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## DOCUMENT ADMINISTRATION

| VERSION NUMBER | APPROVAL PROCESS                                | DATE                                      |
|----------------|---|---|
| 1.0            | Approved by: Joint GAVI Alliance & Fund Board   | 26 June 2008                              |
|                |   | Effective from: 27 June 2008              |
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|                |   |   |
| 2.0            | Reviewed by: GAVI Evaluation Advisory Committee | January 2012                              |
|                | Approved by: GAVI Alliance Board                | 12 June 2012                              |
|                |   | Effective from: 1 July 2012               |
|                |   | Review: In 2014 or as and when required   |
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## Evaluation Policy

### 1. Goal and scope of the policy

- 1.1. The overall objectives of GAVI's evaluation activities are to generate evidence and promote learning to support improvements in the performance of GAVI's programmes and policies. Evaluation is a process that extends beyond the production of reports; it provides a basis for accountability and the achievement of improved outcomes.

### 2. Scope

- 2.1. GAVI's evaluation activities aim to contribute to:

- Operational knowledge;
- Strategic decision-making;
- Information for the public good; and
- Related normative practices.

### 3. Principles

- 3.1. **Independence and impartiality:** To ensure credibility of GAVI evaluation activities, independence and impartiality will be assured and potential conflicts of interest will be managed in the most appropriate means possible.
- 3.2. **Stakeholder participation:** GAVI's evaluation activities will take into account the points of views of varied stakeholders in order to ensure credibility and appropriate ownership of the evaluation process and findings and their subsequent utilisation.
- 3.3. **Confidentiality and sensitivity:** GAVI's evaluation activities should show sensitivity to the beliefs and customs of local communities. Confidentiality should be maintained where appropriate, and respondents should have the opportunity to verify statements attributed to them.
- 3.4. **Equity:** GAVI's evaluation activities will address equity, including gender and other dimensions of interest, and ensure appropriate gender and geographic representation in the conduct of evaluation activities.
- 3.5. **Commitment to aid effectiveness principles:** GAVI's evaluation activities should take into consideration GAVI's commitment to the Paris Declaration and other aid effectiveness norms.
- 3.6. **Shared accountability and responsibility:** GAVI is one of many sources of support to countries. The results of GAVI are the joint product of global, regional and country level activities and investments. This means that it is, in most cases, not possible to attribute outcomes and impact to GAVI interventions alone. Assessing results will build on a shared model of accountability – including an assessment of GAVI's contribution to outcomes and end results.
- 3.7. **Integration of monitoring and evaluation functions:** The evaluation function is integrated with the monitoring function within GAVI and both are well linked to the planning, policy and performance assessment functions. This helps provide a coherent and coordinated organisational structure, and ensure that findings from monitoring and

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evaluation activities are used appropriately and in a timely manner to help inform management decision-making and the design of programmes and policies.

- 3.8. **Linkage of evidence to policy in a timely manner:** Where possible, evaluation activities are designed to provide timely feedback to countries and the GAVI Alliance, to inform management decisions and improve policies and programmes. It is essential that evaluation activities produce real-time data wherever possible to maximise their usefulness.
- 3.9. **Encouraging consortiums with developing countries:** When selecting evaluators, GAVI encourages and gives precedence to consortiums involving or led by institutions from developing countries, as appropriate and consistent with GAVI's procurement policy.
- 3.10. **Commitment to international evaluation norms:** GAVI's evaluation and procurement processes should be conducted in line with the international norms of independence, quality, impartiality, transparency, utility and timeliness (see Annex 1).

#### 4. Definitions and procedures

- 4.1. See Annex 1.

#### 5. Evaluation criteria

- 5.1. The criteria around which evaluation studies are structured depend on the specific learning needs in relation to each evaluation. Where appropriate, the GAVI Alliance makes reference to the OECD/DAC evaluation criteria of relevance, efficiency, effectiveness, impact, and sustainability. Alternative criteria are used where appropriate. These may include but are not limited to: policy coherence, quality standards, social return on investment, value for money, transferability/scalability, equity, impact on poverty and financial viability.

#### 6. Types of evaluation:<sup>1</sup>

- 6.1. Programme evaluations (or 'thematic evaluations'): The aim of programme evaluations is to assess a specific programme's contribution to GAVI's strategic goals and objectives. The Civil Society Organisation and non country-specific grants (investment cases, Advance Market Commitment) are examples of specific GAVI-supported programmes that are subject to evaluation.
- 6.2. Strategy and policy evaluations: GAVI will conduct systematic reviews of GAVI strategies and policies (e.g., the co-financing policy) to assess their effectiveness and the extent to which they reflect GAVI's principles.
- 6.3. Partnership evaluations: GAVI will regularly evaluate itself as a global health partnership: its additionality, the engagement, effectiveness and participation of partners at global and country levels, coordination, and commitment to the principles of aid effectiveness.
- 6.4. Full country evaluations: GAVI will conduct comprehensive public health effectiveness evaluations in select countries to generate information and learning regarding the relevance, effectiveness, impact and efficiency of GAVI support to countries and the sustainability of country programmes receiving such support. These evaluations will be conducted on a prospective basis and serve as a platform to support the conduct of

<sup>1</sup> This list is intended to be illustrative rather than exclusive. Other types of evaluations may be conducted as deemed appropriate.

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additional monitoring and evaluation activities and targeted studies in real time, as learning needs are identified.

- 6.5. End of support evaluations: GAVI will conduct evaluations in countries where GAVI support has ended in order to generate learning in relation to the design, impact and sustainability of GAVI support to countries.
- 6.6. Meta-review: GAVI will conduct meta-review of previous evaluations and reviews in order to identify common findings and to learn across programmes, projects and regions.

**7. Effective date and review of policy**

- 7.1. This revised policy comes into effect as of 1 July 2012.
- 7.2. This revised policy will be reviewed in 2014 or as and when required. Any amendments to this policy are subject to GAVI Alliance Board approval.

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## Annex 1

### Key definitions and normative standards

The following definitions draw upon OECD DAC Glossary and the IHP+ common evaluation framework.

- **Accountability:** An agency's, organisation's or individual's obligation to demonstrate and take responsibility for performance in light of agreed expectations.
- **Attribution:** The causal link to changes in development results flowing from an intervention.
- **Audit:** An independent, objective activity designed to assess and improve an organisation's operations (risk management and control processes; integrity of financial and operational information; effectiveness and efficiency of operations; safeguarding of assets; compliance with regulations, rules, policies and procedures).
- **Contribution:** The changes in development results that can be credibly linked to an intervention. Contribution implies a logical cause-and-effect relationship that points to the meaningful input of an intervention to the development result(s).
- **Effectiveness:** Measures the extent to which a programme/policy/partnership is achieving its objectives and performing well. Positive, negative, and unintended results should also be reported.
- **Efficiency:** Measures to what extent a policy/programme/partnership is using its resources cost-effectively to achieve its objectives. Generally requires comparing alternative approaches to achieving the same outputs/outcomes, to see whether the most efficient process has been adopted.
- **Evaluation:** The rigorous and systematic collection and use of information on programme activities, characteristics, outcomes and impact to determine the value of a specific programme or intervention.
- **Impact:** The assessment of the positive or negative, primary or secondary long term effects, intended or unintended, of a programme, project or policy and the extent to which these outcomes can be attributed to the intervention. Where appropriate, an impact evaluation compares the outcomes of the intervention during the period being evaluated with an explicit counterfactual — the hypothetical situation that would have prevailed in the absence of the intervention.
- **Monitoring:** The routine tracking and reporting of priority information on a programme and its intended outputs and outcomes.
- **Outcomes:** Actual or intended changes in development conditions that an intervention(s) seeks to support. The contribution of several partners is usually required to achieve an outcome.
- **Outputs:** Tangible product (including services) of an intervention that is directly attributable to the initiative. Outputs relate to the completion (rather than the conduct) of activities and are the type of results over which managers have most influence.
- **Relevance:** The extent to which the objectives and design of the programme are suited to the priorities, policies, guidelines, goals or objectives of countries and the GAVI Alliance.

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The following normative standards will apply to all GAVI evaluations:

- **Independence** implies freedom from political influence and organisational pressure. It is characterised by full access to information and by full autonomy in carrying out investigations and reporting findings.<sup>2</sup>
- **Impartiality** is ensured by minimising bias and optimising objectivity. This implies that those involved in the processes (selection of the evaluation studies, definition of the scope and methodology) have no undeclared conflict of interest. Individuals involved in the preparation or implementation of the activities to be evaluated cannot be the evaluators of these activities.
- **Transparency** must be ensured during all steps of the evaluation process. Transparency is important for credibility and confidence in the findings and recommendations. Findings from evaluations will be widely shared, with a commitment to full and active disclosure. The assessment of the quality and usefulness of evaluation reports by the Board's Evaluation Advisory Committee will be posted publicly on the GAVI Alliance website, along with evaluation reports and the GAVI Alliance's management response.
- **Utility and timeliness:** Evaluations must be designed and delivered to maximise their utility in generating learning and informing decision-making. Evaluation questions must be relevant and important, study designs and methods need to be suitable to the questions, and the delivery and dissemination of reports must be timely.
- **Quality:** All evaluations must meet acceptable quality standards in relation to internationally recognised practices and standards.

<sup>2</sup> (OECD 2002.Glossary of key terms in evaluation and results based management. Paris: OECD Publications.P.25)