

# Technical guidance note for Global Fund HIV proposals in Round 11



UNAIDS | World Health Organization | August 2011

## Monitoring and evaluation

### Rationale for including the development of a monitoring and evaluation system in the proposal

With the global momentum to scale up the response to the three main infectious diseases, HIV/AIDS, tuberculosis (TB) and malaria, public health practitioners need to provide various levels of accountability for their activities to several constituencies. It is becoming increasingly important for countries to be able to report accurate, timely and comparable data to national authorities and donors to monitor progress towards achieving objectives and targets (such as the Millennium Development Goals) and to secure continued funding for expanding health programmes.

A functional monitoring and evaluation system is one of the cornerstones of a country's response to a disease and ensures that:

1. relevant, timely and accurate data are made available to national programme leaders and managers at each level of programme (community, local and regional, national and global) and as part of health system strengthening;
2. selected quality core data are reported to national leaders; and
3. the national programme is able to meet donor and international reporting requirements under a unified global effort.

### Information to be considered in the situation analysis

1. State of the disease burdens ("knowing your response"), the characteristics of various epidemics ("knowing your epidemic") overall and subepidemics, national health system and resources available for monitoring and evaluation
2. Description of the national monitoring and evaluation systems for communicable disease control programmes as well as for reproductive health, child and adolescent health and other health-related programmes; or disease-specific monitoring and evaluation systems (in particular but not only TB)
3. A national monitoring and evaluation framework, including the monitoring and evaluation capacity-building plan and costed work plan
4. The results of an monitoring and evaluation assessment of the key 12 components of an monitoring and evaluation system
5. Data quality assessment reports

## Suggested activities and indicators (performance results) for strengthening the 12 components of a monitoring and evaluation system

Component	Activities	Performance results
<b>Organizational structures with monitoring and evaluation functions</b>	<p>Define for each organization its specific authority and responsibility with respect to monitoring and evaluation and the processes for shared decision-making among organizations</p> <p>Establish a national monitoring and evaluation technical working group. Define its scope of work, membership criteria and procedures for meeting, making decisions and communicating its decisions</p> <p>Develop and implement a national strategy for developing human capacity to support data collection, management, analysis and use</p> <p>Assess and track the overall performance of the monitoring and evaluation system regularly</p>	<p>Job descriptions for monitoring and evaluation staff; adequate number of skilled monitoring and evaluation staff</p> <p>Well-defined organizational structure, including a national monitoring and evaluation unit; monitoring and evaluation units or monitoring and evaluation focal points in public, private and civil society organizations; and written mandates for planning</p> <p>Routine mechanisms for monitoring and evaluation planning and management, for stakeholder coordination and consensus building and for monitoring the performance of the monitoring and evaluation system</p>
<b>Human capacity for monitoring and evaluation</b>	<p>Define a national strategy for developing human capacity for monitoring and evaluation that projects human resources needs and focuses on preservice and in-service training, professional development and professional standards</p> <p>Coordinate monitoring and evaluation training, technical assistance and training and technical assistance providers</p>	<p>Defined skill set for individuals and organizations at the national, subnational and service delivery levels</p> <p>Workforce development plan, including career paths for monitoring and evaluation</p> <p>Costed human capacity-building plan</p> <p>Supervision, in-service training and mentoring</p>
<b>Partnerships to plan, coordinate and manage the monitoring and evaluation system</b>	<p>Compile an inventory of organizations involved in monitoring and evaluation</p> <p>Establish a mechanism for coordination and communication among the organizations involved in monitoring and evaluation</p> <p>Set up management mechanisms that will allow the national monitoring and evaluation technical working group to effectively support the stakeholders</p>	<p>National monitoring and evaluation technical working group</p> <p>Mechanism to coordinate all stakeholders</p> <p>Local leadership and capacity for stakeholder coordination</p> <p>Routine communication channel to facilitate the exchange of information among stakeholders</p>
<b>National multisectoral monitoring and evaluation plan</b>	<p>Institutionalize coordinated monitoring and evaluation planning procedures for key monitoring and evaluation stakeholders, including periodic monitoring and evaluation assessments and performance monitoring linked to the national AIDS strategic plan</p> <p>Dedicate staff time and resources to align the national monitoring and evaluation plan with the monitoring and evaluation of the country's broader development plans</p> <p>Organize a training programme to roll out the implementation of the national monitoring and evaluation plan</p>	<p>The national disease-specific monitoring and evaluation plan is explicitly linked to the national strategic plan and describes the implementation of all 12 components of a national disease-specific monitoring and evaluation system</p> <p>The national disease-specific monitoring and evaluation plan adheres to international and national technical standards for disease-specific monitoring and evaluation</p> <p>A national disease-specific monitoring and evaluation system assessment has been completed, and recommendations for system strengthening have been addressed in a revised national monitoring and evaluation plan</p>

Component	Activities	Performance results
<b>Annual costed national monitoring and evaluation work plan</b>	<p>Establish and maintain a planning unit to lead and oversee the joint annual programme review</p> <p>Coordinate a workshop of stakeholders to develop the work plan, cost activities and assign responsibility for implementing each activity</p> <p>Establish and maintain a unit with responsibility for managing and coordinating financial resources for monitoring and evaluation</p>	<p>The monitoring and evaluation work plan contains activities, responsible implementers, a time frame, activity costs and identified funding (5–10% of the overall grant)</p> <p>Resources (human, physical and financial) are committed to implement the monitoring and evaluation work plan</p> <p>The monitoring and evaluation work plan is updated annually based on performance monitoring and review</p>
<b>Advocacy, communication and culture for monitoring and evaluation</b>	<p>Develop an advocacy and communication strategy for disease-specific monitoring and evaluation that outlines activities and provides resources to encourage national investment in the monitoring and evaluation system and evidence-informed decision-making</p> <p>Develop advocacy materials addressing the utility of monitoring and evaluation and specific action points</p> <p>Establish and maintain a communication infrastructure for information related to monitoring and evaluation, including a dedicated communication team or unit responsible for the timely production and distribution of useful monitoring and evaluation information targeted at key audiences</p>	<p>The national disease-specific communication strategy includes a specific monitoring and evaluation communication and advocacy plan</p> <p>Monitoring and evaluation is explicitly referenced in national disease-specific policies and the national strategic plan</p> <p>Monitoring and evaluation materials are available that target different audiences and support data sharing and use</p>
<b>Routine programme monitoring</b>	<p>Develop, distribute and maintain standardized tools and clear operational guidance for data collection, analysis and reporting. Provide training on the tools and guidance for all appropriate individuals and organizations</p> <p>Produce a clear plan for timely collection of high-quality data as part of the health information system</p> <p>Assess existing information technology systems; fill gaps in skills and equipment (such as hardware and software)</p> <p>Regularly assess the quality of programme monitoring data, including data from the health information system, using an existing standard tool</p>	<p>Data collection strategy is explicitly linked to data use</p> <p>Clearly defined data collection, transfer and reporting mechanisms, including collaboration and coordination among the various stakeholders</p> <p>Essential tools and equipment for data management (such as collection, transfer, storage, quality and analysis)</p>
<b>Surveys and surveillance</b>	<p>Conduct regular strategic planning for defining evidence-informed data needs and the role of surveys and surveillance in addressing these needs</p> <p>Develop and implement a strategy for the management of data collection efforts focused on surveys and surveillance and for data sharing that respects security and confidentiality concerns</p> <p>Conduct health facility surveys (such as site-based facility surveys and service availability mapping surveys); vital registration; and population-based surveys (such as MICS, DHS and DHS+, AIS, BSS, PLACE and SAVVY)</p>	<p>Protocols for all surveys and surveillance based on international standards</p> <p>Specified schedule for data collection linked to stakeholders' needs, including identifying resources for implementation</p> <p>Inventory of disease-specific surveys conducted</p> <p>Well-functioning biological surveillance system</p>

Component	Activities	Performance results
<b>National and subnational databases</b>	<p>Establish procedures through which data can be obtained and managed in alignment with government policies, data flows and the design of the national disease-specific databases</p> <p>Establish a technical working group including representatives from the various sectors in charge of collecting and compiling disease-specific data to guide and harmonize databases and to assure the quality of data management and data-sharing procedures</p>	<p>Links between relevant databases to ensure data consistency and to avoid duplication of effort</p> <p>Well-defined and managed national database to capture, verify, analyse and present programme monitoring data from all levels and sectors</p> <p>Efforts to harmonize country national reporting through broader efforts (such as the Country Health Systems Surveillance (CHeSS) platform)</p>
<b>Supportive supervision and data auditing</b>	<p>Establish national standards and procedures for data quality assurance in accordance with international standards. Agree on data quality standards with relevant sectors and organizations, including consensus on standardized protocols and tools for data audits and assessments</p> <p>Support a data-auditing unit for oversight of auditing and audit reports</p> <p>Organize regular meetings between external data auditors and internal staff responsible for data quality</p>	<p>Guidelines for supervising routine data collection at facility- and community-based service delivery levels</p> <p>Routine supervision visits, including data assessments and feedback to local staff</p> <p>Periodic data quality audits</p> <p>Supervision reports and audit reports</p>
<b>Evaluation and research</b>	<p>Organize a national workshop with relevant individuals and organizations to agree on priority questions for evaluation and research as part of a national agenda-setting process</p> <p>Establish procedures for implementing the national evaluation and research agenda</p> <p>Establish ethical procedures for evaluation and research and implement a mechanism for ensuring adherence</p> <p>Maintain a regularly updated national inventory of evaluation and research studies</p> <p>Establish a mechanism for sharing evaluation and research findings, including the synthesis and interpretation of the programmatic implications of the findings</p> <p>Organize an annual national conference to discuss the implications and applications of evaluation and research findings</p>	<p>Inventory of completed and ongoing country-specific evaluation and research studies</p> <p>Inventory of local evaluation and research capacity, including major research institutions and their focus of work</p> <p>National evaluation and research agenda</p> <p>Ethical approval procedures and standards</p> <p>National conference or forum for dissemination and discussion of disease-specific research and evaluation findings</p>
<b>Data dissemination and use</b>	<p>Develop and implement guidelines on data confidentiality and data release with explicit decision-making processes and authorities</p> <p>Develop a decision calendar to identify key points in the year when critical decisions are made and data are needed</p> <p>Develop and implement a communication strategy and plan for monitoring and evaluation products tailored to different audiences</p> <p>Conduct an analysis of barriers to using data with existing tools</p>	<p>Disease-specific national strategic plan and the national monitoring and evaluation plan include a data use plan</p> <p>Information products tailored to different audiences and a dissemination schedule</p> <p>Evidence of information use (such as data referenced in funding proposals and planning documents)</p>

Source: *Organizing framework for a functional HIV monitoring and evaluation system*. Geneva, UNAIDS, 2008.

## Links with other interventions

The strengthening of the 12 components of a monitoring and evaluation system for HIV will benefit the monitoring and evaluation of other programmes (such as TB, malaria and reproductive health) and monitoring and evaluation as part of health system strengthening. The proposal needs to identify these benefits as well.

## Key implementing partners to be considered

- ◆ National programme managers and project leaders for HIV, TB and malaria
- ◆ Monitoring and evaluation officers and coordinators
- ◆ Donor agencies
- ◆ Technical and implementing partners
- ◆ Nongovernmental organizations, civil society representatives and associations (especially in low-level and concentrated epidemics)

## Types and sources of technical assistance

Areas in which technical assistance might be required include some of the areas of challenges to be addressed in the monitoring and evaluation system:

- ◆ addressing some of the components with their activities identified as main bottlenecks in the 12 components of the monitoring and evaluation system (in accordance with the above organizing framework);
- ◆ weak capacity to collect high-quality data because of non-standardized definitions for data; duplication of data from multiple registers; and lack of or inappropriate use of tools;
- ◆ national routine programme monitoring and links between facility-based and community-based services remain weak;
- ◆ limited skills to extract and aggregate indicator data, and non-submission of consolidated indicators (data analysis);
- ◆ difficulty in conducting surveys, particularly in capturing hidden, stigmatized and mobile populations;
- ◆ limited disaggregation of data by age, sex and key populations at higher risk;
- ◆ difficulty in estimating population sizes to inform programme planning and implementation;
- ◆ limited documentation of best practices and evidence of how national monitoring and evaluation systems and data are influencing decision-making at the country level (data use);
- ◆ lack of a data use culture – data used for funding and or reporting requirements but not for improving programmes;
- ◆ insufficient understanding of how to use routine data that reflects programme causal pathways and not merely statutory recording of items;
- ◆ a lack of evaluation information (including periodic reviews) and operations research to address questions of efficacy, effectiveness and efficiency and to assess client satisfaction and address the main bottlenecks to the scaling up and impact of HIV interventions; and
- ◆ integrating into the national monitoring and evaluation system as much as possible the multiplicity of actors, each with their own monitoring subsystem (avoiding separate vertical independent reporting).

A recent capacity-building workshop report for the Africa region outlines several of these challenges and areas that may need specific technical assistance with solutions (WHO. *Joint WHO-UNICEF-UNAIDS-PEPFAR capacity-building workshop: strengthening reporting and monitoring in the health sector for the Africa Region. Workshop report.* 2010 ([http://www.who.int/hiv/pub/me/johannesburg\\_workshop\\_report/en/index.html](http://www.who.int/hiv/pub/me/johannesburg_workshop_report/en/index.html)).

## Suggested checklist for monitoring and evaluation activities in Global Fund proposals, including approach to costing

- ◆ The proposal has earmarked the recommended 5–10% of the grant for monitoring and evaluation system strengthening (as a standard approach to general costing and budgeting and the earmarking of funds should as a whole fall within this range).
- ◆ The proposal includes regular and standardized assessments of the 12 components of a functional HIV monitoring and evaluation system, with particular attention on the components related to strengthening the routine information system (numbers 7 and 11) as part of health system strengthening.
- ◆ The proposal includes systematic and evidence-informed activities to build monitoring and evaluation capacity at all levels (community to national) based on assessments and evaluation findings.
- ◆ The proposal includes core indicators based on latest guidance (see sources of additional monitoring and evaluation guidance and tools) which will allow monitoring of the health sector programme objectives and their various service delivery areas; related key activities; and results towards achieving objectives and targets based on recommended standardized tools and guidance.
- ◆ The proposal includes components to strengthen the vital registration system and improve planning and budgeting for surveys including the accurate capture of and focus on denominators.
- ◆ The proposal includes support for the systematic assessment of the quality of monitoring and reporting data via data quality audits and/ or routine data quality assessments.
- ◆ The proposal includes activities to strengthen knowledge about key populations at higher risk, including information on size estimates and age, sex and geographical disaggregation.
- ◆ The proposal includes activities to develop a coordinated national evaluation and research agenda to avoid duplication of efforts and ensure that studies produce actionable results for improving the response.
- ◆ The proposal includes operations research (see sources of additional monitoring and evaluation guidance and tools), cost-effectiveness and evaluations and reviews of the national responses and their programmes.
- ◆ The proposal includes activities to facilitate the production of strategic information to feed into the national response, especially strategic plans.

## Sources of additional monitoring and evaluation guidance and tools

### Monitoring and evaluation guidance on indicators

Global Fund monitoring and evaluation toolkit ([http://www.theglobalfund.org/en/me/guidelines\\_tools/?lang=en](http://www.theglobalfund.org/en/me/guidelines_tools/?lang=en))

HIV Indicator Registry ([www.indicatorregistry.org](http://www.indicatorregistry.org)), which serves as a global repository of indicators on HIV and AIDS

Monitoring and evaluation guides for indicators related to programmes in the health sector (<http://www.who.int/hiv/pub/me/en>)

WHO/UNICEF/UNAIDS tools for collecting data on the health sector response to HIV/AIDS (<http://www.who.int/hiv/data/tool2011/en>)

WHO. *Harmonized monitoring and evaluation indicators for procurement and supply management systems: early-warning indicators to prevent stock-outs and overstocking of antiretroviral, antituberculosis and antimalarial medicines*. 2011 ([http://www.who.int/hiv/pub/amds/monitoring\\_evaluation/en/index.html](http://www.who.int/hiv/pub/amds/monitoring_evaluation/en/index.html)).

WHO. *Guide for monitoring and evaluating national HIV testing and counselling (HTC) programmes: field-test version*. 2011 (<http://www.who.int/hiv/pub/vct/9789241501347/en/index.html>).



WHO, UNICEF, and partners. Monitoring and evaluating the prevention of mother-to-child transmission of HIV: a guide for national programmes. In preparation.

WHO, United States President's Emergency Plan for AIDS Relief and UNAIDS. *A guide to monitoring and evaluation for collaborative TB/HIV activities*. 2009 (<http://www.who.int/hiv/pub/tb/monitoring/en/index.html>).

WHO and UNAIDS. *A guide to indicators for male circumcision programmes in the formal health care system*. 2009 (<http://www.who.int/hiv/pub/malecircumcision/indicators/en/index.html>).

WHO, UNODC and UNAIDS. *Technical guide for countries to set targets for universal access to HIV prevention, treatment and care for injecting drug users*. 2009 (<http://www.who.int/hiv/pub/idu/targetsetting/en/index.html>).

WHO and UNAIDS. Guide on indicators and target setting for universal access to HIV prevention, treatment and care for sex workers and men who have sex with men. In preparation.

## Tools

UNAIDS. *Joint reviews of national AIDS responses: a guidance paper*. 2008 ([http://data.unaids.org/pub/Manual/2008/jc1627\\_review\\_nationalaids\\_eng\\_en.pdf](http://data.unaids.org/pub/Manual/2008/jc1627_review_nationalaids_eng_en.pdf)).

Global Fund. *Data Quality Audit Tool*. 2008 ([http://www.theglobalfund.org/documents/me/DQA\\_Tool.pdf](http://www.theglobalfund.org/documents/me/DQA_Tool.pdf)).

MEASURE Evaluation. *Routine Data Quality Assessment Tool (RDQA): guidelines for implementation*. 2008 (<http://www.globalhivmeinfo.org/AgencySites/Pages/MERG%20UNAIDS%20ME%20Reference%20Group.aspx>).

## Monitoring and evaluation system

UNAIDS. *Organizing framework for a functional national HIV monitoring and evaluation system*. 2008 ([http://data.unaids.org/pub/BaseDocument/2008/20090305\\_organizingframeworkforhivmesystem\\_en.pdf](http://data.unaids.org/pub/BaseDocument/2008/20090305_organizingframeworkforhivmesystem_en.pdf)).

WHO. *Joint WHO-UNICEF-UNAIDS-PEPFAR capacity-building workshop: strengthening reporting and monitoring in the health sector for the Africa Region. Workshop report*. 2010 ([http://www.who.int/hiv/pub/me/johannesburg\\_workshop\\_report/en/index.html](http://www.who.int/hiv/pub/me/johannesburg_workshop_report/en/index.html)).

## Useful databases for monitoring and evaluation

WHO HIV/AIDS data and statistics (<http://www.who.int/hiv/data/en/index.html>).

UNAIDS. *UNAIDS Report on the global AIDS epidemic*. 2010 (<http://www.unaids.org/globalreport/AIDSinfo.htm>).

UNAIDS. AIDSinfo country fact sheets. (<http://www.unaids.org/en/dataanalysis/tools/aidsinfo/countryfactsheets>)

Global HIV monitoring and evaluation information (<http://www.globalhivmeinfo.org/Pages/HomePage.aspx>)

