlands, Norway, Korea, Spain, Sweden, Switzerland, the United States of America and the United Kingdom. Together, they provide 95% of development funding to multilateral organisations.

The mission of MOPAN is to support its members in assessing the effectiveness of the multilateral organisations that receive development and humanitarian funding. The Network's assessments are primarily intended to foster learning, and to identify strengths and areas for improvement in the multilateral organisations. Ultimately, the aim is to improve the organisations' contribution to overall greater development and humanitarian results. To that end, MOPAN generates, collects, analyses and presents relevant information on the organisational and development effectiveness of multilateral organisations. The purpose of this knowledge base is to contribute to organisational learning within and among multilateral organisations, their direct clients, partners, and other stakeholders. MOPAN members use the findings for discussions with the organisations and with their partners, and as ways to further build the organisations' capacity to be effective. Network members also use the findings of MOPAN assessments as an input for strategic decision-making about their ways of engaging with the organisations, and as an information source when undertaking individual reviews. One of MOPAN's goals is to reduce the need for bilateral assessments and lighten the burden for multilateral organisations. To that end, MOPAN members are closely involved in identifying which organisations to assess and in designing the scope and methodology of the assessments to ensure critical information needs are met.

MOPAN 3.0 — A reshaped assessment approach

MOPAN carries out assessments of multilateral organisations based on criteria agreed by MOPAN members. Its approach has evolved over the years. The 2015-16 cycle of assessments uses a new methodology, MOPAN 3.0. The assessments are based on a review of documents of multilateral organisations, a survey of clients and partners in-country, and interviews and consultations at organisation headquarters and in regional offices. The assessments provide a snapshot of four dimensions of organisational effectiveness (strategic management, operational management, relationship management and performance management), and also cover a fifth aspect, development effectiveness (results). Under MOPAN 3.0, the Network is assessing more organisations concurrently than previously, collecting data from more partner countries, and widening the range of organisations assessed. Due to the diversity of the organisations' mandates and structures, MOPAN does not compare or rank them.

MOPAN assessed 12 multilateral organisations in the 2015-16 cycle. They are the African Development Bank (AfDB); Gavi; the Global Fund to Fight Aids, Tuberculosis and Malaria (The Global Fund); the Inter-American Development Bank (IDB); the International Labour Organization (ILO); the Joint United Nations Programme on HIV/AIDS (UNAIDS); the United Nations Development Programme (UNDP); the United Nations Environment Programme (UNEP); UN-Habitat; the United Nations Children's Fund (UNICEF); the United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA); and the World Bank.

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We would like to thank all participants in the MOPAN 2015-16 assessment of Gavi. Gavi's senior management and staff made valuable contributions throughout the assessment, in particular in relation to the document review and headquarters interview processes, and they provided lists of their direct partners and co-sponsors to be surveyed. Survey respondents contributed useful insights and time to respond to the survey. The MOPAN Institutional Lead, Canada, represented MOPAN in this assessment, liaising with Gavi throughout the assessment and reporting process. MOPAN members provided the MOPAN Country Facilitators who oversaw the process in the partner countries where the survey took place.

Roles of authors and the MOPAN Secretariat

The MOPAN Secretariat, led by Björn Gillsäter (until early May 2016) and Chantal Verger (since then), worked in close co-operation with the MOPAN Technical Working Group and IOD PARC on all methodological aspects. Together they developed the Key Performance Indicators (KPIs) and micro-indicators (MIs), designed the survey and its methodology, and defined the approach to the document review. The MOPAN Secretariat drew up lists of survey respondents with the help of MOPAN members and the multilateral organisations being assessed, and approved the final survey questionnaire. IOD PARC carried out the survey in partnership with Ipsos mori. IOD PARC also analysed the survey, carried out the document reviews, conducted the interviews, analysed the data and drafted the reports. The MOPAN Secretariat oversaw the design, structure, tone and content of the reports, liaising with MOPAN's Institutional Leads and the focal points of the multilateral organisations. Katie Vanhala from the MOPAN Secretariat provided the oversight for this Gavi report.

IOD PARC is an independent consultancy company specialising in performance assessment and managing change in the field of international development. Through this blended expertise IOD PARC helps organisations, partnerships and networks identify the needs, chart the journey and deliver improved performance to achieve greater impact.

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Acronyms and abbreviations

AAF	Alliance Accountability Framework
AMC	Advance Market Commitment
CHeSS	Country Health Systems Surveillance
DALY	Disability-adjusted life year
DTP3	Diphtheria-tetanus-pertussis
EAC	Evaluation Advisory Committee
ECOWAS	Economic Community of West African States
Gavi	The Vaccine Alliance
GFATM	The Global Fund to Fight AIDS, Tuberculosis and Malaria
GMF	Gavi Matching Fund
GNI	Gross national income
HPV	Human Papillomavirus Vaccine
HSIS	Health system and immunisation strengthening
HSS	Health system strengthening
IAEG-SDGs	Inter-agency and Expert Group on Sustainable Development Goal Indicators
IFFIm	International Finance Facility for Immunisation
IFPMA	International Federation of Pharmaceutical Manufacturers & Associations
IHME	Institute for Health Metrics and Evaluation
IIA	Institute of Internal Auditors
INGO	International nongovernmental organisation
KPI	Key Performance Indicator
MDG	Millennium Development Goal
MI	Micro-indicator
MOPAN	Multilateral Organisation Performance Assessment Network
NGO	Nongovernmental organisation
PCA	Programme Capacity Assessments
PCV3	Pneumococcal conjugate vaccine
PEF	Partners' Engagement Framework
RBM	Results-based management
SCM	Senior country manager
SDG	Sustainable Development Goal
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNICEF	United Nations Children's Fund
WHO	World Health Organization

Executive summary

This institutional assessment of Gavi, the Vaccine Alliance, covers the period from 2014 to mid-2016. Applying the MOPAN 3.0 methodology, the assessment considers organisational systems, practices and behaviours, as well as the results that Gavi achieves. The assessment considers five performance areas: four relate to organisational effectiveness (strategic management, operational management, relationship management and performance management) and the fifth relates to development effectiveness (results). It assesses Gavi's performance against a framework of key indicators and associated micro-indicators that comprise the standards that characterise an effective multilateral organisation. The assessment also provides an overview of its performance trajectory. MOPAN assessed Gavi in 2012.

Context

GAVI, THE VACCINE ALLIANCE

- It is a global partnership of public, private and independent sector stakeholders in immunisation with a shared vision of creating equal access to new and underused vaccines for children living in the world's poorest countries
- It pursues four strategic goals addressing the uptake and coverage of vaccines, health system strengthening, sustainable finance, and market shaping for affordable vaccines
- It has a three-pronged funding model including a donor base, co-financing by partner countries and market shaping
- It provides a combination of financial resources (through a diversity of mechanisms), knowledge and technical services to low- and middle-income countries working through its different partners
- It has a Secretariat overseeing and managing the operations of the Vaccine Alliance, and a Board of 28 members (two-thirds representational members and one-third unaffiliated directors)
- It has recently restructured its staff and budgets to support its current strategic aims to increase immunisation coverage and equity, and to increase its country focus

Organisation at a glance

- Established 2000
- Disbursements: USD 1.56 billion (2015)
- Active in 73 countries
- Operates through:
 - Geneva headquarters
 - Washington, DC office

Overall performance

The overall conclusion of the 2016 MOPAN assessment is that Gavi meets the requirements of an effective multilateral organisation and is fit for purpose. It is managing its rapid growth in size, scope and ambition effectively. Gavi uses its unique business model, based on an Alliance of stakeholders, to capitalise on each stakeholder's comparative advantage to fund immunisation and to shape the vaccine market. It is both strategic and nimble in meeting new vaccine challenges and countries' evolving needs while keeping a clear focus on its mission goals.

The organisation demonstrates transparency and accountability in its operations, and its compliance with fiduciary and social requirements and safeguards is strong. It has recently strengthened its internal audit and risk management functions to ensure these are adequate to its increased organisational ambition, complexity and size.

Gavi sets itself high ambitions, and has grown and developed to meet them. Areas where performance could be strengthened and improved include clarification of Gavi's role and function at the country level; a clearer results framework for health system strengthening interventions; development of more systematic processes for recording and using evidence; and development of quality standards, follow-up and use of evaluations.

Key strengths and areas for improvement

Key strengths

- **Clear vision and comparative advantage** of a multi-sectoral Alliance effective on market shaping, working in non-traditional ways and across sectors
- **Strong partnership working:** ambitious goals of the Alliance inspiring commitment from partners, donors, countries and staff
- **Strong accountability and transparency,** with effective use of financial resources and strong financial management
- **Strong model for sustainability:** time-limited country engagement promotes a sustainable approach
- **Focus on results:** results-based management frames work and is reinforced through high-calibre staff

Areas for improvement

- **Design of health system strengthening interventions** need a clearer logic and results framework
- **More systematic and comprehensive processes** for recording and using evidence from evaluations and performance data, and for following up recommendations
- **Refine country-level engagement** with partners and better communicate country-level role and functions
- **A more clearly articulated and integrated approach to cross-cutting issues,** in particular governance and environmental issues
- **Speed up operations** by introducing faster, simpler systems for grant disbursement and management of cash-based support aligned with country systems, as well as greater systematisation and formalisation of policies and guidelines



INTRODUCTION



1.1 GAVI, THE VACCINE ALLIANCE

Mission and mandate

Gavi, the Vaccine Alliance, is a global partnership founded in 2000 that brings together public and private sectors with the shared goal of creating equal access to new and underused vaccines for children living in the world's poorest countries. The Vaccine Alliance's mission is to save children's lives and protect people's health by increasing access to immunisation in poor countries. Gavi is aspiring to a world free from vaccine-preventable diseases.

Gavi has four strategic goals:

- Accelerate equitable uptake and coverage of vaccines
- Increase effectiveness and efficiency of immunisation delivery as an integrated part of strengthened health systems
- Improve sustainability of national immunisation programmes
- Shape markets for vaccines and other immunisation products

Two key factors set the Vaccine Alliance apart from other actors in the field of international health aid:

- The Gavi **business model**: by funding the delivery of new vaccines, Gavi shapes the vaccine market
- The Gavi **partnership model**: as a public-private partnership, Gavi capitalises on the sum of its partners' comparative advantages.

Gavi's business model is built on the principle that countries and their local partners are best placed to run immunisation programmes and manage their own roll-outs:

- Governments define their funding priorities/activities per programme support
- Gavi funds are channelled through existing government systems
- Governments report back on performance to Gavi

Governance

The Gavi Secretariat oversees and manages the operations of the Vaccine Alliance. The representative Alliance Board provides oversight of the Secretariat and is responsible for policy making and strategic direction. Two-thirds of the Gavi Alliance Board are representational members and one-third are unaffiliated members. The Board is supported by five executive committees and one advisory committee.

Organisational structure

Gavi is a Swiss foundation with international institution status in Switzerland. The Gavi Secretariat is based in the Gavi headquarters in Geneva, Switzerland, with support of a small office in Washington, DC. The Secretariat employs around 250 staff.

Gavi is an international coalition of partners which supports 73 countries. Its partners include national governments; philanthropic institutions such as the Bill and Melinda Gates Foundation; civil society; the vaccine industry, represented by the International Federation of Pharmaceutical Manufacturers & Associations (IFPMA) and the Developing Countries Vaccine Manufacturers Network; research and technical health institutions; the United Nations Children's Fund (UNICEF), the World Health Organization (WHO) and the World Bank.

The Alliance was officially launched in Davos, Switzerland, in January 2000. Originally the Global Alliance for Vaccines and Immunisation (Gavi), the organisation has recently been renamed and the Vaccine Alliance, Gavi and the Alliance are used interchangeably to refer to the organisation.

Strategy and services

Gavi is currently in a strategy period covering 2016-20. Its engagement and budgeting is covered by a biennial programme of work.

Countries are responsible for prioritising, designing and implementing Gavi-supported programmes. Alliance partners, including Gavi's traditional partners (WHO, UNICEF, the CDC and the World Bank) as well as extended partners contracted under the new Partners' Engagement Framework (PEF), provide technical support based on each country's identified needs and priorities. These also facilitate the implementation of programmes.

Gavi shapes the vaccine market by funding the delivery of vaccines. By pooling the demand from developing countries for new vaccines and providing long-term, predictable financing, Gavi attracts new vaccine manufacturers. This increases competition and helps drive vaccine prices down.

Finances

Gavi was established in 2000 with a USD 750-million five-year pledge from the Bill & Melinda Gates Foundation. In 2016, 80% of Gavi's funding was from governments; 20% from foundations and corporations. Gavi now has a three-pronged funding model comprising a donor base, co-financing by partner countries and market shaping. Its expenditure on activities and programmes in 2015 was USD 1.564 billion.

Gavi has a diversified set of instruments for the donor base that are tailored to donors' needs and budgetary constraints including a number of funding mechanisms. These include the International Finance Facility for Immunisation (IFFIm), the pneumococcal Advance Market Commitment (AMC), the Gavi Matching Fund and the Gavi Campaign.

The replenishment round to support Gavi's 2016-20 strategy was launched in Brussels in May 2014. At the time, Gavi already had USD 2 billion in resources for the 2016-20 period, primarily from proceeds from its finance mechanisms. By January 2015, Gavi had sufficient secured and pledged funding to deliver its 2016-20. As of June 2016, grant agreements for nearly 80% of pledges from the replenishment had been signed.

Gavi's co-financing policy divides countries into three groups defined as low income, intermediate and transitioning, based on their ability to pay as determined by GNI per capita. The policy aims to contribute to in-country financial sustainability and strengthen country ownership of vaccine financing by requiring countries to make tangible commitments as a precondition for external financial support.

Organisational change initiatives

As a result of a Gavi-commissioned independent assessment of the Secretariat's structure, systems, processes and resourcing in 2014-15, the capacity of the Country Support Team and others human resources was increased significantly in line with the pertinent country-facing focus of the 2016-20 strategy. There are now more Senior Country Managers (SCMs) and a more favourable SCM/country ratio to strengthen engagement between SCMs and partners and between SCMs and other stakeholders in-country. In line with the country team approach, SCMs can also draw on the expertise in other Gavi Secretariat Teams to support their engagement at a country level. There have also been changes to

support increased effectiveness of advocacy and communications, and a Knowledge Management Team has been established.

The new Partners' Engagement Framework (PEF) was introduced in 2016 as the new model to enlist partners' support for country assistance, instead of the previous Business Plan which was critiqued for deciding on technical assistance (TA) funding and amount at the global rather than country level. It envisions a dramatic increase in TA resourcing and partner capacity at the country level, based on the clear prioritisation of countries. At the same time it aims to enhance partners' accountability for outcomes and expenditure through the Alliance Accountability Framework (AAF).

An evaluation is planned for the end of 2016 or early 2017 to seek further clarity around the roles and responsibilities of Gavi partners as well as the partnership model of the Vaccine Alliance.

1.2 The assessment process

Assessment framework

This MOPAN 3.0 assessment covers the period from 2014 to mid-2016. It addresses organisational systems, practices and behaviours, as well as results achieved during the latter period of the 2011-15 strategic plan and the start of the 2016-20 strategic plan. The assessment focuses on five performance areas. The first four performance areas, relating to organisational effectiveness, each have two Key Performance Indicators (KPIs). The fifth performance area (results), relating to development and humanitarian effectiveness, is comprised of four KPIs.

Each KPI is based on a set of micro-indicators (MIs) that, when combined, enable assessment against the relevant KPI. The full set of KPIs and MIs is available in Annex 1.

Table 1: Performance areas and Key Performance Indicators

Performance Area	KPI
Strategic Management	KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results
	KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels
Operational Management	KPI 3: Operating model and human/financial resources support relevance and agility
	KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/ accountability
Relationship Management	KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)
	KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources
Performance Management	KPI 7: Strong and transparent results focus, explicitly geared to function
	KPI 8: Evidence-based planning and programming applied
Results	KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate-wide and regional/country level, with results contributing to normative and cross-cutting goals
	KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries
	KPI 11: Results delivered efficiently
	KPI 12: Sustainability of results

Lines of evidence

Four lines of evidence have been used in the assessment: a document review, a survey, interviews and consultations. These evidence lines have been collected and analysed in a sequenced approach, with each layer of evidence generated through the sequential assessment process informed by, and building on, the previous one. See Annex 2 for a list of documents analysed as part of the Gavi assessment and Annex 3 for a process map of the assessment.

The full methodology for the MOPAN 3.0 assessment process is available at <http://www.mopanonline.org/ourwork/ourapproachmopan30/>

The following sequence was applied:

- The assessment began with the collection and analysis of 90 documents. These included five independent evaluations - all that were available - of Gavi. An interim version of the document review was shared with Gavi. It set out the data extracted against the indicator framework and recorded an assessment of confidence in the evidence for each of the micro-indicators (MIs). Gavi provided feedback and further documentation to enable the document review to be updated ahead of the headquarters interviews. The document review was completed in September 2016.
- An online survey was conducted to gather both perception data and an understanding of practice from a diverse set of well-informed partners of Gavi. The survey generated a total of 64 responses drawn from 12 countries (Afghanistan, Burkina Faso, Haiti, India, Liberia, Moldova, Mozambique, Nepal, Nigeria, Solomon Islands, Tajikistan and Vietnam) including from donor and national government representatives, UN agencies and INGOs/NGOs. An analysis of both the quantitative and qualitative survey data has informed the assessment. Annex 4 presents results of the Partner Survey.
- Interviews and consultations were carried out at the Gavi headquarters in Geneva, Switzerland, with 34 Gavi staff members, ensuring coverage of all of the main parts of the organisation. The interviews were conducted in a semi-structured way, guided by the findings and evidence confidence levels of the interim document review.
- Discussions were held with the Institutional Lead of the MOPAN 3.0 Gavi assessment as part of the analytical process, to gather insights on current priorities for the organisation from the perspective of MOPAN members.

Analysis took place against the MOPAN 3.0 scoring and rating system, which assessed data from all evidence lines combined. These scores and the evidence that underpins them form the basis for this report. Annex 1 presents the detailed scoring and rating system as applied to Gavi.

The main limitations of the report in some areas are limited evidence on the implementation and effect of changes underway on Gavi systems and processes, and the limited evaluative evidence against a number of results indicators. This assessment report represents only a snapshot view of Gavi at a particular moment in time.

1.3 Structure of the report

This report has three sections. Section 1 introduces Gavi and the MOPAN 3.0 assessment process. Section 2 presents the main findings of the assessment in relation to each performance area. Section 3 presents the conclusions of the assessment.



2. ASSESSMENT OF PERFORMANCE

2.1 Organisational effectiveness

PERFORMANCE AREA: STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

Strategic management: The organisation has a long-term vision and a results framework that provide clear strategic direction. Gavi's organisational architecture is well aligned with its mandate and comparative advantage, and its business and financial models are regularly reviewed. Gavi is making an effective contribution to advancing normative frameworks for sustainable health. The organisation is in the process of implementing a revised structure and operational plan and a new Alliance Accountability Framework. Gavi is making good progress on these and other changes to support the new strategic plan that is designed to improve Gavi's impact and effectiveness. There is a strong commitment to gender, governance and effective advocacy; environment is less well integrated in Gavi's activities.

SCORING COLOUR CODES



KPI 1: Organisational architecture and financial framework enable mandate implementation and achieve expected results

Gavi's performance against this KPI is rated as **highly satisfactory**.

Maintains a tight and effective fit between structure, financial framework and mandate: Gavi has a clear long-term vision based on unique business and financial models that are reviewed regularly. Gavi has recently agreed a new strategic plan, and is implementing a revised structure and operational plan and a new Alliance Accountability Framework (AAF) to operationalise the strategy. Gavi is making good progress on measures that implement its new strategic plan.

Gavi's new 2016-20 strategy, its fourth strategic period, demonstrates Gavi's ability to respond to a changing environment and learn from the 2011-15 period that was covered by the previous strategic plan. Gavi's vision and mission have remained unchanged. The new strategy builds on the robust platform for affordable vaccines provision and improved immunisation coverage established in previous strategic phases since 2000. The focus is now on reaching the hard to reach, and achieving results in more challenging contexts.

The new strategy seeks to deliver a step change in the coverage, equity and sustainability of immunisation. It is aspirational, planning to increase coverage by reaching 300 million more children (Gavi currently

contributes to 65-76 million children being immunised per annum) and to increase equity of access to immunisation. The new strategy also increases Gavi's country engagement, which has led to a shift in the allocation and numbers of staff as well as to an increase in budget allocations to country level and to country-led expenditures. The strategy gives far greater weight to health system strengthening to build capacity at the country level and increase the sustainability of immunisation. The Secretariat was restructured in 2015 to ensure that it was ready to begin implementation of the new strategy in early 2016. Some elements of this are still being put in place.

Gavi frames its works by its results. The Alliance strategy is being operationalised through a Partners' Engagement Framework (PEF) that contains clear indicators and targets, some of which were still being developed at the time of this assessment. An Alliance Accountability Framework (AAF) has also been developed for the new strategic period. This brings together and rationalises existing processes in order to clarify and manage the contribution and accountability of countries, partners and the Secretariat in delivering the new strategy. The AAF provides greater transparency and clarifies the comparative advantage and contribution of different partners.

Country governments with the support of their technical partners largely deliver Gavi's programmes. In 2016 the Partners' Engagement Framework was introduced to delineate more clearly partners' accountabilities for results at the country and global levels. The Partners' Engagement Framework strengthens Gavi's partnership model, which is another key competitive advantage and helps build country-level ownership. The Gavi Alliance Board regularly monitors and reviews implementation of the strategy and business plan to ensure their relevance and review performance.

There is a strong corporate commitment, clearly reflected in Gavi's strategic goals, to the Millennium Development Goals (MDGs) and wider normative frameworks, particularly in relation to health and with regard to equity, sustainability and gender. Gavi's 2016-20 strategy commits to alignment with the post-2015 global development priorities and to implementing the aid effectiveness principles. Gavi successfully advocated with the UN to amend an indicator for Sustainable Development Goal (SDG) 3 to include access to safe, effective, quality and affordable essential medicines and vaccines for all.

Strength of global advocacy work: Advocacy is central to Gavi's mandate. The organisation's advocacy and influencing skills were well reflected in its work to secure the extremely successful replenishment in 2015 and in the way in which Gavi's advocacy and public policy engagement role helped set a more ambitious target and indicators for the SDGs on immunisation. The Vaccine Alliance helped drive immunisation higher on the political agenda globally and in many countries where progress is needed. Following its advocacy with national leaders in Africa, for example the 2016 African Ministerial Conference on Immunisation in Africa made a declaration to commit the African Union to improve governance for immunisation. Both the Economic Community of West African States and the East African Community have now prioritised vaccine supply chains in their regional development plans. Other examples include Gavi's market-shaping work that is influencing manufacturers to reduce vaccine costs and increase their availability.

Country partners provided strong positive views on the importance of Gavi's global advocacy (see Figure 1). In particular, country partners noted the importance of Gavi keeping global attention on immunisation and addressing coverage, and in providing what one called a "*united voice for the importance of immunisation to advance global health objectives*".

Strong financial footing: Gavi has a diversified set of instruments to raise and manage funds, which allows it significant flexibility. The very successful 2015 replenishment has delivered funding to support

the new strategic plan, and gained strong donor commitment to the planned changes towards increasing coverage and equity in 2016-20. Gavi ensured sufficient secured and pledged funding to deliver its 2016-20 strategy. The International Finance Facility for Immunisation (IFFIm) provides Gavi with the flexibility to use funds when they are needed most.

The budget framework for 2016-20 shows clearly the different priority areas for investment and the budgets allocated to each. Technical assistance investment is directed to the three main areas of activity: funding for core partners; funding for targeted country assistance; and funding for transformational activities to accelerate change in the Strategic Focus Areas that are identified as priority areas for improvement.

It will be important for Gavi to review systematically the impact of the changes introduced in the new strategic period, both at the individual policy level and as a whole system, and to make any necessary adjustments to ensure it implements its vision and results.

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues

Gavi's performance against this KPI is rated as **satisfactory**.

Gavi has commitments guided by strategies for the cross-cutting issues of gender equality and the environment. It is committed to inclusive and accountable institutions and engages actively on a number of aspects of good governance.

Strong commitment to cross-cutting issues to be reinforced through clearer articulation in model of working: Gavi has a strong commitment to gender equality and is increasing its focus on this area. Environment and climate change policies are at present not well articulated or integrated within its programmes. While a strong commitment to good governance is built into Gavi's model of working, this is not clearly articulated and a clearer statement of intent would help to sharpen its engagement.

Programmes, strategy and funding system integrate gender equality: Gavi has a strong commitment to gender equity and gender-sensitive programmes and is exploring how to overcome gender-related barriers to accessing immunisation. The new Gavi 2016-20 strategy has a strong focus on sustainable coverage and equity, and strengthens the organisation's measurement of gender equity. The 2016-20 strategy indicators track gender-related barriers as part of the first strategic goal, to accelerate equitable uptake and coverage of vaccines. Gavi monitors a set of indicators associated with its gender policy, such as the use of male and female Diphtheria-tetanus-pertussis (DTP3) coverage as a core indicator in Gavi's new grant performance frameworks.

Countries applying for health system and immunisation strengthening funding are now required to conduct gender analyses and identify gender-related barriers to accessing vaccination specific to their country context. The Independent Review Committee includes a gender specialist for grant applications and assesses proposals on their approach to gender-related issues. The Gavi gender review noted that some countries do not have adequate capacity to make gender equality links to immunisation. A large number of country partners surveyed appeared not to have good knowledge of Gavi's gender policy, and those who knew about it assessed Gavi's implementation of it as only moderate (see Figure 1).

Environmental sustainability and climate change integration a challenge: Evidence is weak on Gavi's integration of its environmental sustainability policy in its activities. The 2016 updated environmental statement reflects a strategic focus on a wider range of environmental issues relevant to immunisation programming and the work of the Alliance and its partners. These include the effect of global climate change on the aetiology and epidemiology of vector- and water-borne diseases as well as communicable diseases, and the potentially disrupting effect of climate change on existing immunisation programmes. However very little evidence was provided of Gavi using the environmental statement in planning, assessing proposals or engagement in countries. There were a few examples of improvements to waste management, although Gavi recognises that some vaccines generate considerable waste that is not always suitably disposed of. Country partners surveyed had low awareness of Gavi's environmental policy and those who were aware, noted the need for Gavi to do more in relation to its environmental policy (see Figure 1).

Strong promotion of good governance: Gavi's model of engagement with countries builds in requirements for effective governance and financial management. Gavi requires countries to be accountable for allocated funds and expenditure and the recently established country programme audit function helps ensure financial accountability and probity. The role of governance/leadership in sustainability is now explicitly prioritised in Gavi's engagement with countries. Grant support in the new strategic period also takes a wider approach to systems strengthening. Gavi drew lessons from its previous strategy that it needs to do more to strengthen health management systems to make sustainable improvements. Gavi is supporting civil society engagement in country systems through two recently developed platforms in Africa. The 2016-20 strategy recognises that improved governance will be key to achieving results for increased coverage and equity. Two indicators in development in the 2016-20 strategy results framework relate to good governance. While Gavi undertakes a range of activities that promote good governance, it has no clear articulation of its policy on governance.

In addition, a Strategic Focus Area on leadership, management and co-ordination has been introduced for the 2016-20 period that will identify ways to develop national political commitments to immunisation and to support in-country political leadership. While this is aimed at building demand and political will, it will require governments to achieve effective governance to deliver sustained immunisation coverage.

Figure 1: Partner Survey Analysis – Strategic Management
 An illustration of aggregated partner views from across the countries



PERFORMANCE AREA: OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability

Operational management: Gavi's financial and staff assets are clearly structured and are used to support the delivery of results. Staffing and budgets have recently been reviewed and realigned to improve accountability, transparency and relevance to the new strategic goals. Gavi's funding model and management processes enable it to respond flexibly to changing country and global needs. Gavi manages its budgets carefully to ensure that they are used effectively and efficiently to support delivery of strategic goals and results. Its Partners' Engagement Framework has introduced higher levels of accountability and transparency. Some new policies and processes still need to be finalised, fully implemented and reviewed.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 3: Operating model and human/financial resources support relevance and agility

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability

KPI 3: Operating model and human/financial resources support relevance and agility

Gavi's performance against this KPI is rated as **highly satisfactory**.

An effective operational model: Gavi's operational model ensures that its human and financial resources are well aligned with its strategic objectives. Recent changes have been made to staffing to address country partners' concerns about lack of staff at the country level. New processes and staffing structures were only introduced in the last 12 months, and Gavi will need to review these following implementation to assess their effectiveness.

Successful realignment to deliver on strategic plan: Gavi has realigned its structure, staffing and budget to support delivery of its strategic direction for 2016-20. Its operational model of working through countries and country partners is consistent with its focus on country ownership and transition within a time-limited period. The model of working through partners rather than having country presence also keeps organisational costs lean to maximise funding available for direct support and market shaping.

Actively pursues a greater country focus through a range of adjustments to operational approach: The 2016-20 budget will finance additional staff in Gavi's Policy and Performance and Country Programmes departments, enabling it to implement new commitments to be more country-focused and provide more technical support. There have also been increases in internal audit and risk management staffing which reflect its greater focus on these areas. Gavi opted to have slightly fewer staff than recommended by the 2015 McKinsey Organisational review in order to keep central costs low while meeting the review's objectives. Recruitment to the new posts, including internal recruitment, is making good progress.

Rigorous recruitment methods are used to ensure Gavi continues to be staffed by very high-caliber experts. Country partners see the skills and commitment of Gavi's staff as a key asset.

However, fewer than half of country partners surveyed consider the level of Gavi's current staffing to be sufficient (i.e. judged "excellent" or "very good" to deliver partnership results at the country level). (See Figure 2). A substantial minority of country partners surveyed sees staffing as inadequate and considers that Gavi needs either to have more staff in country or more frequent country visits by headquarters-based staff. Country partners note that due to a lack of country staff Gavi sometimes has a weak understanding of the local context, and is not adequately engaged in local partnerships and local policy dialogue to be fully effective.

A number of countries also expressed the strong view that they want Gavi staff to be more available at the country level and to provide more technical advice. It is possible that these concerns will be addressed by the new staffing and processes introduced in 2016. Gavi is now in the process of recruiting more staff to increase country-level engagement and support. However, Gavi management may want to investigate country partners' views in greater depth to ensure the organisation meets demand to the greatest extent possible. This would also be an opportunity for Gavi to explore alternative ways of enhancing its reach, for example through the greater use of teleconferencing.

Funding flexibility and programme relevance: Gavi's International Finance Facility for Immunisation finance model (IFFIm) provides a long-term funding framework. The 2016-20 budget sets out how the resource allocations to countries and partners have been realigned to support the revised organisational goals and priorities. Gavi also optimises its resources through innovative models. The Gavi Matching Fund is made up of financial and in-kind support that is matched by financial contributions from donors. Gavi's market-shaping work with suppliers helps optimise the use of funds to meet strategic goals through reducing vaccine costs. During the 2011-15 strategy period Gavi used its long-term donor commitments to leverage manufacturers, and to reduce and maintain vaccine prices for a fixed period to support transition and sustainability.

Processes exist at the country level to ensure programme flexibility and relevance. Up to 25% of programme value for health systems strengthening can be reallocated within a two-year programme. Joint Appraisals provide a forum where country needs can be regularly reviewed by countries and country partners. In the new 2016-20 strategic period, Gavi will continue to seek ways to increase flexibility for adjusting grants and reviewing allocations so it can respond to a dynamic country context.

Organisational culture encourages and rewards high performance through public acknowledgement: Management skills are promoted to ensure staff are equipped to deliver and manage change. A new Human Resources Information System is being implemented to strengthen the performance management of staff, and increase efficiency by automating human resources management processes. Gavi's Performance Management Framework ensures staff performance is actively managed and developed. Staff are accountable for delivering against personal objectives that are cascaded from Gavi's strategic objectives.

Managing continuous change: Gavi is a highly motivated and ambitious organisation that is committed to achieving results quickly. However, it will be particularly challenging for Gavi simultaneously to manage rapid growth, innovate its delivery model and achieve results, as it has committed to doing. Gavi has more than doubled its staff in five years, has significantly increased its funds, and is now planning to work in a much closer partnership with developing countries. Its new strategy commits it to more difficult objectives relating to coverage and equity, as well as ambitious new policies and tools such as the

Partners' Engagement Framework and Programme Capacity Assessments. Rapid growth and change can place stress on organisational systems and capacity and on staff, and lead to greater risks to results and transparency as well as internal and external relationships. Gavi will need particularly careful leadership as well as support from its partners to successfully manage this change process.

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/ accountability

Gavi's performance against this KPI is rated as **highly satisfactory**.

Careful budget management: Gavi manages its budgets to ensure they are used effectively and efficiently to support the delivery of its strategic goals and results. Its re-engineered business planning process (2016-20) adopted a zero-based budgeting approach that applies to both the Secretariat and its partners for the first budget of the next strategic period. In 2016, criteria for the allocation of health system strengthening resources across countries were revised to be consistent with the greater strategic focus on equity, coverage and sustainability.

Gavi's expenditure is consistent with its budget plans and the Audit and Finance Committee regularly reviews the financial forecasts and financial implications of the Programme Funding Policy. The Board agreed, in November 2010, that Gavi's projected three-year rolling average share of expenditure on cash-based programmes within Gavi's overall programme disbursements should be within the range of 15% to 25% of the total planned budget. In 2014, the Alliance's cash-based programme disbursements were 20% of total programme disbursements on a three-year rolling average basis. Reviewed financial forecasts for early 2015 show that Gavi's expenditure is still well within range, and very close to budget plans.

Performance-based funding: In 2012, Gavi introduced performance-based funding to ensure a strong link between health system strengthening (HSS) and immunisation outcomes. In Gavi's performance-based funding model for health system strengthening grant there is scope for additional performance payments determined by its performance against specified equity and immunisation coverage indicators.

A maturing audit function: The internal audit function conforms to the international standards in the Standards for the Professional Practice of Internal Auditing of the Institute of Internal Auditors (IIA). The External Quality Assessment of the internal audit function was completed in 2015, concluding with an overall rating of "partially conforms". This was considered in line with the early stage of development of the function and given the limited resources previously available. An implementation plan is being developed incorporating the External Quality Assessment recommendations with the intent of completion later in 2016. Internal audit processes and adequate staff levels are now in place, following a period of inadequate staffing, and the internal audit function is now implementing routine and risk-based audits. Country programme audits are undertaken. Gavi suspends cash-based programmes (but not vaccine grants) where there are unsatisfactory country audits until there is assurance of adequate financial management and probity. Given the pace of change in Gavi, the Internal Audit is sometimes required to provide assurance to the Board for processes that are still in development.

The Internal Audit manual is (as of June 2016) in draft form and not formally agreed, and staff guidelines on reporting issues are not finalised, though with an intent to complete within 2016. Management responses to audit issues are tracked by Internal Audit and appropriately followed up but this is not publicly documented, which runs counter to Gavi's transparency commitment. Audit processes and guidelines should be finalised and published to ensure greater transparency and accountability.

Strong processes and internal control mechanisms to effectively prevent, detect, and sanction cases of fraud and other financial irregularities (misuse): Mechanisms to prevent, detect and sanction misuse include a risk policy and strategy, a transparency and accountability policy, an internal audit unit, and a whistle-blower policy. A dedicated Investigations and Counter-Fraud team conducts investigations into possible misuse and other misconduct within Gavi and Gavi-supported programmes in country. The team is conducting a fraud risk assessment to identify areas in Gavi’s operations that may be more susceptible to fraud. Any misuse of Gavi funding is made public. A schedule of misuse reimbursements indicates that 92% of misused funds from 12 countries – all relatively small amounts – have been recovered.

Sharpening approach to transparency and accountability: While the Partners’ Engagement Framework has introduced higher levels of accountability and transparency, some new policies and processes still need to be finalised and reviewed. Gavi’s strong commitment to transparency and accountability are supported by its policies. These include its Transparency and Accountability Policy, procedures and its publication of results. The Publish What You Fund Aid Transparency Index ranked the Alliance as a leading organisation for openness and accountability in 2013 and 2014. Board papers, budgets, audits and evaluation reports are published on the Gavi website. Country partners who responded to the Partner Survey are generally very positive about Gavi’s levels of transparency (see Figure 2). The new Partners’ Engagement Framework (PEF) introduced in 2016 aims to provide greater clarity and accountability for partners’ activities and use of allocated funds. The PEF is designed to ensure that technical partners’ activities are aligned with Gavi’s strategic direction and goals, and enables the transparent assessment of activities, expenditure and results. The operation of the PEF will be reviewed following a year of implementation, in 2017, to identify whether it needs to be amended.

Figure 2: Partner Survey Analysis – Operational Management
 An illustration of aggregated partner views from across the countries



PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engages in inclusive partnerships to support relevance, leverage effective solutions and maximise results in line with the Busan Partnership commitments

Relationship management: Gavi is an Alliance founded on partnership working and the effective use of partner resources and capacities to achieve results. Recent changes to planning and tools have strengthened partnership activities to deliver results, increased the alignment of Gavi's interventions with country priorities and improved risk management. More time is needed for the new processes to be implemented and then tested and reviewed. The comparative advantages of each partner have been clarified with the new Partners' Engagement Framework although Gavi's increased support to health systems strengthening raises the risk of blurring of Gavi's comparative advantage at the country level.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)

KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources

KPI 5: Operational planning and intervention design tools support relevance and agility

Gavi's performance against this KPI is rated as **satisfactory**.

An intensifying focus on finding effective ways of strengthening country ownership: Gavi's programmes are in general determined by countries' own plans and priorities, which ensures high levels of relevance. New processes and tools have been developed to increase country ownership and sustainability and to manage risk. More time is needed for the new processes to be implemented and then tested and reviewed.

The 2016-20 strategic plan is based on increasing and strengthening Gavi's existing commitment to country ownership of immunisation programmes. Countries are responsible for leading the prioritisation of what is required with Gavi and the technical partners for providing operational support.

Joint Appraisals, introduced in 2015, are designed to increase country and development partner ownership and ensure better alignment with country processes, cycles and plans. The Joint Appraisal process enables countries and partners, through country-level dialogue, to jointly identify, the technical assistance required to overcome key immunisation-related bottlenecks. The Joint Appraisal in conjunction with the Partners' Engagement Framework (PEF) is intended to strengthen country relevance and country and partner ownership. These processes help to develop a holistic and responsive approach to vaccine and health system and immunisation strengthening support. The PEF is seen as transformational in providing transparency and mutual accountability. Countries, using a bottom-up planning approach, now play a central role in designing their technical assistance programmes.

Gavi is taking a more tailored approach to working with countries, which requires improved contextual information. The Programme Capacity Assessment has recently been introduced to strengthen and systematise Gavi's processes for assessing country needs for capacity support. The Programme Capacity Assessment (PCA) is used to inform analysis of capacity gaps and priority areas for health system and immunisation strengthening support programmes. The PCA may help address concerns identified by several country partners in the survey that Gavi interventions do not always take sufficient account of local capacity constraints, and sometimes are seen to divert scarce staff capacity to the detriment of the country's regular immunisation work. Gavi may need to do more to articulate clearly how it responds to and supports country needs.

Sustainability is supported by two key policies: co-financing and transition. Evidence suggests that the co-financing policy is a significant contributing factor to country ownership and financial sustainability. Tracer questions track the extent to which sustainability is achieved in key system dimensions such as finance and human and institutional capacity for immunisation activities, and these are now verified through the country Joint Appraisals. The findings inform Gavi's subsequent investment in the country. Following transition, post-transition indicators are monitored for five years and there are post-transition evaluations to review progress.

An evolving approach to risk management: As countries with greater internal challenges approach transition, there is a greater risk to Gavi's results. In 2014 Gavi developed a more strategic approach to risk based on its appetite for different types of risk; levels of appetite are regularly reviewed. Gavi is moving towards an upstream risk management model of earlier dialogue and engagement with countries to help them think through their readiness, and to explore what kind of support they need from Gavi as the very first step in reducing risk. Each country is assessed individually, so that risk tolerance levels relate to the country situation. Gavi has restructured its risk management model to integrate risk management with existing processes and responsibilities using the three lines of defence model. Under the 2016-20 strategy, Gavi's risk policy, practices and processes are being updated and staff resources enhanced to manage and mitigate risk. Processes and tools such as country risk matrices and risk reporting processes to clarify risk management functions and responsibilities will be finalised in late 2016.

Speeding up operations: The Joint Appraisals reviewed indicated severe delays in implementation caused by lengthy and burdensome planning, budgeting and procurement procedures at the national level. Country partners surveyed noted the need for Gavi funding to be disbursed with greater predictability and promptness. Delays in disbursement were also attributed to technical partners' payment approval systems. In many cases barriers to speedy implementation emanate from weak country systems, not from the Secretariat. However the level of concern expressed indicates that there is a need to improve and align financial processes (see Figure 3). Gavi is conscious of the need to simplify and expedite business processes. The new Knowledge Management department now leads on this and has already had success in reducing timescales for some procedures.

In 2016, the Country Portal was launched as a platform for transparently sharing information on country programmes and progress against results targets in real time. The Portal is still relatively new and will be developed further, but it already improves intelligence sharing to facilitate collaboration. Gavi is also investing in an enterprise knowledge repository to make Gavi knowledge more accessible to stakeholders at different levels. These developments may help address concerns about the quality of communication between the Gavi Secretariat, country partners and country governments, and particularly those around Gavi Secretariat procedures and guidelines that were identified in the 2014 Full Country Evaluation. Similar concerns as well as concerns regarding access to information were voiced in the MOPAN Country Partner survey.

There is scope for Gavi to review and improve alignment of its systems and processes with those of countries and technical partners, and to identify further improvements to the speed and reliability of payments. Improvements on information sharing and communications are a particular area for Gavi to explore further with country partners.

KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources

Gavi's performance against this KPI is rated as **highly satisfactory**.

Raising the bar on effective partnering: Gavi is an Alliance founded on partnership working and the effective use of partner resources and capacities to achieve results. It has introduced new processes to increase country relevance and better synergies of resource use, although their effectiveness is yet to be assessed. The comparative advantages of each partner have been clarified with the new Partners' Engagement Framework (PEF). However Gavi's increased support to health system and immunisation strengthening raises the possibility of blurring of Gavi's comparative advantage at the country level, as there is a risk of increased overlap in health systems strengthening activities undertaken by Gavi and technical partners.

Gavi's business model, processes and governance structures are built on partnership working. The PEF is designed to leverage and monitor comparative strengths of technical partners in support of Gavi's vision and mandate. The new framework will also help strengthen and increase the coherence of partnerships working on immunisation and related health system and immunisation strengthening matters. Technical assistance is now becoming an integral part of Gavi support and takes into consideration other bilateral investments in an attempt to harmonise investments across partners at the country level. Gavi's development and use of the International Finance Facility for Immunisation (IFFIm) provides a unique model for using and catalysing partner resources that enable the Alliance to respond to country and global needs.

One of the key principles of the PEF is to reduce duplication of effort and fragmentation. During 2015, the leadership role of technical partners in different programmatic areas was clarified, along with the supporting role of other partners. Duplication is a risk, however, as Gavi increases its investment in health system and immunisation strengthening as this is also a priority area for other development partners. There is also a risk that the assistance provided to countries may not change sufficiently to address the new demands of the 2016-20 strategic goals. These risks will be mitigated by regular reviews of the new arrangements by the PEF management team.

Countries and partners observed that there is scope to improve Gavi's partnership working with country development partners to better achieve synergies, particularly in relation to health system strengthening. While many countries see the value of Gavi's model, some countries observe that Gavi's role in working with and through partners at country level is not clear. The Gavi Secretariat is aware of the need to engage more effectively with development partner forums and clarify its role, particularly in relation to health system and immunisation strengthening.

Embracing new horizons for partnering: Gavi seeks to expand its partners and partnerships, particularly in areas that its traditional partners may not address such as financial management, innovations focusing on creating and scaling partnerships that strengthen delivery of immunisation, and providing technical support to countries. For example the 2016-20 supply and procurement strategy sees a broadening and

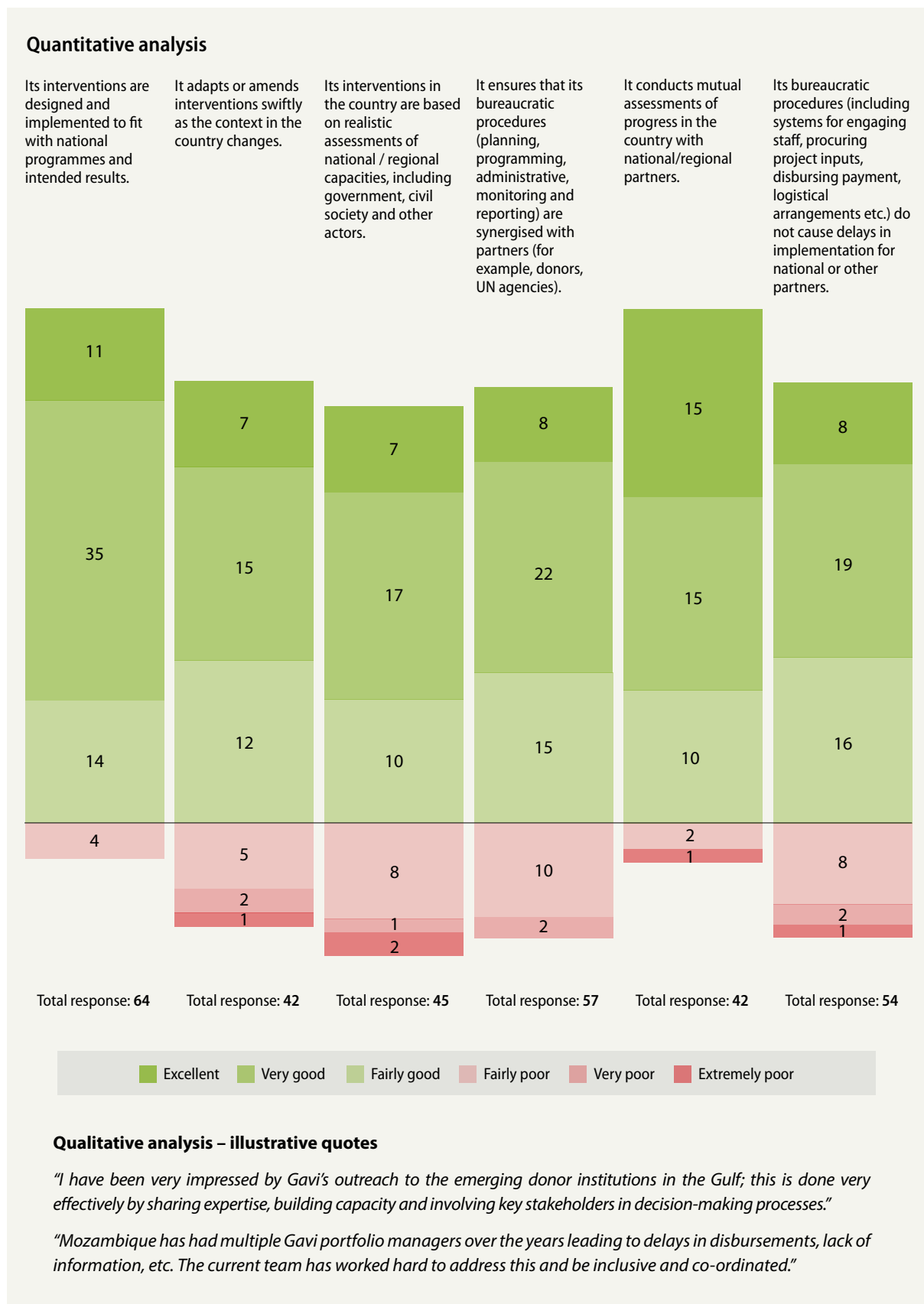
strengthening of collaboration with market shaping. Gavi is prepared to take risks and work outside traditional paradigms, particularly where existing partners may not be best suited to deliver the equity agenda or facilitating access to vaccines. Gavi is increasingly developing partnerships with the private sector to draw on its comparative advantages. The 2016-20 strategy also includes increasing engagement with civil society to foster innovation, promote advocacy, and maximise efficiency and synergies. Support to a civil society organisation platform in some African countries is now promoting this in a practical manner.

The Joint Appraisal process and the Partners' Engagement Framework require partners to identify issues that may jeopardise implementation progress or sustainability. The combination of the two processes is designed to prompt countries and partners to think beyond the delivery of work plans to take a more holistic and strategic approach to building sustainable systems.

The Alliance now plans to review its partnership working regularly through an annual Alliance health survey to provide information on the quality and effectiveness of partnership working.

Figure 3: Partner Survey Analysis – Relationship Management

An illustration of aggregated partner views from across the countries



PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results as well as the use of performance information including evaluation and lesson learning

Performance management: Gavi has a strong results focus supported by rigorous tools and processes to ensure monitoring and reporting are aligned and transparent for the Alliance, Secretariat, countries and partners. Progress and performance data inform planning and management at all levels, and a strengthened approach to accountability has been introduced. There have been some challenges around data quality, which are now being addressed through the Data Strategic Focus Area. Gavi has a strong commitment to being a learning organisation. The Alliance's evaluation programme is funded by core funds. Systems and processes to plan, manage and use evaluations are not well developed. Systematic processes are not in place for the follow-up to evaluations and there are no formal processes for ensuring that lessons learned inform design of new interventions.

SCORING COLOUR CODES

Highly unsatisfactory
(0.00 – 1.00)

Unsatisfactory
(1.01 – 2.00)

Satisfactory
(2.01 – 3.00)

Highly satisfactory
(3.01 – 4.00)

KPI 7: Strong and transparent results focus, explicitly geared to function

KPI 8: Evidence-based planning and programming applied

KPI 7: Strong and transparent results focus explicitly geared to function

Gavi's performance against this KPI is rated as **highly satisfactory**.

Gavi has a strong results focus but data quality is a continuing challenge: Gavi's results focus is supported by rigorous tools and processes that ensure monitoring and reporting are aligned and transparent for the Alliance, Secretariat, countries and partners. Progress and performance data inform planning and management at all levels and a strengthened approach to accountability has been introduced. There have been some challenges around data quality for data generated by country systems, which are now being addressed through the Data Strategic Focus Area.

At the global level Gavi seeks to reduce child mortality, avert deaths, increase immunisation coverage and accelerate access to vaccines. These results drive its work and ensure a clear focus. Gavi's results framework is aligned with relevant global frameworks. It outlines and documents the progression from inputs and processes to outputs, outcomes and impact through measurable indicators. A disease dashboard is being developed to empirically measure and map the Alliance's contribution to alleviating the burden of vaccine-preventable diseases.

The performance management of grants and activities at the country level is framed by targets or indicators that are consistent with global results indicators. Key metrics to monitor and report on grant performance are agreed between Gavi and the recipient country. One overall performance framework that reflects the intended results chains for all Gavi grants is agreed for each country. Gavi ensures clarity

on these indicators and targets, since partners are accountable for supporting countries to achieve these targets. Each indicator included in the performance framework has an identified data source, baseline, target and reporting schedule. The performance framework reporting tool is used to inform new proposals, reprogramming and re-allocation as well as performance.

Strengthening tools and processes: The recently introduced Joint Assessments and Country Portal have increased the transparency and currency of results reporting at the country level, facilitating more open discussions on performance. The Alliance Accountability Framework (AAF) provides a strong mechanism for ensuring that the work of the Secretariat, partners and countries is delivering results aligned to the Alliance's goals. The AAF sets out the responsibilities for each party for delivering results. The Partners' Engagement Framework, country performance frameworks and Secretariat performance reporting frameworks are designed to be aligned with the AAF so that there is a clear results path from country to global level. The AAF has brought together and built on existing processes to provide a clearer Alliance-wide framework, but has yet to be fully tested for effectiveness.

Gavi's monitoring and evaluation activities use country data systems for country reporting, as part of its commitment to sustainability and country ownership. Evaluations have identified weaknesses in the quality of country data that in turn may undermine the accuracy of reported results. Weaknesses include the robustness of immunisation data, the lack of data and the absence of baselines for grant results for health system strengthening. Gavi is working to tackle these issues through its new strategy with a new Data Strategic Focus Area, which takes a strategic and co-ordinated approach to measurably improving the availability, quality and use of data. Gavi sees data quality as vitally important to enabling the Alliance to manage programmes effectively and to identify and mitigate risks, and has therefore prioritised the work of the Data Strategic Focus Area.

The Country Portal will also help address data quality, transparency and monitoring processes. However, the rapidity with which it was introduced alongside other changes has led to difficulties in its implementation and use by countries. Countries have identified the need for more training.

KPI 8: Evidence-based planning and programming applied

Gavi's performance against this KPI is rated as **satisfactory**.

The strong commitment for organisational learning yet to be matched by the nature and consistency of practice: Gavi has a strong commitment to being a learning organisation that uses evidence and experience to inform its work and policies. The Alliance's evaluation programme is funded by core funds. Systems and processes to plan, manage and use evaluations are being strengthened. Gavi could systematise the way it learns lessons from evaluations, and could do more to ensure new investments systematically take account of past experience.

Gavi is committed to using its three-tier monitoring and evaluation process to draw lessons from past projects to inform the design and implementation of new ones. Many examples are available including changes to policy co-financing; changes in health system strengthening (HSS) support design and mechanisms based on data from evaluations; and the use of Full Country Evaluations to inform country-level discussions on how to address bottlenecks and strengthen systems. There is evident use of learning on HHS support. Examples include the new Strategic Focus Areas on data availability, quality, and use; supply chain; demand generation; and in-country leadership, management, and coordination. These can be seen to respond directly to concerns raised in several evaluations.

Gavi continuously makes improvements, drawing on lessons from implementation, proactive risk assessments, team reviews, and consultations with countries and other stakeholders. For example, for the health systems and immunisation strengthening (HSIS) policy development and other policy development processes, the Secretariat conducted a retrospective review of lessons learned that was used to inform the new or revised policy. In addition, the Country Programme Team for each country has regular multidisciplinary team meetings to review and identify learning. An active learning by doing and reviewing model is in use. Gavi is improving its recording of lessons learned as its staffing capacity grows.

Evidence indicates that lessons learned from targeted studies and Full Country Evaluations are synthesised with routine monitoring to help inform integrated delivery of immunisation services at a country level. The country partners survey indicates that broadly satisfaction with use of learning (see Figure 4) with some caveats. This is mainly the responsibility of Senior Country Managers. There are no published synthesis reports that would provide rigorous evidence for new policies and programmes or amendments to existing ones published. A clear, systematic method and process for distilling, learning and using lessons with a statement of actions taken, management responses and systematic follow-up would formalise the use of evidence and learning.

Weaknesses in the systems and processes in place to plan, manage, review and use evaluations: The independent expert Evaluation Advisory Committee assesses the quality of evaluations and reports to the Board on its findings. However the Gavi quality standards for evaluations are limited, which detracts from the impact and value of these evaluations and reports. It is not clear how evaluations are used systematically to inform new programming and policies. Management responses were available for many evaluations but a comprehensive description of the system to track recommendations and ensure follow-up was not available. End of grant evaluations are used to inform subsequent grants, with responsibility for follow-up at the country level allocated to the relevant Senior Country Manager. However follow-up processes on the implementation of recommendations or lessons are not clearly documented and reported.

Gavi's evaluation function is embedded within the Policy and Performance Department, maintaining its role as a 'critical friend'. While this provides strength in maintaining relevance and enabling feedback, it also potentially compromises the evaluation function's independence. The Evaluation Unit reports to the Board through the Evaluation Advisory Committee, a panel of external expert advisers who provide oversight for quality and use. Development of a more independent position for the Evaluation Unit within the Gavi structure may assist in ensuring that evidence is used more systematically and rigorously within Gavi.

During the planned review of the evaluation function, Gavi should consider developing clearer and more detailed descriptions of evaluation products, as well as publishing guidance on the processes and standards for commissioning, managing and reviewing different types of evaluations.

Figure 4: Partner Survey Analysis – Performance Management

An illustration of aggregated partner views from across the countries

Quantitative analysis

Where interventions in country are required to be evaluated, it follows through to ensure evaluations are carried out.

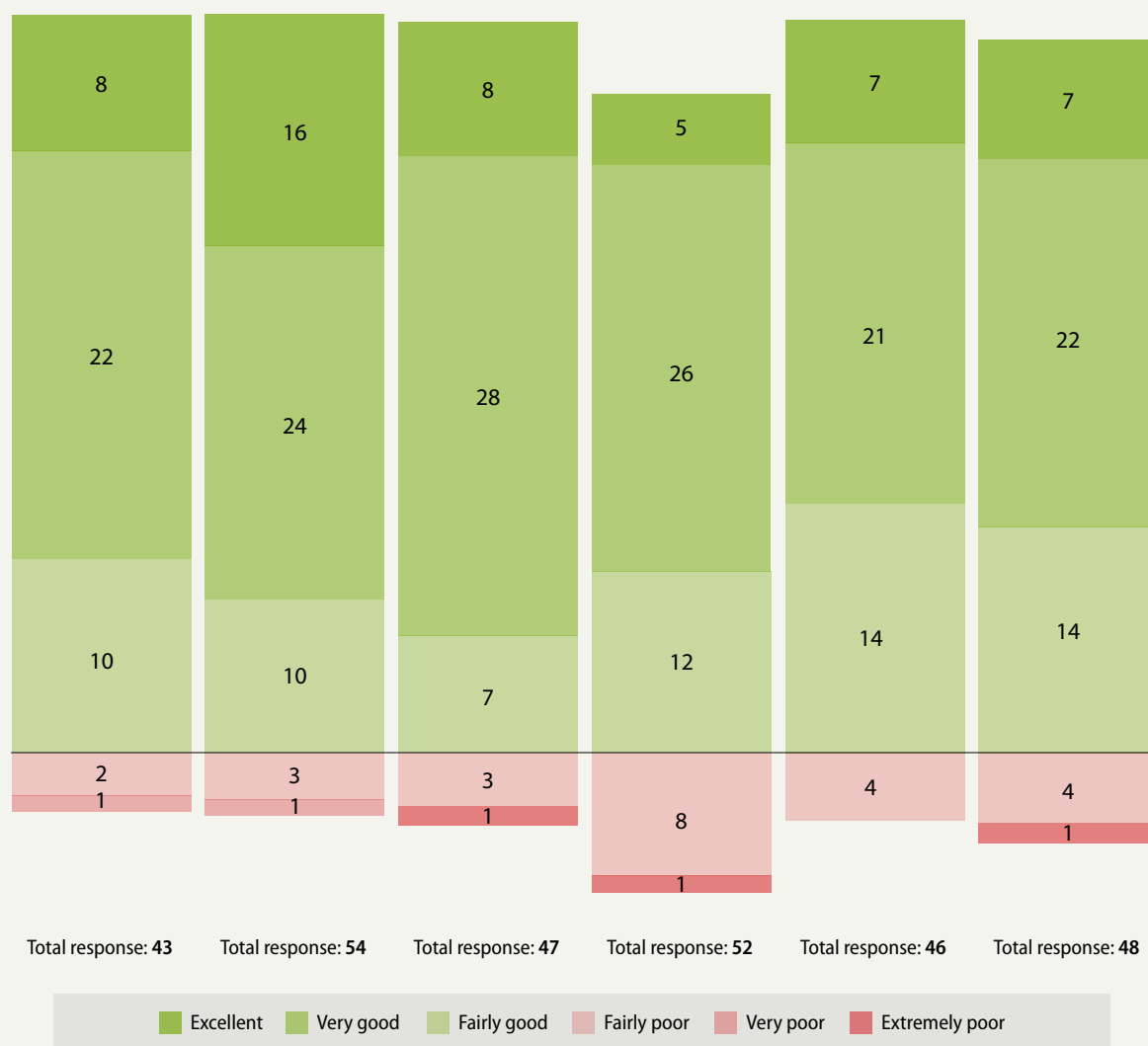
It participates in joint evaluations at the country / regional level.

All new intervention designs of GAVI include a statement of the evidence base (what has been learned from past interventions).

It addresses any areas of intervention under-performance, for example, through technical support or changing funding patterns if appropriate.

It follows up any evaluation recommendations systematically.

It learns lessons from previous experience, rather than repeating the same mistakes.



Qualitative analysis – illustrative quotes

“There does not seem to be a systematic way Gavi is tracking progress on how it is following up on recommendations from reviews, assessments, evaluations and audits, or how recommendations are systematically informing new programming.”

Organisational Effectiveness scoring summary

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
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PERFORMANCE AREA: STRATEGIC MANAGEMENT

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

KPI 1: Organisational architecture and financial framework	MI 1.1	MI 1.2	MI 1.3	MI 1.4
KPI 2: Implementation of cross-cutting issues	MI 2.1	MI 2.2	MI 2.3	

PERFORMANCE AREA: OPERATIONAL MANAGEMENT

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability

KPI 3: Operating model and human/financial resources	MI 3.1	MI 3.2	MI 3.3	MI 3.4		
KPI 4: Financial transparency/accountability	MI 4.1	MI 4.2	MI 4.3	MI 4.4	MI 4.5	MI 4.6

PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)

KPI 5: Planning and tools support relevance and agility	MI 5.1	MI 5.2	MI 5.3	MI 5.4	MI 5.5	MI 5.6	MI 5.7		
KPI 6: Leveraging/ensuring catalytic use of resources	MI 6.1	MI 6.2	MI 6.3	MI 6.4	MI 6.5	MI 6.6	MI 6.7	MI 6.8	MI 6.9

PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning

KPI 7: Strong and transparent results focus	MI 7.1	MI 7.2	MI 7.3	MI 7.4	MI 7.5		
KPI 8: Evidence-based planning and programming	MI 8.1	MI 8.2	MI 8.3	MI 8.4	MI 8.5	MI 8.6	MI 8.7

2.2 DEVELOPMENT EFFECTIVENESS

PERFORMANCE AREA: RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

Results: Gavi has been effective at achieving results at the global level, and in particular in leading and advocating for a coherent response across the Alliance and with other partners for the development and supply of vaccines. Globally Gavi's market-shaping work has led to considerable reductions in vaccine costs and accelerated supply to developing countries. Interventions in general achieve results that are relevant to countries and beneficiaries, although there are variations at the country level often due to contextual factors. There are clear achievements in relation to gender and governance. Co-financing increases efficient use of funds. Administrative processes and timing of communications can lead to delays in grant payments, as can countries' own processes and low capacity. Gavi supports the sustainability of vaccination supplies globally through its market-shaping work. At the country level Gavi builds sustainability through co-financing and health system strengthening to enable transition.

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
KPI 9: Achievement of development and humanitarian objectives and results			
KPI 10: Relevance of interventions to needs and priorities of partner countries and beneficiaries			
KPI 11: Results delivered efficiently			
KPI 12: Sustainability of results			

KPI 9: Achievement of development and humanitarian objectives and results

Gavi's performance against this KPI is rated as **satisfactory**.

There has been good achievement of results at the global level, although there are variations at country level, often due to contextual factors. Gavi has made achievements in relation to gender and governance.

Consistently strong results at the global level: Gavi has a clear focus on delivering results, supported by a well-developed results-based financing methodology and strong accountability mechanisms. During the 2011-15 period the Alliance exceeded its global targets for immunisation. All vaccine introduction targets were achieved by 2015 for pentavalent, pneumococcal and rotavirus vaccines and the Alliance introduced over 60 new vaccines in 2015. Gavi did not achieve planned targets in some areas, in particular in relation to coverage of pentavalent, PCV3 and rotavirus. This was partly due to country issues and partly due to supply constraints.

Variable results at the country level: Performance at the country level was variable in terms of the extent to which remote, vulnerable or excluded groups were reached. Joint Appraisals highlight a number of concerns regarding inequities in coverage at the subnational level. In India, for example, the Joint Appraisal found significant inequities in vaccination coverage in different states based on various factors related to the individual (gender, birth order); family (residence, wealth, education) demography (religion, caste); and society (health care access, literacy level). Different surveys also reported a clear gender coverage differential. The Vietnam Joint Appraisal found that several ethnic minorities and mountainous areas in the north lacked good access to immunisation services, despite Vietnam being a high-coverage country. Similar concerns were raised in Joint Appraisals in Nepal, Moldova, Liberia and Haiti.

Capacity constraints in the health systems of countries supported by Gavi have led to variations in performance at the country level. In some cases this has been compounded by supply constraints, which pose another challenge to delivery of results. A review of Joint Appraisals noted the frequency with which contextual conditions affected grant performance. Issues ranged from lack of procurement and monitoring capacity in partner governments, to poor data quality, supply shortages and transportation infrastructure, as well as negative attitudes regarding immunisation. Some delays occur because countries are not ready to implement programmes. Gavi is well aware of these issues and has introduced policies, strategies and tools to address them including a more strategic and integrated approach to health system strengthening in the current strategy period.

Improving results on cross-cutting aspects of gender equality and governance: The cross-cutting issues of gender and governance are both integral to Gavi's work, and there have been improvements in results related to these. In the new strategic plan period, Gavi is prioritising issues of equity and coverage to ensure that results are more inclusive. Results for environmental issues are less evident.

KPI 10: Relevance of interventions to needs and priorities of partner countries and beneficiaries

Gavi's performance against this KPI is rated as **satisfactory**.

Strong commitment to realising results through alignment with country' priorities, but positioning with country capacities remains challenging: Interventions are broadly relevant to achieving results that are relevant to partners' countries and beneficiaries. However, there are still aspects of intervention designs and process that do not sufficiently take account of country capacities, and activities are not consistently harmonised with those of partners. At the global level, Gavi has had outstanding success in leading and advocating for a coherent response across the Alliance and with other partners for the development and supply of vaccines.

Gavi has a strong commitment to aligning with countries' priorities to deliver immunisation programmes. In many cases this works well, and targets have been successfully achieved. Reports indicate successful results against each of Gavi's key indicators at the global level, and a review of Joint Appraisals indicated that health system strengthening (HSS) has been relatively successful in facilitating system reforms and building capacity. A meta-review of evaluations of Gavi's support to HSS found that efforts to reprogramme grants had resulted in greater relevance to country needs and priorities. A recent report by the Independent Review Committee, however, found that a number of HSS proposals were not well aligned with broader national health sector plans, and that a majority did not contain adequate consideration of the integration of immunisation within primary health care and the broader health sector. Evaluations also found mixed evidence of the extent to which HSS grants had been designed to meet country needs and align with country systems. Evaluations noted that in some cases grants had been based on sound

proposals that clearly identified critical gaps, but that in other cases grant designs contained weaknesses that reduced their relevance and likelihood of success.

Gavi's mission does not include specifically responding to epidemics and outbreak risks. However recently Gavi has responded as part of a coherent global response to outbreaks of measles and Ebola, and has taken steps to prevent seasonal outbreaks of meningitis A and yellow fever in countries identified to be at risk. Gavi has developed a stronger approach to stockpiles of vaccinations including for meningitis, yellow fever and oral cholera vaccine, which allows it to respond quickly to outbreaks. Gavi's programming has become more flexible in fragile contexts to enable Gavi to respond to conflict, insecurity or other events preventing implementation.

Gavi's new planning and assessment processes (Joint Appraisals, Programme Capacity Assessments, Partners' Engagement Frameworks, the Transition Policy) should improve the alignment and relevance of Gavi programmes to country context and capacity. It will be important for Gavi to assess the extent to which the new processes do so in any programme evaluations.

Important global role: Gavi plays an important role at the global level in leading and advocating for a coherent response across the Alliance and with other partners to the development of vaccines and prioritisation of effort to meet global vaccine needs. Gavi's vaccine "roadmaps" help articulate individual product strategies and are designed to align partners across the Alliance on market-shaping target outcomes and delivering interventions. Gavi also uses its financing facility and advocacy function to expedite results in vaccine development and supply. For example, during the Ebola outbreak in West Africa, Gavi made a major contribution to the global health community's response by mobilising support that helped to incentivise large-scale funding.

KPI 11: Results delivered efficiently

Gavi's performance against this KPI is rated as **satisfactory**.

Mixed picture on efficiency of results: At the global level, Gavi's market-shaping work has led to considerable reductions in vaccine costs and accelerated supply to developing countries. Co-financing increases efficient use of funds. Administrative processes and timing of communications can lead to delays in grant payments to countries, as can countries' own processes and low capacity.

Global efficiency gains: Globally Gavi's work in market shaping and reducing cost of vaccines makes a major contribution to increasing the efficiency of Gavi's and others' use of resources and to increasing the cost effectiveness of vaccines. In 2016, GlaxoSmithKline (GSK) announced a 10% reduction in the price of pneumococcal conjugate vaccine, to USD 3.05, the lowest-ever global price, as a result of Gavi engagement and advocacy. Since pneumococcal conjugate vaccine represents over 40% of projected Alliance vaccine expenditure 2016-20, this will yield significant savings to the Alliance and to current and transitioned Gavi countries. Gavi's market-shaping work has also accelerated the introduction of new vaccines to developing countries.

Contribution of co-financing to greater efficiency: Gavi's co-financing policy contributes to more efficient use of country resources by ensuring that they are better targeted to health system and immunisation strengthening, thereby increasing the effectiveness of Gavi support and country ownership. Co-financing also leverages Gavi resources globally by increasing financial contributions from domestic sources. Despite early concerns that co-financing would not be successful, countries exceeded their co-financing targets by 40% in the last strategic period 2011-15.

Inefficiencies within country-level interventions: Several of the Joint Appraisals reviewed revealed concerns regarding the efficiency of interventions. In Haiti, for example, concerns were raised regarding the administrative processes for financing interventions, which were deemed to be “a bit cumbersome”. Other country partners surveyed commented on the delays in making payments, and the complexity of systems that slow down implementation and are burdensome to governments. This is corroborated by a recently produced meta-review of evaluations of Gavi’s support to health system strengthening. This found that while efforts to reprogramme grants had resulted in greater relevance, they had also led to significant transaction costs. In some cases delays in decisions and disbursement have had a negative impact on countries’ ability to plan and budget. A further constraint on country capacity has been the difficulty of managing concurrent processes of grant applications and implementation of multiple Gavi support streams. The new Knowledge Management Team is now addressing these issues through better co-ordination of grant application and reporting processes and by improvements in business processes.

Delays also pertained to partner countries’ capacity constraints and/or burdensome budgeting, planning and procurement procedures. In Nepal, the Joint Appraisal found efficiency was hindered by low absorption capacity for Gavi health system strengthening grants due to a delay in the approval and execution of the activity and budget related to immunisation as well as a lack of human resource capacity in financial management and budget planning.

Gavi has had some success in working in partnership to deliver results more efficiently, such as improving Health Management Information Systems through partnership work and partnership mapping of finances to improve coordination and alignment of development partner resource use at country level. Evaluations show that the complexity of Gavi support coupled with insufficient understanding of context and actors at the country level has also led to some failures to use health system strengthening funding in full synergy with other donors and actors. This has resulted in some fragmented approaches.

KPI 12: Sustainability of results

Gavi’s performance against this KPI is rated as **satisfactory**.

Gavi builds sustainability through market shaping and cost control at a global level and through co-financing and health system strengthening to enable countries to transition out of Gavi support.

Significant contribution to transformed global supply of vaccines: At the global level, Gavi makes an important contribution to shaping the vaccine development and supply market to support sustainability and deliver results. Gavi’s fourth strategic goal is to shape the global vaccine market to ensure adequate and secure supply of quality vaccines. Results in this area are extremely positive. In 2001, there were just five Gavi vaccine suppliers. By the end of 2014, 16 manufacturers were producing prequalified vaccines suited to the needs of Gavi-supported countries. Gavi has contributed to reducing significantly the costs of vaccines through its market-shaping work so that the uptake of vaccines is affordable and sustainable.

An example of building capacity to ensure sustainability is Gavi’s work on the cold chain equipment optimisation platform, which is a global strategic focus area for 2016-20. The platform provides an opportunity to share costs and enable a sustainable approach for the future in order to improve supply chain systems (including efficiency aspects) in partnership with countries and partners. It will also help increase coverage and equity by enabling vaccines to reach more people in low-resource settings.

Mixed picture on institutional and financial sustainability at the country level: Gavi's intervention model for intervention is intended to be time limited and therefore premised on achieving sustainability. Countries' eligibility for Gavi support is determined by a combination of criteria that have recently been revised to promote greater sustainability. As countries approach the transition threshold, Gavi co-financing is reduced on a planned agreed timetable; eventually direct Gavi support is phased out. Support is differentiated for different vaccine programmes. In 2016, Bhutan, Honduras, Mongolia and Sri Lanka became the first countries to transition out of Gavi support under Phase 1 of the transition policy. Ten other countries have started fully self-funding at least one vaccine previously supported by Gavi and approximately 20 countries are expected to transition by 2020. Recent changes to the transition policy now require planning for transition to start much earlier, and approaches to transition are more closely tailored to country context. Gavi is using learning from Phase 1 countries to inform transition planning.

An evaluation of Gavi's co-financing policy found that it made a strong contribution to the sustainability of Gavi interventions, especially in intermediate countries. Joint Appraisals revealed some evidence that interventions were achieving results perceived to be largely sustainable. The evaluation also concluded that although most Gavi-supported countries had a high political commitment to immunisation, this in itself was not sufficient to ensure financial sustainability. The evaluation pointed to some concerns in low-income countries that the introduction of Gavi vaccines may stretch existing resources, and thus cause "*co-financing to eventually displace other self-financed health interventions and programmes*". These concerns are echoed by country partners where there have been some experiences of Gavi-supported campaigns diverting available capacity away from routine vaccination and health work.

One of the primary means through which Gavi aims to increase the institutional capacity of national partners is through health system strengthening. The evaluation of Gavi's co-financing policy found that it has helped to improve country efforts to build capacity. However, a meta-review of evaluations of Gavi's support to health system strengthening found that while there was some evidence of Gavi health system strengthening activities being sustained after the completion of funding, for the most part the potential for financial sustainability was weak. Some country partners note the need for earlier planning for transition to ensure sustainability, while others perceive that Gavi integrates its work well with country plans and plans well for sustainable financing and technical support.

It is challenging to anticipate the rate of transition and to forecast longer-term sustainability. Several countries are developing at a faster trajectory than forecast, and so may become ineligible for Gavi support earlier than planned. In others capacity and resources may not be adequate, or may change, jeopardising the sustainability of vaccine and immunisation programmes. Countries that have transitioned may experience changes that bring them back into eligibility, for instance following conflicts or as a result of longer-term economic or environmental changes. Gavi is working with partners to share their learning on transition, and identify ways to support sustained transition.

Development Effectiveness scoring summary

SCORING COLOUR CODES

Highly unsatisfactory (0.00 – 1.00)	Unsatisfactory (1.01 – 2.00)	Satisfactory (2.01 – 3.00)	Highly satisfactory (3.01 – 4.00)
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PERFORMANCE AREA: RESULTS

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

KPI 9: Achievement of results	MI 9.1	MI 9.2	MI 9.3	MI 9.4	MI 9.5	MI 9.6
KPI 10: Relevance of interventions	MI 10.1	MI 10.2	MI 10.3			
KPI 11: Results delivered efficiently	MI 11.1	MI 11.2				
KPI 12: Sustainability of results	MI 12.1	MI 12.2	MI 12.3			



3. CONCLUSIONS

3.1 CURRENT STANDING OF THE ORGANISATION AGAINST REQUIREMENTS OF AN EFFECTIVE MULTILATERAL ORGANISATION

This section brings together the findings of the analysis against the micro-indicators (MIs) and Key Performance Indicators (KPIs) of the MOPAN assessment methodology to report against MOPAN's understanding of the current requirements of an effective multilateral organisation. These are reflected in four framing questions corresponding to relevance, efficiency, effectiveness and impact/ sustainability.

Illustrative quotes from Partner Survey Analysis on overall performance

"Needs on-the-ground presence. Needs to build, and risk, its own relationships instead of relying on donor partners to police their programmes."

"Gavi's business model is both a strength and a weakness. On the one hand, Gavi's Secretariat is lean, resulting in low administrative costs. On the flip side, however, having no country presence results in challenges [in] monitoring programming."

RELEVANCE

Does Gavi have sufficient understanding of the needs and demands it faces in the present, and may face in the future?

Gavi has a clearly identified role and clear goals to increase access to vaccines through market shaping and global advocacy, and to increase levels of immunisation through strengthening systems and sustainability. To succeed in achieving these goals, Gavi ensures that it has good intelligence about the vaccine industry and research, and engages closely with the sector. It also ensures that it has good information on the demand and need for its interventions through close collaboration with other global partners such as the Global Fund to Fight AIDS, Tuberculosis and Malaria, UNICEF, the World Health Organization (WHO) and the Gates Foundation, as well as from its own intelligence from global, regional and country sources. Gavi's operational model is founded on country ownership of its programmes and ensuring alignment between country priorities and Gavi's support.

Following review of the 2011-15 strategy, Gavi has revised its goals for 2016-20 to include coverage and equity. This change recognises that in order to achieve organisational aspirations for higher rates of immunisation and uptake, Gavi's support will need to be targeted at hard to reach groups and areas. However, Gavi's high level of dependence on the capacity of national partners to implement its initiatives may be a challenge to achieving these goals. Countries are not always ready to implement, which leads to delays, in particular in fragile and in challenging contexts. Gavi recognises that the imperative to introduce new vaccines may divert country attention or resources from improving existing vaccines programmes' coverage and equity.

The revised goals address Gavi's learning, from the previous strategic period concerning the importance of providing greater support to health systems and capacity to improve effectiveness, good governance and sustainability at the country level. The Strategic Focus Areas introduced in the 2016-20 strategy demonstrate Gavi's understanding of the aspects that need to be strengthened to increase access to vaccines and immunisation. These include improving data, leadership, management and co-ordination, and supply chain management. The Data Strategic Focus Area is prioritised to improve Gavi's knowledge

of current and future needs. It will improve the availability and quality of data, ensure data are adequate to inform programme management and decisions, and enable Gavi to respond promptly to public concerns.

Gavi's interventions have not been fully aligned with some country priorities and needs. This issue is now being addressed through Joint Appraisals with countries and country partners and the Programme Capacity Assessments, some changes to assessment processes for funding applications, and more rigorous contextual analyses. Gavi has also increased staff resources to enhance country engagement by appointing additional Senior Country Managers supported by country teams of technical staff. These changes are collectively designed to enable Gavi to align more closely with country priorities and work more responsively to meet country needs.

An area for future development is Gavi's strategic approach to addressing the effects of climate and environmental change. Gavi recognises that these issues are already affecting the nature and spread of vaccine-preventable disease, and that it will need to develop and integrate policies and plans for mitigating their impact on its strategic goals. There is also scope for Gavi to consider how it can work with vaccine manufacturers to reduce the environmental impact of the manufacture and use of vaccines.

EFFICIENCY

Is Gavi using its assets and comparative advantages to maximum effect in the present, and is it prepared for the future?

Gavi has a strong commitment to efficiency in order to maximise available resources to support programme implementation and to increase access to vaccines. To support efficient use of its resources, Gavi deliberately operates a relatively lean organisation. All new posts are rigorously scrutinised for their added value and only created if there is a strong business case. Travel and other costs are tightly controlled, and new headquarters premises have been found; Gavi will share them with GFATM, which will reduce office costs. Gavi's model of operating without country offices provides clear financial benefits. Gavi manages its budgets well, and has high standards of financial management and robust audit processes.

Gavi increases the efficient and effective use of resources through its market-shaping work. A central element of its strategy is to reduce the unit costs of vaccines to enable wider uptake by poor countries. It uses its leverage and own innovative financing model, the International Finance Facility for Immunisation (IFFIm), to work with manufacturers to shape the vaccine market so that unit costs of vaccines are reduced. Gavi also brokers long-term supply agreements that enable countries to plan the resourcing of immunisation programmes following their transition out of Gavi funding support. The use of resources is further optimised through Gavi's co-financing policy, which builds capacity and sustainability into Gavi's work and increases the amount of funds available globally by supplementing Gavi's funds with domestic resources. The IFFIm and other funds managed by Gavi enable it to have flexibility in allocating resources to changing or unanticipated needs, such as procuring and stockpiling Ebola vaccines, that fall within its overall strategic aims.

Through its model of working through technical partners, Gavi reduces its own overheads and also increases the efficiency of use of country partners' capacity and skills. Gavi's work to reduce fragmentation is now better supported through the joint appraisal process. This process puts Gavi in a stronger position to co-ordinate and align relevant partner resources in relation to immunisation and vaccine supply at country level. The recently introduced Partners' Engagement Framework introduces greater accountability for activities related to results for technical partners, which should further maximise the effective use of

Gavi resources. All Gavi programmes and funding are results based, and closely monitored for results achieved. Where results are not achieved, money can be withheld and where there has been incorrect use of funds, reimbursement from countries is sought and obtained.

Partners experience some of Gavi's working processes as slow, and these can potentially delay activities. Gavi's recently-created Knowledge Management Team has already addressed some identified challenges such as the speed of disbursement, and is now mapping all business processes to identify further efficiency improvements. Reflecting the speed at which Gavi has grown in recent years, some of its formal policies and guidance are now out of date or require revision to meet the needs of a larger organisation. Some policies have already been updated, but some still need to be finalised, and there is a need to ensure that all are well embedded in daily working to optimise efficiency.

EFFECTIVENESS

Are Gavi's systems, planning and operations fit for purpose? Is it geared in terms of operations to deliver on its mandate?

Gavi's strategy clearly identifies its intended results and impacts, and these and related indicators, systematically frame its activities and use of resources. Country programmes are reviewed regularly to ensure that they are delivering effectively. Where changes are needed to improve performance, Senior Country Managers have mechanisms available to make changes in discussion with countries and partners. A new Programme Capacity Assessment process has been introduced which will provide a better understanding of country requirements and enable Gavi to work more effectively in partnership with countries to deliver results. The Joint Appraisals also assist Gavi to achieve better co-ordination with country partners to increase effective support to immunisation, vaccine supply and health systems. Health system strengthening now receives more funding and has a higher priority in the 2016-20 strategy as one of the four organisational goals. However, it is harder to assess for effectiveness, in terms of attributable results, for health system strengthening than for support to vaccine supply and immunisation programmes. Gavi is developing global indicators and measures for assessing the effectiveness of health system strengthening for the current strategic period, but will benefit from developing a clear logic framework to show the contribution of health system strengthening to results.

Accountability and transparency for results has been strengthened through the Alliance Accountability Framework and Partners' Engagement Framework. These identify clearly the activities and results expected from countries, partners and the Secretariat. Many of the measures and initiatives to enable an achievement of expected results and increase accountability are relatively new, so it is too early to determine their effect. It will be especially important to see the effect on Gavi's work in health system strengthening, which has proven to be more challenging to assess compared to its work in vaccines market shaping.

Gavi has realigned its structure and resources to meet the requirements of the 2016-20 strategy. Staffing resources have been increased to provide greater levels of country engagement, recognising the greater need for country presence to meet Gavi's ambitious new goals to increase coverage and equity. Staff resources have also been increased in central service functions such as audit, finance, human resources and knowledge, in order to meet the needs of a larger organisation and a greater number and complexity of vaccine programmes to manage. A performance management system for all staff directs staff activities with personal targets which cascade from the four strategic goals. Gavi has developed a supportive and committed organisational culture aligned with Gavi's organisational principles, and which supports and incentivises staff to high levels of achievement.

Part of Gavi's comparative advantage lies in its capacity to innovate and work differently, and it demonstrates that it is doing both well. New national donors as well as new private sector donors, some of whose donations are in kind, now contribute to Gavi. Gavi increasingly works with non-traditional technical partners to meet support needs. For example it has set up partnerships with logistics companies to improve supply chains, and with NGOs to provide financial capacity development for countries and to work with specific population groups. Gavi is increasingly partnering with civil society and NGOs to strengthen civic voice in shaping country activities and to reach 'hard to reach' groups. Support platforms for civil society have been developed to facilitate this.

Gavi strives to continually improve the effectiveness of its work at all levels. There is strong evidence that Gavi is a learning organisation. An area for improvement is the use of more systematic documentation of lessons learned and to have a regular analysis of how learning is used to increase Gavi's effectiveness.

IMPACT/SUSTAINABILITY

Is Gavi delivering and demonstrating relevant and sustainable results in a cost-efficient way?

Gavi has a clear focus on its intended impact to save children's lives, delivered by achievement of its four strategic goals. The 2011-15 period demonstrates its success in achieving these. The Vaccine Alliance Progress Report 2014 indicates the Alliance either has surpassed or was largely on track to achieve its three mission indicators for the 2011-15 strategic period. These indicators — reduced child mortality in Gavi-supported countries, future deaths averted and numbers of children immunised — are the measures that Gavi uses to assess its overall impact in relation to its mission.

Gavi's operational model is based on countries transitioning away from Gavi support within a specified time period. Recent changes made to the transition policy now require planning for transition to start much earlier, and approaches to transition are more tailored to country context using learning from earlier Phase 1 transitions. Sustainability is now more explicitly planned into Gavi's interventions and informs health system strengthening activities. Sustainability tracer questions have been developed and are verified through the joint appraisals to inform countries' rate of transition and identify support needed to sustain transition.

Anticipating the rate of transition and forecasting longer-term sustainability is challenging and introduces risks. Some countries are at risk of achieving the criteria for transition but lack the systems and resources to support and sustain it, thereby jeopardising the sustainability of vaccine and immunisation programmes. Countries that have transitioned may subsequently experience changes that bring them back into eligibility, following conflicts, for example, or as a result of longer-term economic or environmental changes. Gavi mitigates the risks to sustainability by continuing some post-transition engagement with countries, and by carrying out post-transition evaluations. Since the first countries to transition have only recently done so, it is too early to assess the longer-term sustainability of Gavi's interventions, and this will need to be reviewed over time.

3.2 THE PERFORMANCE JOURNEY OF THE ORGANISATION

The overall conclusion of this 2016 MOPAN 3.0 assessment is that Gavi meets the requirements of an effective multilateral organisation and is fit for purpose. It is managing its rapid growth in size, scope and ambition effectively. Gavi is using its unique business model, based on an Alliance of stakeholders, to capitalise on each stakeholder's comparative advantage to fund immunisation and to shape the vaccine

market. It is both strategic and nimble in meeting new vaccine challenges and countries' evolving needs while keeping a clear focus on its mission goals.

The MOPAN 3.0 methodology has evolved significantly since the MOPAN assessment of Gavi in 2012. It is not therefore feasible to provide a direct comparison. Nonetheless, it is possible, on the basis on the analysis presented here, to identify some areas of progression since 2012.

Table 2: Summary of strengths and areas for improvement from the MOPAN 2012 assessment

Strengths in 2012
<ul style="list-style-type: none"> ● A corporate focus on the achievement of results, with the <i>Strategy and Business Plan 2011-2015</i> based on its mandate and understanding of its comparative advantage
<ul style="list-style-type: none"> ● A results orientation in the programmes it funds by aligning its support with national strategies for immunisation
<ul style="list-style-type: none"> ● It is well positioned in the international aid architecture and addresses the cross-cutting priorities of gender and good governance.
<ul style="list-style-type: none"> ● Strong financial management and accountability systems
<ul style="list-style-type: none"> ● Effective relationship management
<ul style="list-style-type: none"> ● Strong approach to harmonisation
Areas for improvement in 2012
<ul style="list-style-type: none"> ● Practices can be strengthened in some areas of strategic management, such as the logic of the results chain and the performance indicators in its results frameworks
<ul style="list-style-type: none"> ● Potential to integrate human rights-based approaches in its strategy and operations, and to further encourage its partners to develop policies for human rights-based approaches
<ul style="list-style-type: none"> ● Additional effort required for results-based management practices in its budgeting process and human resource management
<ul style="list-style-type: none"> ● Establishment of clear guidelines on what it considers sufficient evaluation coverage for adequate evidence and scope

Since 2012, Gavi has evidently taken action to address some of these areas for improvement. Gavi now has a stronger logic and results chain for its activities. Global indicators are still in development for health system strengthening. Results-based management has been strengthened considerably and budgets are allocated in a way that is more consistent with intended results, and with stronger accountability for results built into performance management. Since 2012, the staff performance management system has been strengthened and is now consistently used. The 2016 MOPAN assessment did not specifically assess human rights as a cross-cutting issue. However it does find that an area for improvement is Gavi's articulation and implementation of activities in relation to environmental and climate changes issues, and the articulation of its approach in relation to governance. The evaluation function requires greater systematisation and formalisation of its policies and processes for use of learning and recommendations. This would strengthen the rigour of Gavi's use of evidence.

Future challenges and opportunities

Gavi is on a trajectory of growth. The number of vaccine programmes it now supports has grown. In 2011, Gavi was funding an average of one vaccine programme in each Gavi-supported country; by 2015 this figure had almost quadrupled. Staff numbers have increased to over 250 in 2016, from 152 in 2011, and are projected to grow further. Budgets have increased to USD 1.564 billion in 2015 from USD 768.2

million in 2011. Gavi's ambition now includes the more difficult-to-achieve objectives of coverage and equity, supported by health system strengthening. It is an organisation that is developing, maturing and adapting to its larger scope and size. Changes in structures, processes and governance have been made to support this growth as well as to respond to Gavi's learning from previous reviews and evaluations. Gavi is aware of the need to adapt and develop as an organisation. In general, Gavi shows considerable ability to learn and adapt quickly, and to be responsive to learning and new information. It has in the past few years developed and implemented the systems, guidelines and management processes needed to support a larger organisation. Many changes have been introduced to improve effectiveness and efficiency, but some processes are still in the process of finalisation and full implementation.

There are challenges associated with the speed of change. Some policies and guidelines, for example in relation to learning and evaluation, remain underdeveloped and need to be strengthened to meet current and future needs. Others, such as audit policies, were not formally signed off although they are properly implemented. The rate of change poses challenges to risk management; new processes and policies are being introduced without full assessment of their effectiveness and impacts, although reviews are planned. Country partners are not always fully aware of changes. New tools such as the country portal seem to be introduced without adequate piloting, leading to delays and frustrations in implementation. There is a tension between rapid adaptive learning and ensuring that all partners, systems and staff are moving at the same pace to implement changes. A further tension for Gavi lies in how it balances two important aspects of its work: on one hand, maintaining its nimble and adaptive way of working and on the other, implementing adequate checks and balances suited to a larger organisation, with a risk that increasing size may slow it down.

Gavi has a strong future focus. From its advocacy work and engagement with industry, donors, countries and a wide range of partners, it has good intelligence on future developments that it uses actively to adapt and position its work. Gavi was active in developing the Sustainable Development Goals (SDGs) in relation to immunisation and vaccine supply. Through its effective advocacy and work with partners, Gavi has ensured that immunisation and vaccine supply is included in two SDG indicators that it will use to frame and assess its own work and that of others.

With the development of new vaccines, which it is instrumental in facilitating, Gavi is also building both an opportunity and a challenge. Already some countries are not taking up some vaccines, for a variety of reasons, weakening some of Gavi's results. As vaccine numbers increase, there will only be a need for increased funding. Transition may be less definitively achieved as countries' eligibility for Gavi support varies over time, and as new vaccines enter the market. Gavi's new increase in support to health system strengthening is beginning to blur functional boundaries with partners, and will be much more difficult to assess for results. Gavi is also now more explicitly tackling the 'hard to reach', which may show less rapid progress than its earlier targets. For the future, there may be a need to consider more flexible and differentiated approaches to supporting country take-up and to results indicators.

The potential increase in vaccines and increased focus on health system strengthening poses an organisational question for Gavi, which originally saw its work as potentially time-limited. Gavi is now introducing a longer-term perspective to its work with countries, with longer periods for transition planning. These are issues Gavi is considering actively but which, in addition to its recent growth, will pose questions as well as opportunities for its future development and funding.

Table 3: Strengths identified in 2016

Strengths
<ul style="list-style-type: none"> ● Clear vision and comparative advantage based on a multi-sectoral Alliance. Gavi has a clear long-term vision based on a distinct business and partnership model. It draws on the comparative advantages of public and private sector partners to play a catalytic role in expanding immunisation coverage and shaping the global vaccines market to deliver the Alliance strategic goals effectively and efficiently.
<ul style="list-style-type: none"> ● Strong partnership working. Gavi has a strong model for relationship management and recently introduced new processes that will help clarify the comparative advantage and contribution of each technical partner and will increase country and partner ownership. Gavi is expanding its partnerships to innovate and support in non-traditional areas, such as financial management, logistics, and in reaching the 'hard to reach'.
<ul style="list-style-type: none"> ● Strong accountability and transparency. Gavi's policies and publication of results support its strong commitment to transparency. The Partners' Engagement Framework and Alliance Accountability Framework, introduced in 2016, increase transparency and clarify the accountabilities of countries, partners and the Secretariat.
<ul style="list-style-type: none"> ● Strong model for sustainability. Gavi's model of country ownership of programmes, country co-financing and planned graduation builds sustainability systematically into its work.
<ul style="list-style-type: none"> ● Focus on results. Gavi's strong results focus has a clear framework of indicators, targets and metrics for results at the country level, based on its global results framework. Results-based management is integral to its planning and grant allocation.

Table 4: Areas identified for improvement/attention in 2016

Areas for improvement
<ul style="list-style-type: none"> ● Results framework for health system strengthening interventions. The increased health system strengthening work in the 2016-20 strategy requires Gavi to focus more on how it can assess and use results to inform effective future investment.
<ul style="list-style-type: none"> ● Processes for recording and using evidence and managing evaluations. While an active learning culture exists, the systems to support it require greater formalisation and systematisation to ensure effective and routine management and use of evidence. There is also scope to improve the systems and processes for managing evaluations in relation to quality standards, routine follow-up and systematic use of findings.
<ul style="list-style-type: none"> ● Clarifying Gavi's country-level role and function. Findings from the survey of country partners indicated a wish for Gavi staff to be more available at the country level and to provide more technical advice than Gavi's model of country engagement is likely to offer. Gavi's increased country focus offers an opportunity to investigate country partners' views in greater depth, explore alternative ways of enhancing its reach and clarify its role at country level.
<ul style="list-style-type: none"> ● Integration and articulation of cross-cutting issues. Although Gavi supports good governance in practice through its support to sustainability, this is not clearly articulated. Gavi has an environmental statement, but it needs to be clearly articulated and integrated within its programmes.
<ul style="list-style-type: none"> ● Lengthy, slow procedures. Evaluations and the Country Partner Survey identified concerns about delays and predictability of disbursement of Gavi funding. These can be due to weak country systems, and not the Secretariat; however concerns indicate that there is a need to expedite and align financial and grant management processes.



4. ANNEXES

1. Detailed scoring and rating on KPIs and MIs for Gavi
2. List of documents analysed for Gavi
3. Process map of the MOPAN 3.0 assessment of Gavi
4. Results of the MOPAN survey of Gavi Partners

Annex 1: Detailed scoring and rating on KPIs and MIs for Gavi

The Scoring and Rating was agreed by MOPAN members in May 2016.

Scoring

For KPIs 1-8: The approach **scores** each Micro Indicator per element, on the basis of the extent to which an organisation implements the element, on a range of 1-4. Thus:

Score per element	Descriptor
0	Element is not present
1	Element is present, but not implemented/implemented in zero cases
2	Element is partially implemented/implemented in some cases
3	Element is substantially implemented/implemented in majority of cases
4	Element is fully implemented/implemented in all cases

For KPIs 9-12: An adapted version of the scoring system for the OECD DAC's Development Effectiveness Review is applied. This also **scores** each Micro Indicator on a range of 0-4. Specific descriptors are applied per score.

Score per element	Descriptor
0	Not addressed
1	Highly unsatisfactory
2	Unsatisfactory
3	Satisfactory
4	Highly satisfactory

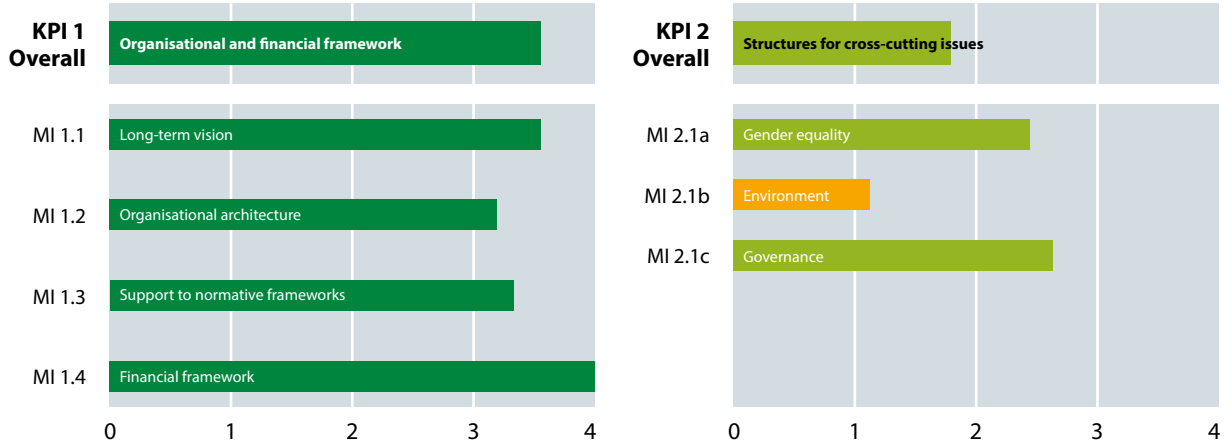
Rating

Taking the average of the constituent scores per element, an overall **rating** is then calculated per MI/KPI. The ratings scale applied is as follows:

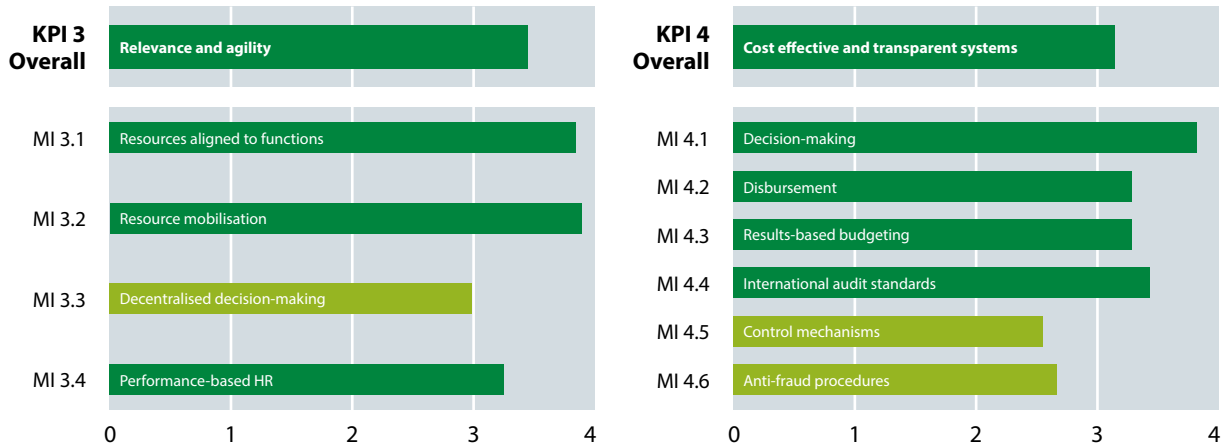
Rating	Descriptor
3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0-1	Highly unsatisfactory

MOPAN scoring summary

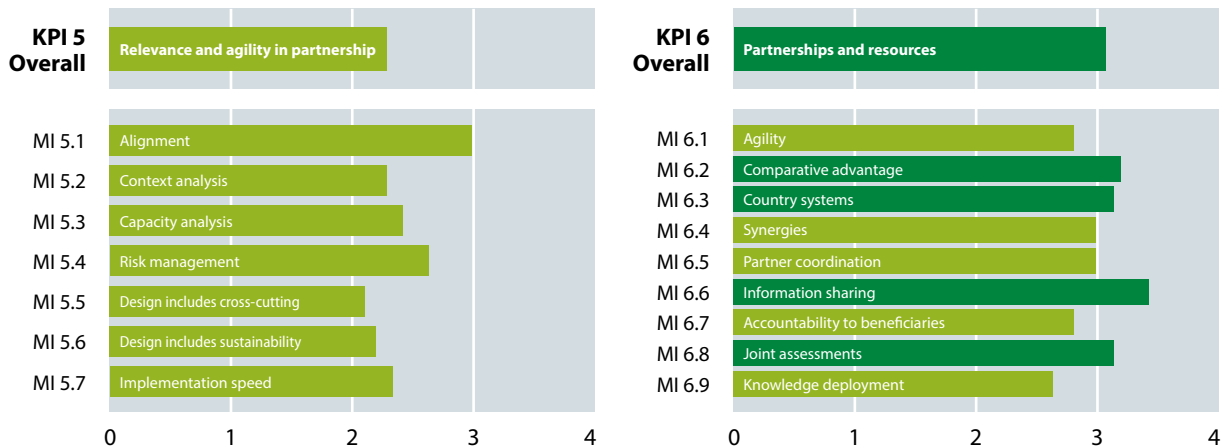
PERFORMANCE AREA: STRATEGIC MANAGEMENT



PERFORMANCE AREA: OPERATIONAL MANAGEMENT

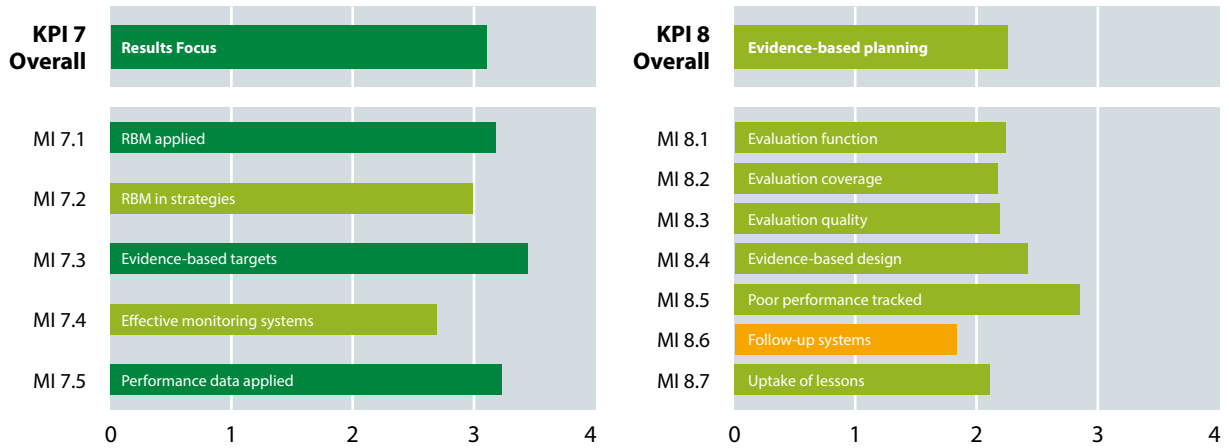


PERFORMANCE AREA: RELATIONSHIP MANAGEMENT



MOPAN scoring summary

PERFORMANCE AREA: PERFORMANCE MANAGEMENT



PERFORMANCE AREA: RESULTS



SCORING COLOUR CODES



Performance Area: Strategic Management

Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities

KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results

Overall KPI Score	3.53	Overall KPI Rating	Highly satisfactory
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MI 1.1: Strategic plan and intended results based on a clear long term vision and analysis of comparative advantage

Element	Score	Narrative	Source Documents
Element 1: The Strategic Plan (or equivalent) contains a long term vision	4	Gavi's business and partnership models set it apart from other development agencies. Drawing on the comparative advantages of a range of public and private partners, Gavi plays a catalytic role in expanding immunisation coverage and shaping the vaccines market. It leverages the specialised skills of diverse stakeholders in the global health space and demonstrates "added-value" in a variety of ways including through advocacy, support to national priorities and innovation. Hence, Gavi stresses that: "working together the Alliance can achieve objectives that no single agency or group could achieve".	3, 8, 12, 13, 20, 24, 26, 27, 33, 36, 38, 39, 40, 42, 50, 51, 53, 54, 62
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	3	The Alliance Strategy and Business Plan and associated indicators and targets clearly identify the intended results of the Strategy for the period, with organisational goals and global indicators. Through a country-centric approach, the new strategy seeks to deliver a step change in the coverage, equity and sustainability of immunisation through clear and time bound strategic goals, and	

Element 3: A strategic plan operationalizes the vision, including defining intended results	3	<p>progress indicators which align to enable the realisation of the mission. The proposed targets have been developed through a consultative process with experts, partners and Board constituencies.</p> <p>Gavi's operational plan is regularly updated and adjusted to reflect global changes. During the period of assessment the Vaccine Alliance transitioned from a strategy covering 2011-2015 to a new strategy covering 2016-2020. While the mission statement and goals for the 2016-20 strategy remain broadly similar to those of the 2011-15 periods, these have been adjusted to reflect lessons from the past strategy and the fact that significant challenges around coverage and equity persist.</p> <p>Gavi has a clear strategy and business plan, with a strong vision, which sets out the comparative advantage of Gavi as an Alliance based on a cross sector partnership, and in using the Alliance to shape the vaccine supply market. The strategic plan and associated indicators and targets clearly identify the intended results of the Strategy for the period, with organisational goals and global indicators, which are regularly reviewed.</p>	High confidence
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	4		
Overall Score:	3.5		
Overall Rating:	Highly satisfactory		

MI 1.2: Organisational architecture congruent with a clear long term vision and associated operating model

Element	Score	Narrative	Source Documents
Element 1: The organisational architecture is congruent with the strategic plan	4	The organisational architecture is aligned with the long term vision and goals of the Vaccine Alliance and the Board is conscious of the importance of an adequate governance and organisational structure. It has been revised to ensure alignment with the new strategic vision.	3, 4, 9, 10, 12, 14, 17, 18, 28, 39, 53, 60, 79, 81, 85, 89
Element 2: The operating model supports implementation of the strategic plan	2	The operating model has been revised to support implementation of the 2016 -20 strategic plan. Some elements are still being put in place such as appointment of new staff and full implementation of the Strategic Focus Areas.	
Element 3: The operating model is reviewed regularly to ensure continued relevance	3		

Element 4: The operating model allows for strong cooperation across the organisation and with other agencies	4	<p>Countries lead the design, implementation and management of Gavi-supported programmes, Alliance partners (e.g. WHO, UNICEF, the World Bank as well as other technical partners) provide technical support based on each country's identified needs and the comparative advantage of partners. The Gavi Secretariat holds responsibility for monitoring outcomes in countries - for example, vaccination coverage - rather than the programmes themselves. The new Alliance Accountability Framework builds on pre-existing processes to strengthen and clarify accountabilities for results with partners and strengthen cooperation. These processes and arrangements are still new and need to be tested to ensure that they deliver the vision and plan effectively. Gavi's business model is based on strong country ownership for programmes and results, and use of country systems. Gavi works through partners and countries to deliver results, rather than having an implementation role.</p>	
Element 5: The operating model clearly delineates responsibilities for results	3		
Overall Score:	3.2		
Overall Rating	Highly Satisfactory		High confidence

MI 1.3: Strategic plan supports the implementation of wider normative frameworks and associated results (i.e. the quadrennial comprehensive policy review (QCPR), replenishment commitments, or other resource and results reviews)

Element	Score	Narrative	Source Documents
Element 1: The strategic plan is aligned to wider normative frameworks and associated results	4	<p>The evidence indicates a strong corporate commitment, clearly reflected in the strategic goals, to the MDGs and wider normative frameworks particularly in relation to health and with regard to equity, sustainability and gender. Gavi, the Vaccine Alliance also states in the 2016-2020 strategy that it will “align with the post 2015 global development priorities and implement the aid effectiveness principles”. Gavi has called on the Inter-Agency Expert Group on Sustainable Development Goal Indicators (IAEG-SDGs), set up by the UN to develop a global indicator framework, to include a vaccine-specific indicator. The DG indicator 3.8 will help ensure equitable access within countries, aiming for 90% national coverage and 80% coverage in all districts. It seeks to ensure a focus on reaching the unreached - the underserved children living in remote areas and in deprived urban and other settings.</p>	<p>1, 3, 9, 10, 11, 12, 13, 19, 23, 28, 37, 39, 55, 56, 57, 86, 87</p>
Element 2: The strategic plan includes clear results for normative frameworks	3		

Element 3: A system to track results is in place and being applied	3	<p>Sustainability and equity are at the core of the 2016-2020 Gavi strategy, and the strategy reflects the normative frameworks for these issues. The Strategy also indicates that a clear link has been identified between the potentially transformative impact of tackling equity and coverage and the achievement of Gavi's goals. The Vaccine Alliance has identified six initial Strategic Focus Areas (SFAs) to identify and better understand bottlenecks to coverage and equity which are in the process of development and implementation.</p> <p>The recently introduced Alliance Accountability Framework provides a whole system model for accountabilities for the Technical Partners, the Secretariat and for countries. It provides a high level summary of the golden thread of activities and shows accountabilities for activities and results. The Alliance Accountability Framework is not completely new, many of the activities and indicators and processes already existed, but it brings together and aligns a number of processes into a coherent framework.</p> <p>The strategic plan is reviewed and results are reported annually for the four strategic goals and the three mission indicators which are aligned with the MDGs and SDGs at a high level. Some indicators for the new period are still not finalised, and the operationalization of the Partners' Engagement Framework and the Alliance Accountability Framework is still not fully tested. These two frameworks will be reviewed in 2016/17 to identify any improvements needed to ensure they are fully effective.</p>	
Element 4: Clear accountability is established for achievement of normative results	3		
Element 5: Progress on implementation on an aggregated level is published at least annually	4		
Overall Score:	3.4		
Overall Rating:	Highly satisfactory		High confidence

MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation

Element	Score	Narrative	Source Documents
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	4	<p>The activities and funding associated with the Partners' Engagement Framework (introduced 2016) divide into three main streams to ensure all three are addressed and funded according to the assessed need within available budgets:</p> <p>(a) Foundational Support. This component provides long-term, predictable funding to core partners to enable these institutions to continue to play a lead and coordinating role on immunisation programmes at global and regional levels; (b) Targeted Country Assistance. This component is comprised of the assistance provided by partners to countries to support the successful implementation of Gavi grants (c) Special investments in Strategic Focus Areas. This component is designed to provide limited funding at the global and regional levels for transformational approaches to move the needle on stagnating coverage and persisting inequities in line with the new strategic vision for 2016-2020.</p>	1, 3, 9, 10, 11, 12, 13, 14, 21, 23, 24, 27, 28, 31 32, 37, 48, 57, 81, 89
Element 2: A single integrated budgetary framework ensures transparency	4	<p>In 2015, the Board approved a new Gavi Engagement Framework ("GEF"), which presents the Gavi budget in a way that would enable a complete view of Alliance engagement and investments. The GEF would bring together the financial allocations to provide an overview of Alliance investments in countries through vaccine and cash programmes, technical assistance through partners under the PEF as well as the Secretariat expenditure. The Board, informed by the Audit and Finance Committee, sets the budget for the business plan period, and reviews this regularly to ensure expenditure and related activities are on track.</p>	
Element 3: The financial framework is reviewed regularly by the governing bodies	4	<p>To raise and manage funds Gavi has developed a diversified set of instruments. Key elements in this are the International Finance Facility for Immunisation (IFFIm), the Advance Market Commitment for Pneumococcal Vaccine (AMC), the Gavi Matching Fund, and the Gavi Campaign. The ability of the IFFIm in particular to convert long-term commitments into immediate cash provides Gavi with the flexibility to use funds when they are needed most. This means that Gavi</p>	

<p>Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels</p>	<p>4</p>	<p>can choose either to frontload IFFIm resources or to have smaller and more consistent drawdowns over a longer-term, depending on the Alliance’s funding needs.</p> <p>Gavi Match Funding, under which BMGF and DFID pledge to match funds raised or donated by private companies maximises the value of private sector investments and doubles their impact. It is a significant source of relatively flexible funding. Use of hedge funds also assists flexibility.</p>	
<p>Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas</p>	<p>4</p>	<p>The Gavi strategic plan sets out priorities which allows Gavi to be flexible and still achieve results e.g. in the case that Gavi did not have enough funding e.g. donors withdrew, there are reserves to manage a reduction, and a prioritization policy to set out what would receive funding. Global and country requirements are forecast in detail and reviewed regularly; if needs change the plans can reflect this with budgetary limits. Forecasts balance probability with prudence. In the current business plan period Gavi has moved away from incremental budgeting. All budgets are now zero-based, according to need. Earmarked funds are used for specific programmes.</p> <p>Financial programme assessments have been carried out regularly at country level to ensure that funds are spent as planned. These have since 2016 been subsumed within the more comprehensive Programme Capacity Assessments (PCA).</p>	
<p>Overall Score:</p>	<p>4</p>		
<p>Overall Rating:</p>	<p>Highly satisfactory</p>		<p>High confidence</p>

KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels

Overall KPI Rating	2.11	Overall KPI	Satisfactory
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MI 2.1: Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for cross-cutting issues.

a) Gender equality and the empowerment of women

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	2	The Gender Policy aims to increase access to immunisation through gender sensitive and gender transformative programmes that also contribute to achieving the international goal of gender equality. The policy was evaluated in 2012 and updated in 2103. It will be next updated in 2019 at latest.	1, 3, 4, 9, 10, 11, 12, 14, 19, 23, 34, 36, 39, 82, 83, 89
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2	A Secretariat Gender Working Group (GWG) is responsible for overseeing and implementing the Gender Policy. It ensures that gender equity is appropriately addressed by Gavi's Country Programme departments in their interactions with countries and partners; in monitoring gender equity and in identifying demand for TA related to gender equity. It also ensures that gender is incorporated within the development of leadership communications, Gavi publications and websites.	
Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	2	One of the 2016-2020 strategy indicators tracks gender-related barriers as part of the first Strategic Goal to accelerate equitable uptake and coverage of vaccines. Gavi also monitors a set of indicators associated with its Gender Policy, including DTP3 coverage by male/female, which has also been included as a core indicator in Gavi's new grant performance frameworks. The new Gavi 2016-2020 Strategy has a strong focus on sustainable coverage and equity, and puts an emphasis on strengthening data on gender. Gavi has subsequently situated a focus on gender equality more firmly in its wider equity agenda, and is strengthening its measurement of gender equity in this context. Its country programming and Health System Strengthening work are exploring more deeply how gender	
Element 4: Gender screening checklists or similar tools used for all new intervention	3		

Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	3	related barriers to accessing immunisation can be overcome (where previously the focus was more on the difference in coverage between boys and girls). Countries applying for HSS funding conduct gender analyses and identify gender-related barriers to accessing vaccination specific to their country context.	
Element 6: Capacity development of staff on gender is underway or has been conducted	3	The GWG has been instrumental in training and induction activities, ensuring that gender is included in training and orientation for all staff, Special Advisers to Board members, the Independent Review Committee (IRC) and High Level Review Panel (HLRP). A gender specialist now sits on the IRC.	
Overall Score	2.5		
Overall Rating:	Satisfactory		High confidence

b) Environmental Sustainability and Climate Change

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	2	Gavi's statement on environment has been recently updated (2016). The updated Environmental Statement reflects a deeper focus on a wider range of environmental issues relevant to immunisation programming and the work of the Alliance. Gavi plays a key role in introducing and developing vaccines against diseases that are worsened by climate change. It is also working with countries to support adaptation to climate change, including through monitoring the impact of climate variability as part of broader risk assessments to determine how vaccines should be deployed, and strengthening the monitoring of environmental risks and vaccine-preventable disease surveillance capacity regionally and in countries.	9, 10, 11, 18, 19, 22, 43, 84, 88, 89
Element 2: Environmental sustainability and climate change indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	0		
Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	0	The Gavi Secretariat is currently conducting an audit of corporate policies to identify opportunities to reduce its environmental footprint. However, there is little evidence of the environmental policy being well	

Element 4: Environmental screening checklists or similar tools used for all new intervention	3	<p>integrated with Gavi activities e.g. through standard indicators for grants or reporting at country level, beyond requiring countries to identify waste management plans for vaccine and related products disposal. Environmental impacts and indicators are not included in the corporate reporting framework. Few staff or country partners showed high levels of awareness of the environmental statement.</p> <p>While there is now an increased and more sophisticated environmental policy, as set out in the new Environmental Statement, there is little evidence to date of its implementation and use.</p>	
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	2		
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has been conducted	0		
Overall Score:	1.17		
Overall Rating:	Unsatisfactory		
			High confidence

c) Good governance (peaceful and inclusive societies for sustainable development, reduced inequality, provide access to justice for all and build effective, accountable and inclusive institutions at all levels)

Element	Score	Narrative	Source Documents
Element 1: Dedicated policy statement on good governance available and showing evidence of use	3	The Vaccine Alliance has helped push immunisation up the political agenda globally and in many countries. Direct leadership representations have influenced political resolve in some environments, but in others, repeated efforts have not been effective. For the most part, immunisation is not prominent on the	10, 12, 13, 14, 19, 28

Element 2: Good governance indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2	<p>agenda of national political leaders. Among other reasons this is:</p> <p>(a) due the fact that the value of vaccines and the Return on Investment case is not being broadly recognised or understood</p> <p>(b) a consequence of immunisation being a victim of its own success – controlling diseases eases the sense of urgency for action; and</p> <p>(c) a result of competing priorities in other sectors (e.g. agriculture, nutrition, education) and other priorities within health that tend to receive greater attention</p> <p>For this reason Gavi, the Vaccine Alliance has dedicated a specific strategic focus area to in-country political will, working to develop national political commitments to immunisation and to support in-country political leadership in this regard (the Strategic Focus area on Leadership, Management and Coordination).</p> <p>The Gavi model, which is based on countries co-financing immunisation and moving towards transition to ending Gavi direct funding is a critical element of country accountability and demonstration of country capacity development,</p> <p>The 2016-20 revised strategy has been developed to address the learning from the previous period that Gavi needs to address HSIS in order to enable governments to implement immunisation successfully and to increase equity and coverage. Changes in the strategic goals are designed to increase the effectiveness of governance and capacity in relation to health. The design of Gavi's engagement with countries has been amended to support these aims. The new PEF which frames the Country plan and technical partner's contributions includes HSIS elements which are designed to strengthen health governance. Civil society is being supported by Gavi so that it can influence and contribute to country systems.</p>	
Element 3: Accountability systems (including corporate reporting and evaluation) reflect good governance indicators and targets	3		
Element 4: Good governance screening checklists or similar tools used for all new intervention	3		
Element 5: Human and financial resources (exceeding benchmarks) are available to address good governance issues	2		
Element 6: Capacity development of staff on good governance and climate change is underway or has been conducted	3		
Overall Score:	2.67		
Overall Rating:	Satisfactory	There is, however, no explicit policy statement available which articulates Gavi's approach to governance.	High confidence

Performance Area: Operational Management

Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability

KPI 3: Operating model and human/financial resources support relevance and agility			
Overall KPI Rating	3.45	Overall KPI	Highly satisfactory

MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions

Element	Score	Narrative	Source Documents
Element 1: Organisational structure is aligned with, or being reorganized to fit the requirements of, the current Strategic Plan	4	To implement the new strategic vision for 2016-2020, the Board has approved a new structure for the Secretariat to ensure that it is more clearly country facing. The changes also follow a review to assess staffing needs commissioned eternally by Gavi.	6, 9, 10, 12 13, 14, 16, 18, 19, 21, 28, 31, 33, 36, 42, 48, 66, 68, 70, 71, 79, 81, 85
Element 2: Staffing is aligned with, or being reorganized to, requirements set out in the current Strategic Plan	3	Gavi has increased the numbers of country facing staff to support the greater country focus of the new Strategic Plan, and ensure closer working with countries. The allocation of SCMs is consistent with Gavi's assessment of country risk, so that higher risk countries have a dedicated SCM. Each SCM now is responsible for fewer country programmes than before. This will help address a voiced concern by country partners that there is insufficient country presence from Gavi.	
Element 3: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	4	There have also been increases in the numbers of Policy staff following a review of staffing needs, and increase in central service staff such as Audit and HR to meet the needs of a growing and more complex organisation, which faces higher	

Element 4: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan	4	risks. Staff have been, and are still being recruited, to deliver the new plan e.g. new Senior Country Managers (SCMs) to meet increased country focus, but recruitment has yet to be completed. Resources, as noted in 1.4 above, are clearly aligned to the PEF and the transformational stages Focus Areas.	
Overall Score:	3.75		
Overall Rating:	Highly satisfactory		High confidence

MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities

Element	Score	Narrative	Source Documents
Element 1: Resource mobilization strategy/case for support explicitly aligned to current strategic plan	4	A pledging conference in Berlin in January 2015 rose to over US\$ 7.5 billion in pledges from 31 public and private sector donors – many donors increasing their contributions two- or three-fold compared to the 2011-2015 period. By January 2015, Gavi had sufficient secured and pledged funding to deliver its 2016 – 2020 strategy. By June 2016, grant agreements for nearly 80% of pledges from Replenishment had been signed, and all donor pledges that were due in the first half of 2016 were paid on time.	1, 4, 9, 10, 11, 12, 24, 31, 37, 55, 56, 57, 89
Element 2: Resource mobilization strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector	4	Further evidence of the success of Gavi’ resource mobilisation plan include the following: • A pledge of € 200 million for seven years from the European Commission,	

Element 3: Resource mobilization strategy/case for support seeks multi-year funding within mandate and strategic priorities	4	<p>tripling the EC's contribution to Gavi</p> <ul style="list-style-type: none"> • A commitment by GlaxoSmithKline to put a five-year price freeze on GSK vaccines for countries that transition from Gavi Alliance support (Brussels 2014). In 2016 it also announced a 10% reduction in Pneumococcal conjugate vaccine (PCV) price to US\$ 3.05, which is the lowest ever global price It will yield significant savings since PCV represents over 40% of projected Alliance vaccine expenditure for 2016-2020 	
Element 4: Resource mobilization strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/relevant country plan	3	<ul style="list-style-type: none"> • Japan, the only G7 donor who did not pledge for 2016-2022 in Berlin, committed its first multi-year pledge in 2016, which brings Japan's support to almost US\$ 100 million for the current strategic period. This is double their 2011-2015 contribution 	
Element 5: Resource mobilization strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent	4	<ul style="list-style-type: none"> • With a pledge from China, all BRICS countries have now made financial contributors to Gavi <p>The Gavi Matching Fund (GMF) made up of financial and in-kind support to mobilise resources, create and develop skills-based partnerships and to advocate for the importance of immunisation and Gavi's work, which is matched by financial contributions from donors, will be continued in the 2016 – 2020 period.</p>	
Overall Score:	3.8		
Overall Rating:	Highly Satisfactory	The Gavi co-financing model explicitly requires countries to contribute to immunisation and vaccine supply on an increasing proportion until they reach the point of transition out of Gavi support.	High confidence

MI 3.3: Aid reallocation/programming decisions responsive to need and can be made at a decentralised level

Element	Score	Narrative	Source Documents
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	NE	Under the more country-centric 2016-2020 strategy there is some evidence of new structures to facilitate increased decentralisation and reallocation of funds if necessary. Essentially Gavi's model is country-led with the majority of Gavi vaccine and HSS support implemented by a government recipient; sometimes there is a mix of recipient arrangements (e.g. Government, Partners, CSO) or partners identified as the only recipients e.g. in case there are significant government capacity constraints.	3, 9, 10, 13, 28, 85
Element 2: <i>(If the first criterion is met)</i> The policy/guidelines or other documents provide evidence of a sufficient level of decision making autonomy available at the country level (or other decentralized level as appropriate) regarding aid reallocation/programming	NE	Gavi is considering how to create sufficient flexibility to allow existing grants to be adjusted while not undermining on-going priority investments. Countries are being given additional options to re-allocate funds to emerging priorities. In 2015, for the first time, all 73 countries were reviewed by the High-Level Review Panel enabling rapid re-programming of support as needed, guided by the joint appraisals. Countries determine their own priorities for support, and are responsible for oversight of expenditure allocated by Gavi. Once programme implementation starts, Joint Assessments provide opportunities to review progress, which can lead to decisions to re-allocate or re-program funding in discussion with country partners. Re-allocation involves minor changes to work plans and/or funding allocations that do not affect the goals and objective of a grant. Re-programming is less frequently undertaken, but is a larger piece of work which requires a new proposal. SCMs have the mandate to accept re-allocation requests proposed by countries. Re-programming involves changes to the objectives of a grant. The IRC is undertaking more regular and responsive reviews of Gavi grants	
Element 3: Evaluations or other reports contain evidence that reallocation / programming decisions have been made to positive effect at country or other local level, as appropriate	3	A meta review of evaluations of Gavi's support to Health System Strengthening	

Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	3	found that “most countries have positively noted the flexibility afforded by Gavi in allowing amendments to existing grants, which has enabled activities to be changed better to meet country needs.”	
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 3.4: HR systems and policies performance based and geared to the achievement of results

Element	Score	Narrative	Source Documents
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	4	<p>A number of changes have been made to strengthen the performance management process, underpinned by a new HR Information System, which is designed to automate many HR processes and provide more robust tools and up-to-date data for managers and staff. The first phases have been rolled out and include tools for on-boarding, managing employee personal data, other employee information, and a recruitment module to track and manage applicant data.</p> <p>A number of process improvements have been identified and have been applied to the 2015 performance management cycle, including a new 5 point rating scale which replaces 'Pay for Performance' and represents the Performance Management Process for impact on compensation. The Gavi secretariat has a limited performance reward budget available, but is committed to using the available budget to recognise performance. At present the impact on compensation is made as a % salary increase or a lump sum reward. The aim is to apply Performance Recognition for 2015 in the March 2016 payroll retroactive to 1 January 2016.</p> <p>There is a performance assessment system for all staff which is consistently used. A "golden thread" runs through personal objectives linking these to corporate objectives; partnership working is key element in this given Gavi's work model. Weak performance is proactively managed, clear boundaries; large focus on recognising strong performance.</p>	6, 10, 54
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	3		
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	3		
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions etc.	3		
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	NE		
Overall Score:	3.25		
Overall Rating:	Highly satisfactory		High confidence

KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency/accountability

Overall KPI Rating	3.15	Overall KPI	Highly Satisfactory
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MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities

Element	Score	Narrative	Source Documents
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	4	In 2014, for the second year running, the Publish What you Fund Aid Transparency Index ranked the Alliance as a leading organisation for openness and accountability, a result of Gavi's strong commitment to these principles. Gavi has had a Transparency and accountability policy since 2009 which is periodically reviewed.	3, 9, 10, 11, 12, 14, 16, 22, 30, 49, 50, 78, 81
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan	4	The Grant Engagement Framework sets out the overall framework for allocating funding to partners and countries consistent with priorities. In June 2016, criteria for the allocation of HSS resources across countries were refined in line with the strategic focus on equity, prioritising coverage among the unreached and sustainability. Previously, HSS support was based on Gross National Income per capita (GNI p.c.) and population size. Now it focuses on the primary population in need of immunisation (the size of the birth cohort), the strength of the immunisation system (as measured by the number of under-immunised children) and the country's ability to pay (as measured by GNI p.c.).	
Element 3: The organisational policy or statement is regularly reviewed and updated	3	The Vaccine Alliance implements its accountability and transparency principles through the Transparency and Accountability Policy which helps to ensure that all Gavi support at country level is managed in a transparent and accountable	

Element 4: The organisational statement or policy is publicly available	4	<p>manner through systems that include appropriate oversight mechanisms and that the support is used according to the programme objectives as outlined in individual country agreements.</p> <p>A prioritisation mechanism guides Gavi's funding decisions when resources are restricted by enabling the ranking of country proposals recommended for funding by the Independent Review Committee (IRC) for new and underused vaccine support. Health system strengthening support, provided according to the Health Systems Resource allocation formula, is not subject to the prioritisation mechanism.</p>	High confidence
Overall Score:	3.75		
Overall Rating:	Highly Satisfactory		

MI 4.2: Allocated resources disbursed as planned

Element	Score	Narrative	Source Documents
Element 1: The institution sets clear targets for disbursement to partners	3	The Board agreed in November 2010, that Gavi's projected three-year rolling average share of expenditure on cash-based programmes within Gavi's overall programme disbursements should be within the range of 15% to 25% of the total. In 2014, the Alliance's cash-based programme disbursements were 20% of total programme disbursements on a three-year rolling average basis.	9, 28, 30
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	4	The Audit and Finance Committee regularly review the financial forecasts and the financial implications of the requested decisions and confirms that they can be approved by the Board in accordance with the Programme Funding Policy. Annual progress reports provide reasons for variance at country level.	
Element 3: Clear explanations are available in relation to any variances	3	The current financial forecast estimates programme disbursements in 2015 at US\$ 1.6 billion which is 6.7% less than the estimate presented to the Board in December 2014. There is no carry-forward of any unutilised amounts from the core annual envelope from one year to the subsequent year.	
Element 4: Variances relate to external factors rather than internal	3	In the first nine months of 2015, Gavi has disbursed US\$ 1,077 million of programme expenditure, representing 63% of the currently estimated amount	

procedural blockages		for all of 2015. This compares with US\$ 848 million disbursed in the corresponding period of 2014.	
Overall Score:	3.25	Variations in expenditure may be affected by speed of supply; development of new vaccines, changes in Gavi's qualifying resource level due to fluctuating rates, changes in country contexts. The Cash and Investments Reserve, equivalent to eight months' future expenditure, provides a cushion for adverse fluctuations in resources and expenditures.	
Overall Rating:	Highly satisfactory	At country level there are examples however where expenditure does not happen as planned. In some cases this is due to country capacity. Country partners note that the predictability of Gavi's timing and quantum of grant disbursement is not always adequate.	High confidence

MI 4.3: Principles of results based budgeting applied

Element	Score	Narrative	Source Documents
Element 1: The most recent organisational budget clearly aligns financial resources with strategic objectives/intended results of the current Strategic Plan	4	<p>In 2012 Gavi introduced performance-based funding (PBF) to ensure an even stronger link between Health System Strengthening and immunisation outcomes; with this approach, a portion of a country's health system strengthening support is determined by its performance against equity and immunisation coverage indicators.</p> <p>The 2016-17 Engagement Framework and Budget report sets out clearly how the budget will align with the Strategic Plan's objectives and expenditure areas. Costings for delivering results are set out in the PEF at global and country levels.</p>	3, 9, 10, 11, 12, 13, 16, 28, 51
Element 2: A budget document is available which provides clear costings for the achievement of each management result	3	<p>Gavi's grant performance framework "is a grant management tool to clearly document and collate the key metrics agreed between Gavi and a recipient country to monitor and report on grant performance during grant implementation. There is one grant performance framework per country, reflecting the intended results chains for all Gavi grants to that country – from inputs, activities and outputs to intended outcome."</p> <p>The PEF introduced in 2016 tracks partners' activities at country and global level. Failure to deliver will lead to reduced payments.</p>	
Element 3: Systems are available and used to track costs from activity through to result (outcome)	3	<p>The recently introduced PEF has been a response to the need for increased accountability and accuracy for funding allocated to the technical partners so that expenditure is clearly linked to activities and results. It is still early in the implementation of the PEF.</p> <p>Budget reports show management expenditure 2015 - 17 to be tightly controlled,</p>	

<p>Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)</p>	<p>3</p>	<p>despite an increase in staff numbers to meet the planned strategic shift to more country centric working.</p> <p>Gavi uses intended results to frame its budgets, and costs activities required for each priority area. The financial assessment framework tracks expenditure related to the results chain although this is stronger for vaccines than HSIS. Information on costings has improved, although there is still scope to link expenditure more clearly to results/indicators for HSIS support.</p>	
<p>Overall Score:</p>	<p>3.25</p>		
<p>Overall Rating:</p>	<p>Highly Satisfactory</p>		<p>High confidence</p>

MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit

Element	Score	Narrative	Source Documents
Element 1: External audit conducted which complies with international standards	4	<p>The internal audit function meets international standards as laid down in the Institute of Internal Auditors' (IIA) Standards for the Professional Practice of Internal Auditing. The External Quality Assessment of the Internal Audit function was completed in 2015, concluding with an overall rating of 'partially conforms', which was considered in line with the early stage of development of the function, and given the limited resources previously available. An implementation plan is being implemented incorporating the External Quality Assessment recommendations. There were 44 individual assessments undertaken in the External Quality Assessment, 28, were rated as 'generally conforms' which is indicative of the progress that has been made over the last two years since the preliminary development plan was presented to the Board. Only one category was rated as 'does not conform', the operation of a Quality Assurance and Improvement Programme (QAIP). This has been implemented in 2016.</p> <p>Gavi's external auditors have provided unqualified audit opinions on Gavi's finances since before the beginning of the last strategic period.</p> <p>Programme Audit (PA) has been introduced since 2015 as the Internal Audit Function has recruited staff. PA reviews country programmes in country and Alliance processes more generally, it also evaluates systems and ensures Gavi finances are used correctly. PA now includes programme as well as financial audit e.g. vaccine management.</p>	9, 19, 23, 28, 29
Element 2: Most recent external audit confirms compliance with international standards across functions	3		
Element 3: Management response is available to external audit	4		
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	4		
Element 5: Internal audit functions meet international standards, including for independence	3		
Element 6: Internal audit reports are publicly available	3		
Overall Score:	3.5		
Overall Rating:	Highly satisfactory	<p>The Gavi audit function was fundamentally reorganised in February 2015 as Audit and Investigations (A&I) is now nearly fully staffed and is adequately resourced to undertake the expected level of audit coverage.</p> <p>Audit reports, including management responses are publicly available on the Gavi Alliance website.</p>	High confidence

MI 4.5: Issues or concerns raised by internal audit mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed

Element	Score	Narrative	Source Documents
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	NE	There are clear processes in the draft Internal Audit Manual on how internal control issues will be addressed and followed up. Responses are tracked by Internal Audit as are actions taken to follow up, but these are not publicly documented. Reports to board are publicly reported and show actions taken appropriately and followed up within 12 months. The Internal Audit Manual is in draft form. These appear to have been in draft/redraft since 2013, so their status is not clear pending formal acceptance.	4, 8, 9, 12, 13, 17, 18, 22, 24, 25, 26, 29, 34, 50, 52
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	NE		
Element 3: Clear guidelines are available for staff on reporting any issues identified	2		
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	2		
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	3		

Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting.	3		
Overall Score:	2.5		
Overall Rating:	Satisfactory		High confidence

MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities

Element	Score	Narrative	Source Documents
Element 1 : A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	3	Gavi, the Vaccine Alliance has strong processes and internal control mechanisms in place to effectively prevent, detect and sanction cases of fraud and other financial irregularities (generally referred to as 'misuse'). These include a risk policy and strategy, a transparency and accountability policy, an internal audit unit and a 'whistle-blower' function.	3, 18, 19, 22, 23, 28, 29, 32, 50, 75
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	2	A dedicated Investigations & Counter-Fraud function can conduct investigations as needed into possible misuse and other misconduct within Gavi and Gavi-supported programmes in-country. This function is conducting a fraud risk assessment to identify areas in Gavi's operations that may be more susceptible to fraud.	
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	2		
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	3	A Fraud Risk Review should be finalised by October 2016 and include an action plan, which will serve to clarify the responsibilities of the first and second lines of defence.	
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and "whistle-blower" protection policy	3	Misuse of Gavi funding is transparently exposed. A schedule of misuse reimbursements, as reported in the Internal Auditors report to the Board, dated 22 - 23 June 2016, indicates that 92% of misused funds from twelve countries – all of relatively small amounts – have been recovered. It should be noted that Gavi aims to protect beneficiaries and "will not suspend vaccination programmes	

Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	3	based on evidence of misuse”.	
Overall Score:	2.67	Gavi’s web-based whistle-blower reporting facility, which has been operational for 18 months, has received two reports. After evaluation neither was considered to require further investigation, but both are being monitored. The results of these investigations are reported to the Board or AFC as appropriate.	
Overall Rating:	Satisfactory		High confidence

Performance Area: Relationship Management

Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)

KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)

Overall KPI Rating

2.45

Overall KPI

Satisfactory

MI 5.1: Interventions aligned with national /regional priorities and intended national/regional results

Element	Score	Narrative	Source Documents
Element 1 : Reviewed country or regional strategies make reference to national/regional strategies or objectives	3	Gavi supports the principles of alignment and harmonisation by requiring country applications to be reflected in the country comprehensive multi-year plan (cMYP) (or equivalent multi-year plan) for new and underused vaccines, and for HSS (Health System Strengthening) applications, the National Health Sector Plan (NHSP) is the plan of reference for determining the content and duration of Gavi's Health System Strengthening support, typically reflected in the content and duration of the Country Multi Year Plans (or equivalent multi-year plan).	3, 4, 9, 10, 11, 12, 13, 14, 15, 16, 19, 21, 22, 23, 24, 26, 27, 28, 31, 33, 34, 39, 46, 53, 79
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	3	<p>The cMYPs are the first step in the planning process and a requirement for countries applying for Gavi Alliance support of new vaccine introductions; they are used by countries for projecting costs and financing needs of immunisation programmes over a five-year period. In addition to cMYPs, countries are required to produce vaccine introduction plans, as well as Effective Vaccine Management (EVM) assessments to ensure adequate cold chain capacity, and effective monitoring of the new vaccine introductions.</p> <p>It is envisaged that the PEF will foster a bottom-up approach to planning and strengthen the country focus and country ownership of holistic, harmonised</p>	

Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	3	vaccines and HSIS support. Joint Appraisals were undertaken in 72 countries in 2015 to enable countries and partners to jointly identify, through country-level dialogue, the TA required to overcome key immunisation-related bottlenecks. This should further strengthen alignment of interventions with national priorities and results. Country strategies are aligned with country priorities and plans and refer to these; however, a possible tension is noted in some country partner views that Gavi can be over directive on goals which can impact negatively on country use of capacity. The new Joint Assessment process will incentivise and increase alignment with country priorities.	
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation

Element	Score	Narrative	Source Documents
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context	3	Evidence suggests that Gavi is attaching increasing importance to contextual analysis in the design and assessment of its interventions. Contextual analysis is now a mandatory aspect of the newly introduced Joint Appraisal, as reflected in the Reporting Guidance on Country Context. The Joint Appraisal is required to be framed within the overall context of immunisation systems. Where relevant, Joint Appraisals draw on evidence from PCAs to avoid duplication.	1, 8, 12, 13, 18, 21, 22, 23, 30, 31, 34, 36, 38, 39, 46, 75, 76, 79, 80
Element 2: Context statement has been developed jointly with partners	3		
Element 3: Context analysis contains reference to gender issues, where relevant	2	Joint appraisals undertake a partnership exercise to jointly identify local issues, bottlenecks and priorities and are a product of a partnership review of context and needs. They are held every one or two years, and so provide an opportunity for regular formal review when information is updated and programmes amended as necessary.	
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	1		
Element 5: Context analysis contains reference to governance issues,	2	Countries applying for HSIS grants are required to carry out a gender analysis and identify gender related barriers to vaccination. Governance and capacity issues are identified as part of context analysis for HSIS grants, and are increasingly important in the new strategic period with its greater focus on	

including conflict and fragility, where relevant		strengthening systems and governance to increase equity and coverage, and increasingly addresses fragility. Environmental issues are not routinely addressed in context analysis. Country partners voiced concerns that Gavi's engagement does not always take account of local capacity and systems, which can weaken both Gavi's interventions, and country systems, in situations where resources are diverted to Gavi programmes.	High confidence
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	3		
Overall Score:	2.33		
Overall Rating:	Satisfactory		

MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weaknesses are employed

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs contain a clear statement of capacities of key national implementing partners	2	Gavi has provided support for health system strengthening (HSS) since 2006 with the goal of strengthening the capacity of integrated health systems to deliver immunisation services. Countries are encouraged to use Gavi health system strengthening funding to target bottlenecks or barriers in the health system that stand in the way of equitable, sustainable access to immunisation and other child, adolescent and maternal health services. Gavi reviewed its HSS support in 2015. It has used learning from this review to improve capacity analysis for allocating HSS grants. HSS, and through it, capacity building, is a central element in the 2016-2020 strategy to support sustainable and equity-focused approaches that are rooted in evidence. This will require capacity assessment of these areas. Interventions do not always include a clear statement of implementing partners' capacity. There are some country partner views that country level capacity is not always well understood and assessed by Gavi, leading to programmes which divert country capacity away from mainstream programmes to Gavi supported priorities.	1, 3, 4, 8, 9, 10, 11, 12, 13, 14, 18, 21, 26, 46, 48, 78, 85,
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	2		
Element 3: Capacity analysis statement has been developed jointly where feasible	3		
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	2		
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any	3		

significant changes in the wider institutional setting that affect capacity		<p>Programme Capacity Assessments (PCA) have been introduced to assess the capacity and governance for Gavi supported programmes. The PCA is a new component of Gavi's enhanced risk management structure, and addresses requirements of Gavi's Transparency and Accountability Policy. The PCA replaces the Financial Management Assessments (FMA). The scope of the PCA includes programme management capacity; financial management capacity; and vaccine and cold-chain management capacity.</p> <p>Examples of interventions in Pakistan and in the fragile states of South Sudan, Haiti, Guinea and Liberia provide evidence on how country and sub-regional level capacity analysis has successfully informed intervention design and implementation.</p>	
Overall Score:	2.4		
Overall Rating:	Satisfactory		High confidence

MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks

Element	Score	Narrative	Source Documents
Element 1 : Intervention designs include detailed analysis of and mitigation strategies for operational risk	3	Gavi's Risk Policy states that strategic and operational risk management is an integral part of the Alliance's operations. It defines risk management as the process of identifying, assessing and prioritising risk, followed by measures to treat and mitigate it, but recognising that it can seldom be eliminated completely. Gavi uses a Risk Appetite Statement to outline where the Alliance has a high, moderate or low appetite for risks under each of its four Strategic Goals. Gavi risk assesses, and risk manages, the Gavi Strategy regularly. There has been a greater focus on risk and risk management in the last two years as Gavi has increased its scope of activity and strengthened its ambition in relation to equity and coverage, both higher risk goals. The organisational structure and capacity of the Secretariat was strengthened in 2015 to accommodate risk assessment and management functions.	1, 3, 4, 6, 7, 8, 9, 10, 13, 14, 17, 18, 19, 22, 23, 24, 25, 30, 34, 35, 37, 39, 45, 49, 50, 52, 53, 75, 76, 77, 89
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	3	Gavi has developed robust frameworks, mechanisms and tools for risk management at all levels, and across each of its main risk categories: operational	

Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	3	risks; financial risks; fiduciary risks; stakeholder relationship risks; programmatic risks; and reputational risks. It has structured its risk management functions according to the Three Lines of Defence model. The first line is oversight of grant management activities through Gavi's Country Support team, in collaboration with on-the-ground partners; the second line is independent monitoring through a number of control and oversight functions to provide an additional "check and balance" on the primary, first-line activities; and the third line is independent auditing of the first and second lines of defence to ensure they are effective.	
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	3	Risks at country level are identified by the SCM using the Programme Capacity Assessments, Audits and Joint Appraisals. A new Country risk matrix is being rolled out, consistent with the new Risk Policy. Risk assessment and management processes are now built into programmes and finance systems. For instance, the PCA informs risk assessment with the country risk matrix; the Grant Performance Framework assesses and manages risk to grants. The Strategic Focus Area for supply chain has risk assessment built into its activities and processes.	
Element 5: Risks are routinely monitored and reflected upon by the partnership	2	To manage risk and support sustainability, the country programmes team is moving away from providing funding on the basis of proposals, and towards earlier dialogue and engagement with countries to help them think through their readiness. Risk assessment is now begun early to inform planning for transition. Each country is assessed individually, so that levels of tolerance of risk relate to the country situation. There is lower risk tolerance when a country is near transition and each case has its own risk appetite.	
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	2	An internal strategic review of the current risk and assurance model should be underway at the moment. It will assess the impact of the current changes, capture lessons learned, and inform the longer term risk strategy. Many of the processes described above are still in development and their effectiveness not yet proven. Risk management processes are not yet fully integrated into operational activities.	
Overall Score:	2.67		
Overall Rating:	Satisfactory	Risk mitigation actions are documented at global level in its risk strategy and reviews; at country level through programmes reporting. The Alliance reviews its overall risk appetite regularly. An annual risk report is planned for late 2016 but this is not yet routine.	High confidence

MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)

Element	Score	Narrative	Source Documents
Element 1 : Intervention design documentation includes the requirement to analyse cross cutting issues	2	<p>The Gavi 2016-2020 Strategy has a strong focus on sustainable coverage and equity, and puts an emphasis on strengthening data. Gender is a very important cross cutting priority for Gavi and it has subsequently situated a focus on gender equality more firmly in its wider equity agenda, and is strengthening its measurement of gender equity in this context. Its country programming and Health System Strengthening work are exploring more deeply how gender related barriers to accessing immunisation can be overcome (where previously the focus was more on the difference in coverage between boys and girls). Countries applying for HSS funding conduct gender analyses and identify gender-related barriers to accessing vaccination specific to their country context. These analyses, which were previously annexed to HSS proposals, now have to be mainstreamed in the content.</p> <p>An internal analysis undertaken by Gavi of 21 HSS proposals that were recommended for approval between 2014-2015 found that, compared to proposals recommended for approval between 2011 – 2013), proportionately more identified gender-related barriers; proportionately fewer included at least one gender-related activity; and proportionately more (considerably more) included a sex-disaggregated or gender-disaggregated indicator.</p> <p>Under the 2013-2015 business plan, one of Gavi’s partners (UNICEF) led an initiative to develop and implement action plans aimed at improving equity in coverage (addressing geographic, wealth and gender-related barriers) in a subset of twelve countries. An internal review examined how gender was incorporated in the 12 country analyses and in the activities proposed or implemented since then to address the inequities identified. It found that even in cases where the level of gender analysis was strong, in subsequent follow-up activities these elements have not necessarily translated into programmatic action.</p> <p>Gender and equity analyses are required for HSS grant proposals, and Joint Assessments require both to be addressed in reporting; and the High Level Review Panel now ensures that gender and equity are systematically addressed in grant proposals. Governance is assessed through the HSIS analysis; however,</p>	1, 9, 10, 12, 13, 14, 17, 18, 19, 21, 82, 83
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	2		
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	2		
Element 4: Intervention designs include the analysis of gender issues	3		
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	1		
Element 6: Intervention designs include the analysis of good governance issues	3		

Element 7: Plans for intervention monitoring and evaluation include attention to cross cutting issues	2	intervention designs do not routinely include analysis of environmental issues.	
Overall Score:	2.14		
Overall Rating:	Satisfactory		High confidence

MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability as defined in KPI 12)

Element	Score	Narrative	Source Documents
Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	2	Sustainability is the third Goal in the 2016-2020 strategy and is achieved through three strategic objectives: (1) enhancing national and sub-national political commitments to immunisation, (2) ensuring appropriate allocation and management of national human and financial resources to immunisation through legislative and budgetary means, and (3) preparing for sustained performance in immunisation after graduation.	3, 4, 9, 10, 11, 12, 13, 14, 15, 21, 23, 27, 28, 31, 39, 78, 89
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	2	Two key policies support the achievement of these objectives: Gavi's co-financing and graduation policies. The co-financing policy requires that Gavi-supported countries contribute to the cost of purchasing vaccines directly to the supplier through a country's existing procurement process. The size of the contribution is based on each country's ability to pay and eventually, as the national economy grows, a country enters the graduation phase – a five-year period from the introduction of the last Gavi vaccine, when co-financing rises to 100% of the vaccine costs. By the end of graduation, governments are expected to fully self-finance their vaccines.	

<p>Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan</p>	<p>2</p>	<p>The purpose of the Eligibility and Transition policy is to set out the criteria – and related terms, processes and procedures - that determine which countries are eligible, and when, to apply for and receive different forms of Gavi support as they transition along a continuum of economic development to the point that all Gavi support ends. The policy aims to contribute to the vision that, when countries transition out of Gavi support, they have successfully expanded their national immunisation programmes with vaccines of public health importance and sustain these vaccines post-transition with high and equitable coverage of target populations, while having robust systems and decision-making processes in place to support the introduction of future vaccines</p>	
<p>Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner.</p>	<p>3</p>	<p>Routine monitoring and assessment of progress and grant use informs sustainability assessments. Transition Assessments, which identify priorities for supporting countries towards transitioning, are conducted 2 years before the transition period starts. The developmental indicators for HSS, with existing indicators on finance, coverage and supply chain are relevant to providing assurance on sustainability, however this assurance is not clearly articulated.</p>	
<p>Overall Score:</p>	<p>2.25</p>		
<p>Overall Rating:</p>	<p>Satisfactory</p>		<p>High confidence</p>

MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation

Element	Score	Narrative	Source Documents
Element 1 : Internal standards are set to track the speed of implementation	2	<p>Following a review by McKinsey in 2014/15, considerable progress has been made with the streamlining and strengthening of processes across the Secretariat to reduce complexity, enable faster decision making, ensure more efficient grant management and alleviate transaction costs for countries. For example, a Country Portal was launched in 2016 to provide a single platform for countries to apply for support, monitor grants and report results. This online platform replaces several paper-based processes. The grant architecture of HSS support is being streamlined to integrate planning and budgeting for all HSIS support, and to improve responsiveness to emerging evidence during the grant cycle.</p> <p>The Supply and Procurement Strategy 2016 – 2020 sets out the Alliance’s activities in shaping vaccine, and other immunisation product markets, to benefit the countries it supports. As a technical partner, UNICEF procures vaccines on behalf of Gavi-supported countries, which gives countries a significant advantage when it comes to both the cost and speed of procurement.</p> <p>Key priorities of the Supply and Procurement Strategy 2016-2020 may require some trade-offs between sustainability and the speed of implementation. For Gavi it is as important to achieve quality as speed at country level, so that changes can be sustained. This concept applies also to recruitment, where the aim is to ensure high quality staff even where this may lead to delays in filling posts.</p> <p>Evidence from joint appraisals and the meta review of HSS indicates severe delays caused by lengthy and burdensome planning, budgeting and procurement procedures at the national level. Most of the barriers to speedy implementation emanate from weak county systems or delays from partners, but Gavi’s model of delivery for HSS was also found to be lacking in some respects.</p>	9, 13, 14, 18, 23, 31, 33, 39, 45, 48, 49, 50, 63, 65, 67, 69, 70, 72, 78, 80, 85, 86, 89
Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	NE		
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	2		
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	3		
Overall Score:	2.33		
Overall Rating:	Satisfactory	The Knowledge Management department is now leading on reviewing business processes to identify streaming improvements. Some business processes have recently been improved resulting in faster grant agreements and further improvements are planned.	High confidence

KPI 6: Working in coherent partnerships directed at leveraging / ensuring relevance and catalytic use of resources			
Overall KPI Rating	3.03	Overall KPI	Highly Satisfactory

MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change

Element	Score	Narrative	Source Documents
Element 1 : Mechanisms in place to allow programmatic changes and adjustments when conditions change	3	Gavi's partnership model is one of its main comparative advantages; The current approach for business planning for the 2016-2020 period includes enhancing the country focus, strengthening grant and risk management, and investing in purposeful partnerships. In June 2015, the Board approved a new approach to engaging with partners - the Partners' Engagement Framework (PEF).	1, 9, 10, 13, 14, 17, 18, 19, 20, 25, 29, 30, 53, 79, 89
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	3	The PEF sets out use of funding by partners on Gavi supported activities and is reviewed regularly by the SCMs with partners at country level. If there are changes to the HSS grant required, which are consistent with the overall plan and objectives, these can be made. The system allows flexibility, and, with government agreement, there can be reallocation of up to 25% HSS grant within the two year programme envelope. A larger change would need to be taken to the Independent Review Committee for approval.	
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	NE	At global level, Gavi demonstrated the ability to react quickly to an emerging situation during the Ebola crisis, where Gavi assured funding support once an Ebola vaccine had been recommended by WHO for use. This leveraged Gavi's partnerships through the Alliance at global level. Gavi has effective planning and approval procedures which enable adjustments when needed. The SCM is able to reallocate funds within countries flexibly, to	

Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	3	meet changing situations or delay, and regular meetings with partners and the Joint Assessment process support joint identification of changes. However, some of these processes are new and country experiences show that Gavi has not always been able to respond as quickly. The new processes will need to be tested to ensure they do enable sufficient flexibility.	High confidence
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	2	The PEF supports the expansion of Gavi's partnerships, particularly in areas that its traditional partners may not address, e.g. financial management and/or potential for innovation/positive deviance, as well as providing hands-on complementary support to countries to more effectively manage and implement immunisation programs. A third of the funding for partners has been reserved for "non-traditional" partners. These include NGOs and private sector logistics companies. Gavi wishes to have a range of skills accessible to allow a flexible and innovative response to changing circumstances.	
Overall Score:	2.75		
Overall Rating:	Satisfactory		

MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy

Element	Score	Narrative	Source Documents
Element 1 : Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	4	The Alliance model means that Gavi has defined comparative advantages particularly relating to: market shaper, funder, expertise, and advocacy. Evidence shows that the Vaccine Alliance (and its members separately) consistently acknowledge the respective comparative advantages and seeks to exploit these advantages to catalyse and scale up solutions where possible. Increasingly the Alliance is seeking to engage new partners (including global private sector platforms) who may add further expertise and unique comparative advantage. The Vaccine Alliance structures, primarily through the new Partners' Engagement Framework, are designed to leverage (and monitor) comparative	1, 4, 9, 11, 12, 13, 14, 17, 24, 26, 27, 37, 53, 56, 80
Element 2: Statement of comparative advantage is linked to clear evidence	3		

of organisational capacities and competencies as it relates to the partnership		strengths of partners in support of Gavi's vision and mandate.	
Element 3: Evidence that resources/competencies needed for intervention area(s) are aligned to the perceived comparative advantage	3	One of the key principles of the PEF is to reduce duplication of effort and effectively leverage the comparative advantage of Gavi's partners. During 2015, the leadership role of core partners in different programmatic areas was clarified, along with the supporting role of other partners. The Alliance Accountability Framework now includes partners' agreement on PEF functions, which define a minimum set of outcomes at country level that are expected across all countries as a result of the support from Alliance partners.	
Element 4: Comparative advantage is reflected in the resources (people, information, knowledge, physical resources, networks) that each partner is able (and willing) to bring to the partnership	3	The PEF helps to clarify comparative advantages. However, the partners' differentiated roles in relation to HSIS are still not clearly defined. There is a potential blurring of advantage introduced by Gavi's increased focus on HSS, which is an area supported by WHO and UNICEF, and does not necessarily draw on Gavi's core competencies. Gavi is not consistently seen by country partners to be effective at HSS due its lack of country presence and, in some cases, understanding of local issues.	
Overall Score:	3.25		
Overall Rating:	Highly Satisfactory		High confidence

MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on the use of country systems

Element	Score	Narrative	Source Documents
Element 1 : Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	4	Gavi's business model relies, for the majority of its operations, on country systems and is committed to support and strengthen these, including through the joint appraisal process which increases country ownership and ensures better alignment to country processes, cycles and plans. Gavi's model of not having a country office ensures that it bases its work on strengthening country institutions and supporting/enabling countries to deliver changes; Gavi sees this as highly consistent with Busan principles.	1, 3, 8, 9, 11, 12, 13, 19, 22, 23, 29, 36, 79
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	3	Systems for managing Gavi's cash support are agreed with the respective country and rely, where possible, on the country system, subject to a joint review by the government, the Gavi secretariat and partners. Vaccines, which constitute the largest share of Gavi's investment portfolio, are distributed routinely through	

Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	3	<p>public systems, and Gavi ensures adequate oversight mechanisms. Furthermore, Gavi works with countries to improve their data systems. According to the 2011-2015 Monitoring and Evaluation Framework and Strategy, the monitoring “draws upon the Country Health Systems Surveillance (CHeSS) approach used as the basis for the monitoring and evaluation of the Health Systems Funding Platform—this approach supports the harmonisation of monitoring procedures used by global entities and their alignment with country systems”. Much of the data used for routine programme monitoring is reported by countries, but with appropriate checks and balances to assess the quality of data reported. Additional data are used from global estimates of coverage and burden of disease, as well as from household surveys.</p> <p>Countries now play a central role in designing TA: in line with the new shift to bottom up planning, Joint Appraisals undertaken in 72 countries in 2015 have served as the key mechanism for countries and partners to jointly identify, through a country-level dialogue, the TA required to overcome key immunisation-related bottlenecks in each country. For the first time, TA becomes an integral part of the holistic package of support from Gavi and takes into consideration other bilateral investments in an attempt to harmonise investments across partners at country level.</p> <p>Where Gavi has no confidence in allocating funds directly to a country, this is clearly stated, and an intermediary found to manage funds. Recent changes to processes have been designed to increase alignment and relevance, but country partners and some evaluations indicate that there some Gavi interventions do not align very well, and that there has sometimes been a lack of clarity in partner roles, and weak links with country financial management systems.</p> <p>At board level, the implementing countries’ constituency is strengthening its voice and impact, for example through influencing the Board on the importance of introducing the malaria vaccine.</p>	High confidence
Element 4: Reasons for non-use of country systems clearly and transparently communicated	3		
Element 5: Internal structures and incentives supportive of greater use of country systems	3		
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	NE/NA		
Overall Score:	3.2		
Overall Rating:	Highly Satisfactory		

MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation

Element	Score	Narrative	Source Documents
Element 1 : Strategies or designs clearly recognise the importance of synergies and leverage	3	<p>Identifying and leveraging catalytic and complementary use of resources is inherent in Gavi’s partnership based business model, and Joint Appraisals and other country missions conducted by SCMs constitute opportunities for ensuring synergies with partners. It is also fundamental to Gavi’s ambition of harmonisation and coherence with funding provided by other donors, such as the Global Fund. The 2016-2020 strategy envisages a scaling up on engagement with civil society and private sector partners to foster innovation, promote advocacy and maximise efficiency and synergies.</p> <p>The co-financing model is also a tool for leveraging funding.</p> <p>Leveraging catalytic and complementary use of resources is inherent in Gavi’s partnership based business model. The PEF has introduced a method to improve synergy and reduce fragmentation. The six strategic focus areas are expected to maximise value for money and minimise fragmentation to help the Alliance to achieve scale. Gavi’s engagement with country partners to participate in Joint Assessments also helps to reduce fragmentation.</p> <p>A recent meta review of past evaluations of Gavi’s support to HSS found that “funding channelled through Gavi Partners (WHO and UNICEF) due to weak government capacity has been criticised for the lack of clarity in roles and responsibilities...” The PEF and Alliance Accountability Framework are intended to tackle these issues.</p> <p>At global level, Gavi uses resources and partners to shape markets, at global and country level, to coordinate and synergise resources to increase access to affordable and good quality vaccines. The IFFIm provides a long term, predictable and highly effective way of using resources catalytically.</p>	3, 4, 9, 10, 11, 12, 13, 15, 19, 23, 27, 36, 56, 85
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	3		
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	NE		
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	3		
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	3		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 6.5: Key business practices (planning, design, and implementation, monitoring and reporting) coordinated with other relevant partners (donors, UN agencies, etc.) as appropriate.

Element	Score	Narrative	Source Documents
Element 1 : Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	3	<p>Gavi the Vaccine Alliance's partnership model involves working through members and other parties, thereby avoiding duplication and keeping administrative costs low, and key business practices are therefore inherently closely coordinated with those of partners. This is now being managed through the Partners' Engagement Framework and the Alliance Accountability Framework.</p> <p>Support for implementation and support at country level is the responsibility of Alliance multilateral partners. Gavi participates in joint exercises such as ICC, but UNDAF engagement is largely managed by its technical UN partners, WHO and UNICEF. The model also involves monitoring outcomes in countries - for example, vaccination coverage - rather than the programmes themselves. The Alliance depends upon the Partners sharing the Alliance's goals and working together to achieve them. Maintaining Gavi's low administrative costs depends to some extent upon the Board's level of comfort with the risks that accompany this. The new governance structure permits a unified business plan, with agreed deliverables, by the Secretariat and partners that can be tracked and reported to the Board.</p> <p>The Joint Assessment process is a joint planning and review process in itself, which coordinates planning and partners' activities. It has now been rolled out to all Gavi countries. Gavi is seen to link with UN agencies, other technical partners and donors very effectively at Alliance and at country level. Country evaluations are carried out in partnership with countries.</p>	1, 3, 4, 8, 9, 10, 12, 14, 15, 21, 24, 25, 26, 34, 35, 37, 38, 51, 56, 62, 63
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	3		
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	4		
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN etc.)	3		
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	2		
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	3		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/implementation partners on an ongoing basis

Element	Score	Narrative	Source Documents
Element 1 : Clear corporate statement on transparency of information	4	<p>The Gavi Engagement Framework brings together the financial allocations under Programme Expenditure, Secretariat Engagement, and Partners’ Engagement Framework (“PEF”) to show at a glance Alliance investments in countries through vaccine and cash programs, investments in providing technical assistance through partners under the PEF, as well as the Secretariat expenditure.</p> <p>The Country Portal is one of a number of new mechanisms which will help increase transparency and accountability across the Alliance. This will be critical to enable an open dialogue on Gavi’s performance, as new approaches to coverage, equity and sustainability are tested. The Country portal now provides partners with information. However, some country partners feel that there is potential to improve prompt information sharing.</p>	3, 4, 8, 9, 10, 12, 14, 17, 18, 22, 23, 36, 39, 46
Element 2: The organisation has signed up to the International Aid Transparency Initiative	4		
Element 3: Information is available on analysis, budgeting, management in line with the guidance provided by the International Aid Transparency Initiative	4		
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	3		
Element 5: Evidence that information shared is accurate and of good quality.	2		
Overall Score:	3.4		
Overall Rating:	Highly satisfactory		High confidence

MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented

Element	Score	Narrative	Source Documents
Element 1 : Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	3	Gavi's Transparency and Accountability policy sets expectations for mutual accountability between Gavi and countries through definition of appropriate oversight mechanisms, as well as guide both Gavi and countries in ensuring that support is used according to the programme objectives, as outlined in individual country agreements.	9, 10, 13, 12, 22, 23, 36, 46
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	3	Accountability is focused on the country level, and systems are in place through the Joint Appraisal process, introduced in 2015. Joint appraisals were conducted in all Gavi eligible countries in 2015.	
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	2	Gavi has clear accountability standards and procedures for countries and technical partners. The transparency and accountability policy provides guidance to staff on accountability, supported in detail by the grant management processes. Programming tools set out mutual accountabilities and responsibilities.	
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	3		
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	3		
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	3		
Overall Score:	2.83		
Overall Rating:	Satisfactory	High confidence	

MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments

Element	Score	Narrative	Source Documents
Element 1 : Evidence of participation in joint performance reviews of interventions e.g. joint assessments	4	<p>In the past, to renew funding, countries submitted an Annual Progress Report (APR) to the Gavi Secretariat along with a request for the next year's vaccine and cash support. The renewal decisions were based on a desk review by an independent panel of technical experts. As part of the redesign efforts the joint appraisal process and the High Level Review Panel (HLRP) were introduced, to move the discussion on grant implementation progress and future needs to the country level and engage more effectively those most familiar with the Gavi support. They inform the focus of technical assistance provided by Gavi alliance partners.</p> <p>The Joint Assessment has wide participation from country organisations, DPs, NGOs and civil society, and coordinates Joint Assessment reports with partners. Gavi takes part in country level relevant sectoral meetings, although often represented by its technical partners. Some country partners noted that greater Gavi involvement is needed at country level to understand local partnership issues.</p> <p>Gavi has (2016) started an annual survey which will go to all partners to assess their views on quality of partnership working with Gavi.</p>	1, 2, 4, 7, 8, 12, 13, 14, 15, 17, 19, 22, 23, 36, 46, 75, 78,
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	3		
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	3		
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	3		
Element 5: Surveys or other methods applied to assess partner perception of progress	3		
Overall Score:	3.2		
Overall Rating:	Highly satisfactory		High confidence

MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy

Element	Score	Narrative	Source Documents
Element 1 : Statement in corporate documentation explicitly recognises the organisation’s role in knowledge production	3	<p>A significant capital expenditure is anticipated in 2016 and 2017 in support of Knowledge management: (US\$ 0.8 million in 2016 and US\$ 1.5 million in 2017), and in an Online Country Portal: (US\$ 0.5 million in 2016). The investment will provide an enterprise knowledge repository, organised and searchable by key topics, making Gavi knowledge more accessible to stakeholders.</p> <p>Aligned with the enterprise knowledge repository, the Online Country Portal is expected to deliver the most important country knowledge, contact, and interactions with stakeholders. The further development of this application will enable the Secretariat to better collaborate with countries to capture their needs, and track support provided and implementation progress, and report on results.</p> <p>The 2016-20 Strategy recognises the role of Gavi in improving the quality of country level data to support country level decision making. Knowledge products are seen to inform advocacy, primarily at global level, where they are perceived to be highly effective. There have been problems with the timeliness and accuracy of information. This is now being addressed by the country portal which makes information available to all partners in real time to support programme development and monitoring by partners.</p>	1, 3, 4, 9, 10, 12, 14, 19, 36, 57
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	3		
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level.	3		
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	2		
Element 5: Evidence that knowledge products are perceived as high quality by partners	3		
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	2		
Overall Score:	2.67		
Overall Rating:	Satisfactory		High confidence

Performance Area: Performance Management

Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson-learning

KPI 7: Strong and transparent results focus, explicitly geared to function			
Overall KPI Rating	3.12	Overall KPI	Highly Satisfactory

MI 7.1: Leadership ensures application of an organisation-wide RBM approach

Element	Score	Narrative	Source Documents
Element 1 : Corporate commitment to a result culture is made clear in strategic planning documents	4	<p>Gavi's business model is inherently results based and the 2016-2020 strategy commits to expanding the results based approach across all activities. The Gavi Engagement Framework is the starting point for the results based approach which includes a proposed accountability framework, a governance approval process for the Partners' Engagement Framework and Secretariat Engagement.</p> <p>Performance based funding is applied for Health System Strengthening grants and a performance management process is being finalised for each partner (to be regularly reviewed) which will include a new set of strategy indicators.</p> <p>The 2016-2020 strategy commits to expanding the results based approach across all activities. Programme activities and country engagement is based on results; inherent in model and programming. With regard to HSIS results, however, targets are less well defined than immunisation and vaccine-related targets.</p>	2, 3, 5, 8, 10, 11, 12, 14, 16, 19, 21, 22, 23, 34, 36, 51, 53
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	3		
Element 3: Guidance for setting results targets and develop indicators is clear and accessible to all staff	3		
Element 4: Tools and methods for measuring and managing results are available	3		
Element 5: Adequate resources are allocated to the RBM system	3		
Element 6: All relevant staff are trained in RBM approaches and method	NE		

Overall Score:	3.2		
Overall Rating:	Highly satisfactory		High confidence

MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic

Element	Score	Narrative	Source Documents
Element 1 : Organisation-wide plans and strategies include results frameworks	4	<p>Gavi's results framework outlines and documents the stepwise progression from inputs and processes to outputs, outcomes and impact. The framework links indicators and data sources across each step of the results chain. Impact is broadly defined as including reduced mortality, reduced morbidity, protection from social and financial risk and sustainable gains in immunisation and health systems. It is acknowledged that results are the joint product of global, regional and country level financing and activities, and Gavi seeks to understand, where possible, how multiple interventions interact to produce outcomes.</p> <p>Key metrics are agreed between Gavi and a recipient country to monitor and report on grant performance with one performance framework per country, reflecting the intended results chains for all Gavi grants to that country, and each indicator included in the performance framework will have a related data source, baseline, target, and reporting schedule. This forms the structure against which the progress and results of Gavi's grants will be assessed, with reporting against the indicators in the performance framework possible at any time and encouraged as soon as the data is available, based on the agreed reporting schedule. This is made possible because the performance framework is housed on an online platform accessible to stakeholders throughout the year.</p> <p>Corporate strategies are based on the four strategic goals, each of which has clear results indicators underlying it. Gavi's results framework outlines and documents the stepwise progression from inputs and processes to outputs, outcomes and impact at all levels. This is not consistently the case for HSIS interventions.</p> <p>Performance is reviewed annually at the Board and committees. The annual results report shows global progress over time, but has little commentary on</p>	3, 8, 9, 12, 13, 14, 16, 17, 19, 21, 23, 29, 34, 46, 47, 51, 53, 75, 79, 85
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	3		
Element 3: An annual report on performance is discussed with the governing bodies	2		
Element 4: Corporate strategies are updated regularly	3		
Element 5: The annual corporate reports show progress over time and notes areas of strong performance as well as deviations between planned and actual results	3		
Overall Score:	3		
Overall Rating:	Satisfactory		High confidence

		performance variance at country level, or deviations between actual and planned results.	
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MI 7.3: Results targets based on a sound evidence base and logic

Element	Score	Narrative	Source Documents
Element 1 : Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	3	Gavi results, targets and indicators are developed around a sound evidence base and logic, and are empirically measured. The approach has evolved and been refined to reflect lessons learned over time. The 2016-2020 strategy sets two types of targets: i) an aspirational target to which Gavi's efforts will contribute but not be directly attributable (i.e. the estimated under-five mortality rate in Gavi-supported countries) and (b) targets more directly attributable to the Alliance's efforts (i.e. the estimated number of children vaccinated with Gavi support, the estimated number of future deaths averted and the estimated number of future Disease Adjusted Life Years (DALYs) averted through Gavi programmes).	1, 2, 3, 4, 7, 9, 12, 16, 17, 19, 21, 22, 34,
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	3	A consultative process steered by a core group of technical experts has helped to define indicators for the strategic goals, as part of the Alliance strategy for 2016-2020. Furthermore a 'disease dashboard' is being developed to empirically measure the Gavi Alliance's contribution to alleviating the burden of vaccine preventable diseases. The intention of the "disease dashboard" is to monitor health impact indicators using empirical measurement to supplement the other health impact indicators which are predominantly based on models. Most of the Gavi Alliance health impact indicators are model-based, but informed by empirical data, where available, to allow for consistent measurement and reporting across the Gavi vaccine portfolio and countries eligible for support.	
Element 3: Development of baselines are mandatory for new Interventions	4	Baseline data is routinely collected and reported on the portal; new baseline data is being collected for HSIS e.g. in relation to gender issue. Gavi's data Strategic Focus Area is addressing the improvement of how baseline data collected and used.	
Element 4: Results targets are regularly reviewed and adjusted when needed	4	Targets are clearly defined and designed to assess the alliance's contribution, and also what is attributable. All targets are linked to higher level outcomes. Country level indicators are directly related to country and global outcomes and goals are reviewed at least annually. However, HSIS indicators and results are less clearly	
Overall Score:	3.5		
Overall Rating:	Highly		High confidence

	Satisfactory	defined and measured.	
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MI 7.4: Monitoring systems generate high quality and useful performance data

Element	Score	Narrative	Source Documents
Element 1 : The corporate monitoring system is adequately resourced	3	Monitoring “draws upon the Country Health Systems Surveillance (CHeSS) approach used as the basis for the monitoring and evaluation of the Health Systems Funding Platform—this approach supports the harmonisation of monitoring procedures used by global entities and their alignment with country systems”. Much of the data used for routine programme monitoring is reported by countries, but with appropriate checks and balances to assess the quality of data reported. Additional data are used from global estimates of coverage and burden of disease, as well as from household surveys.	3, 8, 9, 11, 16, 18, 19, 21, 22, 23, 29, 33, 35, 36, 38, 62, 63, 65, 68, 71, 85
Element 2: Monitoring systems generate data at output and outcome level of the results chain	3		
Element 3: Reporting structures are clear	3	This poses a question on resourcing levels, since much of the resources are at country level. However, the recent introduction of the country portal and the Data Strategic Focus Area are evidence of Gavi increasing resource to data and monitoring.	
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	3	Dependence on country systems which may have weaknesses introduces data quality issues. Data quality has not been consistently good and the new Strategic Focus Area for data quality seeks to address this.	
Element 5: A system for ensuring data quality exists	2	Data is now reported through the portal. This ensures real time reporting, but also shows that reporting on target and indicators in countries is often not up to date, or missing. Gavi is seeking to improve this situation, as noted already above.	
Element 6: Data adequately captures key corporate results	2	Key corporate data is collected on high level indicators, and reported annually.	
Overall Score:	2.67	Opportunities will be explored to increase harmonisation between global initiatives and alignment with country systems to enable countries, the Gavi Alliance and other global initiatives to evaluate the outcomes and impact of	

Overall Rating:	Satisfactory	multiple initiatives implemented simultaneously, while capturing synergies and reducing reporting burdens and transaction costs.	High confidence
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MI 7.5: Performance data transparently applied in planning and decision-making

Element	Score	Narrative	Source Documents
Element 1 : Planning documents are clearly based on performance data	4	The Grant Performance Framework is used for the following decisions: • Grant proposal: new proposals, reprogramming and reallocation	2, 8, 9, 10, 12, 13, 16, 33, 35, 62, 63, 64, 65, 68, 71
Element 2: Proposed adjustments to interventions are clearly informed by performance data	3	• Grant Monitoring: summarise current and historic performance, and future targets, review of performance against targets	
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	3	• Cross Portfolio analysis: enable review of quality of choice of intermediate results and process/activity indicators and of quality of reporting on all indicators against baselines and targets across entire portfolio	
Element 4: Performance data support dialogue in partnerships at global, regional and country level	3	Gavi will develop performance frameworks for all countries receiving Gavi grants by the end of March 2016. To achieve this target, Gavi, with in-country and regional partners, is conducting a phased introduction from June 2015.	
Overall Score:	3.25	Planning documents (PEF and Grant proposals) are based on performance data, where relevant, and programme adjustments are informed by performance. Corporate performance data is regularly reviewed to ensure that Gavi is effective and spending within budget. Performance data is used in Joint Assessments and country and partner conversations at country level.	
Overall Rating:	Highly Satisfactory		High confidence

KPI 8: Evidence-based planning and programming applied

Overall KPI Rating

2.28

Overall KPI

Satisfactory

MI 8.1: A corporate independent evaluation function exists

Element	Score	Narrative	Source Documents
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (<i>operational independence</i>)	2	<p>Gavi's evaluation unit is positioned within the Policy & Performance Department and an Evaluation Advisory Committee serves the Board and provides oversight to the Gavi Secretariat, which is responsible for ensuring quality and timely delivery of targeted studies and full country evaluations, based on an annual evaluation work plan. The structure of the Evaluation Advisory Committee ensures that its majority is comprised of independent evaluation experts (with a minority of Gavi board members). The Director of Evaluation reports to the Governing body via the Evaluation Advisory Committee.</p> <p>Evaluation has a core budget line and the budget for evaluations in 2016 and 2017 is significant, at 11% of the annual allocations for the Partners' Engagement Framework. The main evaluation programme is fully funded from core funds; however, its size is small compared to the numbers of countries with Gavi support and the range of interventions.</p> <p>Evaluative work is guided by a Gavi Alliance Evaluation Policy dated 2008, reviewed in January 2012 by the Gavi Evaluation Advisory Committee, and again in 2015 when it was extended for one year. It will be reviewed for 2017. The policy lacks information on the process for managing evaluations.</p>	7, 8, 11, 12, 14, 19, 23, 59
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (<i>Structural independence</i>)	1		
Element 3: The evaluation office has full discretion in deciding the evaluation programme	NE		
Element 4: A separate budget line (approved by the Governing Body) ensures <i>budgetary independence</i>	3		
Element 5: The central evaluation programme is fully funded by core funds	3		
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	NE		

Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated. <i>(Behavioural independence)</i>	NE		
Overall Score:	2.25		
Overall Rating:	Satisfactory		Medium confidence

MI 8.2: Consistent, independent evaluation of results (coverage)

Element	Score	Narrative	Source Documents
Element 1 : An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	2	Gavi's approach to evaluation is a tiered approach which links routine programme monitoring, targeted studies and large-scale public health effectiveness evaluation "through a prospective, stepwise design". The intended utilisation of the evaluations is identified in the M&E Framework and Strategy 2011. Quality standards are not clearly specified.	4, 8, 12, 14, 18, 29, 35
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralized evaluations	2	The evaluation plan for 2015 includes thematic evaluations, evaluations of Health System Strengthening Support, final evaluations of Gavi support evaluations and full country evaluations. A plan for the whole strategic cycle is not available. The policy does not provide guidance on the implementation of different types of evaluations.	
Element 3: A prioritized and funded evaluation plan covering the organisation's planning and budgeting cycle is available	2	The website and documents provided by Gavi include one Meta review from 2016. In 2015, country and cross country evaluations were conducted as well as an impact and outcome evaluation and six HSS evaluations, inter alia. In 2014 an end of Gavi support evaluation was conducted in two countries, and in 2013 a Process and Design evaluation was conducted. Gavi also uses Full Country Evaluations: in depth prospective evaluations which are undertaken in four countries and which report annually. The evaluation policy explains the tiered approach used by Gavi, but does not give much detail, for instance, on how evaluations are commissioned and run in	

Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisations' Interventions, reflecting key priorities	3	<p>a decentralised way. Country partners were broadly positive about Gavi's evaluation coverage and use. However, there was no evidence of a published annual evaluation plan linking planned evaluations to key priorities.</p> <p>The current Evaluation Policy was written in 2011 and due to expire in 2015; it was then agreed to be adequate to meet evaluation needs, and extended for one more year. It will be reviewed in 2016/2017 to ensure it is fit for purpose for the new strategic period.</p>	
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	2		
Overall Score:	2.2		
Overall Rating:	Satisfactory		High confidence

MI 8.3: Systems applied to ensure the quality of evaluations

Element	Score	Narrative	Source Documents
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	1	The Evaluation Advisory Committee (EAC) oversees the quality of evaluations and reports to the Board on the quality and use of evaluations. At least two members of the EAC review all Gavi evaluations for quality, and the EAC reports that the quality is generally good. However, there is no evidence of the quality standards used or of the processes for ensuring quality.	4, 8, 35, 59
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	3	Individual evaluations assessed show that they have observed generic quality standards and appropriate methodologies.	
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	3	The Full Country Evaluations are provided externally through a partnership approach whereby it partners the Institute for Health Metrics and Evaluation	

Element 4: The methodology presented includes the methodological limitations and concerns	3	<p>(IHME) at the University of Washington (UW) and an in-country research agency. The Gavi Evaluation Unit reviews the contracts between IHME and local institutions to ensure that evaluation capacity transfer forms part of it, which builds country evaluation skills.</p> <p>There is, however, a lack of specification of evaluation quality standards, and quality assurance processes, stated within the Evaluation Policy which can be used as guidance by external and internal evaluations, and used to assess externally commissioned evaluations. There is also little evidence on how the Evaluation Unit and the EAC provide quality assurance. For a recent evaluation, Gavi went to the external market twice, rather than awarding the contract to a service provider that did not meet all its quality requirements; however it is not clear what these are.</p>	High confidence
Element 5: A process exists to ensure the quality of all evaluations, including decentralized evaluations	1		
Overall Score:	2.2		
Overall Rating:	Satisfactory		

MI 8.4: Mandatory demonstration of the evidence base to design new interventions

Element	Score	Narrative	Source Documents
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	2	Several policy and operational documents allude to lessons learned from past interventions and strategies, both at the country level and globally and Gavi, as a learning organisation, is committed to using its three-tier monitoring and evaluation process to draw lessons from past projects to inform the design and implementation of new projects, or the on-going implementation of current projects. There is however no formal requirement to do so.	4, 8, 9, 11, 12, 13, 21, 22, 53
Element 2: Clear feedback loops exist to feed lessons into new interventions design	3	Full evaluations serve as a platform to support the implementation of targeted studies, and enable the development of improved metrics for use in routine programme monitoring, and the modelling of results to estimate impact in countries where full country evaluations are not conducted.	
Element 3: There is evidence that lessons from past interventions have informed new interventions.	3		
Element 4: Incentives exist to apply lessons learnt to new interventions	3		

Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public	2	<p>the past also inform new interventions and policies.</p> <p>However, while Gavi reports using evidence to inform its work, there is no formal requirement to show how lessons have been used to inform new intervention designs. There is no systematic approach to using evidence on lessons learned, or to publishing the use of learning from evidence.</p>	High confidence
Overall Score:	2.6		
Overall Rating:	Satisfactory		

MI 8.5: Poorly performing interventions proactively identified, tracked and addressed

Element	Score	Narrative	Source Documents
Element 1: A system exists to identify poorly performing interventions	3	<p>To help track the impact of its multi-year Health System Strengthening grants, Gavi has put in place intermediate indicators which assess progress against a set of pre-defined goals and targets, as agreed between countries and Gavi, and formalized in a performance framework. Countries are required to regularly update the performance framework, which is housed on the country portal and can be updated throughout the year.</p> <p>Evidence shows that in several cases the indicators have helped identify real-time bottlenecks to implementing immunisation projects: for example a lack of trainers in the Comoros and delays in processing service contracts in Afghanistan. In both cases, partners are helping to address the challenges.</p> <p>Poor performance is addressed by SCMs through the annual grant review process and underuse of funding can lead to revision of funds available and clear remedial actions and responsibilities, but this is not consistently done.</p>	9, 13, 8, 11, 12, 14, 19, 23, 59
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	3		
Element 3: A process for addressing the poor performance exists, with evidence of its use	3		
Element 4: The process clearly delineates the responsibility to take action	2		
Overall Score:	2.75		
Overall Rating:	Satisfactory		High confidence

MI 8.6: Clear accountability system ensures responses and follow up

Element	Score	Narrative	Source Documents
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	3	<p>No overview of the evaluation process which showed a comprehensive description of the system to track recommendations and ensure follow-up was available. Many but not all evaluations have a published management response, although the completeness of the response is variable. Some, such as Full Country Evaluations (FCEs), have a well-structured response and actions; others are more akin to a quality assessment of the evaluation with no actions such as for the Co-Financing policy evaluation; country evaluations have recommendations but no actions or time frame or responsibility for action.</p> <p>Gavi's operational guidelines for evaluations (2016) identify the responsibility for business owners of the evaluation to develop and manage the follow up of recommendations, as a Management Action Plan, which identifies who has responsibility for actioning recommendations. Where appropriate, actions are integrated into future plans.</p> <p>The management response to the findings of FCEs is agreed between Gavi and its partners. As implementation often rests with partners, these may have systems in place, but no available document provides an overview of what the processes are. The lack of a clear follow up process was observed as a weakness by country partners. There was no evidence of a system to track implementation of recommendations.</p> <p>For other evaluations the reported process is that, at Secretariat level, it is the responsibility of the Strategy & Performance team to follow up on evaluation findings and recommendations.</p> <p>In summary, while management responses were available for some evaluations, this was not consistently the case. Evaluation reports do not routinely include a management response, and few management responses were published. There is no standard process and timeline for follow up and publically reporting on use and implementation of evaluation recommendations.</p>	4, 29
Element 2: Management responses include an action plan and /or agreement clearly stating responsibilities and accountabilities	2		
Element 3: A timeline for implementation of key recommendations is proposed	2		
Element 4: A system exists to regularly track status of implementation	1		
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	1		
Overall Score:	1.8		
Overall Rating:	Unsatisfactory		High confidence

MI 8.7: Uptake of lessons learned and best practices from evaluations

Element	Score	Narrative	Source Documents
Element 1: A complete and current repository of evaluations and their recommendations is available for use	2	Evaluations are published, but there is no repository of recommendations.	2, 3, 8, 9, 10, 14, 19, 21, 24, 29, 39
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	3	Evidence indicates that lessons learned from the targeted studies and full country evaluations are synthesised through internal Secretariat discussions to help inform policy review or development. These take the form of internal reviews of data and lessons from evaluations, country feedback and literature reviews, however, no synthesis reports are publicly available.	
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	2	The Evaluation Operational Guidelines (issued internally February 2016) set out steps for dissemination to stakeholders and relevant parties.	
Element 4: A system is available and used to track the uptake of lessons learned	NE	There is no evidence of a system to track use of lessons learned.	
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	1	Gavi's response to the Full Country Evaluations indicates that it will take on board real-time evaluation data and use it. There is evidence that data from FCEs and the HSS meta evaluation are already informing Gavi's HSS support and that lessons from evaluations are applied in policy reviews. For instance, the co-financing evaluation was used to inform changes in policy and practice.	
Element 6: Evidence is available that lessons learned and good practices are being applied	3	Gavi describes itself as a learning organisation that rapidly uses learning to review and revise its work, able to react quickly to make necessary changes. The Programmes team regularly reviews data emerging from countries through team meeting and uses learning to shape and amend activities in Responses to findings. As a learning organisation, Gavi continues to shape its model drawing on lessons from implementation, forecasting, pro-active risk assessments, and consultations with countries and other stakeholder. The FCEs have led to staff taking a much greater interest in evaluation findings, and there is a reported sense that Gavi is now giving evaluation evidence greater attention within the organisation.	
Element 7: A corporate policy for Disclosure of information exists and is also applied to evaluations	2		
Overall Score:	2.17		
Overall Rating:	Satisfactory	However, there is no repository of neither recommendations or actions available, nor a system for systematically distilling lessons learned and disseminating these, or recording use of lessons. Evaluations are published on the web, but there is no system to track use of neither lessons learned, nor an annual report on the status of recommendations seen.	High confidence

Performance Area: Results

Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way

KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate-wide and regional/country level, with results contributing to normative and cross-cutting goals

Overall KPI Score

n/a

Overall KPI Rating

Satisfactory

MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attain expected results

Rating	Narrative	Source Documents
<p style="text-align: center;">Satisfactory</p> <p><i>Organisations either achieve at least a majority of stated output and outcome objectives (more than 50% if stated) or the most important of stated output and outcome objectives are achieved</i></p>	<p>In terms of high-level performance, Gavi’s reporting indicates that the Alliance is largely on track to reach or surpass its “mission indicators” for 2011-2015 strategic periods. Gavi has used three indicators to measure progress towards fulfilling its 2011-2015 mission; 1) Reduced child mortality; 2) Future deaths averted; and 3) children immunized. The relatively positive management results are to some extent corroborated by the 2015 Full Country Evaluation Report, which found that “Gavi FCE countries have successfully introduced a new range of vaccines”, while noting that challenges remain.</p> <p>However, these aggregate figures obscure fluctuations in performance at the national and sub national level. A review of 13 joint appraisals revealed a number of concerns in grant performance at the country level. Joint appraisals for Liberia, Moldova, Mozambique, Solomon Islands and Somalia, for example, highlighted obstacles to the realisation of targets and effective grant implementation. In Liberia, Somalia and the Solomon Islands, targets were not met, while in Mozambique, a number of districts were found to have immunisation levels below 80%, suggesting inequitable distribution of benefits. Moldova, on the other hand, has started to witness a decline in immunisation rates over the past few years, which led to the failure of the country to meet its target vaccination rates in 2014.</p> <p>The reasons underlying these shortcomings arise largely from the various contextual challenges which characterise the countries that the Alliance supports. These range from lack of procurement and monitoring capacity in partner governments, to poor data quality and transportation infrastructure.</p> <p>Delivery in conflict states is particularly challenging, where large parts of countries may not be accessible, and Gavi has needed to develop more flexible ways of working to deliver results, largely working through partners who are based in country, although results may still be less than planned targets.</p> <p>The new strategic period focus on coverage and equity will take steps to address the challenges of sub national fluctuation, and reaching conflict affected and other vulnerable populations.</p>	<p>1, 9, 10, 12, 13, 14, 26, 30, 33, 42, 61, 62, 63, 64, 65, 66, 67, 68, 69, 70, 71, 72, 73, 74,</p> <p style="text-align: center;">High confidence</p>

MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members

Rating	Narrative	Source Documents
<p style="text-align: center;">Satisfactory</p> <p><i>Interventions have resulted in positive changes experienced by target group members (at the individual, household or community level). These benefits may include the avoidance or reduction of negative effects of a sudden onset or protracted emergency</i></p>	<p>Gavi's principal target group is children living in low-income countries that receive Gavi-supported vaccines through the routine immunisation system. Gavi has registered impressive achievements with regard to introducing routine immunisation vaccines to new countries during the 2011-2015 strategic period. In the second half of 2014, according to the 2014 progress report, introduction targets for three key vaccines were surpassed, but despite this, the percentage of children reached with a full course of each of these vaccines was less than Gavi's annual targets, mainly due to supply shortages and delays in some countries' readiness for introduction.</p> <p>As above, aggregated results tend to hide variations in performance at the country level. A review of 14 joint appraisals highlighted a number of concerns regarding inequities in coverage at the subnational level. For example, in India, the joint appraisal noted that there are "significant inequities in vaccination coverage in different states based on various factors related to the individual (gender, birth order), family (residence, wealth, education), demography (religion, caste) and society (health care access, literacy level) and that there is a clear gender coverage differential, as reported by different surveys." Similarly, the Vietnam joint appraisal notes that despite the fact it is a high coverage country, "there are several ethnic minorities and mountainous areas in the Northern part which lack good access to the services". Similar concerns are raised in relation to Nepal, Moldova, Liberia and Haiti.</p> <p>There have been interventions within specific countries to target harder to reach groups, including communities in Afghanistan and Nepal which have had some success in increasing vaccination rates, but similar initiatives to finding local solutions have not been systematically implemented.</p>	<p>9, 10, 61, 62, 63, 64, 65, 66, 67, 69, 73, 74</p> <div style="background-color: #003366; color: white; padding: 5px; text-align: center;">High confidence</div>

MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programs (policy and capacity impacts), or needed system reforms

Rating	Narrative	Source Documents
<p style="text-align: center;">Satisfactory</p> <p><i>Interventions have made a substantial contribution to either re-orienting or sustaining effective national policies and programmes in a given sector or area of development disaster preparedness, emergency response or rehabilitation</i></p>	<p>A key area of support provided to Gavi countries is health systems support (HSS), which aims to increase the capacity of health systems to deliver immunisation. This area of support is based on Gavi's understanding that strong health systems are essential for ensuring successful vaccine introductions, sustaining coverage, and ensuring equity. Gavi's approach to HSS involves investments to improve coverage and equity by resolving bottlenecks in the delivery of immunisation. New indicators from the 2016 – 2020 strategy will include supply chain, data quality, and civil society, but data is not yet available on these with which to assess effectiveness.</p> <p>In its 2011- 2015 strategy, Gavi measured its results in health system strengthening using four indicators: a) diphtheria-tetanus-pertussis (DTP) coverage; b) equity in immunisation coverage; c) percentage point difference between DTP1 and DTP3; and d) first dose of measles coverage. These indicators were selected because they provide a reliable picture of the reach, equity and strength of national immunisation programmes. Gavi's own, aggregated reporting indicates successful results against each of these indicators, and the review of joint appraisals further indicated that Health System Strengthening had been relatively successful in facilitating system reforms and building capacity. However, a number of outstanding capacity constraints in the health systems of Gavi countries have hindered the successful implementation of Gavi grants.</p> <p>Gavi's performance is heavily conditioned by prevailing circumstances in the countries which it supports, many of which are beyond its control. For example, a recent meta-review of evaluations of Gavi's support to Health System Strengthening found it characterised by poor programme management, due to weak country capacity, coupled with poor planning. It also found that while there had been some improvements in immunisation and health outcomes in Gavi countries, it was very difficult to attribute this to Gavi support with much certainty. The 2015 FCE Evaluation report found that despite challenges of country capacity, some improvements had been realised in the assessed countries.</p> <p>The successful transition of four countries in 2016 indicates that Gavi has contributed to system policy sufficient to support this, although these four countries already had relatively strong health systems.</p>	<p>9, 10, 12, 13, 21, 24, 31, 62, 64, 65, 66, 67, 68, 69, 71, 72, 73, 85</p> <p style="text-align: center;">High Confidence</p>

MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women

Rating	Narrative	Source Documents
<p style="text-align: center;">Satisfactory</p> <p style="text-align: center;"><i>Interventions achieve a majority (more than 50%) of their stated objectives</i></p>	<p>Gavi has registered strong results for gender equality and the empowerment of women, given the nature of its mandate and activities. An evaluation of Gavi's gender policy from 2008 found that whilst it focused predominantly on results at the Secretariat and Board level as opposed to the country and project level, the Alliance has realised several positive achievements in terms of generating and reporting new evidence on immunisation and gender; establishing and funding gender-sensitive strategies for advocating with partners (and countries) for gender equality to improve immunisation coverage and access to health services.</p> <p>One of the most effective ways which Gavi contributes to gender equality is through taking steps to address gender related barriers to immunisation coverage. The joint appraisals reviewed indicate a high degree of gender equity in immunisation coverage.</p> <p>Early results from a review of HSS funding proposals for the period 2011-15 show that gender has been more clearly addressed, with some early signs of success in proposals in specific countries, for instance use of health outreach to women in nomadic communities, and training for lady health workers to increase access to, and acceptance of, immunisation.</p> <p>However, although analysis of gender is improving there can be weaknesses in follow up and implementation. Under the 2013-2015 business plan, one of Gavi's partners (UNICEF) lead an initiative to develop and implement action plans aimed at improving equity in coverage (addressing geographic, wealth and gender-related barriers) in a subset of twelve countries. An internal review examined how gender was incorporated in the 12 country analyses, and in the activities proposed or implemented since then to address the inequities identified. It found that even in cases where the level of gender analysis was strong, in subsequent follow-up activities these elements have not necessarily translated into programmatic action.</p>	<p>10, 14, 20, 21, 24, 31, 63, 65, 67, 68, 69, 70, 70, 72, 72, 73, 74</p> <p style="text-align: center; background-color: #003366; color: white; padding: 5px;">High confidence</p>

MI 9.5: Interventions assessed as having helped improve environmental sustainability/helped tackle the effects of climate change

Rating	Narrative	Source Documents
<p style="text-align: center;">Unsatisfactory</p> <p><i>Intervention includes planned activities or project design criteria intended to promote sustainability but these have not been implemented and/or have not been successful</i></p>	<p>Gavi encourages countries to have immunisation waste management plans compliant with the standards of one of its key partners, WHO. WHO provides guidelines for countries on immunisation waste management, as well as the Effective Vaccine Management initiative to help countries improve their supply chain performance. These plans are monitored as part of Expanded Programme on Immunisation reviews and also annually reported in the WHO/UNICEF Joint Reporting Form. Currently, 95% of Gavi-supported countries have national policies on immunisation waste management.</p> <p>However, there is tension to resolve between having good waste management policies that reduce environmental impact, and ensuring that countries have access to the most appropriate vaccines, some of which have significant waste products. Many vaccine programmes generate waste that has a negative impact on the environment.</p> <p>The wider aspects of climate change have not been significantly addressed in Gavi programmes to date, although the 2016 Environmental Statement has more ambitious aims which address the immunisation and epidemiological impacts of climate change. However, there are as yet no indicators for these.</p> <p>Gavi does not monitor environmental impact as a part of annual reports or Joint Assessments, making it difficult to show results.</p>	<p>3, 88</p> <p style="text-align: center; background-color: #0070C0; color: white; padding: 5px;">Medium confidence</p>

MI 9.6: Interventions assessed as having helped improve good governance

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions include some planned activities and project design criteria to promote or ensure 'good governance'. These activities are implemented successfully and the results have promoted or ensured 'good governance'</i></p>	<p>Gavi's interventions have helped improve good governance through HSS support tailored to country need. Institutional and capacity strengthening are developed through HSS to enable countries to manage immunisation and vaccine supply programmes successfully, and eventually to transition out of Gavi support. There are activities in place, and planned, in countries to improve governance (equity, gender equality, more inclusive institutions and systems) supported through HSIS grants. Gavi's operating model of co-financing and transition are based on accountability and development of good governance.</p> <p>Changes in the strategic goals for 2016-20 are designed to increase the effectiveness of governance and capacity in relation to health. The design of Gavi's engagement with countries has been amended to support these aims. The new PEF which frames the Country plan includes HSIS elements which are designed to strengthen health governance. Indicators for HSS are governance are being developed for the 2016- 20 strategic plan period to include the participation of civil society and the integrated delivery of antenatal care and protection at birth against neonatal tetanus, pentavalent vaccine and measles vaccine.</p>	<p>3</p> <p>Medium confidence</p>

KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the organisation works towards results in areas within its mandate

Overall KPI Score	n/a	Overall KPI Rating	Satisfactory
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MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions are designed to take into account the needs of the target group as identified through a situation or problem analysis (including needs assessment for relief operations) and the resulting activities are designed to meet the needs of the target group</i></p>	<p>Gavi's mission objectives are reducing child mortality, averting future deaths and immunising children, who constitute Gavi's main target group. The relative success reported by Gavi in achieving results in these areas suggests that interventions were responding to needs.</p>	7, 85,89
	<p>A recent meta review of evaluation of Gavi's support to health sector strengthening found mixed evidence of the extent to which grants had been designed to meet country needs. In some cases, it was noted that grants had been based on sound proposals which clearly identified critical gaps, but that in other cases, grants had not been suitably designed, thereby somewhat diluting their relevance. Key issues identified across evaluation reports include inadequate consideration of country capacity for delivery, poor selection of focus districts, need for consideration of focus areas other than those identified and coverage of too many activities with insufficient budget allocation.</p> <p>There has been some success in specific interventions tailored to remote or vulnerable communities, but these are not widespread. Gavi recognises the need to do more and is prioritising targeting in the 2016-20 period as part of the goal to increase coverage and equity, but results from previous strategic periods do not show effective targeting.</p>	Medium confidence

MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives

Rating	Narrative	Source Documents
<p style="text-align: center;">Unsatisfactory</p> <p><i>Interventions have contributed only partially to the achievement of specific national development goals or to meeting humanitarian relief objectives agreed to with the humanitarian community</i></p>	<p>Gavi provides support to national immunisation programmes, and several of the joint appraisals reviewed indicate relevant and positive contributions to national development objectives, including Moldova, Tajikistan, and Vietnam.</p> <p>Gavi’s operating model of providing support to national immunisation programmes and campaigns implies contribution to national development goals and objectives. A number of the joint appraisals reviewed indicated that governments viewed national immunisation programmes as priority areas.</p> <p>A recent meta review of evaluation of Gavi’s support to Health System Strengthening found that although support had been well aligned to health sector policies and plans, “weak country planning capacity has implied that several grants have not been designed effectively, thereby somewhat diluting their relevance”.</p> <p>A report by the IRC found that a number of Health System Strengthening proposals were not well aligned with broader national health sector plans, and that in the majority of proposals, suggestions were made for the verticalisation of immunisation, without adequate consideration of integrating immunisation within primary health care and the broader health sector. This finding was supported by country partners several of whom noted that some Gavi interventions had drawn capacity and resources away from country priorities.</p>	<p>65, 67, 73, 74, 85</p> <p style="text-align: center; background-color: #0070C0; color: white; padding: 5px;">Medium confidence</p>

MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem

Rating	Narrative	Source Documents
<p style="text-align: center;">Satisfactory</p> <p><i>The organisation has improved the effectiveness of its partnership relationship with partners over time and improvements are noted in evaluations</i></p>	<p>Gavi's mission does not include specifically responding to epidemics and outbreak risks. Recently, however, Gavi has responded as part of a coherent response to outbreaks of Measles and Ebola through funding vaccines, and has taken steps to prevent seasonal outbreaks of Meningitis A and Yellow Fever in countries identified to be at risk. During the Ebola outbreak in West Africa, Gavi played an important role in the global health community's response, by assuring funding support once the vaccine was recommended by the WHO for use, which helped to incentivise large scale funding.</p> <p>In humanitarian contexts, Gavi is increasingly using the comparative advantage of partners in a coordinated way to ensure continuation of services, for instance in Yemen and Afghanistan, where Gavi is using partners to deliver services.</p> <p>An evaluation of Gavi's support to Health System Strengthening pointed to country difficulties in terms of choosing between a broad approach to health systems, or a narrow focus on immunisation, as well as how to use Gavi support in a catalytic or value added manner. This finding is echoed by the 2014 Full Country Evaluation Report which points to the complexity of Gavi support, coupled with limited understanding at the country level, leading to a failure to harness the potential synergistic nature of HSS funding. Country partners observed there is not consistently strong partnership working and, in particular, a suggestion that Gavi's coordination with the GFATM could be improved. Gavi's input to partnerships was perceived by country partners as not always well defined and not consistently coordinated. However, the evaluation of HSS support also pointed to strong coordination with wider donor funding.</p> <p>In terms of working in coherent partnership with the vaccine industry, Gavi has developed and led vaccine "roadmaps". These articulate individual product strategies and are designed to align partners across the Alliance on market-shaping target outcomes and interventions, and to inform procurement decisions.</p>	<p>9, 14, 21, 42, 85</p> <p style="text-align: center; background-color: #0070C0; color: white; padding: 5px;">Medium confidence</p>

KPI 11: Results delivered efficiently			
Overall KPI Score	n/a	Overall KPI Rating	Satisfactory

MI 11.1: Interventions assessed as resource/cost efficient

Rating	Narrative	Source Documents
<p>Highly Satisfactory</p> <p><i>Interventions are designed to include activities and inputs that produce outputs in the most cost/resource efficient manner available at the time</i></p>	<p>Gavi's co-financing policy has been assessed as an excellent means of enhancing both sustainability and effectiveness. The policy contributes to better use of country resources and leverages Gavi resources. However, concerns were raised regarding poor timing of decision letters and cost estimates, which impacted on countries' ability to plan and budget for vaccine procurement, as well as on the management of stocks on a year-on-year basis. Transaction costs are sometimes high for countries. In addition, several of the joint appraisals reviewed revealed concerns regarding the efficiency of interventions. These, however, usually pertained to capacity constraints and/or burdensome budgeting, planning and procurement procedures in partner countries.</p> <p>Gavi's work in market shaping and reducing cost of vaccines makes a major contribution to cost effectiveness. GSK announced in 2016 a 10% reduction in PCV price to US\$ 3.05, the lowest ever global price. Since PCV represents over 40% of projected Alliance vaccine expenditure 2016-20, this will yield significant savings to Gavi and countries. The Gavi funding model has also accelerated the introduction of new vaccines, so that where it used to be 10 years for a new vaccine to reach a developing country, the same process now takes one year.</p>	<p>31, 63, 64, 67, 69, 70, 71, 73, 85</p>
		Medium confidence

MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)

Rating		Source Documents
<p style="text-align: center;">Unsatisfactory</p> <p style="text-align: center;"><i>Less than half of intended objectives are achieved on time but interventions have been adjusted to take account of difficulties encountered and can be expected to improve the pace of achievement in the future. In the case of humanitarian programming, there was a legitimate explanation for delays</i></p>	<p>Evidence is mixed, but mostly shows poor performance; the joint appraisals reviewed indicated significant delays in implementing activities. Evidence from the country portal also shows delays in achieving many targets. The cause of these delays was attributed, for the most part, to capacity shortcomings or time-consuming procedures in partner countries.</p> <p>For example, in Nigeria there was significant delay in the implementation of the Gavi HSS 2014 work plan (including new vaccines introduction) as a result of the 'Put on Hold' notice from Gavi secretariat following the 2013/2014 CPA provisional report. There was delay in the signing of LOA between GON, UNICEF and WHO enabling them to act as 'pass-through' for the transfer of funds and implementation of the selected priority activities in 2014. And in India, progress of specific components of the HSS grant lag behind because of late signature of the PFA in July 2015 and late disbursements of HSS funds as a consequence.</p> <p>Delays in implementation were also a recurrent theme in a meta review of evaluations of Gavi's HSS work which found that the majority of Gavi HSS grants have experienced substantial implementation delays. Implementation is often delayed due to the country context and capacity weaknesses. Fragile states can be especially challenging. However, a substantial number of programmes are on track, and seen as promptly implemented.</p>	<p>14, 26, 63, 64, 65, 68, 69, 70, 71, 72, 74</p> <p style="text-align: center; background-color: #0070C0; color: white; padding: 5px;">Medium confidence</p>

KPI 12: Sustainability of results

Overall KPI Score	n/a	Overall KPI Rating	Satisfactory
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MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations, to recover, resilience eventually, to longer-term developmental results

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Evaluations assess as likely that the intervention will result in continued benefits for the target group after completion. For humanitarian relief operations, the strategic and operational measures to link relief to rehabilitation, reconstruction</i></p>	<p>There is mixed evidence on the extent to which benefits and results are likely to be sustainable.</p> <p>A review of joint appraisals revealed evidence that interventions were achieving results that were perceived as largely sustainable and a recent evaluation of Gavi's co-financing policy found that it made a strong contribution to the sustainability of Gavi interventions, especially in intermediate countries.</p> <p>However, the evaluation also found that although most Gavi supported countries had a high political commitment to immunisation, this in itself was not sufficient to ensure financial sustainability. It also pointed to concerns in low income countries, where the introduction of Gavi vaccines may stretch existing resources, and may cause "co-financing to eventually displace other self-financed health interventions and programmes." This finding was supported by comments from the country partners that Gavi interventions can mobilise all available human resources to the detriment of other activities, and a more responsible and sustainable approach would be to strengthen routine vaccination and support community health workers to ensure this is used by the local population.</p> <p>A meta review of evaluations of Gavi's support to health system strengthening found that while there is some evidence of Gavi HSS activities being sustained or the potential to sustain after the completion of funding, for the most part, potential for financial sustainability is weak.</p> <p>The Alliance has developed a comprehensive approach to sustainability for the first time introducing a coherent framework and integrated approach to engaging countries including embedding sustainability in all Alliance support. On January 1 Bhutan, Honduras, Mongolia and Sri Lanka became the first countries to transition out of Gavi support under the current transition policy. All four are success stories who are fully financing their programmes and have high coverage. Most are also continuing to introduce vaccines without Gavi support. Mongolia self-financed pneumococcal vaccine (PCV)</p>	<p>21, 31, 64, 65, 67, 68, 74. 85</p>
		<p>Medium confidence</p>

introduction at prices available under the Advanced Market Commitment (AMC) while Sri Lanka and Honduras are self-funding human papillomavirus (HPV) vaccine introduction with catalytic support from Gavi (approved by the Board in the new eligibility and transition policy). In 2016, 10 other countries started fully self-funding at least one vaccine previously supported by Gavi.

However, there are also countries which are at risk of failing to transition sustainably. In 2016 both Congo and Angola defaulted on payments and though they have subsequently paid the amounts due, this indicates that fragile countries may find transition more challenging.

The recent transition of four countries out of Gavi support indicates successful longer term results; however, these are recent transitions and will need to be reviewed in the longer term.

Gavi's work in market shaping to ensure affordable vaccines over a number of years also supports sustainability of results, through ensuring access to vaccines.

MI 12.2: Interventions/activities assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government

Rating	Narrative	Source Documents
<p>Satisfactory</p> <p><i>Interventions may have contributed to strengthening institutional and/or community capacity but with limited success</i></p>	<p>There is evidence of mixed performance on the extent to which interventions build sufficient capacity. A recent evaluation of Gavi’s new co-financing policy has suggested that it has helped to improve country efforts to build capacity for vaccine procurement, planning and budgeting for vaccines, and has exposed gaps that require attention by national authorities and international development partners. Co-financing is important in building capacity, since it requires institutional, financial and political commitment to immunisation.</p> <p>Health System Strengthening makes an important contribution to increasing the institutional capacity of national partners. Evidence from evaluations indicates that HSS had been relatively successful in doing this over the most recent strategic period. Gavi is now prioritising HSS to build sustainability and capacity, since past HSS interventions have often been seen as insufficient to meet required capacity. Gavi’s work on supply chains and the Cold Chain Equipment Optimisation platform is an important contributor to building sustainable capacity.</p> <p>Gavi plans for sustainability from the start; all countries are intended at some point to transition out of Gavi support and four countries have transitioned. However there are risks to the financial and system sustainability in poorer and more fragile countries where gains in capacity can be reversed through adverse events.</p>	<p>3, 14, 22, 26, 31, 42,65, 66, 73, 89</p> <p>Medium confidence</p>

MI 12.3: Interventions/activities assessed as having strengthened the enabling environment for development

Rating	Narrative	Source Documents
<p>Highly Satisfactory</p> <p><i>Interventions have made a significant contribution to changes in the enabling environment for development including one or more of: the overall framework and process for national development planning; systems and processes for public consultation and for participation by civil society in development planning; governance structures and the rule of law; national and local mechanisms for accountability for public expenditures, service delivery and quality; and necessary improvements to supporting structures such as capital and labour markets. Further, these improvements in the enabling environment are leading to improved development, humanitarian and normative results</i></p>	<p>Gavi has contributed to reducing costs and availability of vaccines through its work in market shaping, and reducing the costs of many vaccines. The market shaping work undertaken to ensure prices and supply are maintained over several years to provide countries with continuing access to vaccines at affordable prices is also important. Gavi's proactive work with industry partners and WHO is helping to ensure that new vaccines, such as for Ebola, can be developed and rolled out quickly for use. Its work with its technical partners across all sectors is drawing on innovation and collaboration to create improved solutions to enabling development.</p> <p>The requirement for national accountability for Gavi related funding and co-financing can be seen to strengthen national governance and financial management. It also introduces high levels of country and partner accountability, which may be seen as transformative models for strengthening development support.</p>	<p>9, 13</p> <p>Medium confidence</p>

Annex 2: List of documents analysed for Gavi

2a) Bibliography

Full name of document
Gavi (2016), <i>2016 Internal Audit Plan approved by the Gavi Board, 2& 3 December 2015</i>
Gavi (2010), <i>Annex 4: Risk Matrix - Gavi Alliance Board Meeting, 30 November - 1 December 2010</i>
Gavi (2010), <i>Annex 5 SG2 Time Limited Task Team: Chair's Summary (Board Meeting 30 Nov-1 Dec)</i>
Gavi (2015), <i>[Annex 1 Part 1 overview] Gavi Alliance Strategy and Business Plan 2011-2015</i>
Gavi (2015), <i>A new Gavi engagement framework for implementing the 2016-2020 strategy - June 2015</i>
Gavi (2015), <i>Annex 3 - Gavi Alliance Strategy 2011-15</i>
Gavi (2016), <i>Audit and Investigations Report to the Board 22 – 23 June 2016</i>
Gavi (2015), <i>[Annex 1 Part 1 overview] Gavi Alliance Strategy and Business Plan 2011-2015</i>
Gavi, (2010), <i>Annex 2 Business Plan Part II] Strategic Goals and Cross Cutting Issues</i>
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Gavi (2010), <i>Annex 5 SG2 Time Limited Task Team: Chair's Summary (Board Meeting 30 Nov-1 Dec)</i>
Gavi (2015), <i>Co-financing policy revision</i>
Gavi (2015), <i>Country Programme Strategic Issues (Dec 2015)</i>
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Gavi (2014), <i>Gavi Full Country Evaluation 2014 Annual Dissemination Report</i>
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Gavi, <i>Operational Guideline, "3.6 Grant Closure"</i>
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Gavi (2015), <i>Resource Mobilisation and Private Sector Partnership Update - December 2015</i>
Gavi (2016), <i>Risk Management: Report to the Audit and Finance Committee 4 May 2016</i>
Gavi (2015), <i>Solomon Islands Joint Appraisal</i>
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Gavi (2016), <i>Supply and Procurement Strategy 2016 – 2020 – Appendices to report to the Board, 12 – 13 May 2016</i>
Gavi (2016), <i>Supply and Procurement Strategy 2016 – 2020. Report to the Board 22 – 23 June 2016</i>

Gavi (2016), *The 2016-2020 Investment Opportunity (Executive summary)*

Gavi (2015), *The Gavi Alliance Strategy 2011-15 and Business Plan (Summary)*

Gavi (2016), *The Road to replenishment 2016-2020*

Gavi (undated), the Vaccine Alliance Board Evaluation Advisory Committee (EAC) Assessment of the quality and usefulness of the Norwegian Institute of Public Health's "Evaluation of the Gavi Alliance Co-Financing Policy"

2b) List of documents numbered as source material for Document Review

Document number	Full name of document
1	Gavi (2015), <i>The Gavi Alliance Strategy 2011-15 and Business Plan (Summary)</i>
2	Gavi (2010), <i>Gavi Alliance Business Plan</i>
3	Gavi (2015), <i>[Annex 1 Part 1 overview] Gavi Alliance Strategy and Business Plan 2011-2015</i>
4	Gavi, (2010), <i>Annex 2 Business Plan Part II] Strategic Goals and Cross Cutting Issues</i>
5	Gavi (2015), <i>Annex 3 - Gavi Alliance Strategy 2011-15</i>
6	Gavi (2010), <i>Annex 4: Risk Matrix - Gavi Alliance Board Meeting, 30 November - 1 December 2010</i>
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8	Gavi (2011), <i>Gavi Alliance Monitoring and Evaluation Framework and Strategy</i>
9	Gavi (2014), <i>Every Child Counts: The Vaccine Alliance Progress Report 2014</i>
10	Gavi (2015), <i>Report of the CEO: Report to the Gavi Board 2-3 December 2015</i>
11	Gavi (2016), <i>Gavi Strategy 2016-2020 (summary)</i>
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16	Gavi (2015), <i>Overview of the Gavi Grant Performance Framework - Oct 2015</i>
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28	Gavi (2014), <i>Gavi the Vaccine Alliance 2014 Annual Financial Report</i>
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40	Gavi (2015), <i>Co-financing policy revision</i>
41	Gavi, the Vaccine Alliance Board Evaluation Advisory Committee (EAC) Assessment of the quality and usefulness of the Norwegian Institute of Public Health's "Evaluation of the Gavi Alliance Co-Financing Policy"
42	Gavi (2014), <i>Gavi Full Country Evaluation 2014 Annual Dissemination Report</i>
43	Gavi (2012), <i>Gavi Secretariat Environmental Statement (Oct 2012 - being updated)</i>
44	Gavi, <i>Gavi Independent Review Committee Report, New Proposals</i>
45	Gavi (2014), <i>Gavi Procurement Policy - November 2014</i>
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53	Gavi (2015), <i>A new Gavi engagement framework for implementing the 2016-2020 strategy - June 2015</i>
54	Gavi (2015), <i>Performance Management Process</i>
55	Gavi (2016), <i>The Road to replenishment 2016-2020</i>
56	Gavi (2016), <i>The 2016-2020 Investment Opportunity (Executive summary)</i>
57	Gavi (2015), <i>Gavi Pledging Conference</i>

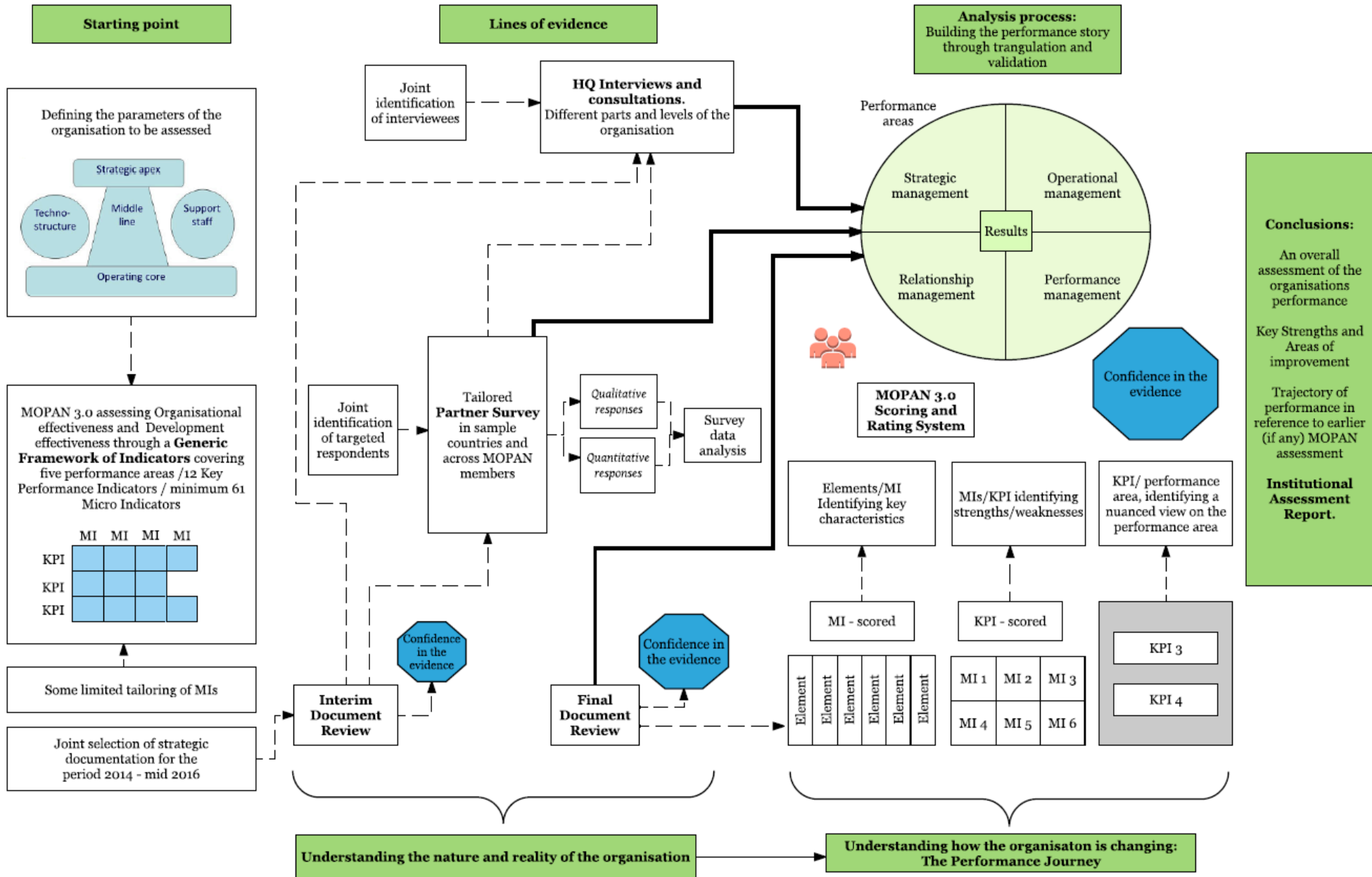
58	<i>Gavi (2016), 2016 Internal Audit Plan approved by the Gavi Board, 2& 3 December 2015</i>
59	<i>Gavi (2013), Gavi Evaluation Advisory Committee Charter As of 11-12 June 2013</i>
60	<i>Gavi (2015), Gavi Alliance Governance Committee Minutes 23rd March 2015</i>
61	<i>Gavi (2014), Results Spreadsheet</i>
62	<i>Gavi, Joint appraisal report Afghanistan</i>
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68	<i>Gavi (2015), Joint Appraisal Mozambique</i>
69	<i>Gavi (2015), Nepal Joint Appraisal</i>
70	<i>Gavi (2015), Joint Appraisal Nigeria</i>
71	<i>Gavi (2015), Solomon Islands Joint Appraisal</i>
72	<i>Gavi (2015), Somalia Joint Appraisal</i>
73	<i>Gavi (2015), Tajikistan Joint Appraisal</i>
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75	<i>Gavi (2016), Risk Management: Report to the Audit and Finance Committee 4 May 2016</i>
76	<i>Gavi (2015), Gavi Risk Policy approved by the Board 11th December 2014, effective 1 January 2015</i>
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78	<i>Gavi (2016), Health system and immunisation strengthening support. Report to the Board 22 – 23 June 2016</i>
79	<i>Gavi (2016), Partners Engagement Framework and Alliance Accountability Framework. Report to the Board 22 – 23 June 2016</i>
80	<i>Gavi (2016), Supply and Procurement Strategy 2016 – 2020. Report to the Board 22 – 23 June 2016</i>
81	<i>Gavi (2015), Engagement Framework and Budget for Partners and Secretariat 2016-2017. Report to the Board 2-3 December 2015</i>
82	<i>Gavi (2014), Gavi Alliance Gender Policy (effective from 1 January 2014)</i>
83	<i>Gavi (2015), Gavi Annual Report on implementation of the Gender Policy 2015</i>
84	<i>Gavi, Gavi Secretariat environmental statement</i>
85	<i>Gavi (2016), Meta-review of Country Evaluations of Gavi's Health System Strengthening Support. Cambridge Economic Policy Associates Ltd. 18 March 2016</i>
86	<i>Gavi (2016), Supply and Procurement Strategy 2016 – 2020 – Appendices to report to the Board, 12 – 13 May</i>

	<i>2016</i>
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88	Gavi (2016), <i>Gavi, the Vaccine Alliance Statement on Environmental Sustainability (updated 22 April 2016)</i>
89	Gavi (2016), <i>Report of the Chief Executive officer to the Gavi Board, 22 – 23 June 2016</i>
90	Gavi, <i>Gavi Full Country Evaluations Cross-Country Findings</i>

Additional Documents referred to:

Full name of document
GFATM (2014), <i>Response following to the OIG audit of the TERG</i>
GFATM (2014), <i>Technical Evaluation Reference Group (TERG): Management Response to OIG Review of TERG,</i>
GFATM (2016), <i>Revised terms of reference for the TERG</i>
GFATM (2016), <i>TERG Position Paper: TERG Self- and Peer-Assessment</i>
GFATM (2014), <i>TERG Position Paper: Developing indicators for the human rights activities of the Global Fund and challenges in implementing human rights intervention</i>
GFATM (2015), <i>TERG Position Paper: Health System Strengthening</i>
GFATM (2015), <i>TERG Position Paper: Sustainability</i>
GFATM (2015), <i>TERG Position Paper: Differentiation</i>

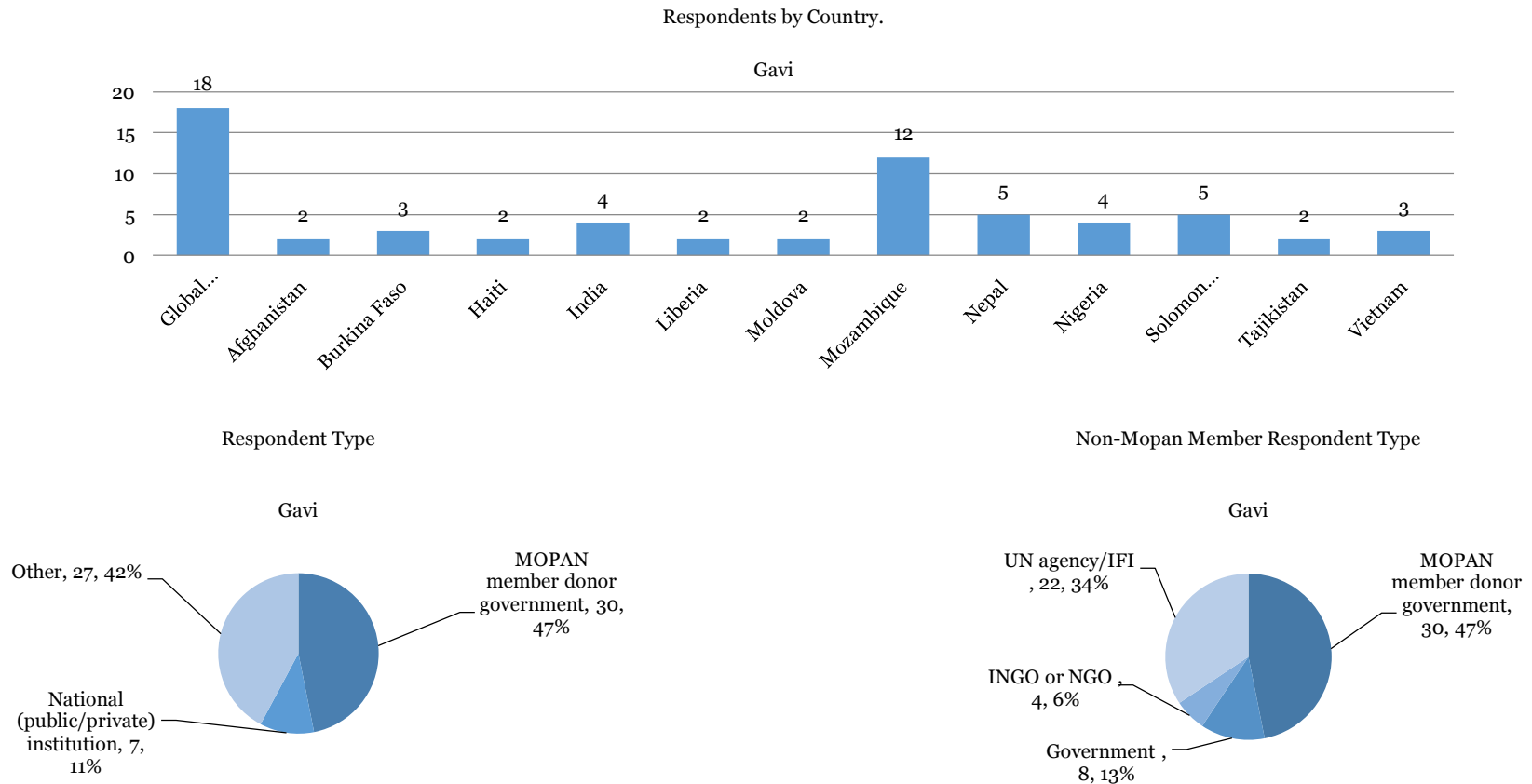
Annex 3: Process map of the MOPAN 3.0 assessment of Gavi



Annex 4: Results of the MOPAN survey of Gavi Partners

An Evidence Stream for the MOPAN 3.0 assessment of Gavi, 2016

Total number of responses for the Gavi Survey: 64

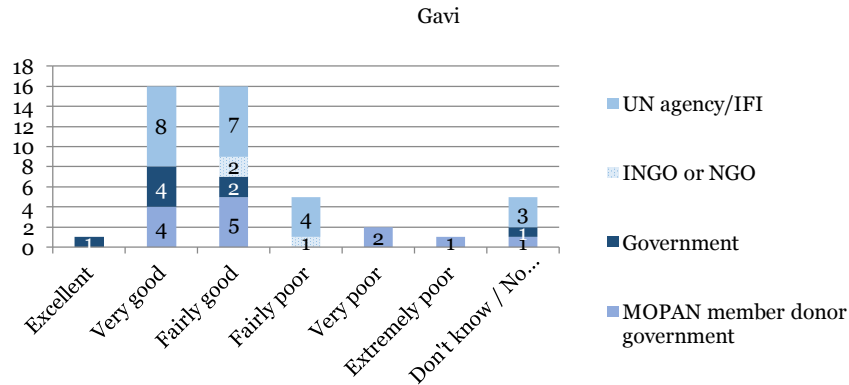


Respondents who identified their geographical focus as "global" were not asked the questions which were only relevant to respondents with a specific country focus. This will be highlighted for the individual questions below.

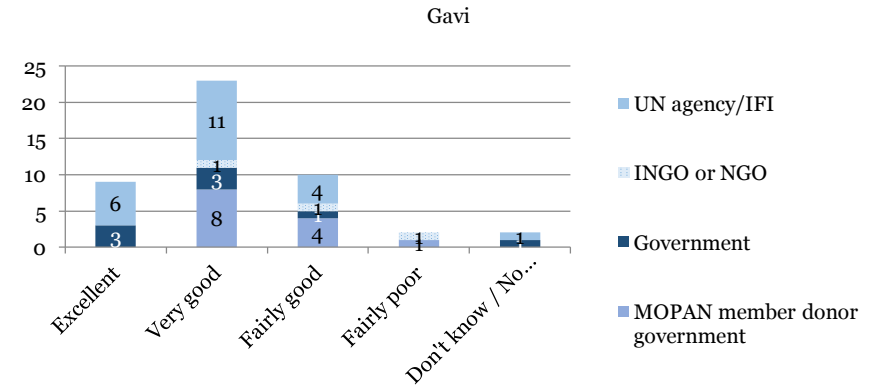
Staffing

How well do you think Gavi performs in the areas below?

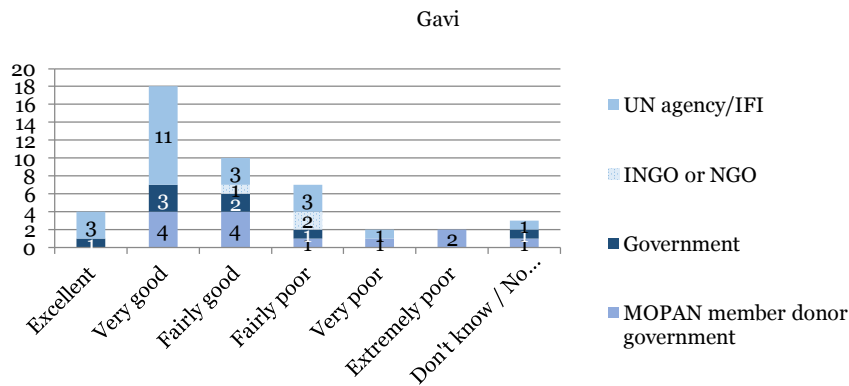
It has sufficient staffing in the Secretariat to deliver the results it intends through a partnership approach in the country.



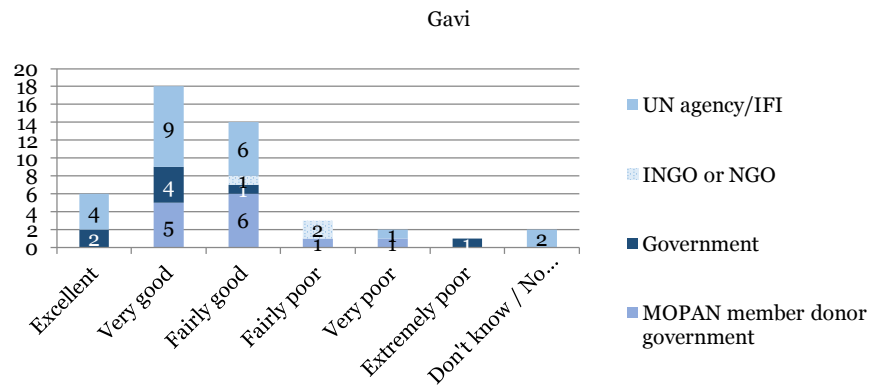
Its secretariat staff is sufficiently senior/experienced to work successfully through partnerships in the country.



It has sufficient continuity of Secretariat staff to build the relationships needed to work effectively.



Its Secretariat staff can make the critical strategic or programming decisions that relate to the country.

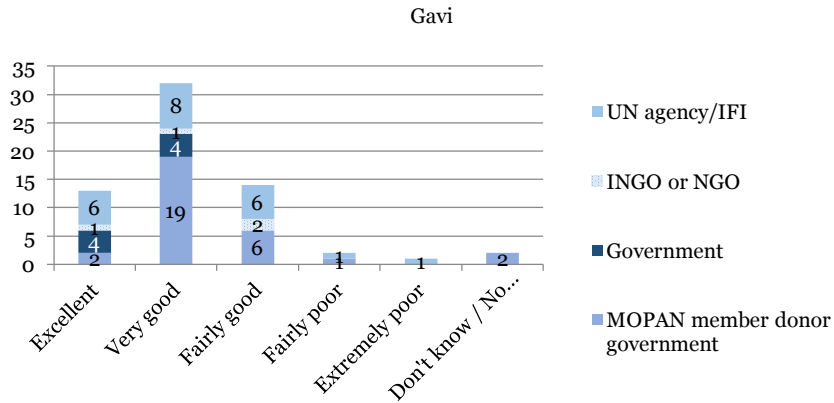


Respondents who identified their geographical focus as "global" were not asked to answer these questions since it is only relevant to respondents with a specific country focus.

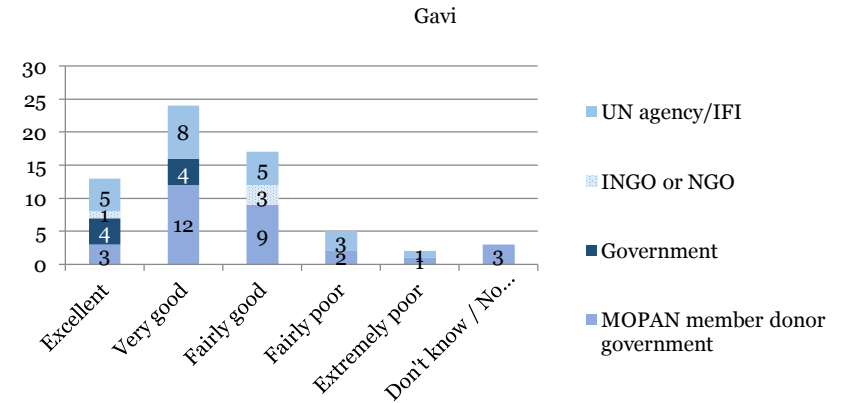
Managing Financial Resources

How well do you think it performs in relation to the statements below?

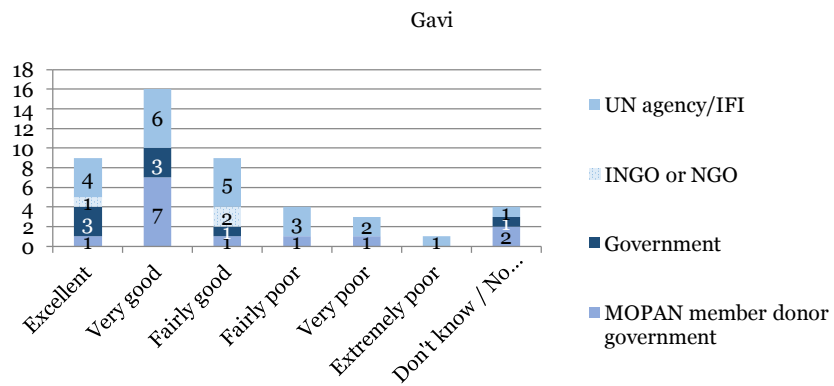
It communicates openly the criteria for allocating financial resources (transparency).



It provides reliable information on how much and when financial allocations and disbursement will happen (predictability).



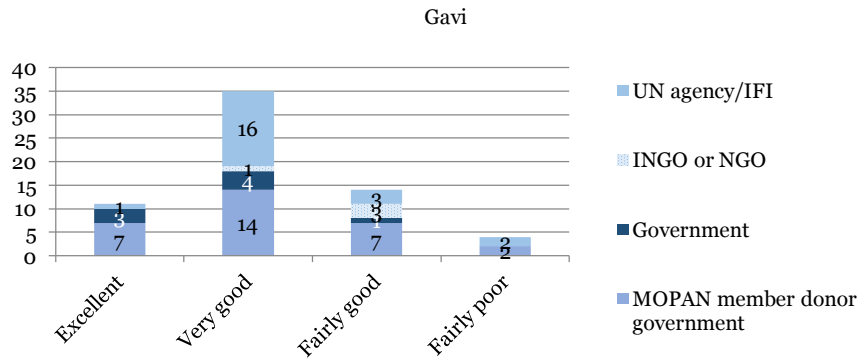
It co-operates with development or humanitarian partners to make sure that financial co-operation in the country are coherent and not fragmented.



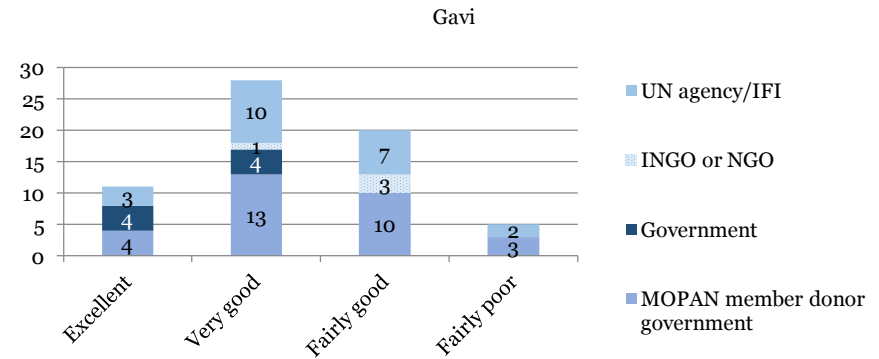
Interventions (Programmes, projects, normative work)

How well do you think Gavi performs in relation to the areas below?

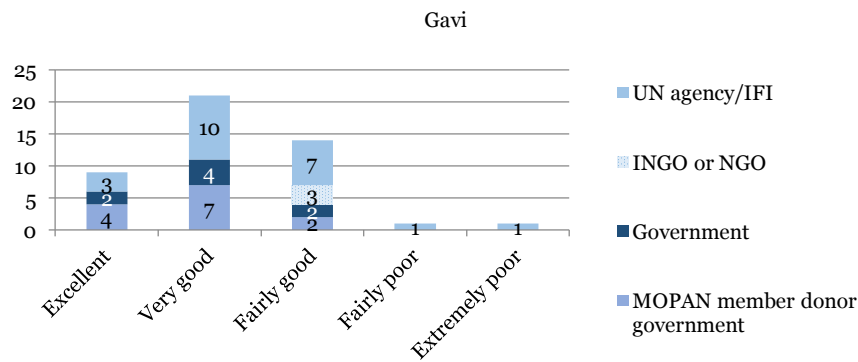
Its interventions are designed and implemented to fit with national programmes and intended results.



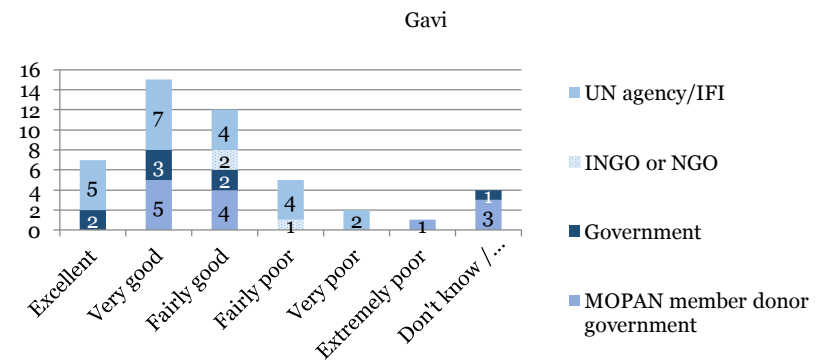
Its interventions are tailored to the specific situations and needs of the local context.



Its interventions are based on a clear understanding of why it is best placed (comparative advantage) to work in the sectoral and/or thematic areas it targets in the country

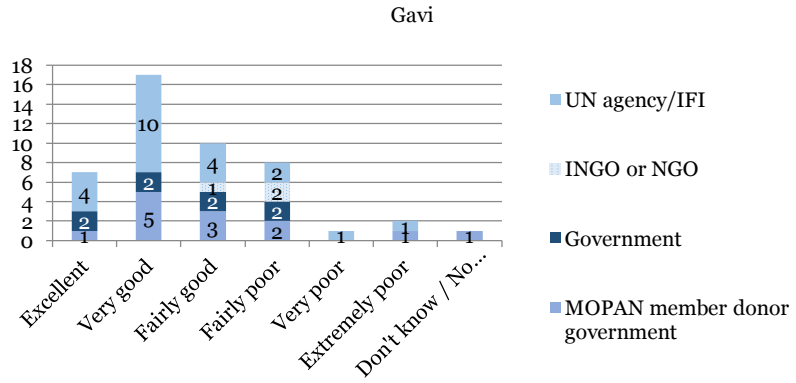


It adapts or amends interventions swiftly as the context in the country changes

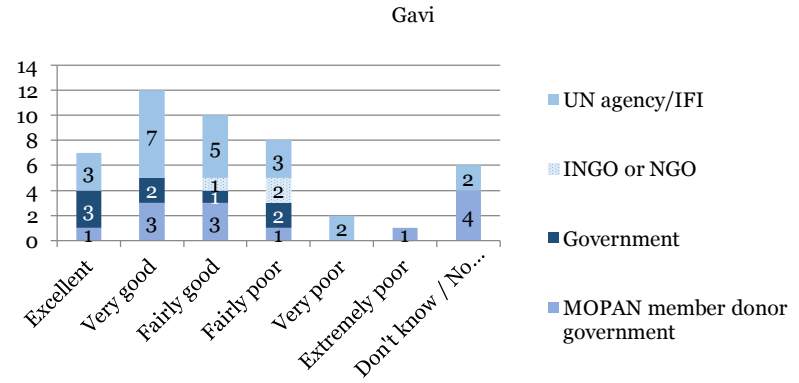


Respondents who identified their geographical focus as "global" were not asked to answer the two lower questions since it is only relevant to respondents with a specific country focus.

Its interventions in the country are based on realistic assessments of national / regional capacities, including government, civil society and other actors.



Its interventions appropriately manage risk within the context of the country.

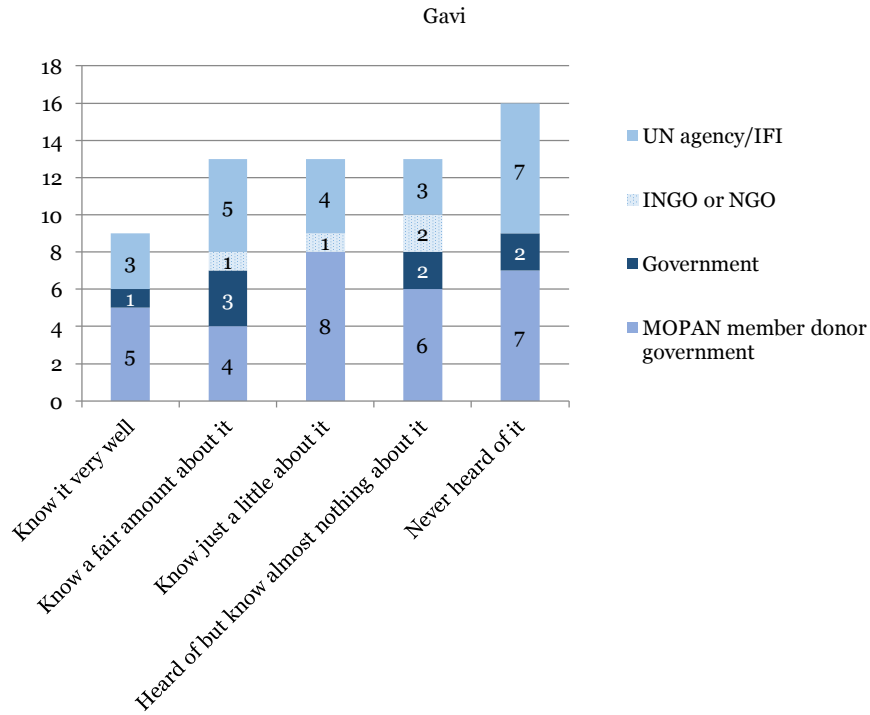


Respondents who identified their geographical focus as "global" were not asked to answer these questions since it is only relevant to respondents with a specific country focus.

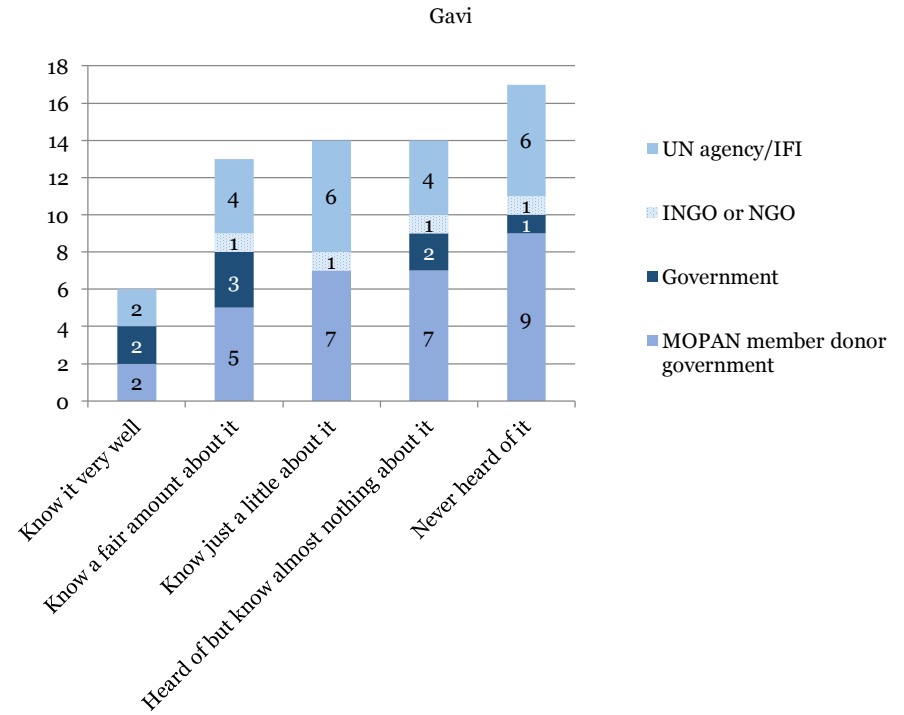
Interventions (Cross cutting issues) Part 1

How familiar are you with each of the following?

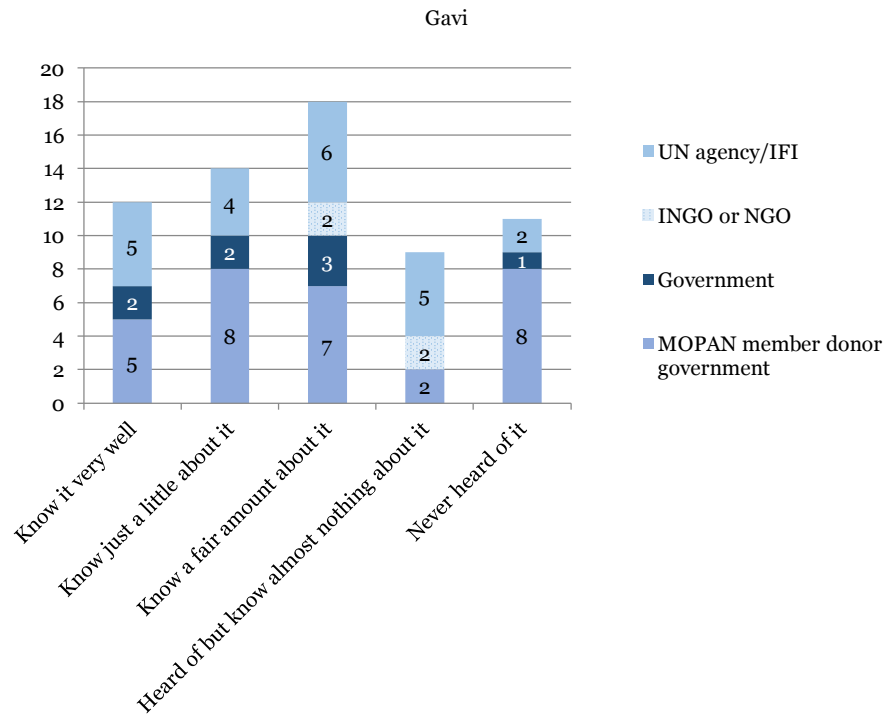
The Gavi Alliance Gender Policy



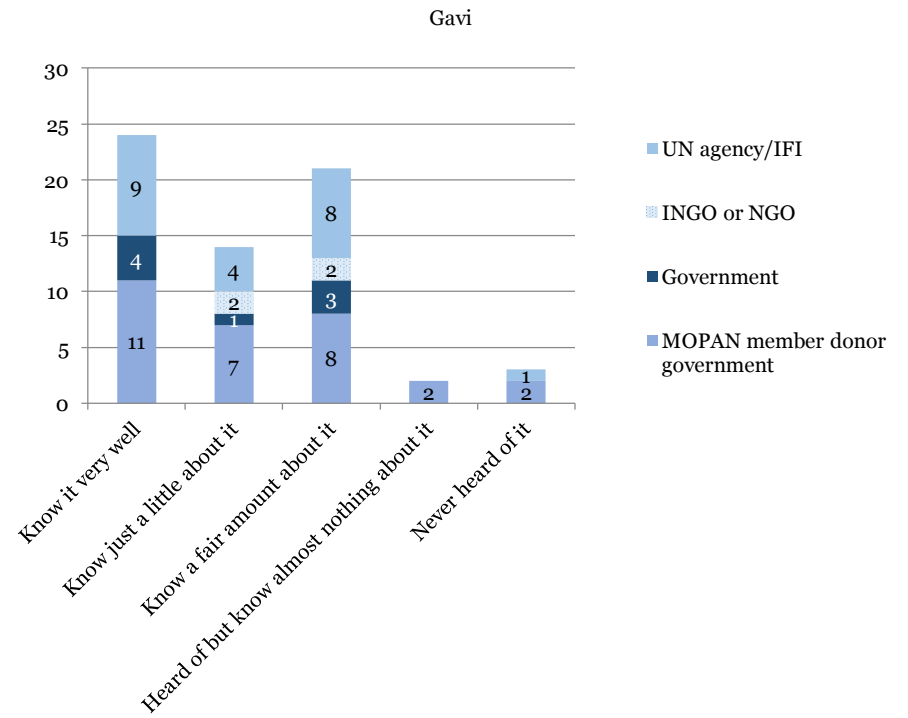
The Gavi Alliance approach to environmental sustainability e.g. within procurement.



The Gavi Alliance approach to the promotion of good governance (specifically reduced inequality, inclusive societies and building effective, accountable and inclusive institutions at all levels).



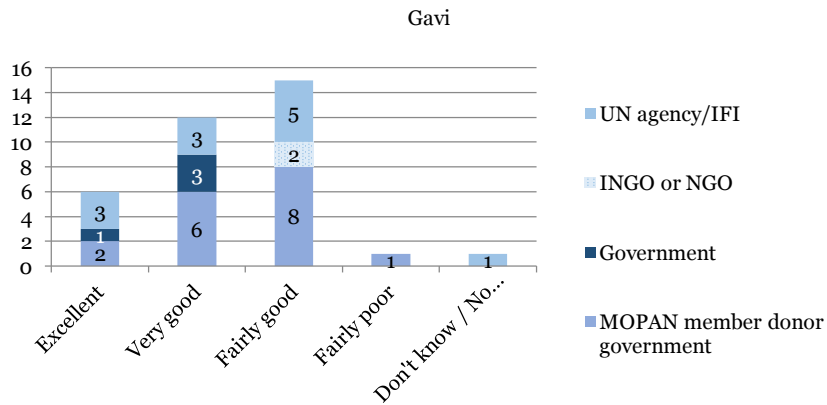
The Gavi Alliance approach to advocacy for the strengthening of global political commitment for immunisation, health and development.



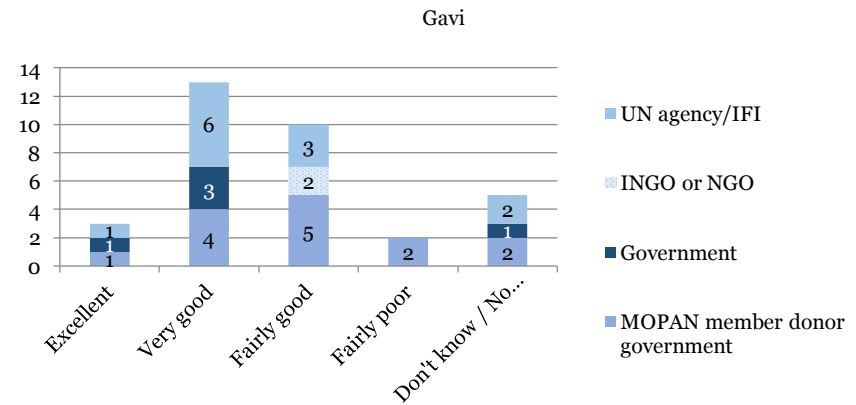
Interventions (Cross cutting issues) Part 2

How well do you think Gavi performs in relation to the priorities/areas stated below?

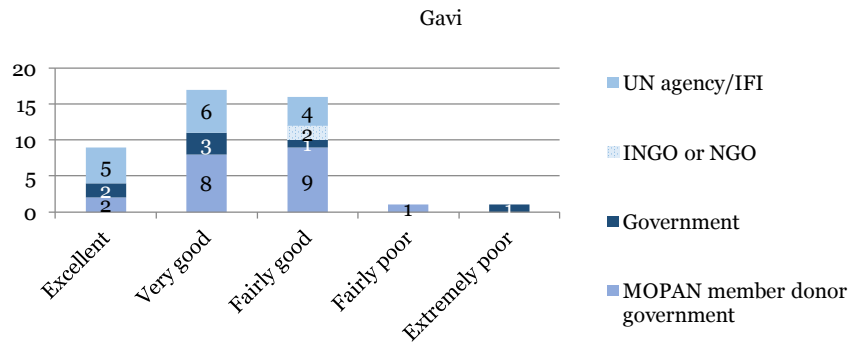
It promotes gender equality, in all areas of its work.



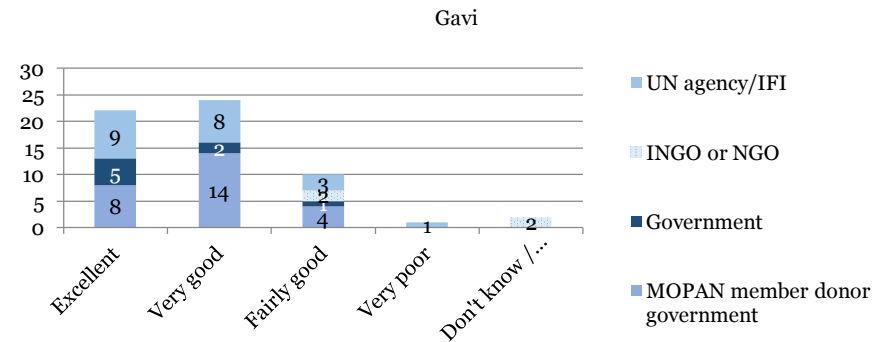
It promotes environmental sustainability in all relevant areas of its work.



It promotes the principles of good governance in all relevant areas of its work.



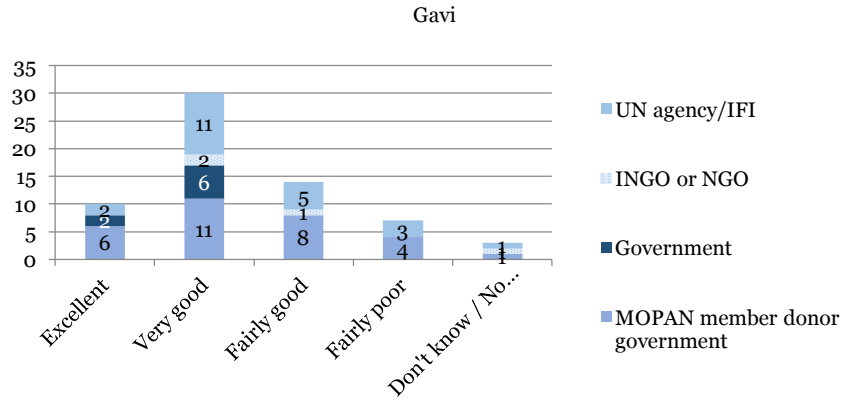
It advocates through the Alliance Model for the strengthening of the global political commitment for immunisation, health and development.



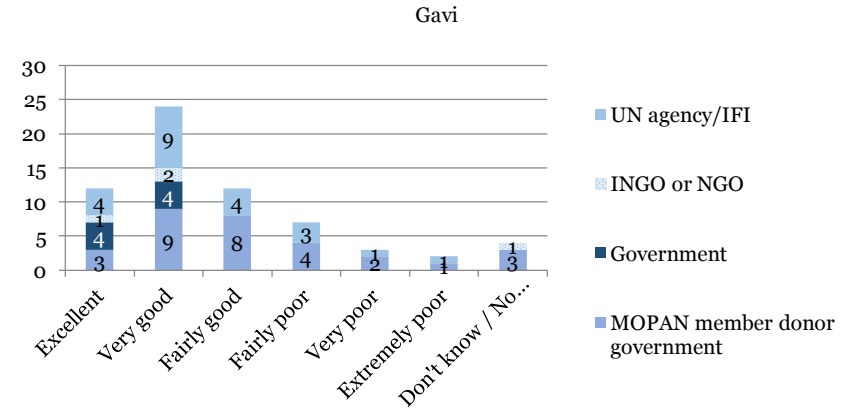
Managing relationships

How well do you think Gavi performs in relation to each of these areas?

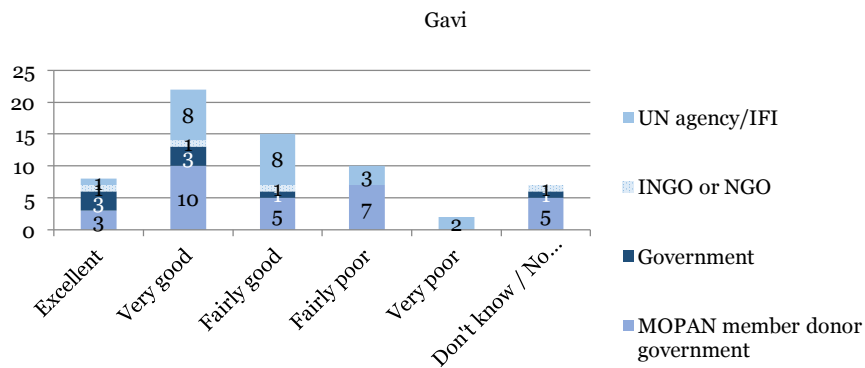
It prioritises working in synergy/ partnerships as part of its business practice.



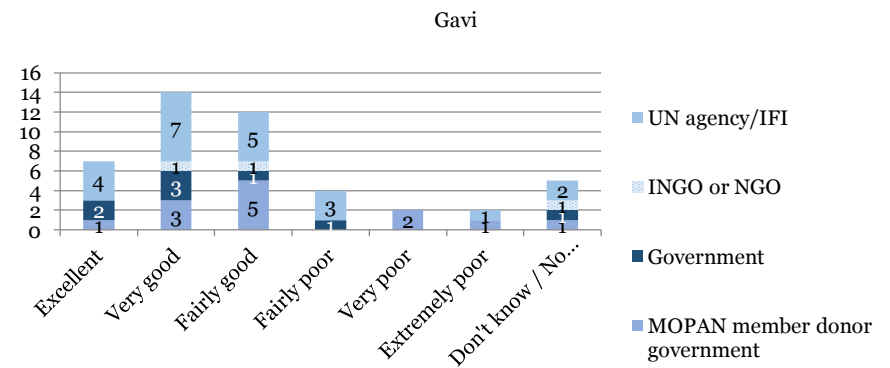
It shares key information (analysis, budgeting, management, results) with partners on an ongoing basis.



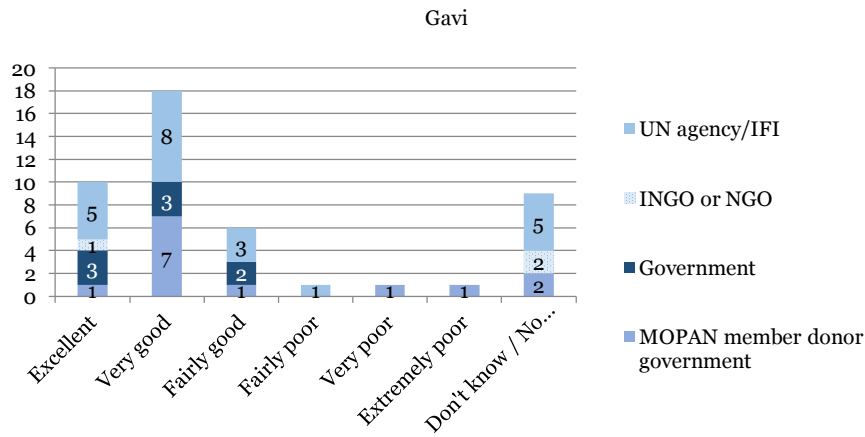
It ensures that its bureaucratic procedures (planning, programming, administrative, monitoring and reporting) are synergised with those of its partners (for example, donors, and UN agencies).



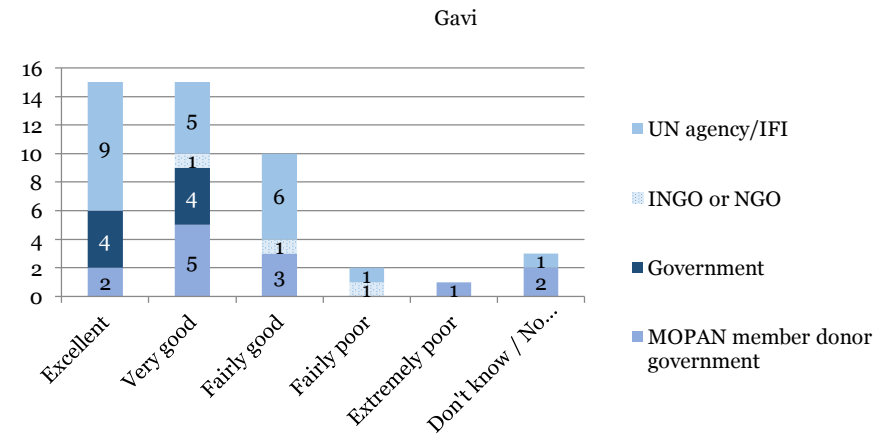
It provides high-quality inputs to policy dialogue in the country.



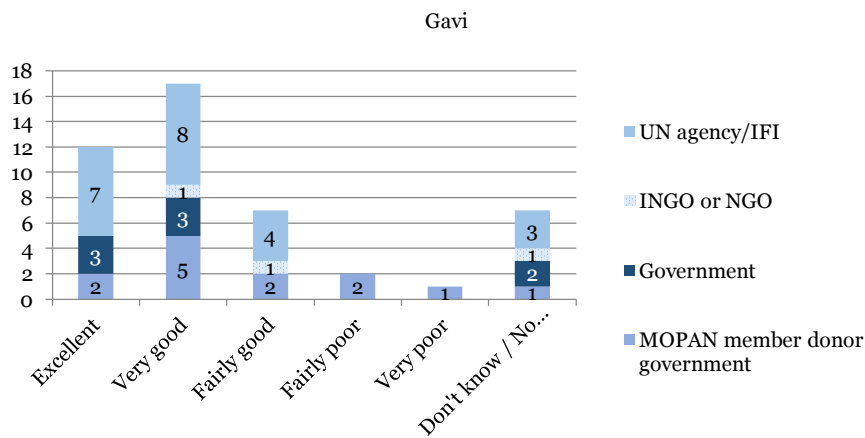
Its views are well respected in policy dialogue forums in the country.



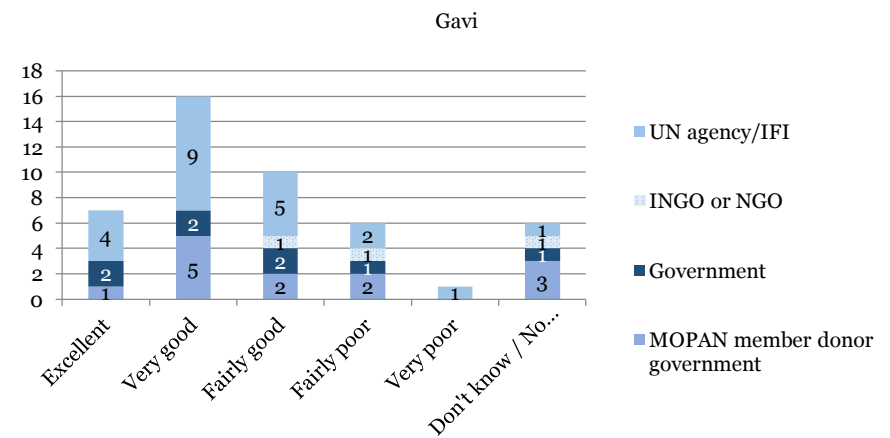
It conducts mutual assessments of progress in the country with national/regional partners.



It channels – through its partners - financial resources through country systems (both financial and non-financial) in the country as the default option.



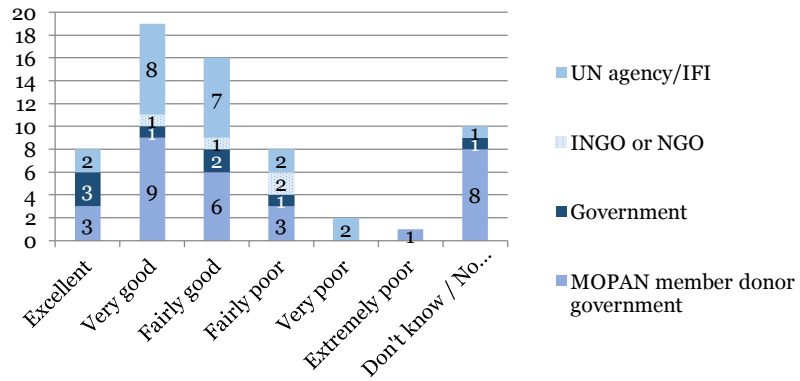
It takes action to build capacity in country systems in the country where it has judged that country systems are not yet up to a required standard.



Respondents who identified their geographical focus as "global" were not asked to answer the questions above since it is only relevant to respondents with a specific country focus.

Its bureaucratic procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) do not cause delays in implementation for national or other partners.

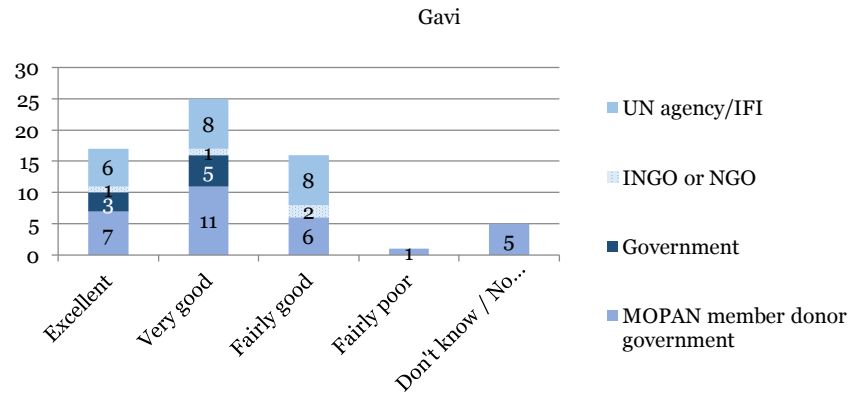
Gavi



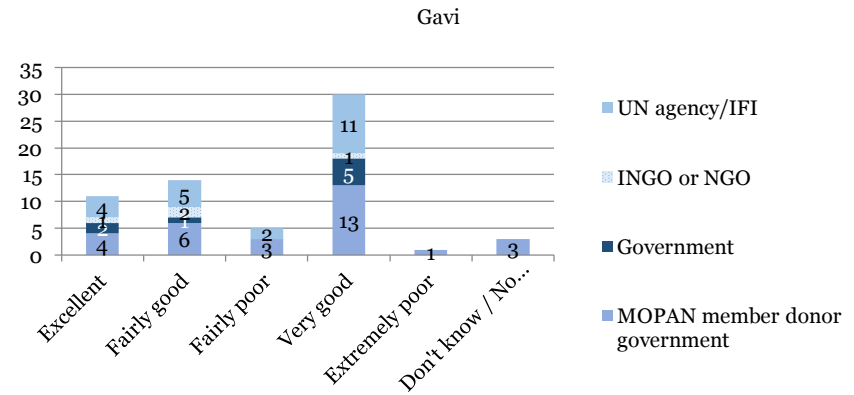
Performance management, part 1

How well do you think Gavi performs in relation to the areas below?

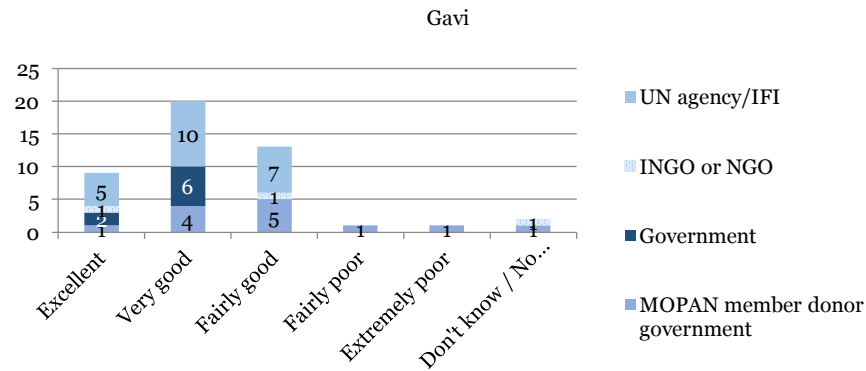
It prioritises a results-based approach – for example when engaging in policy dialogue, or planning and implementing interventions.



It insists on the use of robust performance data when designing or implementing interventions.



It insists on basing its guiding policy and strategy decisions in relation to its work in the country on the use of robust performance data.



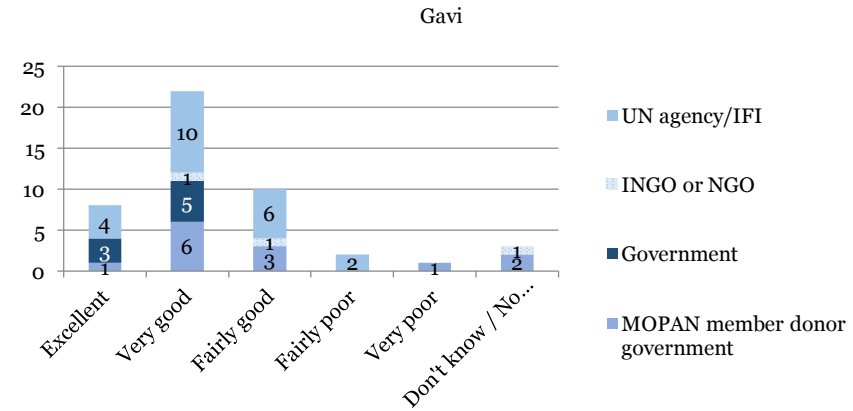
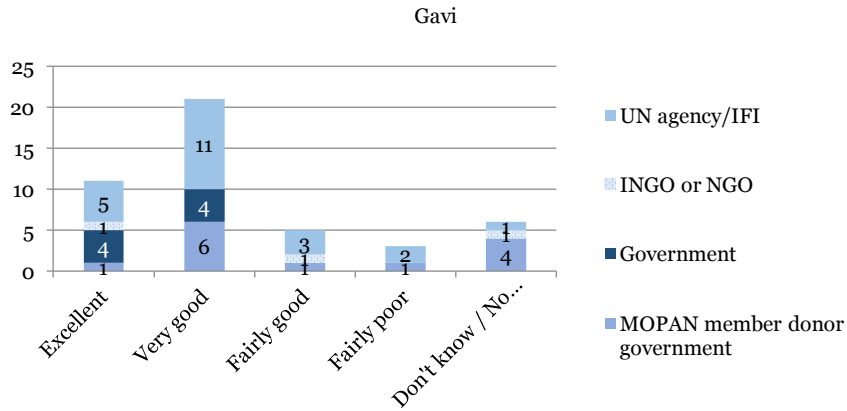
Respondents who identified their geographical focus as "global" were not asked to answer the lower left sided question since it is only relevant to respondents with a specific country focus.

Performance management, part 2

How well do you think Gavi performs in relation to the areas below?

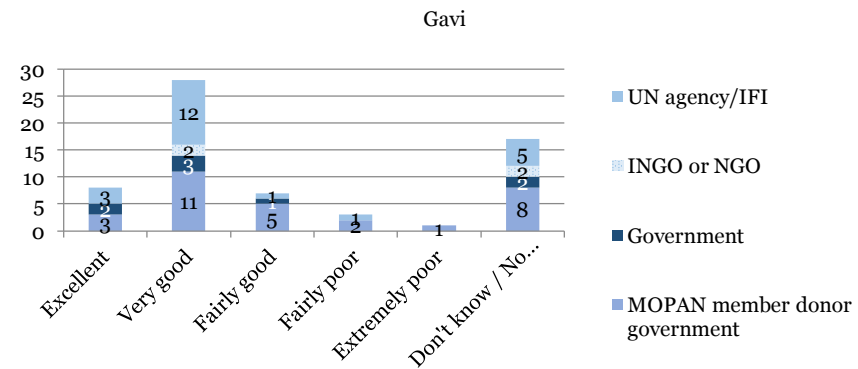
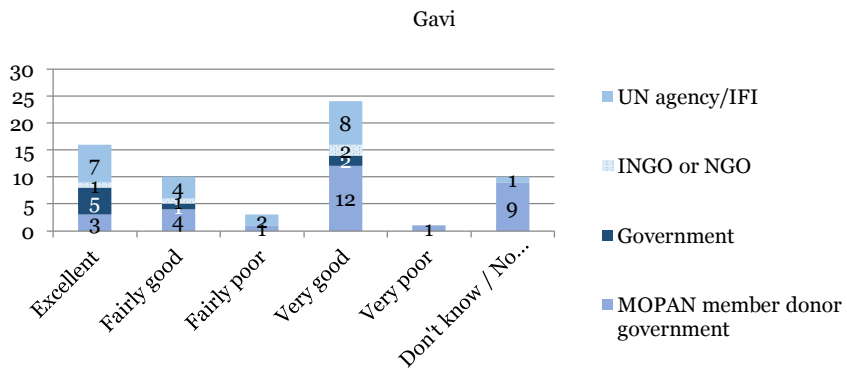
It has a clear statement on which of the interventions it has funded in the country must be evaluated (e.g. a financial threshold).

Where interventions in the country are required to be evaluated, it follows through to ensure evaluations are carried out.

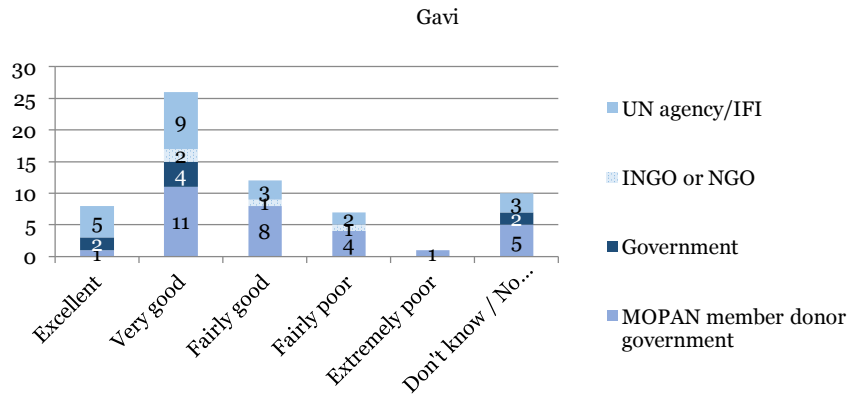


It participates in joint evaluations at the country/regional level.

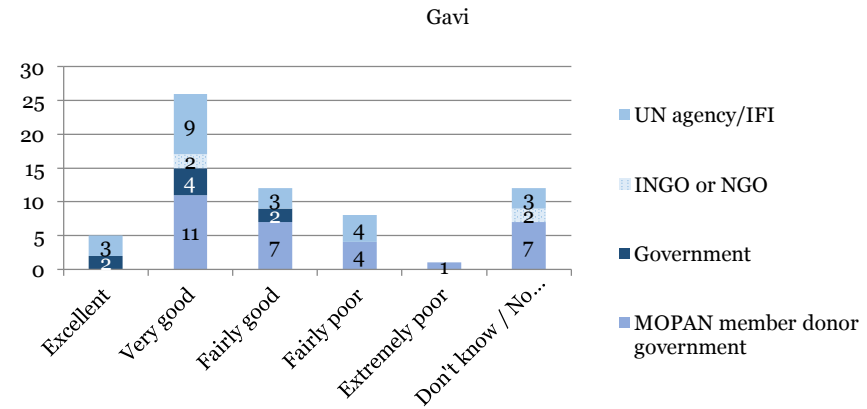
All new intervention designs of Gavi include a statement of the evidence base (what has been learned from past interventions).



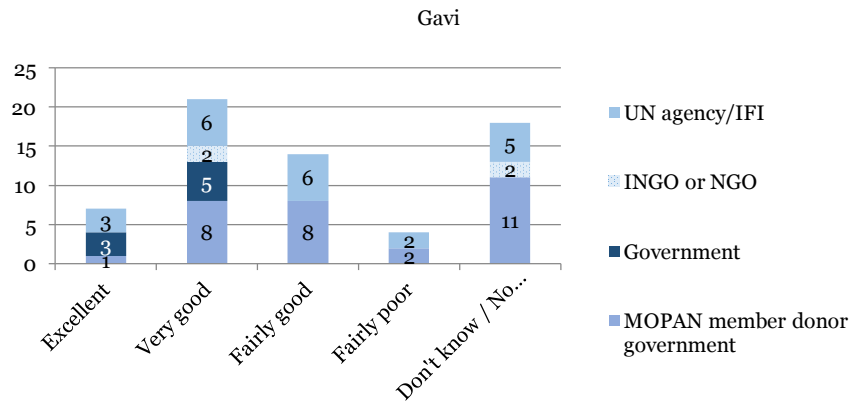
It consistently identifies which interventions are under-performing.



It addresses any areas of intervention under-performance, for example, through technical support or changing funding patterns if appropriate.



It follows up any evaluation recommendations systematically.



It learns lessons from previous experience, rather than repeating the same mistakes.

