

MOPAN ASSESSMENT REPORT

Gavi, the Vaccine Alliance

 MOPAN

Published 2024

For any questions or comments, please contact:
The MOPAN Secretariat
secretariat@mopanonline.org
www.mopanonline.org

For more
information:



MOPAN ASSESSMENT REPORT

Gavi, the Vaccine Alliance

EXPLANATORY NOTE

The Multilateral Organisation Performance Assessment Network (MOPAN) is the only collective action mechanism that meets member countries' information needs with regard to the performance of multilateral organisations (MOs). Through its institutional assessment report, MOPAN provides comprehensive, independent and credible performance information to inform members' engagement and accountability mechanisms.

MOPAN's assessment reports tell the story of the MO and its performance. Through detailing the major findings and conclusions of the assessment, alongside the MO's performance journey, strengths and areas for improvement, the reports support members' decision-making with regard to MOs and the wider multilateral system.

This document is published under the responsibility of MOPAN. MOPAN is an independent body that is governed by a Steering Committee composed of representatives of all of its member countries and served by a permanent Secretariat. The Secretariat is hosted at the Organisation for Economic Co-operation and Development (OECD) and bound by its administrative rules and procedures. It is independent in terms of financing and the content and implementation of its work programme.

This document and any data and any map included herein are without prejudice to the status of or sovereignty over any territory, the delimitation of international frontiers and boundaries, and the name of any territory, city or area.

Please cite this publication as:

Multilateral Organisation Performance Assessment Network (MOPAN), (2024), *MOPAN ASSESSMENT REPORT Gavi, the Vaccine Alliance (Gavi)*, Paris.

PREFACE

ABOUT MOPAN

MOPAN is comprised of 22 members* that share a common interest in assessing the performance of the major multilateral organisations they fund.

Through its assessments and analytical work, MOPAN provides comprehensive, independent and credible information on the effectiveness of MOs. This knowledge base contributes to organisational learning within and among the MOs, their direct beneficiaries and partners, and other stakeholders. MOPAN’s work also helps Network members meet their own accountability needs, as well as informing their policies and strategic decision-making with regard to the wider multilateral system.

FIGURE 1: MOPAN MEMBERS AS OF 1 SEPTEMBER 2024



*New Zealand and Türkiye are observers.

ABOUT THE ASSESSMENT OF GAVI

This report provides a diagnostic assessment and snapshot of Gavi, the Vaccine Alliance (Gavi), and tells the story of Gavi's performance within its mandate. It is the third MOPAN assessment conducted for Gavi, following the first completed in 2012 and a second completed in 2015-16. Building upon previous assessments, this assessment covers the period from January 2017 to September 2023.

The assessment of Gavi was conducted through a rigorous process and took a collaborative approach by integrating the perspectives of a wide range of stakeholders. This collaborative approach provides Gavi and Network members with a robust source of evidence-based guidance on the areas for improvement to achieve enhanced organisational performance.

The assessment draws on multiple lines of evidence (documentary, survey and interviews) from sources inside and outside the organisation to validate and triangulate findings across 12 key performance indicators (KPIs), which are broken down into more than 220 individual elements. The standard assessment framework has been developed based on international best practice and has been further customised taking into account Gavi's specific mandate and priorities. In addition, the assessment framework has been revisited to capture the impact of COVID-19 on Gavi's mandate and operations, as well as to gauge to what extent Gavi has been able to adapt and leverage its internal processes to respond to COVID-19 in an agile manner.

Box 1 lists the operating principles that guided the implementation of this assessment. MOPAN's Methodology Manual describes in detail how these principles are realised.

Box 1: Operating principles

MOPAN will generate **credible, fair and accurate** assessments through:

- **implementing** an impartial, systematic and rigorous approach
- **balancing breadth with depth**, adopting an appropriate balance between coverage and depth of information
- **prioritising quality** of information over quantity
- **adopting a systematic approach**, including the use of structured tools for enquiry/analysis
- **providing transparency**, generating an "audit trail" of findings
- **being efficient**, building layers of data, seeking to reduce burdens on organisations
- **ensuring utility**, building organisational learning through an iterative process and accessible reporting
- **being incisive** through a focused methodology which provides concise reporting to tell the story of an organisation's current performance.

Source: MOPAN (2020). 2020 Assessment Cycle: MOPAN Methodology: MOPAN 3.1 – Methodology. Available at: http://www.mopanonline.org/ourwork/themopanapproach/MOPAN_3.1_Methodology.pdf

The assessment report is composed of two parts: the Analysis Summary and the Technical and Statistical Annex. **Part I: Analysis Summary** is structured into four chapters. **Chapter I** introduces the organisation and its context; **Chapter II** presents a high-level overview of key findings; **Chapter III** takes a detailed look at findings; and **Chapter IV** provides information about the assessment methodology and its process.

Part II: Technical and Statistical Annex of Gavi (2023) contains the detailed underlying analysis of each score, the list of supporting evidence documents, and the summarised results of the external partner survey that fed into this assessment.



The benefits of vaccination in Bangladesh

Ripon Naik, 25, Kulaura, Sylhet. He lives with his wife Nirjala and their ten-month-old son. He dreams of becoming the team leader (Sardar) of the tea pickers at some point and hopes his son can become a doctor or health worker one day. He says “My parents made sure I had all the vaccines and so I did the same for my son. He has already had his BCG, Penta, OPV, PCV, and IPV shots.” Photo: © GAVI / Ashraful Arefin

ACKNOWLEDGEMENTS

The MOPAN assessment of Gavi was conducted under the overall strategic guidance of Suzanne Steensen, Head of the MOPAN Secretariat. It was prepared under the responsibility of Alison Pollard and Patrick Saez.

MOPAN is grateful to Young Koh from the Republic of Korea, Karin Berlin from Sweden and Hitesh Hurkchand from the United States for championing this assessment of Gavi on behalf of the MOPAN membership.

The assessment was conducted in co-operation with Itad Limited/Universalia. Dr Tim A. Clary led the assessment with a team comprised of Yasmine Bettine, Abrehet Gebremedhin and Danielle Freed. Paul Janssen also supported the assessment and contributed to the final report. The report was quality assured by Sam McPherson and Katrina Rojas and benefited from an external peer review, conducted by Julia Betts. The sections on Protection from Sexual Misconduct were written by Jolanda Profos and quality assured by Moira Reddick.

The external partner survey was managed by Cristina Serra Vallejo from the MOPAN Secretariat, who, together with Corentin Beudaert-Ugolini, also supported the implementation and finalisation of the survey.

Cristina Serra Vallejo, Camille Hewitt and David Añonuevo helped finalise the report. It was proofread by Jill Gaston, and Baseline Arts Ltd provided the layout and graphic design.

MOPAN would like to convey appreciation to Marie-Ange Saraka-Yao, Benjamin Bechaz and Seo Yim Shin from the Gavi Secretariat, who co-ordinated the process on behalf of Gavi and provided substantive feedback on the final draft report.

This assessment would not have been possible without the close engagement and valuable contributions of many senior officials and technical staff from the Gavi Secretariat, global and in-country partners, and Gavi's Board and committees, who participated in in-depth interviews and the survey.

Finally, MOPAN is grateful to all Steering Committee representatives for supporting the assessment of Gavi, as well as to its member countries for their financial contributions, making the report possible.



**Nigeria visit,
April 2024**

Gavi CEO Dr Sania Nishtar speaks with village school children.
Photo: © GAVI

TABLE OF CONTENTS

Explanatory Note	ii	FIGURES	
Preface	1	Figure 1. MOPAN membership	1
About MOPAN	1	Figure 2: Gavi's performance summary	23
About the assessment of Gavi	2	Figure 3. Gavi organisational structure (2022)	28
Acknowledgements	4	Figure 4. 2021–25 donor contributions and pledges to Gavi: \$21.3 billion	31
Abbreviations and Acronyms	8	Figure 5. MOPAN assessments	34
<hr/>			
Gavi: Performance at a Glance	11	Figure 6. MOPAN 3.1 performance scoring and rating scale	51
Key findings	13	Figure 7. Strategic management – key findings	51
Key findings by the five performance areas	17	Figure 8. The strategies of Gavi demonstrate good understanding of comparative advantage	53
<hr/>			
Chapter I. BACKGROUND OF THE ORGANISATION	25	Figure 9. Gavi's strategic allocation of resources is transparent and coherent with agreed strategic priorities	54
Mission and mandate	27	Figure 10. Gavi's financial framework supports the effective implementation of the mandate and strategy	55
Governance arrangements	27	Figure 11. Operational management – key findings	58
Organisational structure/Partnership model	29	Figure 12. Gavi's strategic allocation of resources is transparent and coherent with agreed strategic priorities	60
Finance and operations	31	Figure 13. Gavi co-ordinates its financial contributions with partners to ensure coherence and avoid fragmentation/duplication at country level	64
Situational analysis (standard scope of operations and COVID-19 response)	32	Figure 14. Gavi's work is tailored to the specific situations and needs in the local context	64
Previous MOPAN assessments	33	Figure 15. Gavi openly communicates the criteria for allocating financial resources	65
References	36	Figure 16. Relationship management – key findings	70
<hr/>			
Chapter II. OVERVIEW OF KEY FINDINGS	37	Figure 17. Gavi's work responds to the needs of beneficiaries, including the most vulnerable populations	72
Assessment summary	39	Figure 18. Gavi's work is designed to fit with national programmes and intended results of the countries it works in	73
Gavi's COVID-19 response	45	Figure 19. Gavi management processes (e.g. procuring, disbursing) do not cause unnecessary delays for partners in implementing operations	77
Gavi's future trajectory	46	Figure 20. The strategies of Gavi demonstrate a good understanding of comparative advantage	78
References	48	Figure 21. Gavi provides high-quality inputs to policy dialogue in country or at a regional level that affects the country level	80
<hr/>			
Chapter III. DETAILED LOOK AT FINDINGS	49		
Strategic management	51		
Operational management	58		
Relationship management	70		
Performance management	81		
Results	88		
References	92		
<hr/>			
Chapter IV. ABOUT THE ASSESSMENT	93		
The assessment approach	95		
Applying MOPAN 3.1 to Gavi	96		
Methodology for scoring and rating	100		
Assessment process	103		
Limitations	103		
References	105		
<hr/>			
Annex	00		

Figure 22. Performance management – key findings	81	TABLES	
Figure 23. In country, Gavi prioritises a results based approach – for example when engaging in policy dialogue or planning and implementing interventions	83	Table 1. 2015/16 MOPAN assessment and management response of Gavi’s strengths and areas for improvement	35
Figure 24. Gavi participates in joint evaluations at the country/regional level	85	Table 2. Attendance for respectful behaviour training	69
Figure 25. Gavi learns from previous experience rather than repeating the same mistakes	86	Table 3. Performance areas and key performance indicators	96
Figure 26. Gavi addresses any areas of intervention under-performance, for example through technical support or changing funding patterns if appropriate	87	Table 4. Inception Phase interpretations of the MOPAN 3.1 methodology	97
Figure 27. Results – key findings	88	BOXES	
Figure 28. Gavi’s performance rating summary (previous rating scale)	102	Box 1. Operating principles	2
Figure 29. MOPAN’s Assessment process	104	Box 2. Main strengths and areas for improvement	22
		Box 3. Main strengths and areas for improvement	45



Canada and USA visit, April 2024

Gavi CEO Dr Sania Nishtar speaks with Keller C. Rinaudo, CEO and Co-Founder of Zipline, a California-based automated logistics company that uses autonomous drones to make on-demand, emergency deliveries of high priority products, including emergency and routine vaccines and other health products.

Photo: © GAVI / Pascal Emmanuel Barollier



Vaccine manufacture in India, November 2020

Manufacturing of the Oxford-AstraZeneca COVID-19 vaccine “Covishield” at Serum Institute of India (SII). Photo: © Gavi

ABBREVIATIONS AND ACRONYMS

A&I	Audit and Investigations	EPI	Expanded Programme on Immunisation
AAF	Alliance Accountability Framework	EvU	Evaluation and Learning Unit
AFC	Audit and Finance Committee	FCAS	Fragile and Conflict-Affected States
Africa CDC	Africa Centres for Disease Control and Prevention	FCDO	Foreign, Commonwealth & Development Office
AMC	Advance Market Commitment	FED	Fragility, Emergencies and Displaced Populations
APPT	Alliance Partnership and Performance Team	FGHI	Future of Global Health Initiatives
AU	African Union	FPP	Full Portfolio Planning Process
BMGF	Bill & Melinda Gates Foundation	GAAP	Generally Accepted Accounting Principles
CCEOP	Cold Chain Equipment Optimisation Platform	Gavi	Gavi, the Vaccine Alliance
CEO	Chief Executive Officer	GC	Governance Committee
CEPA	Cambridge Economic Policy Associates	GFF	Global Financing Facility
CEPI	Coalition for Epidemic Preparedness Innovations	GNI	Gross National Income
COI	Conflict of Interest	HACT	Harmonised Approach to Cash Transfer
COVAX	COVID-19 Vaccines Global Access	HLRP	High-Level Review Panel
CP	Country Programme	HR	Human Resources
CRR	COVAX Risk Register	HSIS	Health System and Immunisation Strengthening
CSO	Civil Society Organisation	HSS	Health Systems Strengthening
CSSG	Cross-Sector Safeguarding Steering Group	IA2030	Immunisation Agenda 2030
DCVMN	Developing Countries Vaccine Manufactures Network	IASC	Inter-Agency Standing Committee
DoA	Delegation of Authority	IATI	International Aid Transparency Initiative
DoSA	Delegation of Signature Authorities for Legal Instruments	IDR	Interim Document Review
DTP	Diphtheria-Tetanus-Pertussis	IFFIm	International Finance Facility for Immunisation
EAC	Evaluation Advisory Committee	IFPMA	International Federation of Pharmaceutical Manufacturers & Associations
ELTRACO	Eligibility, Transition and Co-Financing	IL	Institutional Lead
		IRC	Independent Review Committee



Bio Farma serum factory, Indonesia

Workers fill Uniject syringes with HepB vaccine.

Photo: © GAVI / Edy Purnomo

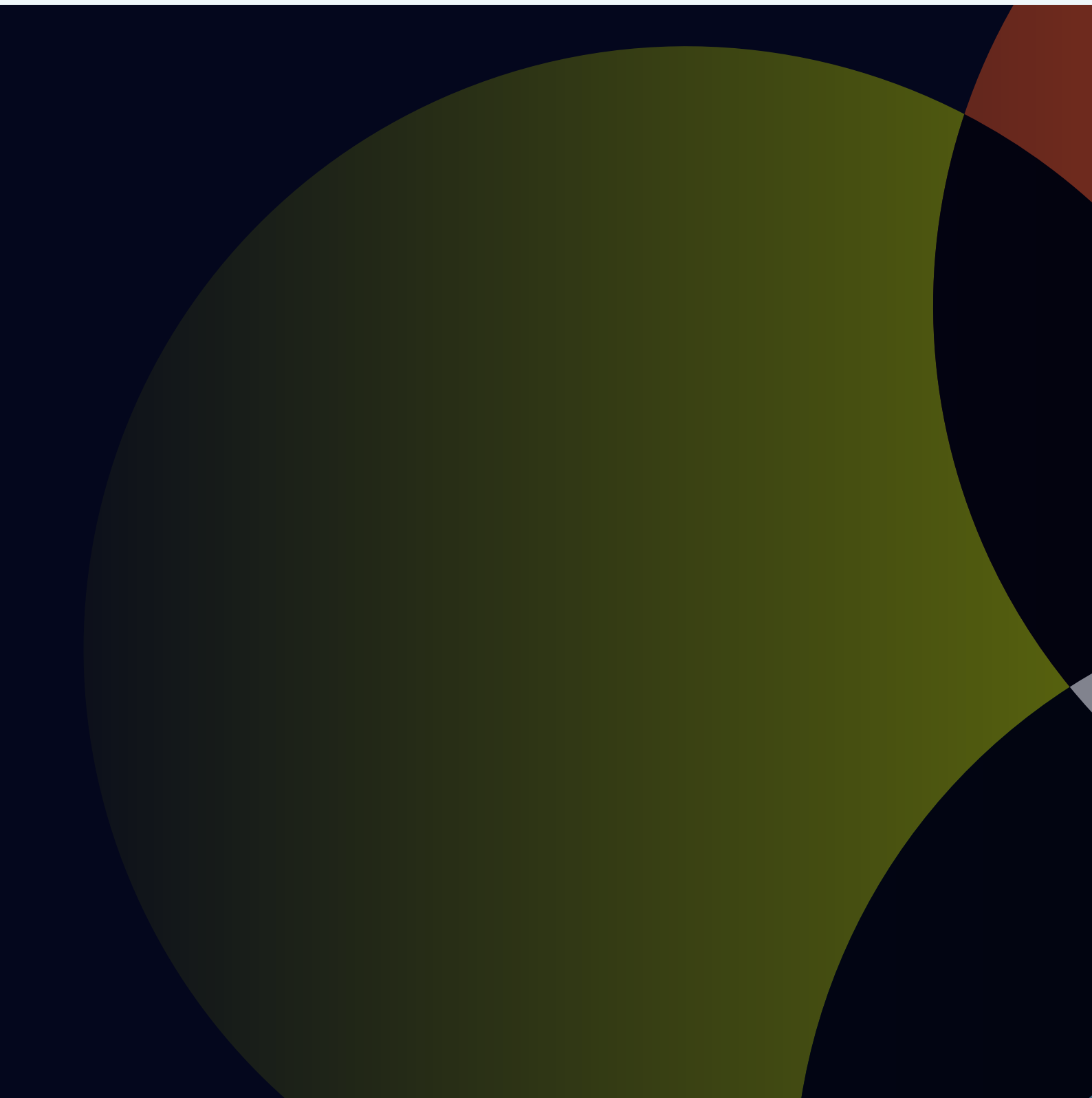
IRMMA	Identify-Reach-Monitor-Measure-Advocate	R&R	Roles and Responsibilities
JA	Joint Assessment	SDG	Sustainable Development Goal
KPI	Key Performance Indicator	SEA	Sexual Exploitation and Abuse
LIC	Lower-Income Country	SFA	Strategic Focus Area
LMIC	Low- and Middle-Income Country	SH	Sexual Harassment
LSS	Learning Systems Strategy	SMT	Senior Management Team
M&E	Monitoring and Evaluation	TAP	Transparency and Accountability Policy
MEL	Monitoring, Evaluation and Learning	ToC	Theory of Change
MI	Micro-Indicator	TOR	Terms of Reference
MIC	Middle-Income Country	TPM	Team Performance Management
MO	Multilateral Organisation	UHC	Universal Healthcare
MOPAN	Multilateral Organisation Performance Assessment Network	UK	United Kingdom
MoU	Memorandum of Understanding	UN	United Nations
MPM	Monitoring and Performance Management	UNDG	United Nations Sustainable Development Group
NGO	Non-Governmental Organisation	UNDS	Reform of the United Nations Development System
OE	Operational Excellence	UNGA	United Nations General Assembly
OECD	Organisation for Economic Co-operation and Development	UNICEF	United Nations Children's Fund
PCA	Programme Capacity Assessment	US	United States
PEF	Partners' Engagement Framework	VIS	Vaccine Investment Strategy
PMP	Performance Management Plan	WHA	World Health Assembly
PPC	Programme and Policy Committee	WHO	World Health Organisation
PSEAH	Protection from Sexual Exploitation, Abuse and Harassment	ZD	Zero-Dose
RBM	Results-Based Management	ZD LEARN	Zero-Dose Monitoring and Learning Agenda



National Polio and Measles Laboratory, Dhaka, Bangladesh

More than three million children have benefitted from pneumococcal vaccine (PCV), which protects against one of the leading causes of pneumonia, and the Inactivated Polio Vaccine (IPV) as part of the Polio Eradication & Endgame Strategic Plan.

Photo: © GAVI / GMB Akash



GAVI
PERFORMANCE AT A GLANCE





Uganda – delivering essential healthcare services to remote rural communities

Agnes Nambozo, a dedicated nurse, scales the rugged terrain of Masheluse village in Uganda's Bulambuli District to bring essential healthcare services, including vaccinations and vital medications, to the children of Nataba parish. Photo: © Gavi / 2024 / Were Brian

GAVI: PERFORMANCE AT A GLANCE

Gavi, the Vaccine Alliance, formed as a global health partnership in 2000, brings together the public and private sectors to achieve the shared mission of saving lives and protecting people's health by increasing the equitable and sustainable use of vaccines. Gavi funds the delivery of new vaccines and seeks to shape the global vaccine market. It provides implementing countries with predictable and long-term support for national immunisation programmes, allowing them to take on greater risk in their vaccine programming. Gavi has country ownership as one of its main values and supports governments in defining their own priorities. By pooling demand for vaccines across multiple countries, Gavi also demonstrates the size and viability of markets to manufacturers and is able to negotiate reduced prices and remove commercial risks for manufacturers. Currently, it is implementing its Strategy 5.1 (an updated version of its Strategy 5.0), which will end in 2025, while its new Strategy 6.0 will cover the 2026-30 period.

This assessment was undertaken during a strategic transition period for Gavi and primarily focused on the timeframe of January 2017 to September 2023, which was the close of the data collection period. Evidence collection was, however, extended to February 2024 for data related specifically to risk analysis and management, as critically important new developments took place in the interval period. The following findings are based on the Gavi Alliance as a whole, except for findings related to operations,¹ which are based on an analysis of the Gavi Secretariat's operational performance.

KEY FINDINGS

This assessment notes Gavi's positive organisational effectiveness and results performance, with 12 out of 12 MOPAN KPIs rated as satisfactory. Gavi has continued to show progress on its mission indicators. As in 2016, this MOPAN assessment finds that Gavi remains fit for purpose overall and delivers value for money. Progress in certain areas already highlighted for improvement in the previous MOPAN assessment has been slow, and those areas require more urgent consideration. New areas for attention have also emerged in this assessment. Some KPIs only narrowly achieved a satisfactory rating, particularly those related to cross-cutting issues, specifically gender equality, environmental sustainability and climate change.

Although Gavi's risk management function has been recently strengthened, further progress is urgently required, specifically on protection from sexual exploitation, abuse and harassment (PSEAH). Gavi's funding mechanisms remain too complex and challenging for its country-facing teams and partners. Additionally, its approach to accountability and how it is operationalised remains unclear, and gaps remain in its strengthened evaluation function.

Gavi continued to develop as an organisation and advance and evolve its mandate during the assessment period of 2016-23 in both planned and unanticipated ways due to the COVID-19 pandemic. Its Strategy 4.0 (2016-20) had four goals, emphasising its main pillars of support (vaccines, systems, sustainability and market shaping) to enhance its overall mission of saving children's lives and protecting people's health by increasing equitable use of vaccines in lower-income countries (LICs). Although there were notable shifts within its Strategy 5.0 (2021-25), such as an intent focus on zero-dose (ZD) children and missed communities, most of its underlying goals (vaccines, healthy markets and sustainability) remained the same, with an additional focus on equity. The COVID-19 pandemic which was officially declared in March 2020 disrupted Gavi's strategic planning and required Gavi to assume a central role within the global health response. The stresses placed on the organisation as it ramped up its efforts to address COVID-19 were enormous. Analysis of results data over the assessment period shows that Gavi continued to make progress on its core mandate, although it experienced some setbacks in reaching marginalised communities and

1. Specifically, KPIs 3 and 8 and MIs 4.1-4.6 and 7.3-7.5.

delivering on some of its key immunisation targets due to the pandemic while responding at pace and in agile ways to COVID-19. This achievement is commendable and demonstrates that the organisation was and currently is fit for purpose.

Gavi's partnership structure is part of its core business model, and that structure has been critical for Gavi's achievements – not only during the COVID-19 pandemic but throughout the assessment period. Gavi has consistently leveraged its partnerships and alliance model to ensure that its strategic management and operations are fit for purpose to deliver on its intended results. The ongoing relationships developed within the Gavi partnership and with other external global health stakeholders (e.g. the Global Fund, the Global Financing Facility (GFF) and the Pandemic Fund) have furthered Gavi's role as a key actor within the global health landscape. The COVID-19 pandemic led to Gavi pausing many priorities because of the crisis and the urgent response needed. However, sufficient time has passed to be able to reflect on identified areas for improvement and how to address them.

Clear strategies supported by solid evidence and close monitoring of disbursements and implementation have allowed Gavi to demonstrate its value-for-money proposition. During the assessment period, Gavi developed and implemented its 4.0, 5.0 and 5.1 strategies. While those strategies evolved, most notably Strategy 5.1 to cover the final post-pandemic period of Strategy 5.0, they have remained tightly focused on their visions (leaving no one behind with immunisation), their missions of saving lives and improving equitable and sustainable use of vaccines, and how Gavi's results will be measured. It has long been known that vaccines have immediate protective health benefits and potentially longer-lasting economic impacts on those immunised. Gavi has built upon this knowledge base and has used the evidence generated by both its programming and that of other partners as the basis for decision-making, especially as it relates to its Vaccine Investment Strategy (VIS). This has allowed it to rationally identify, analyse and recommend future strategic directions. Additionally, because Gavi has improved the monitoring of its financial disbursements and implementation of programmes since the last MOPAN assessment, in 2015/16, partner countries are able to accelerate progress towards immunisation goals, as well as reprogramme funds when needed. This was of particular importance during the COVID-19 pandemic and in its aftermath because Gavi and its partners had several epidemiological inflection points to address, including making up for progress lost during the pandemic.

Country ownership remains a core principle and strengthens sustainability, with a few remaining gaps to be addressed. Gavi demonstrates its commitment to country ownership throughout its programming cycle. It ensures that it has the ability to be responsive to country needs by aligning itself with partner country strategies and priorities, and its Framework for Funding to Countries underscores the significance of "country-driven" approaches and "tailored-to-context" resource allocation. In its application process, countries are asked to conduct a situational analysis to identify their needs, assess in-country capacity, and provide evidence to justify their requests and plans to address any gaps. Gavi also requires that the health systems within countries are the foundation from which its vaccination investments are implemented. Indeed, country ownership is embedded throughout Gavi's mission and is made tangible by a variety of methods, including expanded country dialogues and joint planning missions. Although it has no in-country presence, this does not appear to be a significant hindrance to Gavi's ability to collaborate closely with in-country stakeholders, especially because three of its core partners – the World Health Organisation (WHO), the United Nations Children's Fund (UNICEF) and the World Bank – typically have in-country staff, if not full offices. It also better ensures country ownership (and sustainability) through its co-financing policy, which requires partner countries to demonstrably allocate and increase domestic resources as they transition away from Gavi support. Some of the identified gaps to strengthen country ownership, per the assessment's lines of evidence, include a more robust system to track reallocation decisions and a clear policy outlining the level of decision-making autonomy delegated to countries.

An improved evaluative function, including dissemination, has furthered Gavi as a learning institution, but there are still areas for improvement. The 2015/16 MOPAN assessment of Gavi identified a need to strengthen its evaluative

function, specifically in ensuring that results were disseminated and used for future programming decisions. Since that assessment, this strengthening has occurred. During the current assessment period, Gavi has demonstrated that it has evolved its evaluative and learning function, such that its lessons learned and best practices are shared widely within the partnership and with other stakeholders, and, when applicable, used to inform its investments, implementation and operations. In other words, a learning culture has grown and taken root, not only within the Secretariat but also in the broader partnership. The significance of this change became readily apparent during the COVID-19 pandemic, during which the organisation had not only to quickly generate and review evidence but also to use that data to make swift and informed decisions about reprogramming needs. This use of evaluative evidence was also applied as Gavi updated its Strategy 5.0 to 5.1 to reflect the lessons learned during the first years of the pandemic. Underlying these changes are documents (e.g. the Evaluation Policy and Learning Systems Strategy) which clearly delineate policies, practices, roles and responsibilities, including the differentiation between Gavi's centralised and decentralised evaluative functions (Gavi's Evaluation and Learning Unit is responsible for centralised evaluations whereas country-facing teams manage decentralised evaluations). What is missing, though, is a holistic and comprehensive tracking of both evaluative resources and results. With the decentralisation of some evaluations, visibility into the overall funding for evaluations has decreased, and questions remain about their quality and alignment with Gavi's strategy as they are not subject to the same level of review as centralised evaluations.

Responsibilities for risk, accountability and governance need to be better defined and operationalised. As will be detailed in the Assessment summary of Chapter II of this report, Gavi has recently made significant improvements in its ability to identify, mitigate and manage risk, for example by adopting new policies and procedures and increasing the number of Secretariat staff working on risk management. However, for the large majority of this assessment period (January 2017-September 2023), the organisation was understaffed in terms of individuals specifically focused on risk, and it needed to update and better operationalise its policies, procedures and practices in this area. Indeed, there is still substantial work which needs to be done, for example in addressing PSEAH to fulfil its commitments to the 2018 Safeguarding Summit. Similarly, although Gavi has an implied accountability to its beneficiaries through its vision of leaving no one behind with immunisation, this assessment revealed that Gavi has accountabilities to multiple stakeholders, including its beneficiaries, and that sometimes those accountabilities diverge. Because Gavi's unique Partnership creates complexities in defining responsibilities both within the Alliance and between Alliance members and beneficiaries, delineating these accountabilities in more detail is imperative. It appears to still be a work in progress. Both risk management and accountability are foundational to good governance and, while this assessment only revealed minor issues, addressing the two aforementioned topics would both strengthen oversight and provide a better system of checks and balances among Gavi's wide range of partners and extended stakeholders.

Funding mechanisms – as well as Secretariat structure and staff – need better alignment with country needs and capacity both for the current situation and for Gavi's Strategy 6.0. Many of Gavi's in-country partners face enormous challenges, including less than optimal capacity in areas such as state-of-the-art technical knowledge, management (both programmatic and financial) and leadership. In addition, these specific challenges are within the greater context of operating in fragile and resource-constrained environments, often as part of a humanitarian response. Therefore, anything that Gavi can do to reduce the burden on these partners would assist in ensuring more efficient implementation of supported programmes. This would include streamlining and simplifying its funding application process. Currently, there are five major types of available funding,² some of which are further subdivided. Additionally, there are six categories of "Other Support", e.g. the COVID-19 Vaccines Global Access (COVAX) Facility, and Innovation Top-Up. For implementing countries, these multiple types of support, per key informant feedback, are difficult to navigate and, given the aforementioned capacity issues and competing priorities, encumber partners from the very beginning of the programme cycle. This jeopardises the Alliance's longer-term vision, mission and

2. The five major types of funding available are: (1) Vaccine Support; (2) Health Systems Strengthening Support; (3) Equity Accelerator Funding; (4) the Cold Chain Equipment Optimisation Platform; and (5) Targeted Country Assistance.

goals. Gavi's Secretariat is already in the process of addressing this issue via its overarching Operational Excellence (OE) Agenda by streamlining and simplifying the application process, which should also further reduce the average length of time between application submission and grant-making. Additionally, in order to shift from activity-based budgeting to a more results-based approach, Gavi has instituted its EVOLVE initiative; however, the results of both the OE Agenda and EVOLVE have not yet been determined because they are both recent undertakings. These efforts will also be supported by Gavi's steps to develop one plan per country.

Similarly, the multiple funding mechanisms and the complexity of its operating environment place a substantial burden on country-facing staff and increase the possibility that Gavi's current operating model will not be fit for purpose in the near and longer-term future. It is thus incumbent upon Gavi to ensure that its Secretariat's structure is responsive to the current and evolving operating environment, as well as having the staff competencies and resources required to implement Gavi 6.0. Further, given the enormous pressures placed on the organisation during the COVID-19 pandemic, Gavi must safeguard against staff burnout and attrition. Again, it appears that this process is underway with the OE Agenda, as well as other initiatives such as the formation of a Health and Wellbeing Committee and the EVOLVE programme.

Gavi has made insufficient progress in incorporating cross-cutting issues, specifically gender, environmental sustainability and climate change, into its programming. The 2015/16 MOPAN assessment of Gavi noted that there was a need for the organisation to better articulate its approach to integrating cross-cutting issues, in particular governance and environmental issues (gender was also included). Although the management response at that time noted there was a need to address these issues, few detailed and actionable commitments were made. Limited progress has been made since then. Although progress has been made in integrating gender-sensitive approaches into programme design, and although Gavi has developed a Gender Policy, challenges remain in mainstreaming gender across its strategic objectives and translating policy into action. For example, addressing the Independent Review Committee's (IRC's) recommendations that pertain to gender is not a requirement for funding approval, although if applications do not meet these requirements, the IRC either can ask the country to resubmit or can request clarifications that countries



Zambia – delivering Human Papillomavirus Vaccine (HPV)

UNICEF vehicle carrying HPV vaccines for distribution to Rufunsa, Chimusanya, Mulamba, Nyampande, Kanyongoloka, Kankumba and Chinyunyu Rural Health Centres of Rufunsa District.
Photo: © GAVI / Mapalo Mwenya

must make before the Secretariat finalises approval. A more serious challenge is that – although Gavi recognises the potentially significant impacts that climate change will have on health, the epidemiological range of diseases and the partnership’s supply chain – addressing climate change is not yet a core objective within Gavi’s strategy. However, there will be more efforts to address this issue with the Gavi Strategy 6.0. Similarly, currently, there are no established indicators for measuring progress on environmental sustainability nor an underlying strategy, although Gavi does try to minimise its environmental footprint in its operations. This issue will also be more substantially addressed through Gavi’s Strategy 6.0, because Gavi’s Programme and Policy Committee (PPC) has identified this as an area for a deeper review in that strategy. Although it is recognised that Gavi had many challenges with which to contend during the current assessment period, most notably the COVID-19 pandemic, the slow progress on addressing cross-cutting issues since the last MOPAN assessment eight years ago also has to be noted.

Looking to the future, the newly adopted Gavi 6.0 Strategy comes at a critical moment for an organisation operating in a sector faced with increasing demands and tightening resources. It is therefore timely for the Alliance to consider the findings of this assessment and ensure that it remains an effective and fit-for-purpose organisation. To ensure that Gavi remains a critical actor in the global health architecture, it will need to continue to broaden and strengthen its partnerships, both within the Alliance and externally. Streamlining funding mechanisms and ensuring Gavi’s staff structure and skills are relevant and appropriate for the future will be key enablers.

KEY FINDINGS IN THE FIVE PERFORMANCE AREAS

STRATEGIC MANAGEMENT

Gavi has a structured yet adaptive approach and continues to refine its organisational architecture and financial mechanisms to enhance effectiveness and accountability.

Gavi continues to evolve its strategies and organisational structures to address both immediate challenges and long-term objectives related to global health needs and its mandate. The most recent Gavi 5.0/5.1 Strategy pushes previous ambitions forward with a focus on reaching ZD children, prioritising equity and enhancing programme sustainability. Analysis of documentary evidence shows that as a collaborative public-private partnership, Gavi is able to operationalise these goals by leveraging its unique position to foster innovation and optimise market dynamics, thus enhancing vaccine access globally. Gavi’s organisational framework further supports strategic objectives through a partnership-centric model that maximises the complementarity of its diverse stakeholders. This approach integrates with local systems to tailor efforts, reduce costs and improve vaccine programme execution. This model effectively supports alignment with the 2030 Sustainable Development Goals (SDGs) by fostering partnerships positioned to tackle wider health and development challenges.

Gavi’s leadership and co-ordination are centralised through its Board and Secretariat, with the Board setting strategic directions and the Secretariat managing daily operations. In response to evolving needs and the ambitious goals of Gavi 5.0 and the new Gavi 6.0, a comprehensive organisational review was conducted in 2020. This review led to the development of six core design principles, aimed at enhancing country-centricity, accountability, execution, alliance effectiveness, simplicity and decision-making delegation. These principles aim to steer ongoing and future adjustments to better align with Gavi’s strategic goals. Feedback indicates the need for continual refinement of the Secretariat’s structure and staffing to meet evolving needs. Steps towards these changes are progressing under Gavi’s OE Agenda, with significant organisational enhancements targeted for 2024.

Financial management operates through a multifaceted framework involving several different mechanisms, with the Gavi Strategy providing overall direction, ensuring resources are efficiently channelled towards defined goals. Financial planning is structured to accommodate changing priorities and maintain transparency. For the fiscal years 2022/23 and 2023/24, funds are allocated strategically to essential areas such as the Secretariat, the COVAX Facility,

the Advance Market Commitment (AMC) and the Partners' Engagement Framework (PEF), with flexibility to redirect underspent funds to priorities such as malaria programmes and support for middle-income countries (MICs). Budgets are designed biennially and revised semi-annually to reflect shifts in spending, demand and vaccine costs.

Analysis of documentary evidence and interviews with key informants demonstrate that the Secretariat has made notable progress in integrating gender-sensitive approaches into programme design, although challenges remain with regard to mainstreaming gender across all strategic objectives. Gavi recognises the significant impacts of climate change on health but lacks a specific strategy or policy on environmental sustainability, and grantee agreements do not have clauses referencing the specific topic. Feedback from the Gavi Secretariat notes that this is recognised as a critical area for development and that environmental sustainability is addressed within Gavi 6.0. Gavi demonstrates a strong commitment to human rights and health system sustainability through established policies and monitoring mechanisms. However, evidence from interviews and documentation, primarily reviews of its eligibility, transition and co-financing policy, shows that there has been concern about the relevance and applicability of its transition policy that is primarily focused on gross national income (GNI) metrics. Per key informant feedback, Gavi is currently considering revising and/or expanding this metric.

OPERATIONAL MANAGEMENT

Gavi has organisational resources and capabilities that are aligned with and support its strategies. Gavi also has consistent review, adaptation and oversight processes. However, its approach to PSEAH needs strengthening to ensure alignment with international good practice and commitments.

Documentary evidence shows that Gavi's internal organisational structure reflects a strong commitment to strategic priorities, notably demonstrated through departmental alignment and resource allocation in line with the goals outlined in Gavi 5.1. The organisation's alignment with strategic goals extends to resource mobilisation strategies, co-financing policies and long-term programme sustainability. Gavi's focus on co-financing promotes ownership and domestic resource mobilisation, which is evident in the steady increase of partner country co-financing over time. Analysis of relevant documents shows that Gavi demonstrates excellence in resource allocation and financial management, employing a targeted approach that aligns funds with impactful interventions based on a country's needs. They maintain transparency by collaboratively setting goals and tracking spending with partner countries, striving towards results-based budgeting for enhanced financial efficacy. Additionally, Gavi's funding cycles and investment opportunity documents provide transparency and predictability for partner countries in planning immunisation programmes. However, evidence from interviews and documentation shows that there are ongoing challenges, such as the use of GNI per capita as the sole indicator in transition policies over the inclusion of other programmatic capacity measurements, as used by other similar organisations.

Decision-making processes within Gavi are delineated at the Board level, but analysis of evidence from key stakeholder interviews notes that there should be greater clarity and formalisation at lower levels, particularly with regard to country-level autonomy in resource reallocation and programming decisions. Policies emphasise country ownership and leadership, but a comprehensive policy outlining decision-making processes at lower levels would enhance transparency and accountability. Gavi's human resources performance assessment system focuses on development and aligning individual contributions with organisational goals. However, evidence from documents and interviews highlights concerns about staff well-being, transparency in promotions and reliance on consultants as areas for improvement.

With regard to safeguarding measures, Gavi is in the process of developing a new framework based on industry best practices, although the organisation reports externally on progress on protection from sexual exploitation and abuse (SEA) and PSEAH commitments. However, there is currently no comprehensive policy in place with regard to SEA. Notably, there is no formal system for reporting allegations or supporting victims in this context. Conversely,



The Democratic Republic of the Congo

Promotion of health and vaccination by a CSO in Kinshasa in the context of COVID-19.

Photo: © GAVI

Gavi's policy on sexual harassment (SH) for its employees is included within its broader Respectful Behaviour Policy, featuring multiple reporting channels, protection for whistleblowers and some victim support mechanisms. Two SH incidents were reported between August 2022 and July 2023. All staff are required to undergo training on Respectful Behaviour, which includes modules on preventing and responding to SH.

RELATIONSHIP MANAGEMENT

Gavi is perceived by external partners to be a strongly collaborative organisation, aligned with national priorities, and emphasising transparency. However, its lack of a comprehensive risk management framework or clear delineation of partner roles in terms of accountability could jeopardise the organisation's future efforts.

Analysis of evidence from documents, interviews and the external partner survey shows that Gavi is committed to aligning its interventions with national priorities. It focuses on the clear identification of target populations for its support and provides guidance during the application process, ensuring that its support contributes directly to achieving national immunisation objectives. Gavi's funding guidelines encourage integration into existing national health systems, fostering a cohesive approach to immunisation efforts and ensuring alignment with national policies and structures. It also participates actively in global health forums and initiatives, contributing to global monitoring and advocacy efforts, and demonstrates transparency through its policies and data-sharing practices. Gavi emphasises knowledge sharing and continuous learning to inform policy and decision-making. There is also ongoing work to streamline global health efforts and reduce fragmentation in funding mechanisms.

Through its approach to prioritising collaboration with various stakeholders, including governments, regional bodies, the private sector and others, Gavi ensures that interventions reflect the most critical priorities identified by the countries it serves, as well as strengthening immunisation programming by utilising the most appropriate expertise where required. Gavi integrates cross-cutting areas such as gender, ZD children and marginalised communities into its intervention design, stating that its programming seeks to serve those being immunised. It also focuses on sustainability through capacity-building initiatives and strategic planning. However, areas that it would benefit from addressing include defining partner roles, especially for non-Alliance partners, and measuring the effectiveness of leveraging partner expertise.



Kampala, Uganda

Yaba Shabil, a dedicated VHT volunteer in the Naguru slum, Kampala, Uganda, uses his megaphone to tackle misinformation and promote immunisation.

Photo: © GAVI / Were Brian

Gavi has a risk management framework, but it requires further formalisation of risk policies and procedures to meet international good practice standards. In addition, this assessment notes that its risk management practices require much further development and formalisation to ensure they are aligned with generally accepted international standards, particularly with regard to strategic, political and operational risks. Prior to 2023, Gavi's primary risk register tool was included in the Team Performance Management (TPM) process, which captured risks per department or team in relation to objectives and which reported twice a year. Several other risk registers were either supported or developed by Risk Management (e.g. COVAX, Finance Risk and Controls Matrix) on an as-needed basis. Further, there is ambiguity around whom Gavi is accountable to (immunised populations, grant recipients including national governments, its donors, etc.). Consequently, there is a need for a clear and explicit definition of this with regard to Gavi's multiple streams of accountability and how that should be operationalised in its partnership structure.

PERFORMANCE MANAGEMENT

Gavi has a well-functioning system to provide solid evidence for programmatic decision-making and strategic planning. Areas for improvement, such as resource tracking and ensuring the quality of decentralised evaluations, have not yet been prioritised but have been acknowledged as areas for improvement.

Analysis of documentary evidence and interviews shows that the Gavi Secretariat has embedded a strong results and learning culture within the organisation. This is supported both by monitoring, evaluation and learning (MEL) policies, such as the Learning Systems Strategy and the Evaluation Policy, and tools, as well as the overall Gavi 5.0/5.1 Strategy. The results and learning culture has been decentralised, and the use of evidence and learning in the design, implementation, and course correction of interventions and programmes is strongly encouraged through policies and ways of working. However, due to decentralisation, the extent and scale of resources devoted to results-based management (RBM) and MEL across the Secretariat are not transparent. Gavi's development into a learning culture based on evidence-based decisions is evident in its organisational strategy over the assessment period, including Strategy 5.0/5.1. Evidence from interviews shows that Gavi's Board and respective committees were able to use rapidly generated evidence to update the Secretariat's Strategy to 5.1 for 2021-25, particularly to respond to the COVID-19 pandemic.

Gavi has a clear evaluation plan that distinguishes between centralised and decentralised evaluations in terms of if and how they are managed by the Gavi Secretariat's Evaluation and Learning Unit (EvU) team, as well as strategic, thematic or country/programme evaluations. There is a plan for centralised evaluations; however, there is not a

comprehensive prioritisation process for decentralised evaluations. Gavi's EvU, although not independent from the Secretariat, produces quality centralised evaluations, guided by clear evaluation plans and policies. However, there are weaknesses in organisational approaches to ensuring the quality of decentralised evaluations and systematic tracking of the use of evidence. At the programmatic and intervention levels with country-facing partners, targets and indicators are adequate to capture causal pathways between interventions and outcomes. Analysis of evidence interviews shows that incentives to encourage the use of lessons learned are informal, although the inclusion of lessons learned for the design of new interventions is considered standard practice. Similarly, although there is a functioning system for identifying poorly performing interventions to feed into broader strategic monitoring, the existing country-level monitoring and learning system is somewhat unclear in how programmatic output data are linked to the results chain, financially focused and dependent on core partners with regard to poorly performing interventions. Encouragingly, however, Gavi has improved its mechanisms of sharing and disseminating evidence to partners, peers and other stakeholders.

RESULTS

Gavi has made significant progress on achieving results that are aligned with its intended goals despite the disruption of the COVID-19 pandemic. Analysis of evaluations and published reviews identify an organisation able to deliver results in a timely, efficient and sustainable manner. One area for future examination is whether Gavi is responding sufficiently to its beneficiaries' needs by using a specific definition of beneficiaries.

Based on an analysis of results included within Gavi's 2022 corporate reporting systems, Gavi has made significant progress in achieving results against its four strategic goals. For Strategic Goal 1, Gavi supported more than 40 vaccine introduction and prevention campaigns in 2022 alone, and it estimates that 2.7 million deaths were averted by COVAX across participating low- and middle-income countries (LMICs). For Strategic Goal 2 on equity, Gavi-supported health systems have improved, reaching the most vulnerable children during the assessment period (e.g. 2.6 million more children received basic routine immunisations through Gavi-supported health systems in 2022 than in 2021). For Strategic Goal 3 on sustainability, despite the profound financing challenges linked to the COVID-19 response and global economic shocks, Gavi-supported countries were able to contribute USD 162 million towards co-financing. Lastly, in support of Strategic Goal 4 on shaping markets, Gavi has continued to positively influence vaccine manufacturing at scale to improve access for LMICs. Gavi performs less well on cross-cutting issues (e.g. gender, environment and climate change), as these issues are either not addressed or have limited attention in Gavi's results framework. For example, there is little reference to gender or marginalised groups in Gavi's key strategic documents and policies, and this is also the case for climate change. In terms of vulnerable groups or those left behind, however, Gavi's focus on ZD children in Strategy 5.0/5.1 was clear.

Both resource efficiency and timeliness drive many of Gavi's strategic decisions; although gaps (e.g. leverage on country decision-making processes to be cost-efficient, and slowness in cash disbursement procedures) were identified in earlier Gavi reviews, there are ongoing efforts to address these factors. Fundamental to Gavi's support is that it is time-bound; thus there is a tremendous emphasis on ensuring the timeliness of implementation, including vaccines and cash grant disbursements reaching countries in a timely manner. Gavi also has several measures which allow it to monitor the financial and programmatic sustainability of its efforts pre- and post-exit. Previous reviews of Gavi's Eligibility, Transition and Co-Financing (ELTRACO) Policy have demonstrated that most countries do successfully transition to domestically financed sustainable support. These reviews have been used to update the Transition and Co-Financing policies. There was no specific evaluation by Gavi during the assessment period with regard to the organisation's responsiveness to its beneficiaries. However, the principles of leaving no one behind, inclusion and country ownership are embedded throughout Gavi's mission – as well as its evaluations and monitoring indicators.

An overview of Gavi's main strengths and areas for improvement against key areas of the MOPAN Framework is provided in Box 2. Comparison to other assessed organisations, specifically global health agencies such as WHO, the Global Fund,

UNAIDS, etc., and previous assessments by MOPAN is strongly discouraged due to changes in methodology over time and differences in organisational mandates, business and operating models, operating contexts, and their specific comparative advantages. In general, however, there was a decrease in the ratings for five of the KPIs (1, 3, 4, 6 and 7) between the 2015/16 assessment and the current one. All five of the KPIs declined from a rating of “Highly satisfactory” to “Satisfactory”. However, these decreases should be viewed with extreme caution because, as noted above, the MOPAN assessment methodology was modified substantially in the interim period. What is, perhaps, of greater importance is whether and to what extent Gavi addressed its 2015/16 areas of improvement (details are given in Chapter I). It can be briefly stated that for three of the identified areas (health systems strengthening design, use of evaluation results and country-level engagement), there has been definite improvement, but improving the speed of Gavi’s operations, including disbursements, remains a work in progress. Gavi has only partially addressed the cross-cutting issue of governance and has seen very little progress in fully addressing environment sustainability and climate change.

This assessment of Gavi highlights the value of the organisation taking actions to address specific challenges such as its approach to risk management and how it defines and manages its various lines of accountability. These two issues are further expanded upon in Chapter II.

Box 2. Main strengths and areas for improvement

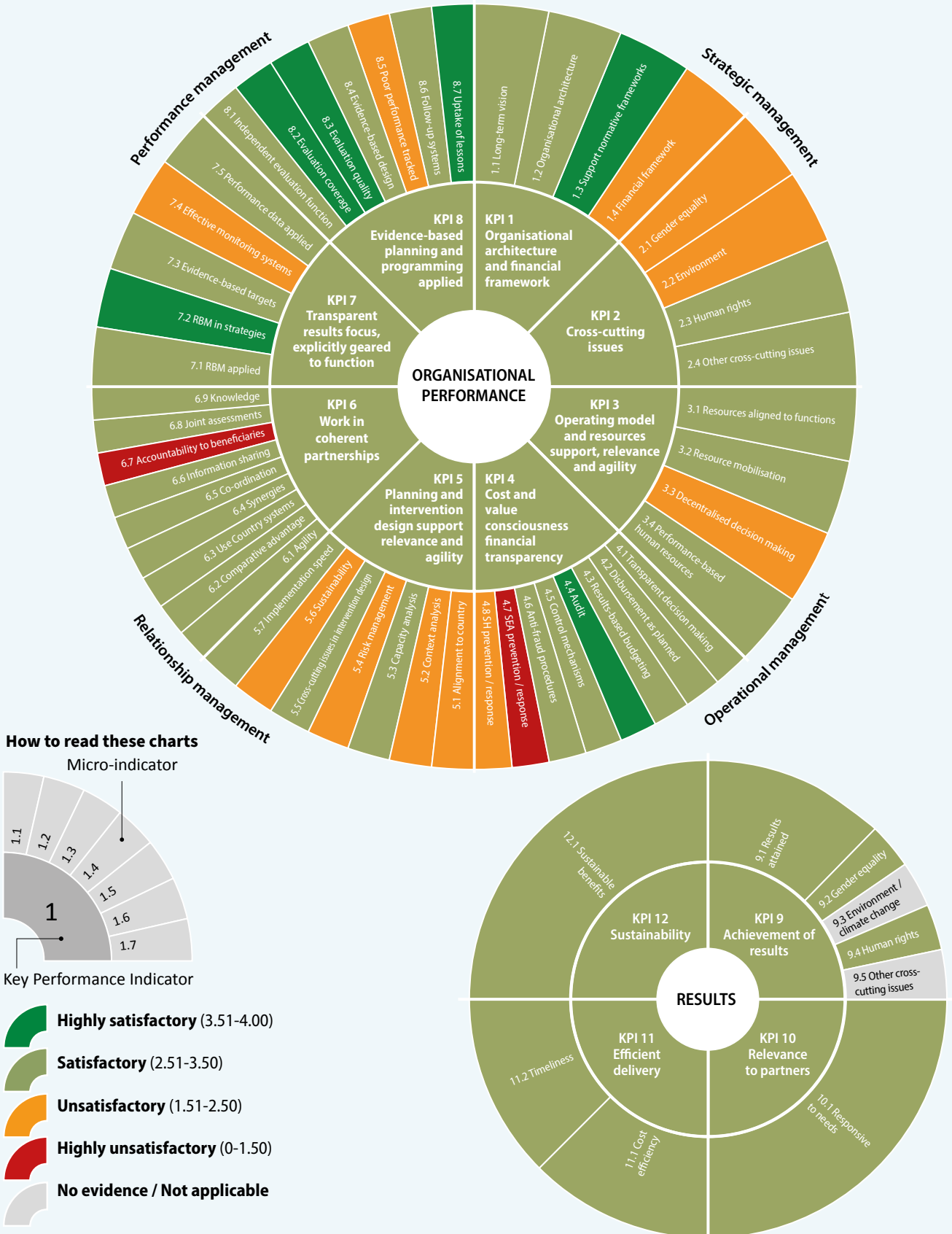
Main strengths

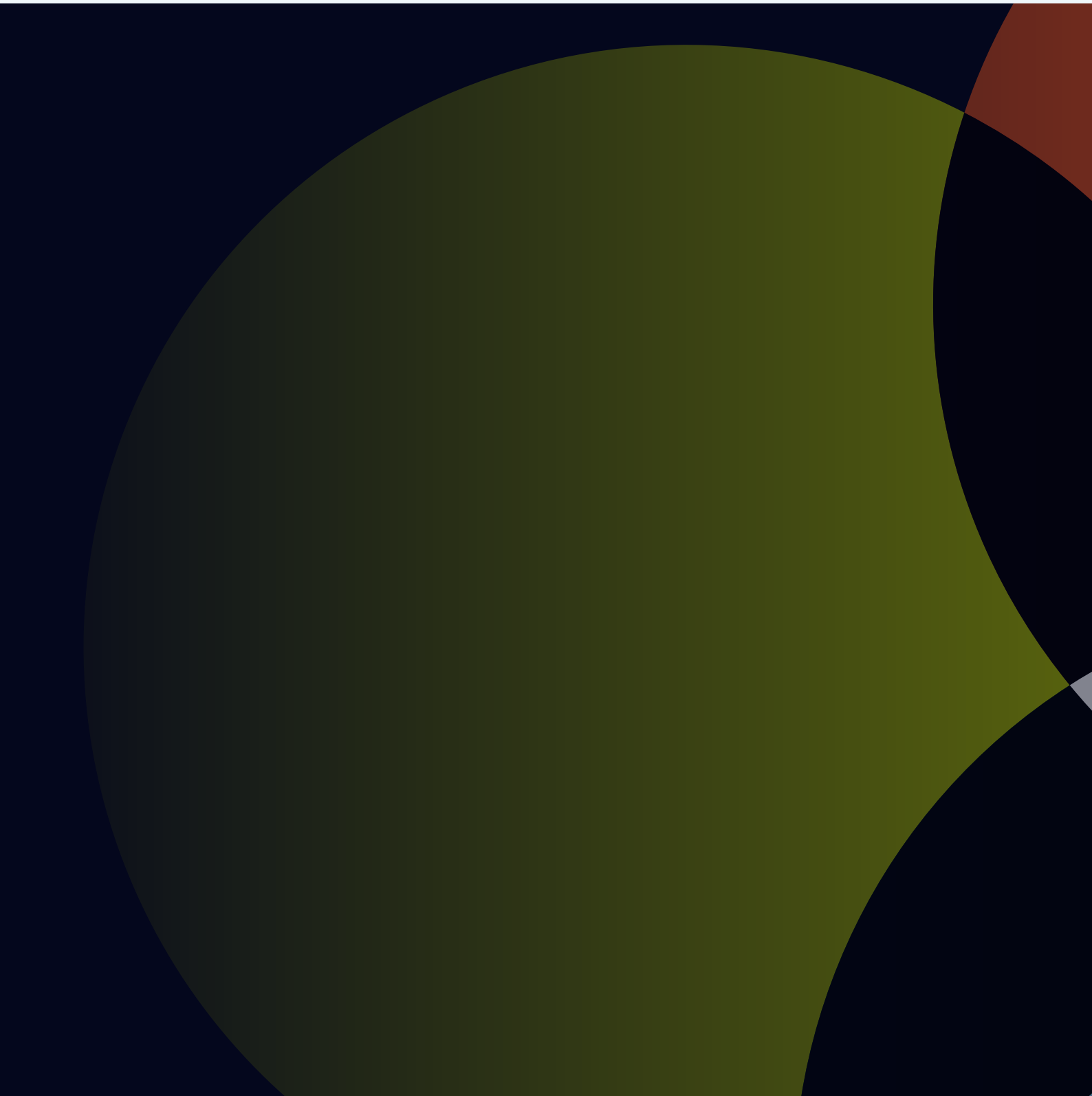
- Despite the COVID-19 pandemic, Gavi continued to demonstrate progress on its mission indicators that are identified in its strategies, and post-pandemic, it has refocused efforts on its core mandate.
- Gavi’s policies and processes of using robust evidence and close monitoring of financial disbursements and programmatic implementation ensure it remains a solid value-for-money organisation.
- Gavi’s engagement within the global health landscape has made it a critical agency not only for immunisations but for broader universal healthcare (UHC) and health systems strengthening (HSS) efforts.
- Gavi repeatedly demonstrated its ability to be responsive to country needs by closely aligning itself with country strategies and priorities, incorporating the use of country systems and collaborating closely with in-country stakeholders.
- During the assessment period, Gavi strengthened its evaluative and learning function, and its lessons learned and best practices are shared widely within the Partnership and with other stakeholders.

Areas for improvement

- Developing systems and ways of working that are aligned with international best practice to identify, monitor, mitigate and report on a wide variety of risks, including SEA and SH.
- Clarifying accountability within its unique Partnership structure and the specific groups to which the organisation should be accountable to.
- Rationalising and streamlining funding mechanisms (and accompanying reporting requirements), which are currently placing a significant burden on country-facing staff and implementing country partners.
- Addressing and incorporating cross-cutting issues, specifically gender, environmental sustainability and climate change.
- Developing a holistic and comprehensive approach to evaluation to support understanding of whether this function is adequately resourced, and to support the tracking of results holistically.

FIGURE 2: GAVI'S PERFORMANCE RATING SUMMARY





BACKGROUND TO THE ORGANISATION





Gavi Board Meeting, Crowne Plaza, Geneva, 6-7 June 2024

Photo: © Gavi / 2024 / Jay Louvion

MISSION AND MANDATE

By the turn of the millennium, the global immunisation landscape was at a critical juncture. Despite the availability of new vaccines, market failures prevented LICs from accessing life-saving products. Nearly 30 million children in developing nations remained unvaccinated or under-vaccinated. In this context, a coalition of founding partners recognised the urgent need for a market-shaping initiative to reduce vaccine prices by guaranteeing long-term, predictable demand. In 2000, the Global Alliance for Vaccines and Immunisation was launched, with initial seed funding from the Bill & Melinda Gates Foundation (BMGF). Now known as Gavi, the Vaccine Alliance, this new entity brings together the public and private sectors to achieve the shared mission of saving lives and protecting people’s health by increasing equitable and sustainable use of vaccines (Gavi, 2022^[1]).

Gavi funds the delivery of new vaccines and seeks to shape the global vaccine market. Gavi provides countries with predictable and long-term support for national immunisation programmes, working through existing systems, with governments defining their own priorities (Gavi, 2020^[2]). This enables countries to take on greater risk in their vaccine programming. By pooling demand for vaccines across multiple countries, Gavi demonstrates the size and viability of markets to manufacturers and is also able to negotiate reduced prices and remove commercial risks for manufacturers (Gavi, 2024^[3]).

In June 2019, the Board approved a new strategy (Gavi 5.0) to guide Gavi’s work over the 2021-25 strategic period, with the aspiration of leaving no one behind with regard to immunisation and of prioritising reaching communities who are currently missing. Reducing the number of ZD children is a new mission indicator for Gavi 5.0, with a goal of a 25% reduction in the number of ZD children by 2025 (Gavi, 2023^[4]). In December 2022, in order to integrate the learnings from the pandemic, the Gavi Board approved an updated version of the Alliance’s Strategy as Gavi 5.1 to serve as a bridge to Gavi 6.0. Gavi 5.1 continues to highlight the importance of improving the sustainability of immunisation programmes and ensuring healthy markets. It includes an evolution of the Alliance’s role in pandemic preparedness and response, including increased support for regional manufacturing diversification. Gavi 5.1 is supported by four strategic goals:

- **Strategic Goal 1.** The Vaccine Goal: Introduce and scale up vaccines.
- **Strategic Goal 2.** The Equity Goal: Strengthen health systems to increase equity in immunisation.
- **Strategic Goal 3.** The Sustainability Goal: Improve sustainability of immunisation programmes.
- **Strategic Goal 4.** The Healthy Markets Goal: Ensure healthy markets for vaccines and related products.

Gavi 6.0 will launch in January 2026. This next strategic period will be crucial for reassessing and reshaping the Alliance’s priorities and operations in light of changing global health dynamics and technological progress. It will aim to address future vaccine delivery and global health security challenges. A key part of this phase is a fundraising campaign to support Gavi 6.0’s implementation (Gavi, 2024^[5]).

GOVERNANCE ARRANGEMENTS

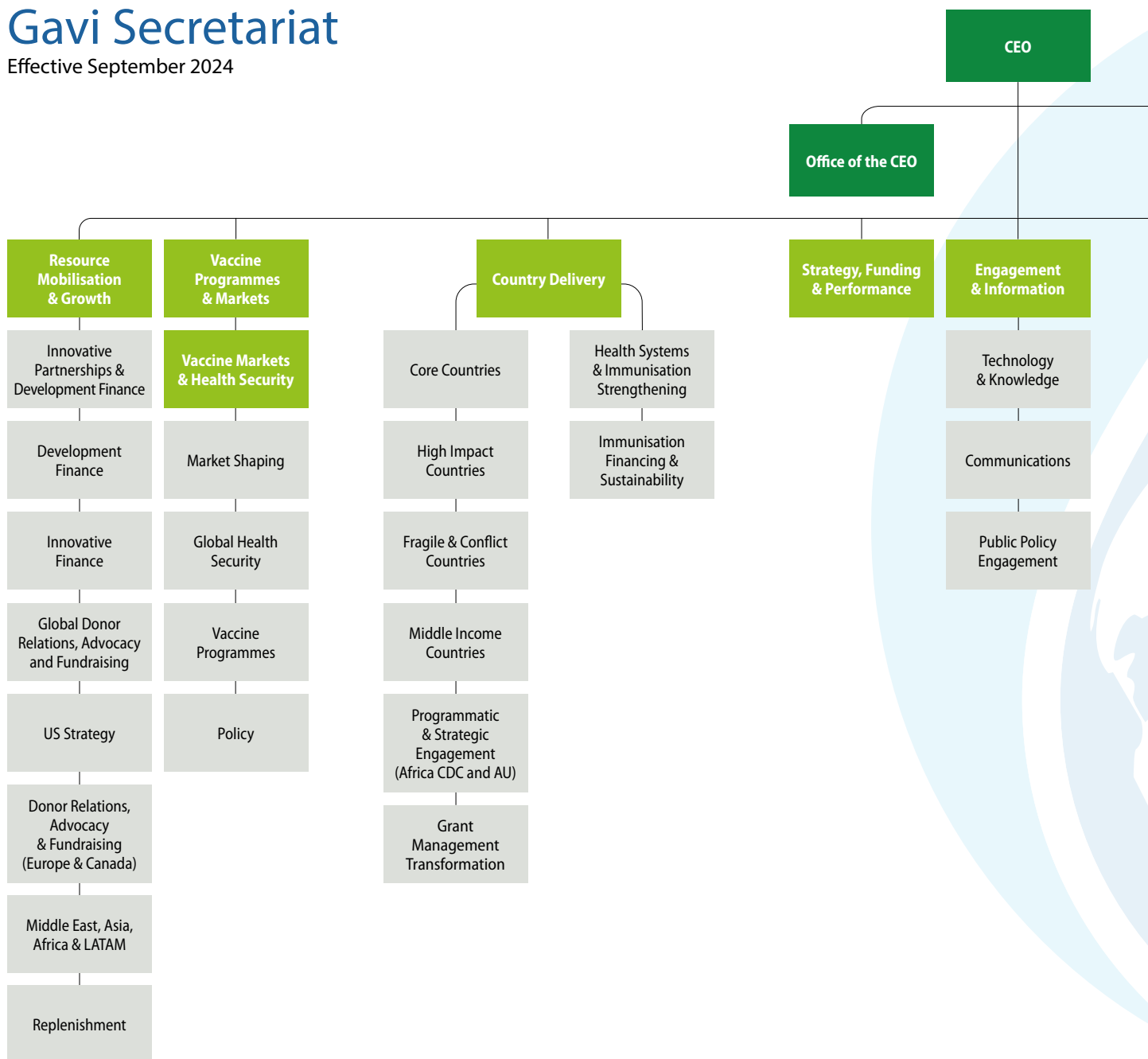
Legally recognised as a Swiss foundation with international institution status in Switzerland and public charity status in the US, Gavi benefits from tax-exempt contributions and simplified collaboration with private foundations.

Gavi is overseen by its Board of Directors (“Board”), which comprises 28 diverse members from partner organisations, private sector experts, and key stakeholders such as BMGF, UNICEF, the World Bank and WHO. Under José Manuel Barroso’s chairmanship, the Board sets the strategic direction and policies and oversees the Alliance’s operations. The Board provides oversight of the Secretariat and is responsible for policy making and strategic direction. The Board is comprised of the following (Gavi, 2023^[4]):

FIGURE 3: GAVI ORGANISATIONAL STRUCTURE

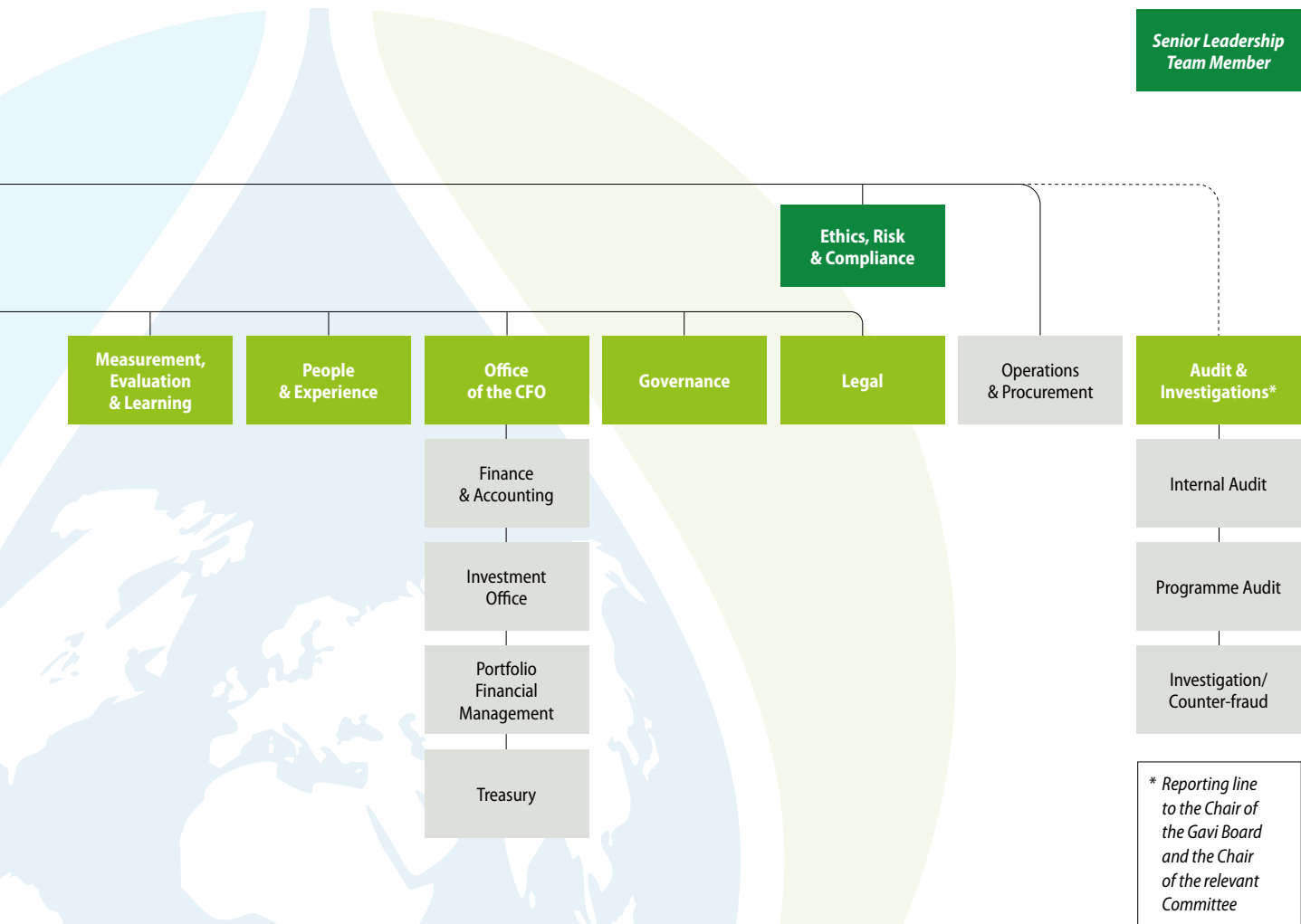
Gavi Secretariat

Effective September 2024



Source: GAVI Secretariat

- 18 “representative” seats, which ensure that institutions and constituencies can provide formal input into the development of all of Gavi’s policies and the management of its operations. These include four permanent seats for Gavi’s founding partners – the BMGF, UNICEF, the World Bank and WHO. Constituency representatives serve on a time-limited basis. Representative Board members help to shape Gavi’s strategic vision and policies.
- Nine seats for independent (or “unaffiliated”) individuals, who scrutinise the Board’s deliberations and provide expertise in critical areas such as investment, auditing and fundraising. Independent Board Members bring an innovative perspective to Board discussions and decisions and assist the Board in fulfilling its fiduciary role.
- One seat for Gavi’s Chief Executive Officer (CEO) (Gavi, 2020_[6]).



Board members are appointed by the existing Board members subject to, and in accordance with, the statutes and operating procedures. Gavi also has various active committees, including a PPC, a Governance Committee, an Investment Committee, an Audit and Finance Committee (AFC) and an Evaluation Advisory Committee (EAC).

ORGANISATIONAL STRUCTURE/PARTNERSHIP MODEL

Gavi operates through a partnership model, bringing together an international coalition of organisations. Its core partners are the BMGF, UNICEF, the World Bank and WHO. Gavi also works with a range of national governments; philanthropic institutions; civil society; the vaccine industry, represented by the International Federation of Pharmaceutical Manufacturers & Associations (IFPMA) and the Developing Countries Vaccine Manufacturers Network (DCVMN); and research and technical

health institutions. Gavi relies on these partnerships for programme delivery, leveraging country-based systems to reduce transaction costs for governments and ensure efficient implementation of vaccination programmes at both strategic and operational levels (Gavi, 2023_[7]).

The staff of the Gavi Secretariat are responsible for overseeing and managing day-to-day operations of the Alliance. The Secretariat is led by the CEO, Dr Sania Nishtar, with offices in Geneva and Washington, DC.¹ Responsibilities of the Secretariat include: mobilisation of resources to fund programmes; co-ordination of programme approvals and disbursements; development of strategies (e.g. the Alliance's 6.0 Strategy) and policies and implementation of strategic initiatives; monitoring and evaluation (M&E); and legal and financial management and administration for the Gavi Alliance Board and Committees. The CEO leads the Gavi Senior Leadership Team (SLT), which is responsible for overall management and decision-making to ensure the successful operations of the Gavi Secretariat and its role in supporting the broader Alliance in its delivery of Gavi's strategic plan (Gavi, 2024_[8]).

There are approximately 380-390 permanent and temporary core employees; additional consulting and COVAX staff bring the estimate to approximately 550-600 full-time employees. Figure 3 provides an overview of the organisational structure.

FINANCE AND OPERATIONS

Gavi's funding portfolio includes two funding streams: (i) direct contributions from donor governments, foundations, corporations and other organisations (77%), and (ii) innovative finance mechanisms tailored to donor budget requirements (23%) (Gavi, 2024_[9]). Gavi's innovative financing portfolio provides donors with a range of instruments to choose from, including the International Finance Facility for Immunisation (IFFIm), the Pneumococcal AMC, the Gavi Matching Fund, the loan buydown facility, and Innovation for Uptake, Scale and Equity in Immunisation (INFUSE), an ecosystem which builds a pipeline for strategic investments in vaccine delivery (Gavi, 2024_[10]). In 2020, Gavi also launched the COVAX AMC, an innovative financing instrument to support country participation in the COVAX Facility.

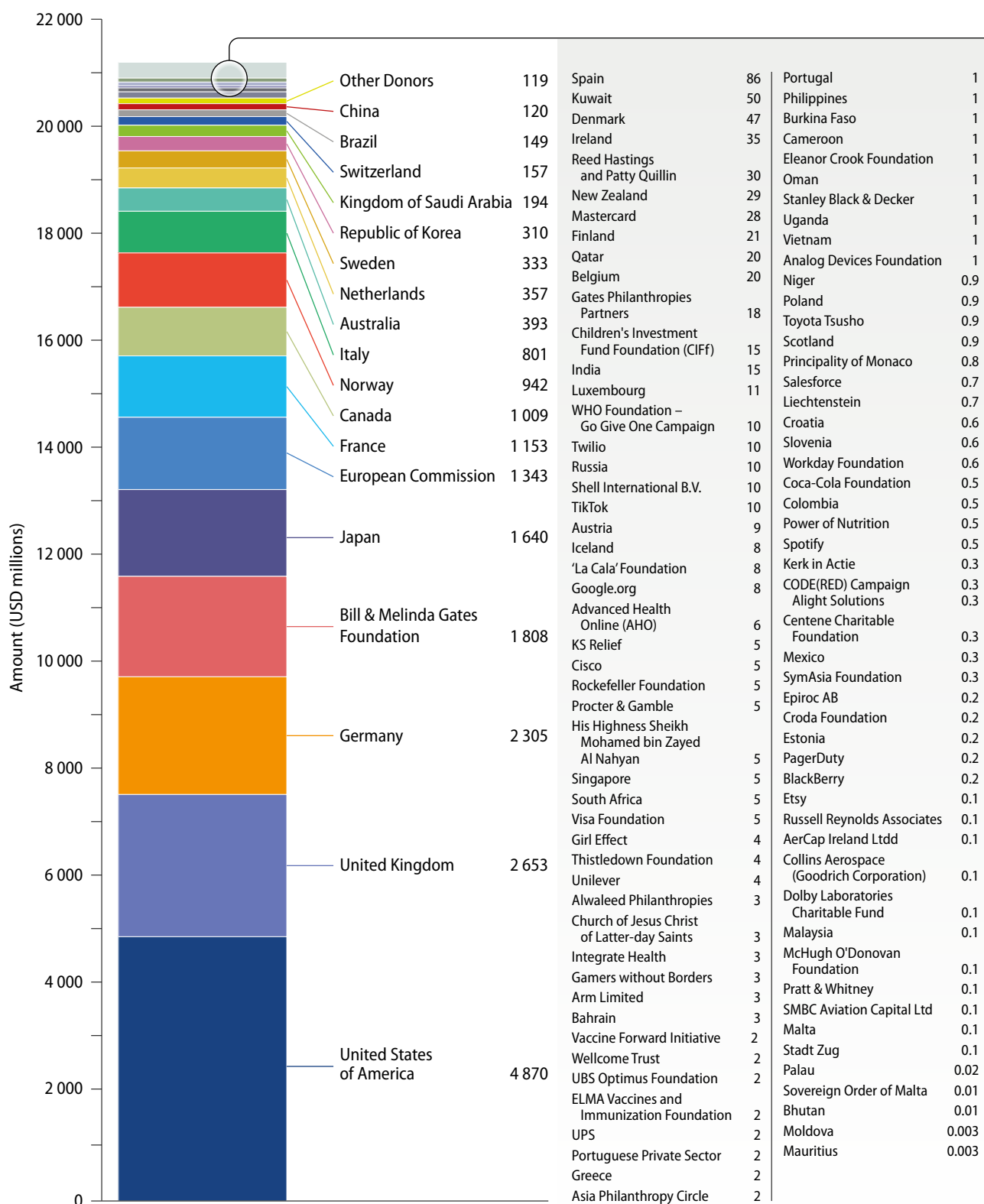
Gavi mobilises resources by: engaging public and private sector partnerships in this diversified portfolio of instruments; increasing ownership of implementing countries through co-financing; influencing market shaping through new market entrants and price reductions in vaccine manufacturing; and mobilising advocacy of civil society and involving a wide range of partners (Gavi, 2020_[11]).

Total donor contributions and pledges to Gavi for the 2021-25 period are USD 21.3 billion. This is comprised of total contributions received and outstanding pledges to Gavi as of 31 December 2023. In-kind contributions and dose donations are not included in the foundation, organisation and corporation totals shown. Figure 4 provides an overview of these donor contributions.

Gavi has received a strong and consistent level of support from key donors and IFFIm investors. Cash receipts increased from USD 1.6 billion in 2018 to USD 4.8 billion in 2022. The increase in cash receipts in 2020 and 2021 was due to the funding received for the Gavi COVAX AMC Facility of USD 353 million (in 2020) and USD 8.7 billion (in 2021). Owing to the changing nature of the COVID-19 pandemic and access to dose sharing, the funding needed in 2022 for the Gavi COVAX AMC was lower, and receipts were USD 2.7 billion. In 2022, the funding received for the Gavi COVAX AMC decreased to USD 2.7 billion. The overall percentage of funds received from innovative finance mechanisms increased from 8% in 2018 to 90% in 2021, owing to an increase in AMC cash proceeds, which includes the Gavi COVAX AMC, and an increase in IFFIm proceeds. Since 2018, innovative finance mechanisms have generated 66% of Gavi's

1. Although Dr Sania Nishtar is currently CEO, the assessment and the preceding description of the Secretariat in this section focus on the time period prior to her taking up the role in January 2024.

FIGURE 4: 2021-25 DONOR CONTRIBUTIONS AND PLEDGES TO GAVI: USD 21.3 BILLION*



* Comprised of total contributions received and outstanding pledges to Gavi as of 31 December 2023. In-kind contributions and dose donations are not included in the foundations, organisations and corporations total above.

cash receipts, 56% of which relates to Gavi COVAX AMC since its inception in 2020. The percentage decreased to 70% in 2022 due to a decrease in Gavi COVAX AMC proceeds. Fifty-six percent of the 70% in 2022 represents funds received from Gavi COVAX AMC donors (Gavi, 2023_[4]).

Multi-year pledges increased in 2020 and 2021 as a result of converting multi-year commitments from the third pledging conference into grant agreements to help fund Gavi's programmatic activities until 2025. The multi-year pledges decreased in 2022 by USD 1.8 billion as direct donors paid down their multi-year pledges. Multi-year pledges from Gavi COVAX AMC donors, including grant agreements assigned to IFFIm, amounted to USD 1.4 billion in 2020, USD 1.2 billion in 2021 and USD 661 million in 2022. At the Gavi Vaccine Summit in 2020, new multi-year commitments made by direct donors totalled USD 8.8 billion for the period 2021-25. As of 31 December 2022, 86% of these multi-year commitments had been converted into grant agreements signed by donors (Gavi, 2023_[4]).

The level of new and underused vaccines programme disbursements correlates directly with the rate of uptake of these vaccines, and it therefore provides an indication of Gavi's progress towards achieving its strategic goal. New and underused vaccines programme disbursements remained relatively stable from 2018 to 2022, at USD 1.1 billion in 2022. HSS programme disbursements totalled USD 191 million in 2022, representing a decrease compared to previous years due to the pandemic. In 2022, COVAX Facility programme disbursements were also lower by USD 3.5 billion, as advance payments in 2021 were drawn down to procure vaccines (Gavi, 2023_[4]).

In 2022, Gavi's overhead expenses as a percentage of total expenses, excluding the Facility, were 2.86%. Gavi's operating expenses as a percentage of total expenses, excluding the Facility, were 7.61%. In the same year, the Facility's percentage overhead expenses were 0.24%, and operating expenses as a percentage of total expenses were 0.53% (Gavi, 2023_[4]).

SITUATIONAL ANALYSIS (STANDARD SCOPE OF OPERATIONS AND COVID-19 RESPONSE)

As of 2022, Gavi was providing support in 57 LICs across six defined regions.² For planning purposes, countries were provided allocation ceilings for Gavi's support during the strategic period based on an allocation formula of four equally weighted parameters: (1) the number of ZD children; (2) the number of under-immunised children, i.e. children not receiving a third dose of a vaccine containing Diphtheria-Tetanus-Pertussis (DTP); (3) the birth cohort; and (4) GNI per capita (as a proxy for countries' target populations, health system strength, equity gaps and ability to pay).

Gavi's support, which is provided via grants, has included the provision of vaccines against 20 infectious diseases (e.g. DTP, measles, human papillomavirus (HPV), Ebola, typhoid and COVID-19), broader health systems' strengthening efforts, targeted technical assistance, and other critical areas to ensure that Gavi's vision of leaving no one behind with immunisation is achieved. Although Gavi's portfolio is globally and broadly advancing immunisation efforts in a number of countries, six countries (Bangladesh, the Democratic Republic of the Congo [DRC], Ethiopia, India, Nigeria and Pakistan) account for almost 60% of ZD children, approximately 50% of Gavi's vaccine supply and a large percentage of its investments.³

During the COVID-19 pandemic, Gavi also took a leading role in the global response by co-convening the COVAX Facility and the AMC with the Coalition for Epidemic Preparedness Innovations (CEPI), UNICEF and WHO. The aim of this effort was to provide COVID-19 vaccines to LICs by accelerating vaccination, technical, ultra-cold chain and other support, including 400 additional staff to WHO and UNICEF, and to offer additional support to strengthen health systems in countries with particularly low absorption capacity (Gavi, 2022_[1]). Eligible countries were required to contribute to

2. Africa, Americas, Eastern Mediterranean, Europe, South-East Asia and the Western Pacific.

3. For the 2000-26 period (as of December 2022), commitments to each country were (all figures in USD millions): Bangladesh: 1 001; DRC: 1 533; Ethiopia: 1 543; India: 976; Nigeria: 1 752; and Pakistan: 2 187.

their national immunisation efforts, with contributions increasing with a country's economic development (KFF, 2023^[12]).

Aside from its role in the COVID-19 response, Gavi is a key player in the global health ecosystem. Since its inception, Gavi has helped vaccinate more than 1 billion children, preventing more than 17.3 million deaths (Gavi, 2024^[13]). Gavi's work to broaden vaccine coverage and strengthen health systems is particularly critical in the context of climate change, urbanisation, human migration and conflict, which can exacerbate the spread of infectious diseases. Gavi-supported vaccinations have resulted in over USD 220.5 billion in economic benefits in focus countries (Gavi, 2024^[13]). Moreover, Gavi's emphasis on reaching ZD children (those who have not received any vaccinations) not only aims to protect against vaccine-preventable diseases but also serves as a critical platform for the delivery of other primary healthcare services. Finally, Gavi's market-shaping efforts have increased the number of vaccine suppliers and lowered costs significantly. This has enabled the expansion of the vaccine supply at affordable prices, enhancing global health security and economic stability (ICAI, 2020^[14]).

PREVIOUS MOPAN ASSESSMENTS

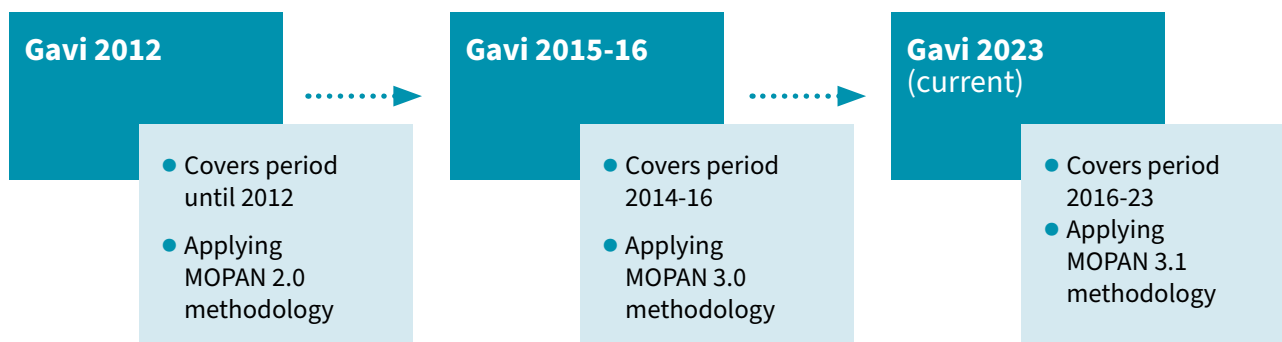
MOPAN has undertaken three assessments of Gavi, the first being in 2012 covering the period 2000-12, the second in 2015-16 covering 2014-16, and this being the latest, covering 2016-23.

In 2012, MOPAN conducted its first assessment of Gavi. It was the first assessment of a global fund, and it focused on Gavi's 2011-15 strategy, which set forth objectives focusing on the acceleration of new vaccine adoption, HSS, financial sustainability of immunisation efforts, and market strategies to reduce vaccine costs and ensure supply. In 2012, Gavi extended its support to 73 countries, including both GNI per capita-based eligible countries and transitioning ones, offering vaccines and financial support through both implementing partners – such as UNICEF, the World Bank and WHO – and direct governmental aid. Notably, Gavi mobilised USD 4.3 billion in pledges in 2011, reaching a funding pool of USD 7.6 billion for 2011-15, alongside implementing significant organisational reforms for enhanced effectiveness through strategic management improvements. The 2012 assessment outlines Gavi's strategic achievements and operational strengths, having gathered insights from Gavi's central offices, stakeholders across 15 beneficiary countries, a diverse group of 102 survey participants from multiple sectors, and a thorough review of documents. However, MOPAN recommends a cautious approach to interpreting feedback, because of the limited number of responses from some sectors. In summary, the 2012 MOPAN assessment highlights Gavi's critical role and efficacy in advancing immunisation accessibility in the developing world (MOPAN, 2012^[15]).

The 2015-16 MOPAN assessment of Gavi (MOPAN, 2016^[16]), which reviewed the organisation's performance from 2014 to mid-2016 and which applied the MOPAN 3.0 methodology, assesses Gavi across five key performance areas: strategic, operational, relationship, performance management and development effectiveness. It benchmarks Gavi against a comprehensive framework of indicators, assessing its role as an effective MO and its trajectory since the 2012 assessment. The second assessment places Gavi within a broader context of international developmental efforts.

The 2015-16 assessment found that Gavi fully met the requirements of an effective MO. Key strengths identified included that the organisation had a clear vision and distinct comparative advantage, robust commitments within its partnership structure, strong financial accountability and transparency, and a focus on results both in the short term and for the sustainable future. The assessment concluded that, in general, Gavi was a well-performing organisation which had set high standards for itself in the delivery of immunisations to its target populations within the countries in which it worked. It was deemed fit for purpose and was positioning itself to adapt to evolving needs based on corresponding strategic priorities. However, the assessment also revealed areas where performance could be strengthened. These included a need to better plan for and design HSS interventions, a more systematic and comprehensive process of evaluation follow-up and the inclusion of recommendations into programme design, a

FIGURE 5: MOPAN ASSESSMENTS



Note: MOPAN previous assessments of Gavi are available at www.mopanonline.org/assessments/gavi2024/index.htm.

need to refine its country-level engagement, better processes to address cross-cutting issues, and a need to speed up its operations, including disbursements.

It was also noted that within the partnership structure, Gavi delivered its support through organisations that also had a governance function via its Board, with the anticipation that the newly developed PEF would clarify roles, responsibilities and working relationships. In its management response, Gavi noted areas it wanted to further improve. Those included better management of evaluations and the incorporation of their results into learning, developing a results framework for HSS, clarifying Gavi’s country-level role and function, better integrating and articulating cross-cutting issues, and shortening some of its procedures (e.g. time to disbursement). As the current assessment shows, many of the aforementioned gaps were addressed; however, some, such as better addressing cross-cutting issues, remain a work in progress.

In its management response, Gavi noted that future MOPAN assessments would benefit from being more streamlined and strengthened to ensure a more comprehensive and accurate assessment of Gavi. This feedback informed the design and implementation of the current assessment. As detailed in the Inception Report and in Chapter IV of this report, MOPAN’s assessment framework has been adapted to Gavi’s unique Alliance structure and business and operating model. This tailoring of the framework was completed with a high level of engagement and support from the Gavi Secretariat and institutional leads to ensure a complete understanding of the organisation and to ensure that the interpretation and application of the various elements of the framework would be done appropriately.

REFERENCES

- FCDO (2024), *Safeguarding against Sexual Exploitation, Abuse and Harassment: Cross-sector Progress Report 2022 to 2023*, <https://www.gov.uk/government/publications/safeguarding-against-sexual-exploitation-abuse-and-harassment-cross-sector-pr>. [20]
- Gavi (2024), “About our Alliance”, <https://www.gavi.org/our-alliance/about>. [13]
- Gavi (2024), “Funding”, <https://www.gavi.org/investing-gavi/funding>. [9]
- Gavi (2024), *Gavi Secretariat*, <https://www.gavi.org/operating-model/gavi-secretariat>. [8]
- Gavi (2024), “Innovative financing”, <https://www.gavi.org/investing-gavi/innovative-financing>. [10]
- Gavi (2024), “Learning from COVID-19 to support vaccine delivery during future health emergencies”, <https://www.gavi.org/news-resources/knowledge-products/learning-covid-19-support-vaccine-delivery-during-future-health-emergencies>. [18]
- Gavi (2024), “Operating model”, <https://www.gavi.org/our-alliance/operating-model>. [3]

TABLE 1. 2015/16 MOPAN ASSESSMENT AND MANAGEMENT RESPONSE OF GAVI'S STRENGTHS AND AREAS FOR IMPROVEMENT

	2015/2016 assessment	Management response
Strengths	<ul style="list-style-type: none"> ● 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. ● Time-limited country engagement promotes a sustainable approach. ● RBM frames work and are reinforced through high-calibre staff. 	<ul style="list-style-type: none"> ● Management was pleased to see that the assessment concluded that Gavi was a fit-for-purpose, high-performing and effective multilateral organisation. ● Gavi remains nimble in meeting the evolving needs of country vaccination programmes while keeping a clear focus on its mission. ● Gavi has a clear vision and comparative advantage, with strong working partnerships. ● The organisation remains focused on results, accountability, transparency and sustainability. ● Gavi will continue to bolster its efforts in these areas through initiatives such as the new Partners' Engagement Framework (PEF) and the Alliance Accountability Framework (AAF). ● Gavi's strong operational model will be critical to achieving its 2016-20 strategy.
Areas for Improvement	<ul style="list-style-type: none"> ● 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. ● Refining country-level engagement with partners and better communicating Gavi's country-level role and function. ● 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. 	<ul style="list-style-type: none"> ● The areas for improvement identified in the 2015-16 MOPAN assessment were reviewed by Gavi to incorporate learnings. ● Gavi's health systems and immunisation strengthening support framework, introduced in January 2017, prioritises the hardest-to-reach children, allows tailored support, and aligns with national plans and systems. ● Gavi is working with the EAC to review Gavi's evaluation policy and increase the use of evaluation findings. ● Country ownership provides the key to sustainability and effectiveness of results achieved through Gavi's model. Furthermore, market shaping, co-financing and HSS are critical to the sustainability of results. ● MOPAN's recognition of Gavi's commitment to the cross-cutting issues of good governance, gender equality and environmental sustainability was welcomed. Gender equality is fundamental to sustainable and inclusive development, and Gavi assists countries in overcoming gender-related barriers primarily through its HSS support. Gavi has committed to investigating the nexus of climate change and immunisation and identifying ways it might assist Gavi-supported countries to reduce the impact of increased disease prevalence and health system disruptions. Gavi will also review its programmatic investments and initiatives to identify areas in which its environmental footprint can be minimised.

- Gavi (2024), *Phase VI (2026-2030)*, [https://www.gavi.org/our-alliance/strategy/phase-6-2026-2030#:~:text=Phase%20VI%20\(2026%E2%80%932030\),learn%20more%20about%20the%20process.](https://www.gavi.org/our-alliance/strategy/phase-6-2026-2030#:~:text=Phase%20VI%20(2026%E2%80%932030),learn%20more%20about%20the%20process.) [5]
- Gavi (2023), *Gavi, The Vaccine Alliance 2022 Annual Financial Report*, <https://www.gavi.org/sites/default/files/2023-06/GAVI-Alliance-2022-Annual-Financial-Report.pdf>. [4]
- Gavi (2023), “Gavi’s partnership model”, <https://www.gavi.org/our-alliance/operating-model/gavis-partnership-model>. [7]
- Gavi (2022), *Annual Progress Report 2021*, <https://www.gavi.org/sites/default/files/programmes-impact/our-impact/apr/Gavi-Progress-Report-2021.pdf>. [1]
- Gavi (2020), “Board composition”, <https://www.gavi.org/governance/gavi-board/composition>. [6]
- Gavi (2020), *Gavi’s Business Model*, <https://www.gavi.org/our-alliance/operating-model/gavis-business-model>. [2]
- Gavi (2020), “Gavi’s resource mobilisation process”, <https://www.gavi.org/investing-gavi/funding/resource-mobilisation-process>. [11]
- Gavi (n.d.), “Responding to COVID-19”, <https://www.gavi.org/covid19>. [17]
- ICAI (2020), “Report: The UK’s Work with Gavi, the Vaccine Alliance”, <https://icai.independent.gov.uk/html-version/gavi-the-vaccine-alliance/>. [14]
- IHME (2024), *Financing Global Health: Explore Patterns of Global Health Financing*, <https://vizhub.healthdata.org/fgh/>. [19]
- KFF (2023), “The U.S. Government & Gavi, the Vaccine Alliance”, <https://www.kff.org/global-health-policy/fact-sheet/the-u-s-government-gavi-the-vaccine-alliance/>. [12]
- MOPAN (2020), *2020 Assessment Cycle: MOPAN Methodology: MOPAN 3.1 – Methodology*, http://www.mopanonline.org/ourwork/themopanapproach/MOPAN_3.1_Methodology.pdf. [22]
- MOPAN (2016), *Gavi 2015-16*, <https://www.mopanonline.org/assessments/gavi2015-16/>. [16]
- MOPAN (2012), *Gavi 2012 Report*, <https://www.mopanonline.org/assessments/gavi2012/index.htm>. [15]
- UN (2018), *Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners*, https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf. [21]



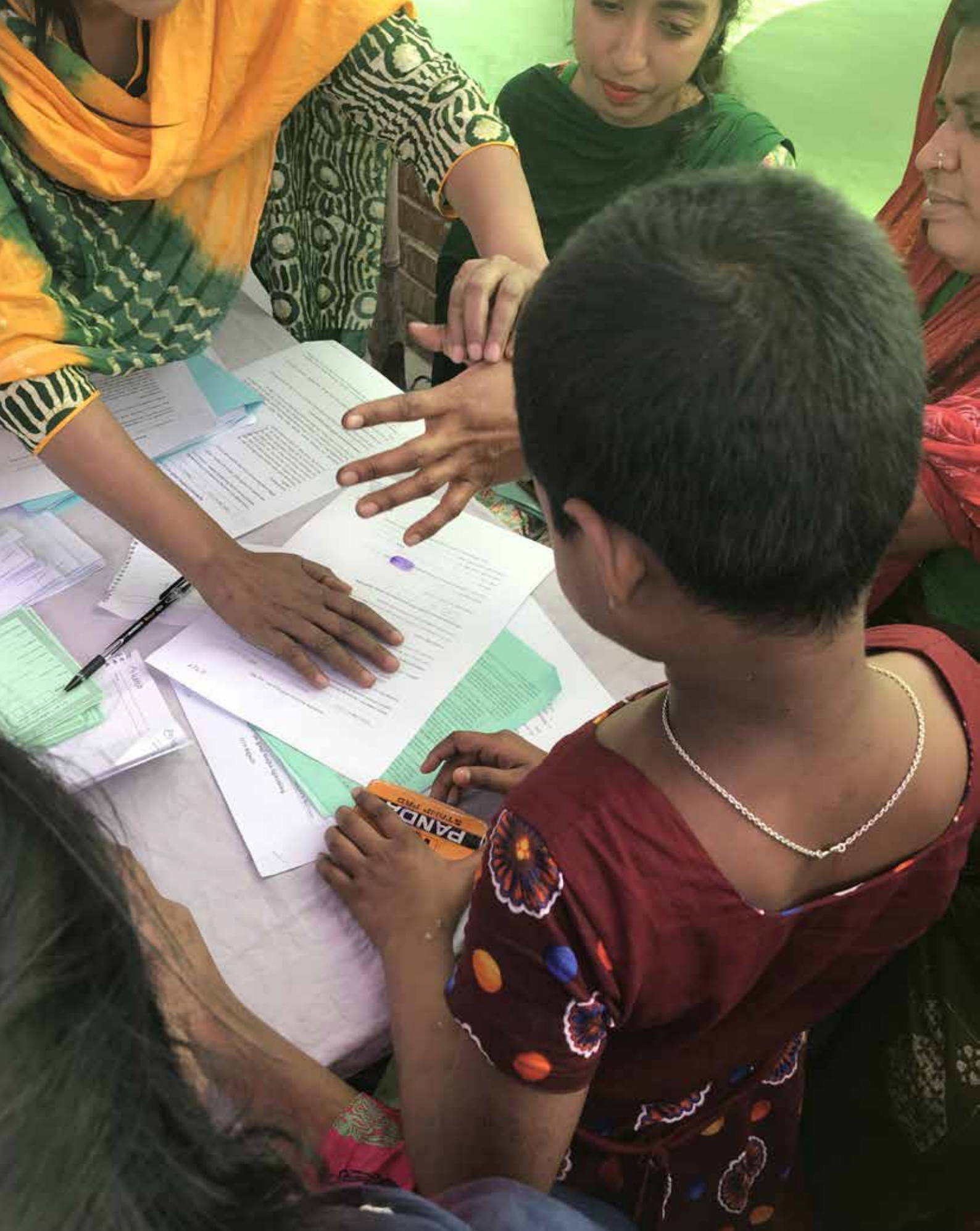
**Central African
Republic visit,
April 2024**

Gavi CEO Dr Sania Nishtar meets young women at a medical centre.

Photo: © GAVI

OVERVIEW OF KEY FINDINGS





Typhoid vaccination programme, Bangladesh

Immunisation card registration. Photo: © Gavi

ASSESSMENT SUMMARY

The MOPAN assessment of Gavi notes the positive performance and effectiveness of the organisation – with the 12 MOPAN KPIs assessed as satisfactory. The report identifies several areas in which Gavi demonstrated organisational strength and other areas for improvement. While all of the findings from the assessment are recognised as being important for Gavi’s consideration, three findings emerged throughout the assessment as being particularly valuable for consideration in relation to Gavi’s future strategic directions.

They are:

- Gavi would benefit from better defining the range of stakeholders and beneficiaries to whom the Alliance is accountable and clarifying what it means to be accountable within a Partnership structure.
- Although it has demonstrated recent and substantial progress, Gavi urgently needs to better identify, monitor, mitigate and report on organisational risks (strategic, political, reputational, operational), especially for those related to PSEAH.
- Gavi has strengthened its evaluative function but needs to address a few remaining gaps to ensure its positive trajectory in becoming a more robust learning institution.

In addition to further reflecting on these questions and their importance for Gavi, this section also provides a brief overview of Gavi’s response to the COVID-19 pandemic and of its universal and transformational effect on Gavi’s mandate, mission, operations and activities.

Gavi would benefit from better defining the range of stakeholders and beneficiaries to whom the Alliance is accountable and clarifying what it means to be accountable within a Partnership structure.

Gavi’s partnership structure presents a unique challenge in terms of accountability. Although Gavi works collaboratively with various partners, including government agencies, non-governmental organisations (NGOs) and private companies, the lines of responsibility and accountability can sometimes blur. One key question concerns how Gavi ensures accountability when some of its funding recipients sit on its Board (e.g. UNICEF and WHO).

Per the Gavi founding statutes, the Board is the ultimate decision-making body and sets Gavi’s policies, strategies and priorities, approves funding allocations, reviews programme performance, and oversees Gavi’s strategic direction and mandate. The Gavi Delegation of Authority Policy delineates the decision-making power of the Board and key officers (i.e. the CEO, Deputy CEO, Treasurer and Secretary) in accordance with the Gavi Alliance Statutes and strategy. The policy confers on this group high-level powers to sign legal instruments on behalf of the Gavi Alliance and to authorise expenditures including agreements for country programmes, investment cases, financial commitments and business plans of over USD 1 million. The Board and key officers also have the authority to adopt internal policies and procedures related to administration and management.

Given these responsibilities, the question arises: can an organisation hold its own decision-makers accountable? Key informants mentioned that there can be doubts within the Board as to the motivation of certain representatives, which may appear to be political or self-serving. This arises for instance when trying to establish if existing partners are best placed to provide support in a certain area or if new partners should be brought in. The Gavi Board, however, does have conflict of interest (COI) policies and procedures in place to mitigate this, and the independent members, who comprise one-third of the Board, are considered a buffer. In addition, the Governance Committee (GC) was established to support the Board in fulfilling its responsibilities related to developing and implementing sound governance policies and practices. Specifically, the GC can make recommendations for the Board covering: (i) the governance practices and governance structures of Gavi; (ii) the appropriateness of candidates that are nominated

to the Board and its committees; (iii) Board and committee member performance; (iv) the implementation of Gavi's ethics and COI; and (v) other matters as necessary.

Nevertheless, the question remains as to whether these measures are adequate to balance the composition of the Gavi Board. One of the roles of the Alliance partners is to take technical leadership in some areas, e.g. UNICEF leads on supply chain management. However, given the clear delineation of roles and responsibilities for each Alliance partner as laid out in partner grant agreements, it can be difficult for the Gavi Secretariat or Board to enforce stringent technical oversight or M&E without it being perceived as a creep of scope. Thus, Secretariat staff said that it is a challenge to keep Alliance partners accountable. Indeed, Gavi works to ensure that partners use funding responsibly; however, the lack of clear lines of accountability makes this difficult.

In a similar vein, there is also a question of accountability for Gavi as a whole to its end users. Who ultimately bears responsibility for ensuring programmes reach and benefit the intended populations? Because Gavi itself does not explicitly define who its beneficiaries are in its official documentation (although its vision within its 5.0 and 5.1 Strategies is "Leaving no one behind with immunisation"), it is difficult to measure how effectively programmes are reaching and impacting the intended population. If the unimmunised are envisioned as the beneficiaries, it is unclear what that means in terms of accountability and how that would be operationalised. And if programming is not effective, or is even detrimental, where does that responsibility end? Which part of the Partnership is to be held accountable for achieving intended outcomes? Or is the focus solely on proper financial management? This includes both accountability in governance (Board level) and programming (partnership and grant design).

Two-thirds of the voting members of the Board are representatives from key Vaccine Alliance partner institutions and stakeholders (each such representative is a "representative Board member"), and one-third of its voting members are independent (or unaffiliated) individuals that are appointed in their personal capacity on the basis of their skills and networks. However, notably absent at this point, is a requirement for Gavi to invite to the Board representatives of the interests of the populations being vaccinated, even within the independents category, although one seat is reserved for CSO representatives. If Gavi is seeking to serve the populations in countries that receive immunisations, it would be sensible (perhaps obligatory) to provide space for them to share their voices and contribute to Gavi's decision-making processes.

Gavi's collaborative approach offers strength in its diversity of expertise and resources. However, to truly solidify its impact, a more robust understanding and framework for accountability is needed, including possibly, multiple lines of accountability across all levels of the partnership. This framework would need to address not only financial responsibility but also the effectiveness both of programmes in reaching and improving the lives of those they aim to serve and of the way in which feedback is provided to Gavi (the Partnership) to ensure that the voices of beneficiaries, however defined, are clearly heard.

Though it has demonstrated recent and substantial progress, Gavi urgently needs to better identify, monitor, mitigate and report on organisational risks (strategic, political, reputational, operational), especially for those related to PSEAH.

Gavi is taking positive steps towards a more robust risk management framework¹, as well as recently increasing the quantity and quality of staff dedicated to overseeing its organisational risks, but there is room for improvement. Further, as noted, most of this progress is recent and comes at the end of the seven-year period for this assessment, meaning there were substantial gaps during that timeframe.

1. In December 2023, Gavi's Board approved its Risk Appetite Statement 3.1, and in September 2023, it published a more streamlined and robust Annual Risk and Assurance Report. Neither of these documents was available during the data collection period, but they are noted here in terms of Gavi's commitment to improving its risk management processes.



**Malaria
vaccination in SOA
District Hospital,
Cameroon**

Young mothers
waiting for
innoculations.

Photo: © GAVI /
Go'tham Industry

Currently, there is no formal or standardised requirement for detailed risk analysis and mitigation strategies in the application process for grants, as well as in country programme (CP) or partnership designs, and this is the case across all risk categories outlined in the MOPAN assessment criteria (operational, strategic, political, reputational and PSEAH-related). That being said, some aspects of the application phase support a more proactive approach to risk that interviewees believe Gavi is seeking to instil. For example, during the application phase, applicants must include a situational analysis of various areas including the sustainability of human resources for health and the recurrent cost of service delivery and operational costs. Additionally, if a country is in the transition phase, it is asked to also include a situational analysis either of concerns around sustainable financing and operation of the immunisation programme or regarding the sustainability of the programme, with supporting reasons. Applications that reach the IRC are reviewed for their inclusion of contextualised operational detail, and recommendations can include increased Gavi support for integrating operational plans and updating relevant national policies.

There are also some procedures in place to support risk management during implementation. However, current requirements tend to lend themselves to a more reactive approach to risk management rather than a proactive risk management strategy that is outlined in the design phase. The AFC oversees Secretariat, grantee and partner activities including the adequacy and effectiveness of Gavi's governance, risk management processes and system of internal control, and the quality of performance in carrying out assigned responsibilities to achieve stated goals and objectives. However, there is no explicit documentation outlining the lines of responsibility between different Secretariat staff or teams in terms of risk, nor were there clear pathways to follow for risk assessment, mitigation and response, or when and how to escalate risks for programme management. Evidence from interviews shows that this appears to be dependent on the programme management styles of the individual CP managers.

It should be noted that risk is discussed at relevant Board committees (e.g. programmatic risk is discussed at the PPC). For example, the PPC was asked to consider amending the risk appetite statement to support preventive campaigns in May 2023. Financial risk is discussed at the AFC, although for both, the pathway to escalating risk to these committees is unclear.

Gavi, TG and Ghana Health Service joint site visits in Buduburam Ghana

Teams from Gavi, the Global Fund and Ghana Health Service provide Malaria vaccination and controlled health exercises in a refugee camp west of Accra.

Photo: © GAVI / Nana Kofi Acquah



In December 2023, the Gavi Board approved the new Gavi Risk Appetite Statement, Version 3.1, which outlines the higher level of risk that Gavi is willing to take, accept or tolerate to achieve its strategic goals in Gavi 5.1. These risk appetites are laid out according to the strategic objectives, as well as by operational, performance, reputational and financial objectives. This represents a significant development in the comprehensiveness and the proactive nature of Gavi's risk management; however, the finalisation of this document came after the end of the assessment period. Furthermore, since 2023, the revised annual Risk and Assurance Report structure includes descriptions, potential causes, developments and mitigation strategies for operational, strategic, reputational, political, environmental, contextual and behavioural risks. This demonstrates a significant development in clarifying the risk management function at Gavi.²

Given the Alliance's work across lower-income and/or fragile contexts with marginalised groups, including children, there are many significant risks that would benefit from a formal mitigation strategy being in place at the design stage. For example, as acknowledged by Gavi in both its annual Risk and Assurance Report and its Risk Appetite Statement, there are inherent risks in providing immunisations. The most immediate are potential adverse event risks, as well as other risks such as SEA, the safeguarding of the individuals being vaccinated and gender sensitivities, depending on the country or region in which the programme is being implemented. As Gavi also acknowledges, it faces other risks such as:

- Financial risks around fund management and misuse given that Gavi funds beneficiary governments directly, as well as the possibility of non-compliance with co-financing requirements.
- Reputational risks given that the Gavi Secretariat does not provide implementation support first-hand but works through Alliance and expanded partners. This includes possibilities such as poor performance or a lapse in standards of integrity, compliance or efficiency in the work undertaken for a programme.
- Political risks that arise from working directly with beneficiary governments such as how countries' internal politics or regional and international political developments could affect EPI efficiency and impact or prioritisation of immunisation.
- Strategic risks that could include changes to the global supply chain, affecting Gavi's ability to achieve its strategic objectives.

2. *Ibid.*

There is also no existing formal framework for addressing SEA risks within intervention designs. This puts the organisation at considerable reputational risk considering the many SEA cases which have been reported within, for example, the United Nations (UN) system during the last several years. Efforts to strengthen Gavi’s policies, processes and practices in this area are urgently needed. Although a PSEAH framework is under development, it has not yet been implemented. This leaves a critical gap in protecting vulnerable populations and beneficiaries of immunisation services (i.e. those groups at potential risk of SEA).

Another area needing attention is the limited transparency in reporting incidents of SH (of Gavi personnel). Public reports lack information on the number and nature of SH cases and actions taken in response. Although Gavi feeds into inter-agency safeguarding progress reports, details regarding SH cases are absent. The low number of reported SH incidents, despite a Respectful Behaviour Policy being in place, has raised concerns among key stakeholders, including members of Gavi’s Board. This could be a sign of potential barriers within the current reporting system. The low number of reported cases makes it difficult to assess the system’s effectiveness in addressing SH issues. Awareness of the mechanisms for reporting SH should be increased. Some operational details lack transparency.

Up to 2023, Gavi’s teams were asked to report risks related to their teams’ priorities, activities and operations in a dedicated risk register, using a forward-looking approach at least twice a year. This encompassed financial, political, strategic, reputational and other operational risks, which were reported in the risk registers as part of the Team Performance Metrics cycle. However, only risks assessed as “top risks” were reported in the annual risk and assurance reports, although the process for assessment or criteria of what constitutes a “top risk” is not clear. As a result of this process of prioritising risk, the oversight and accountability mechanisms, such as the AFC and annual risk reports, tended to focus more on administrative processes and financial audits – which did indeed support senior leadership in risk-based decision-making, notably during COVAX. Nevertheless, a more comprehensive approach is needed, such as one that systematically analyses and develops mitigation strategies for diverse organisational risks. Even Gavi’s recent focus on risk management primarily addresses programmatic and corporate risks, leaving a gap in areas such as operational, strategic, reputational and political risks. Additionally, a previous practice of creating a risk matrix for each CP to track risk and mitigation has been discontinued owing to a lack of human resource capacity in the Secretariat. This, coupled with the lack of a systematic approach to analysing risks in high-risk countries, creates significant blind spots, particularly given the fact that 46% of Gavi-eligible countries would classify as fragile and conflict-affected. However, Gavi undertook a pilot in 2022 to implement a wider programmatic risk management framework. It was not systematic because at that time the Risk Function was trying to identify the best way to capture country risks and complement country risk matrices. Improving transparency in reporting SH incidents and addressing potential barriers within Gavi’s internal and external reporting systems are also critical for creating a safer environment for all stakeholders within the partnership.

Gavi has strengthened its evaluative function but needs to address a few remaining gaps to ensure its positive trajectory in becoming a more robust learning institution.

It is clear that in recent years, Gavi has taken significant strides in improving its position as a learning organisation. This includes developing an institutionalised and decentralised approach to RBM and MEL that ensures learning is not just the remit of the internal EvU. This learning culture and focus on results are evident in its operational strategy, including Strategy 5.0/5.1, which sought to develop and embed increased evidence generation and decision-making to successfully implement Gavi’s strategy for 2021-25. However, a decentralised approach has some challenges – such as clarity of sufficient resources and ensuring consistent quality across the Secretariat – that should be discussed and addressed. For instance, Gavi’s centralised evaluations, led by its EvU and reviewed by the EAC, adhere to evaluation best practice and demonstrate high-quality and appropriate methodological approaches. However, there is greater variation in the quality of decentralised evaluations. Gavi should better link the centralised and decentralised evaluation functions by creating stronger mechanisms for the oversight of decentralised evaluations, including their methodological approaches and resource allocation, by the EvU, such as through a final assessment as conducted for centralised evaluations.

The Gavi Secretariat has embedded this learning culture through various mechanisms, including the Learning Systems Strategy (LSS) and the Evaluation Policy. The learning strategy is embedded throughout the key Gavi Strategy activities. The LSS also makes clear that from Strategy 5.0 onwards, evidence-based learning is a core element embedded in everything Gavi does, in order to continuously adapt and improve on how Gavi achieves its mission. Some of the best practices with regard to MEL that Gavi should continue to expand, in order to embed its improved learning culture, include clear and accessible guidance for staff, through MEL and RBM training, on target setting and indicator development, based on the overarching Gavi 5.0 Measurement Framework, as well as technical support during decentralised evaluations. Moving forward, Gavi can build on its progress thus far on learning by streamlining indicators, supporting the varying quality of data collected at the country level and from Alliance partners, and ensuring that RBM and MEL activities are adequately resourced through a clearer understanding as to whether existing resources are sufficient.

Gavi should also clearly articulate – with country-level partners and with the Alliance partners – who is responsible for setting results targets of country-level interventions, in order to improve the representation of beneficiaries in MEL and RBM. In addition, although Gavi as a partnership supports evidence-based dialogue at the regional and country levels, Gavi should expand the active dissemination of its learning and continue its improved dissemination with partners and peers. Currently, all centralised evaluations are easily available on the Gavi website, and survey data show a positive image of the role of Gavi's performance data in supporting dialogue. Gavi can build on this strength by publishing not only centralised evaluations but also strategic or relevant decentralised evaluations and by continuing to participate in global health and immunisation forums.

The strengthening of a results-based, learning culture within Gavi has enabled the Secretariat and the Board to access results data that measure the degree of goal achievement, including for Gavi 5.1. In other words, Gavi's Measurement Framework and its linkages to the overall Gavi Strategy enable Gavi to use data to make decisions with regard to



**Cholera
vaccination,
Kajiado East,
Kenya**

Caroline Moraa, a Community Health Volunteer from Kitengela Sub County Hospital is championing and stressing the importance of Cholera vaccination in the local community.
Photo: © GAVI / Kelvin Juma

programming and strategic direction. This includes the availability of data at corporate and strategic planning levels, including annual Gavi progress reports, annual EAC reports to the Board and biannual Strategy, Programme and Partnership Progress Reports. For instance, the work of the Secretariat to provide strategic evidence to inform decision-making has been applauded by Board and Committee members. However, Gavi should consider improving and formalising many of its mechanisms for the use of evidence and lessons learned to design new interventions. Although it is currently considered “standard practice” that is encouraged, the nature of Gavi’s decentralised approach to MEL means there is a risk of such standard practice being missed with such diverse programmes and interventions globally. More systematic tracking internally of the use of lessons learned in new intervention designs would provide Gavi with insight as to the extent to which the learning culture has been institutionalised.

GAVI’S COVID-19 RESPONSE

Gavi has established itself as a cornerstone of the global health system, playing a crucial role both during the COVID-19 pandemic and in the wider context of international public health. Through strategic partnerships and innovative initiatives, Gavi not only responded swiftly to the pandemic by co-leading the COVAX effort but has also maintained its commitment to routine immunisation and to ensuring equitable vaccine access worldwide (Gavi, n.d.^[17]).

Box 2. Main strengths and areas for improvement

Main strengths

- Despite the COVID-19 pandemic, Gavi continued to demonstrate progress on its mission indicators that are identified in its strategies, and post-pandemic, it has refocused efforts on its core mandate.
- Gavi’s policies and processes of using robust evidence and close monitoring of financial disbursements and programmatic implementation ensure it remains a solid value-for-money organisation.
- Gavi’s engagement within the global health landscape has made it a critical agency not only for immunisations but for broader universal healthcare (UHC) and health systems strengthening (HSS) efforts.
- Gavi repeatedly demonstrated its ability to be responsive to country needs by closely aligning itself with country strategies and priorities, incorporating the use of country systems and collaborating closely with in-country stakeholders.
- During the assessment period, Gavi strengthened its evaluative and learning function, and its lessons learned and best practices are shared widely within the Partnership and with other stakeholders.

Areas for improvement

- Developing systems and ways of working that are aligned with international best practice to identify, monitor, mitigate and report on a wide variety of risks, including SEA and SH.
- Clarifying accountability within its unique Partnership structure and the specific groups to which the organisation should be accountable to.
- Rationalising and streamlining funding mechanisms (and accompanying reporting requirements), which are currently placing a significant burden on country-facing staff and implementing country partners.
- Addressing and incorporating cross-cutting issues, specifically gender, environmental sustainability and climate change.
- Developing a holistic and comprehensive approach to evaluation to support understanding of whether this function is adequately resourced, and to support the tracking of results holistically.

A key component of Gavi's COVID-19 response was the COVAX AMC, which aimed to support LMICs through the procurement and distribution of COVID-19 vaccines. By mid-2022, donor governments and private philanthropies had pledged USD 12.4 billion to the COVAX AMC for vaccine procurement, delivery and logistics. Gavi's support was available to countries with a GNI per capita below or equal to USD 1 730 on average since 2020, and by 2022, 54 countries were eligible for Gavi support (KFF, 2023^[12]). In collaboration with the UN's Inter-Agency Standing Committee (IASC), Gavi also designed the COVAX Humanitarian Buffer, a safety net to ensure access to COVID-19 vaccines for the most high-risk and vulnerable populations in humanitarian settings (Gavi, 2024^[18]). In 2022, COVAX delivered approximately 850 million COVID-19 vaccine doses, and primary series coverage in AMC countries increased significantly. Gavi's efforts also extended to strengthening health systems and integrating COVID-19 vaccination programmes into primary healthcare and routine immunisation services. As of mid-2023, the demand for COVID-19 vaccine doses from AMC participant countries had decreased, indicating a shift in the pandemic's acute phase. Gavi continued to support countries with the lowest COVID-19 coverage rates, focusing on high-priority groups (Gavi, 2024^[18]).

GAVI'S FUTURE TRAJECTORY

The discussion of Gavi's future trajectory must be placed in the greater context of the global health landscape and corresponding funding. Gavi has adopted its Strategy 6.0 at a time when the fiscal space for many subsectors of global health has either plateaued or is declining. It is estimated that, from a peak of USD 84 billion in 2021, by 2026 development assistance for health will be in the range of USD 43.7 to 58 billion and may not begin to rise again, albeit slowly, until 2031 (IHME, 2024^[19]). Even though the COVID-19 pandemic clearly demonstrated the need for



Japanese Encephalitis vaccination in Lao PDR

The first doses of Gavi-funded JE vaccine were given at an immunisation session held in Vientiane. Lao PDR became the first country to use support from Gavi, the Vaccine Alliance to protect its children from Japanese Encephalitis.

Photo: © GAVI / Bart Ver Weij

strong health systems, multiple competing priorities along with post-pandemic donor fatigue have made the funding landscape challenging. Gavi's replenishment, which is scheduled for the second half of 2024, comes at the same time as other organisations (e.g. WHO, the Pandemic Fund) will also be seeking funds. Further, a number of key contributors to Gavi – e.g. Japan, the United Kingdom (UK) and the United States – will be holding elections in 2024, which increases the uncertainty around future funding. Although Gavi may be able to find efficiencies through better co-ordinated efforts with other global health stakeholders (e.g. the Global Fund and the Pandemic Fund), there will be limits.

Gavi's new strategy comes at a critical time for the organisation and its evolution.

The COVID-19 pandemic presented both a significant challenge and an opportunity for Gavi. As the global leader in providing immunisations for countries in need, the expectations were great for Gavi to play a central role in addressing the crisis. The impact of COVID-19 put vulnerable populations, including the unimmunised, further at risk, and Gavi had to simultaneously lead the COVAX Facility (the vaccine pillar of the global COVID-19 response) and also attempt to ensure that there was no backsliding in its core vision and corresponding priorities. As such, it used the lessons learned from the pandemic to evolve the Gavi 5.0 Strategy into Gavi 5.1, which was to serve as a bridge before the new Gavi 6.0 Strategy. This included a renewed emphasis (and recalibration) of its Gavi 5.0 priorities, while including pandemic preparedness and response efforts and recognising that some priorities, such as the introduction of additional new vaccines, would proceed more slowly than planned. As it looks forward, Gavi would benefit from considering how broad of a mandate it can accomplish, given the demands and needs of its implementing countries, while also facing a number of external challenges.

Gavi's engagement is crucial to the global health landscape, and strong internal and external partnership bases will only further enhance its efforts.

Gavi has a significant role to play in contributing towards SDG 3 (Ensure healthy lives and promote well-being for all at all ages), as well as many of its underlying indicators and corresponding targets. It also indirectly contributes to several other SDGs (e.g. SDGs 1, 5, 10, 17, etc.) which encompass a wide range of goals (e.g. ending poverty, promoting gender equality, partnerships, etc.). To make progress towards both its internal goals and the SDGs, Gavi has consistently partnered with other global health organisations both as part of its core internal structure (WHO, UNICEF, the World Bank and the BMGF), but also those such as the Global Fund and the United States Agency for International Development (USAID), working in, for example, the space dedicated to building resilient and sustainable systems for health. Looking forward, to ensure its continued relevance, efficiency and coherence in the global health landscape, Gavi will need to continue to broaden its partnership base within both the public and private sectors, continue to remain engaged in global health initiatives such as the UHC2030 and the Global Action Plan for Healthy Lives and Well-being for All (SDG3 GAP), and align its work with the results from the recently launched Lusaka Agenda for health.

For its current and future operations to be more effective, efficient and impactful, Gavi would benefit from rationalising and streamlining support to implementing countries and ensuring that the corresponding Secretariat structure and staff are fit for purpose.

Gavi will face significant pressure to show results in relation to its strategy as 2030 draws near and because the end of Gavi 6.0 is aligned with the expiration of the 2030 Agenda for Sustainable Development. Numerous studies and reports have shown that most, if not all, of the SDG goals are unlikely to be met by 2030. To support Gavi to play a critical role in contributing to the achievement of relevant SDGs and to respond to future global challenges, the organisation will need to consider whether both its funding model and corresponding Secretariat structure and staff are optimally fit for purpose. Analysis of evidence from interviews notes that these are critical issues for Gavi to address when implementing Gavi 6.0. Specific findings from interviews identified a concern that staff at times had insufficient technical skills and country experience to engage in the most impactful and relevant way within the partnership. Notably, Gavi has already begun to address some of these concerns through its OE Agenda and appears well placed to address these issues within Gavi 6.0. Further details on these efforts are discussed in Chapter III.

REFERENCES

- FCDO (2024), *Safeguarding against Sexual Exploitation, Abuse and Harassment: Cross-sector Progress Report 2022 to 2023*, <https://www.gov.uk/government/publications/safeguarding-against-sexual-exploitation-abuse-and-harassment-cross-sector-pr>. [20]
- Gavi (2024), “About our Alliance”, <https://www.gavi.org/our-alliance/about>. [13]
- Gavi (2024), “Funding”, <https://www.gavi.org/investing-gavi/funding>. [9]
- Gavi (2024), *Gavi Secretariat*, <https://www.gavi.org/operating-model/gavi-secretariat>. [8]
- Gavi (2024), “Innovative financing”, <https://www.gavi.org/investing-gavi/innovative-financing>. [10]
- Gavi (2024), “Learning from COVID-19 to support vaccine delivery during future health emergencies”, <https://www.gavi.org/news-resources/knowledge-products/learning-covid-19-support-vaccine-delivery-during-future-health-emergencies>. [18]
- Gavi (2024), “Operating model”, <https://www.gavi.org/our-alliance/operating-model>. [3]
- Gavi (2024), *Phase VI (2026-2030)*, [https://www.gavi.org/our-alliance/strategy/phase-6-2026-2030#:~:text=Phase%20VI%20\(2026%E2%80%932030\),learn%20more%20about%20the%20process](https://www.gavi.org/our-alliance/strategy/phase-6-2026-2030#:~:text=Phase%20VI%20(2026%E2%80%932030),learn%20more%20about%20the%20process). [5]
- Gavi (2023), *Gavi, The Vaccine Alliance 2022 Annual Financial Report*, <https://www.gavi.org/sites/default/files/2023-06/GAVI-Alliance-2022-Annual-Financial-Report.pdf>. [4]
- Gavi (2023), “Gavi’s partnership model”, <https://www.gavi.org/our-alliance/operating-model/gavis-partnership-model>. [7]
- Gavi (2022), *Annual Progress Report 2021*, <https://www.gavi.org/sites/default/files/programmes-impact/our-impact/apr/Gavi-Progress-Report-2021.pdf>. [1]
- Gavi (2020), “Board composition”, <https://www.gavi.org/governance/gavi-board/composition>. [6]
- Gavi (2020), *Gavi’s Business Model*, <https://www.gavi.org/our-alliance/operating-model/gavis-business-model>. [2]
- Gavi (2020), “Gavi’s resource mobilisation process”, <https://www.gavi.org/investing-gavi/funding/resource-mobilisation-process>. [11]
- Gavi (n.d.), “Responding to COVID-19”, <https://www.gavi.org/covid19>. [17]
- ICAI (2020), “Report: The UK’s Work with Gavi, the Vaccine Alliance”, <https://icai.independent.gov.uk/html-version/gavi-the-vaccine-alliance/>. [14]
- IHME (2024), *Financing Global Health: Explore Patterns of Global Health Financing*, <https://vizhub.healthdata.org/fgh/>. [19]
- KFF (2023), “The U.S. Government & Gavi, the Vaccine Alliance”, <https://www.kff.org/global-health-policy/fact-sheet/the-u-s-government-gavi-the-vaccine-alliance/>. [12]
- MOPAN (2020), *2020 Assessment Cycle: MOPAN Methodology: MOPAN 3.1 – Methodology*, http://www.mopanonline.org/ourwork/themopanapproach/MOPAN_3.1_Methodology.pdf. [22]
- MOPAN (2016), *Gavi 2015-16*, <https://www.mopanonline.org/assessments/gavi2015-16/>. [16]
- MOPAN (2012), *Gavi 2012 Report*, <https://www.mopanonline.org/assessments/gavi2012/index.htm>. [15]
- UN (2018), *Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners*, https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf. [21]

DETAILED LOOK AT FINDINGS





Yellow fever vaccination programme, Democratic Republic of Congo

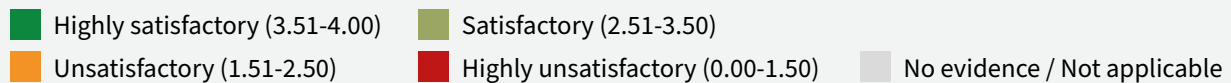
Gavi supports a multi-pronged control strategy for yellow fever and provides support for routine immunisation, campaigns in high-risk countries and emergency stockpiles in case of outbreaks. The emergency stockpile funds extension provided by Gavi to WHO and UNICEF allows the International Coordinating Group (ICG) to efficiently respond to yellow fever epidemics occurring in the endemic region.

Photo: © Gavi / Olivier Asselin

This chapter provides a more detailed assessment of Gavi’s performance across the five performance areas – strategic management, operational management, relationship management, performance management and results – and the KPIs that relate to each area, accompanied by their score and rating. It illustrates findings and highlights feedback from stakeholders (e.g. from the survey).

The MOPAN performance scoring and rating scales are listed below.

FIGURE 6. MOPAN 3.1 PERFORMANCE SCORING AND RATING SCALE

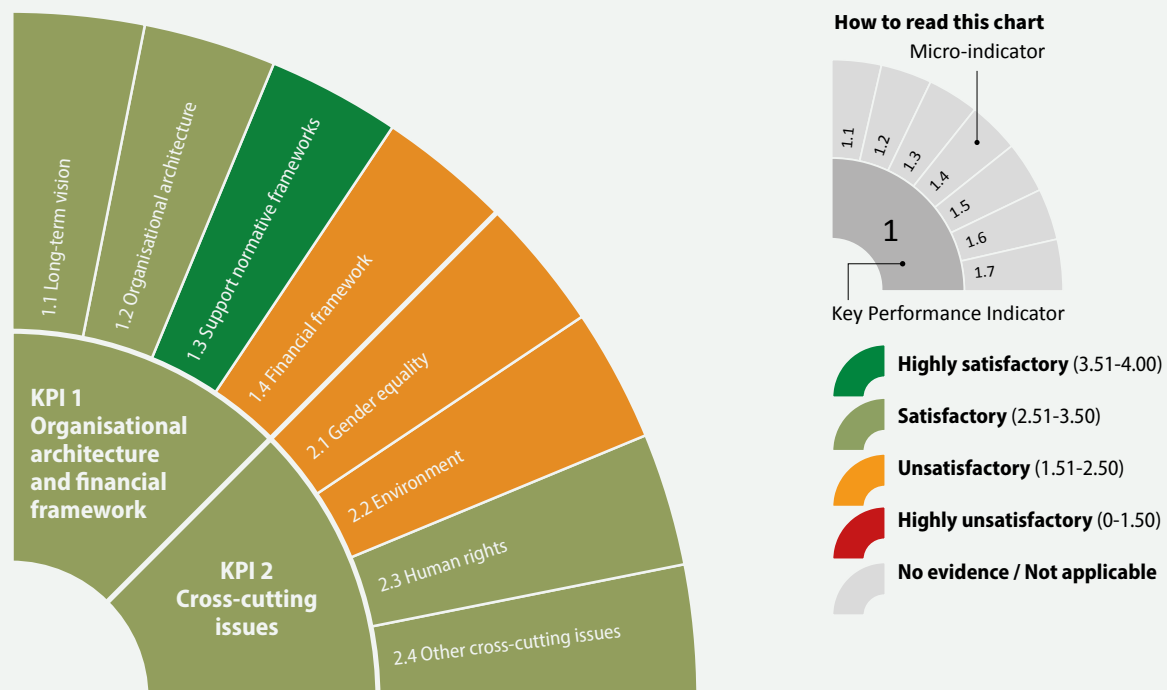


Assessment key findings draw on information from the three evidence sources (document reviews, interviews and a partner survey – see Chapter IV for more information).

Further analysis per micro-indicator (MI) and detailed scoring, as well as the full survey results, can be found separately in Part II: Technical and Statistical Annex of the MOPAN assessment of Gavi (2024).

STRATEGIC MANAGEMENT

FIGURE 7. STRATEGIC MANAGEMENT – KEY FINDINGS



Gavi’s strategic management is rated as satisfactory. Gavi’s operations are based on a comprehensive strategic plan. This is underpinned by a deep understanding of its role as a public-private partnership focused on expanding global vaccine access and health equity. Its strategic framework is tailored to address urgent and long-term health challenges, with a particular emphasis on reaching ZD children and on boosting the sustainability of health systems such that its supported programmes will endure after it exits a country.

This approach requires close co-operation and co-ordination with other global health actors to ensure that the supporting health infrastructure is in place to improve vaccination delivery and reach underserved populations. Gavi has also closely aligned itself with the 2030 SDGs, specifically SDG3 – “Ensure healthy lives and promote well-being for all at all ages” – and many of the underlying targets (e.g. reducing mortality in the under-fives). Its organisational structure leverages a partnership model which includes a diverse range of stakeholders – including technical agencies, the private sector, donors, civil society and implementing countries – and optimises their respective strengths and synergies. This assists in ensuring central co-ordination and localised implementation that adapts strategies to country-specific contexts and aims to maximise the impact of immunisation programmes.

Gavi’s multifaceted approach integrates key considerations and is bolstered by robust monitoring and training tools. This comprehensive approach, with continuous improvement, ensures that Gavi is increasing equitable and sustainable use of vaccines and contributing to the vision of leaving no one behind with vaccination, and it reaches more children with life-saving vaccines, achieving a healthier global future for all. This focus on long-term impact has yielded results, especially during the pandemic. To optimise Gavi’s impact, efficiency and relevance, the Alliance would benefit from further defining partnerships and addressing sustainability. Additionally, investing in staff training, particularly for gender and environmental sustainability, would strengthen its efforts and position the organisation better to address future challenges. Gavi’s well-defined Gender Policy and ZD agenda demonstrate its commitment to equity, but they require more consistent implementation and data collection. Similarly, environmental efforts lacked a dedicated strategy during the assessment period. Gavi addresses environmental sustainability in a more comprehensive way in Gavi 6.0.

The **strategic management** performance area explores whether there is a clear strategic direction in place that is geared to key functions, intended results and the integration of relevant cross-cutting priorities. This area is assessed through the two KPIs specified below.

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

Satisfactory	3.00
--------------	------

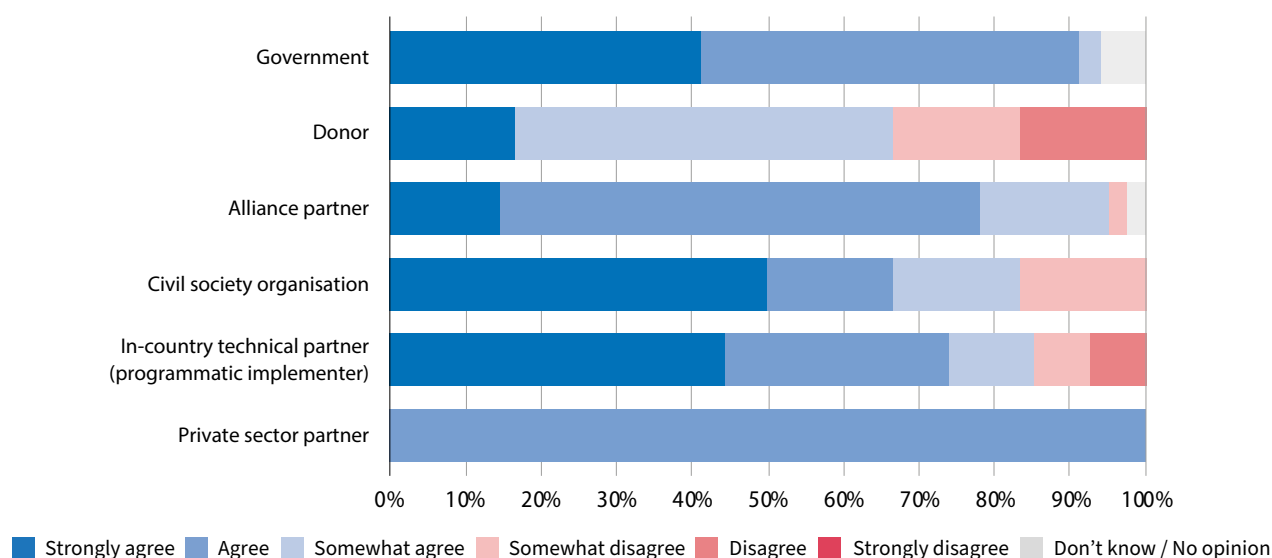
Gavi’s vision and strategic plans are grounded in a detailed understanding of its unique position as a collaborative public-private partnership within the global health sector.

Operationalising Gavi’s vision of “Leaving no one behind with immunisation” is a comprehensive strategic plan that sets out to address both immediate challenges and long-term objectives aimed at reducing child mortality, building more resilient health systems and enhancing health equity. More specifically, the five-year Gavi 4.0 Strategy outlined four strategic goals emphasising coverage, HSS, sustainability and market shaping. The most recent Gavi 5.0/5.1 Strategy takes these ambitions forward by incorporating a shift towards targeting ZD children, prioritising equity and boosting programme sustainability. Critical to achieving these ambitious aims is Gavi’s role as a collaborative public-private partnership which leverages its unique position to mobilise resources and foster innovation while utilising its significant negotiating power to shape vaccine markets. As such, Gavi is able to more effectively deliver in accordance with its objectives that are focused on expanding equitable and sustainable vaccine access worldwide. Evidence about Gavi’s understanding of its comparative advantage and strategic alignment is further underscored by survey data, in which a significant majority (91%) of respondents affirmed that Gavi’s comparative advantage is both clear and effectively implemented.

Gavi’s organisational structure is strategically designed to maximise immunisation efforts through a robust partnership model, leveraging the unique strengths of core partners.

Gavi advances partnerships among governments/public sector stakeholders, NGOs and private sector entities,

FIGURE 8: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – THE STRATEGIES OF GAVI DEMONSTRATE GOOD UNDERSTANDING OF COMPARATIVE ADVANTAGE



Source: MOPAN external partner survey: GAVI, July – September 2023.

serving as a convener and catalyst for collaborations that amplify the reach and impact of immunisation efforts. Gavi depends on these partnerships for delivering its programmes, utilising country-specific systems to minimise transaction costs for governments and to facilitate the efficient execution of vaccination programmes at both the strategic and operational levels. Facilitated by this unique partnership model, Gavi aligns its activities effectively with the 2030 SDGs. By integrating diverse global health actors, it extends strategic objectives beyond immunisation targets, developing global partnerships to address broader health and development challenges. This integration not only supports effective immunisation programmes but also positions Gavi as a critical player in the global health landscape, driving progress towards achieving these interconnected global commitments.

Gavi's operating model, centred on a country-centric approach, supports effective implementation of its strategic plan.

As a public-private partnership, Gavi combines centralised co-ordination with localised implementation. By using country-specific systems and collaborating with local partners, Gavi optimises resource utilisation and ensures that immunisation services are tailored to contextual needs. Operationalising this, Gavi supports a country-owned and country-driven model in which national authorities oversee the majority of immunisation services, with Gavi and its partners providing the necessary support and technical assistance. This ensures that immunisation programmes are appropriately adapted and managed by the countries themselves, with additional backing from Gavi to address specific needs on the ground.

At the centralised level, Gavi's leadership and co-ordination are managed by the Board and the Secretariat.

The Board sets the direction, and the Secretariat – which includes the CEO's Office, the Country Programmes Delivery team, the Resource Mobilisation and Growth Office, and the Strategy, Funding and Performance unit – is tasked with daily operations ranging from strategy setting to the co-ordination of programme approvals and financial management. Recognising the need for continual adaptation, in 2020 Gavi underwent a comprehensive organisational review to better prepare for the ambitions of Gavi 5.0 and the new Gavi 6.0. This review examined the Secretariat's set-up, ways of working, organisational structure and internal role allocations, resulting in the development of six core design principles focused on country-centricity, accountability, execution bias, an enabled alliance, simplicity and delegated decisions. These principles are intended to guide future organisational adjustments and ensure alignment with

strategic goals. Analysis of evidence from Secretariat and Board interviews shows that stakeholders see a necessity for continued review and potential restructuring of the Secretariat’s architecture and staff quantity and quality (e.g. more technical expertise and in-country experience) to better meet Gavi’s evolving needs effectively. Initial steps towards this restructuring have started as part of Gavi’s OE Agenda, with a focus set for 2024 on reorganising senior leadership and making further organisational improvements.

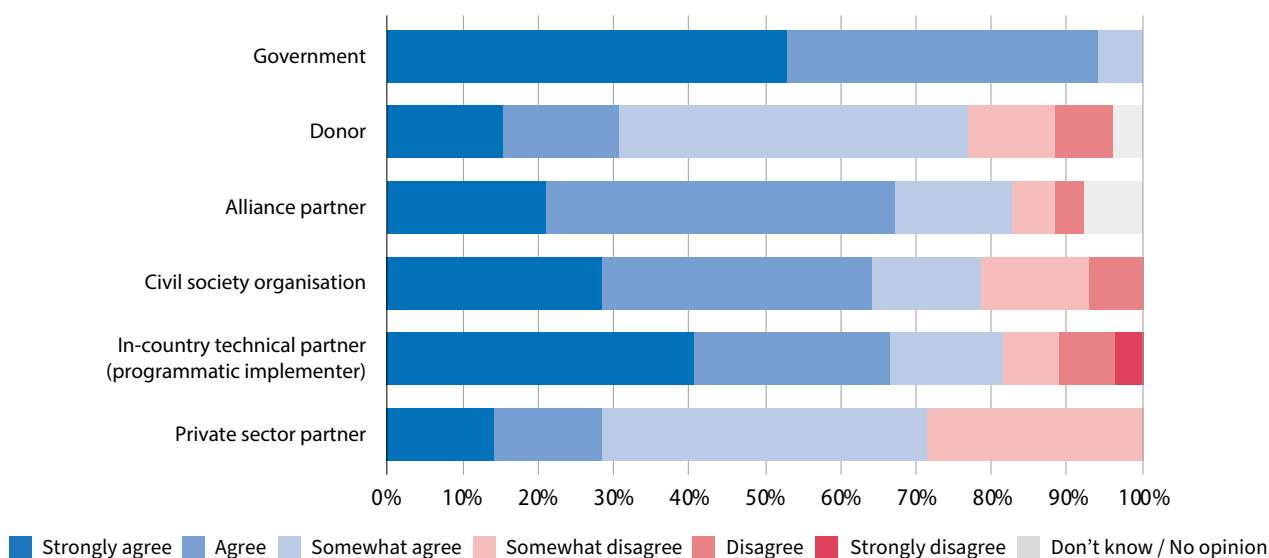
Gavi’s LSS provides a comprehensive system for tracking the achievement of results to the SDG agenda.

Developed together with the Gavi 5.0 Strategy and updated for Gavi 5.1, specific performance indicators were developed by Gavi. They are aligned to global commitments that serve as benchmarks in assessing progress towards goals, including immunisation coverage rates, incidence of vaccine-preventable diseases and the strengthening of health systems. This alignment ensures that organisational evaluation processes are directly aligned with measuring the achievement of broader global commitments. Further supporting this alignment, indicators at the corporate and country levels are also linked to allow measurement across the results chain. Data collection is enabled through collaborative efforts with both national governments and health organisations. Gavi also leverages its collaborative partnerships to access global health databases such as those managed by WHO and UNICEF, providing a dual source strategy that enhances the reliability of information gathered. This system is further supported through the use of active feedback loops that serve to validate and refine the accuracy of data while also contributing to the continuous improvement of data collection and reporting methods. Gavi reports on progress related to SDG commitments semi-annually and at the midterm and end term of its five-year strategic cycle. Outward-facing results are communicated on the Gavi website and on social media channels.

Gavi’s financial and budgetary planning is structured to accommodate changing priorities and maintain transparency.

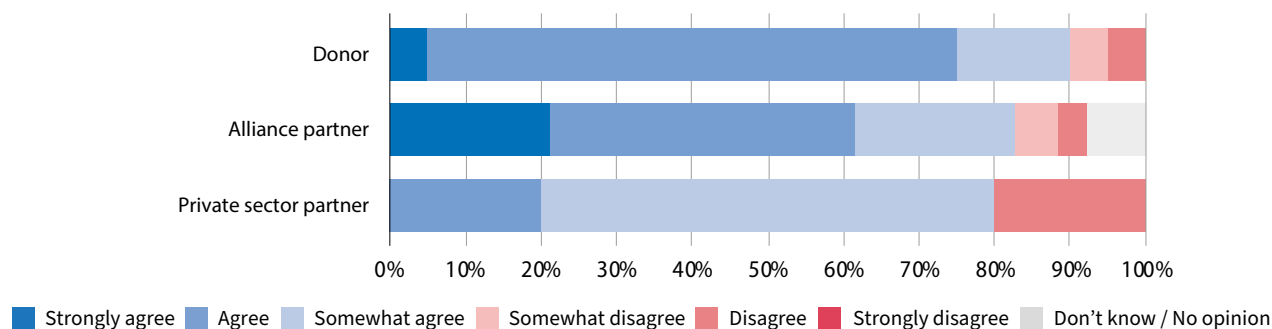
For the fiscal years 2023 and 2024, resources are allocated to vaccine procurement, cash programmes, the PEF, the Secretariat and the COVAX AMC. There are provisions to redirect underspent funds, such as USD 45 million from 2021 and 2022, towards urgent initiatives such as malaria programmes and support for MICs. Budget forecasts are reviewed semi-annually to reflect actual spending, demand shifts and vaccine cost changes, allowing Gavi to manage financial resources effectively and meet its strategic goals. Although some Board members raised concerns about the

FIGURE 9: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI’S STRATEGIC ALLOCATION OF RESOURCES IS TRANSPARENT AND COHERENT WITH AGREED STRATEGIC PRIORITIES



Source: MOPAN external partner survey: GAVI, July – September 2023.

FIGURE 10: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI’S FINANCIAL FRAMEWORK SUPPORTS THE EFFECTIVE IMPLEMENTATION OF THE MANDATE AND STRATEGY



Source: MOPAN external partner survey: GAVI, July – September 2023.

transparency of budgetary information, a significant majority of survey respondents (84%) perceived Gavi’s strategic resource allocation as transparent and well aligned with its strategic goals.

These include various funding mechanisms such as donor pledges, country co-financing and instruments such as the PEF or Strategic Focus Areas (SFAs). Additionally, programme-specific guidelines set clear expectations for individual programmes with regard to eligibility, application processes and financial management responsibilities. Underlying these mechanisms, the Gavi Strategy guides the overall direction, ensuring that resources are channelled efficiently towards the defined goals. Transparency and accountability are upheld through independent assessments and quarterly reviews by the AFC, which, along with other oversight committees, ensures that financial operations align with strategic objectives. Importantly, 84% of survey respondents viewed Gavi’s financial framework as supporting the implementation of its mandate and strategy effectively, reflecting a high level of confidence in its fiscal governance and strategic resource allocation.

KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels, in line with the 2030 Sustainable Development Agenda principles.

Satisfactory

2.52

Gavi’s established policies and resources demonstrate a commitment to gender equality. To maximise their impact, Gavi would benefit from developing actionable policies, optimising resource allocation and strengthening data collection and evaluation efforts. In doing so, Gavi can further solidify its gender equality efforts and achieve lasting improvements in immunisation equity.

During the assessment period, Gavi took concrete steps to promote gender equality in its immunisation programming, including establishing a clear policy framework. The Gavi Gender Policy identifies and addresses barriers hindering vaccine access for certain populations. Additionally, Gavi has integrated gender considerations into key documents such as grant applications and programme review processes. However, some challenges remain. Analysis of data from interviews shows that Secretariat staff perceive inconsistencies in how effectively gender is integrated across different countries. Staff also perceived that, although the initial organisational focus was solely on reducing gender disparities in immunisation rates, there has been a positive shift towards understanding the underlying social and cultural factors at play.

A key challenge that Gavi faces is translating its gender policy into action. Although Gavi acknowledges the relevance of gender barriers during the funding application process and corresponding application forms, addressing the IRC’s recommendations that pertain to gender is not a requirement for funding approval, although if applications do not meet

these requirements, the IRC can either ask the country to resubmit or can request clarifications that countries must make before the Secretariat finalises approval. This limits the policy's ability to drive real change. Gavi's work on gender also faces resource limitations. The Gender SFA fund, designed to support evidence generation, scaling up of best practices, gender analyses and capacity building, appears underutilised, according to a staff member interviewed. Limited staffing within the Secretariat dedicated specifically to gender equality, per key informants, could be a contributing factor. Additionally, the lack of baseline data for gender-related indicators makes it difficult for Gavi to measure progress achieved on gender equality in ways that are credible and consistent. Staff training programmes on gender integration have been successfully rolled out, and they demonstrate an organisational commitment to mainstream gender across Gavi's programming. Although the training covers relevant topics, it would be valuable for Gavi to evaluate and assess its impact on Gavi staff's ability to translate theory into practical programme design and implementation.

Gavi adheres to global environmental standards, maintains a resource-efficient structure and invests in programmes that focus on climate-sensitive issues and diseases. However, there are several actions Gavi should consider undertaking to strengthen its role in addressing environmental and climate issues. This work has started through the adoption of Gavi 6.0.

Gavi enforces supplier adherence to environmental standards set by WHO and the UN, ensuring responsible waste management in its vaccine supply chain. Its lean organisational structure and travel minimisation efforts contribute to operational efficiency. Additionally, Gavi's new malaria programme tackles a climate-sensitive disease, and Gavi monitors environmental risks within countries for a more comprehensive understanding of the climate's impact on vaccine delivery. Significant investment in initiatives such as the Cold Chain Equipment Optimisation Platform (CCEOP), promoting environmentally friendly cold chain technologies, supports Gavi in reducing the environmental footprint of vaccine storage and transportation.

Through its Sustainable Investment Policy, Gavi demonstrates a commitment to responsible investment by (i) stating that investments shall not be knowingly made in any company generating more than 10% of revenues from oil and gas production, and (ii) participating actively in international sustainability initiatives via the Sustainable Investment Policy. Gavi's programme funding guidelines also encourage recipient countries to consider environmental sustainability, particularly with regard to waste management practices. However, despite these positive actions, the assessment identified a need for deeper integration of sustainable policy commitments within Gavi's programmes. Addressing climate change is not yet a core objective within Gavi's strategy, and there are no established indicators for measuring progress on environmental sustainability. Additionally, a lack of clear accountability systems hinders effective M&E in this area. Although Gavi encourages countries to consider environmental factors in their funding applications, it currently lacks dedicated tools to assist them in integrating this into programme design. Finally, the limited resources that the Secretariat has allocated to environmental sustainability and climate change, as well as the lack of any formal training on this topic, restrict the effectiveness of Gavi's efforts in these areas. However, Gavi has recently rethought this; climate change has been identified as a key strategic area under Gavi 6.0, and as of June 2024's Board approval of the new strategy, Gavi expects to have an MI which reflects their work on climate-sensitive diseases (i.e. death averted with vaccines against climate-sensitive diseases).

Since 2016, reaching ZD children has become a core mission for Gavi. This focus on equity is evident throughout its current and previous strategies, monitoring systems and funding mechanisms. Formalised training for staff would strengthen this commitment and operationalise it across the Secretariat.

Gavi's 5.0 and 5.1 strategic plans explicitly prioritise reaching missed communities. Recognising the challenges in fragile and conflict-affected settings, the 5.1 Strategy emphasises partnerships with civil society organisations (CSOs). Further demonstrating its commitment to equity, Gavi developed the Fragility, Emergencies and Displaced Populations (FED) Policy in July 2022, offering flexible support for immunisation programmes in crisis situations. Evidence from the survey shows that the majority of external partners perceive Gavi to embed human rights within its work – 71% of MOPAN survey respondents agreed that Gavi promotes human rights in its operations and strategy.

To measure progress, Gavi's monitoring systems include clear indicators such as "reduction in number of ZD children" and "unique children immunised". These, along with the ZD Monitoring and Learning Agenda (ZD LEARN), demonstrate a comprehensive approach to reaching missed communities. ZD LEARN goes beyond basic coverage data, incorporating learning hubs, case studies and analytics to understand why vaccinations are missed and to identify successful strategies for reaching populations. Gavi's 2023 Strategic Review revealed the strengths of this approach, highlighting the use of case studies and learning hubs to gather in-depth knowledge.

Gavi's funding application guidance encourages applicants to utilise the Identify-Reach-Monitor-Measure-Advocate (IRMMA) framework to integrate the ZD agenda into their programmes. Reviewers of funding applications are instructed to prioritise coverage and equity, ensuring ZD children and communities are not overlooked. These funding mechanisms are effective in promoting a focus on reaching missed communities. Human rights considerations are embedded into programme design by emphasising programming that increases access to immunisation for all children. Although there is no dedicated human rights team in the Gavi Secretariat, ZD considerations are mainstreamed across the organisation. Gavi provides extensive resources for the public through the UNICEF-managed and BMGF-funded online Equity Reference Group for countries via the ZD community of practice. The Global ZD Learning Hub, which was established in 2022, promises further support for country-level capacity building. The assessment, based on feedback from key informants, identified a need for more focus on staff training. Although there are resources available publicly through the Equity Reference Group, these are not developed specifically to support Gavi staff. Gavi's ongoing evaluation of its ZD agenda supports continuous learning and improvement in this area, and Gavi has integrated these insights into its new strategic plan, Gavi 6.0.

Gavi's dedication to tackling cross-cutting issues is evident throughout its strategies, funding mechanisms and tools. By expanding its workforce dedicated to transition and sustainability issues, and by monitoring the need for increased HSS funding, Gavi can solidify its role in addressing cross-cutting issues.

Analysis of documentary evidence shows that Gavi has an explicit focus on strengthening health systems to ensure more equitable access to immunisation. This commitment is further reflected in the existence of a dedicated Health System and Immunisation Strengthening (HSIS) fund and clear guidance for applicants using the IRMMA framework, which emphasises reaching underserved communities. It encourages applicants to develop strategic plans that address barriers to sustained service delivery in their specific contexts. Gavi also provides high-quality tools to guide grant applicants in their work to design interventions that consider these cross-cutting issues and each country's unique circumstances. For instance, the Gavi programme funding guidelines provide comprehensive instructions for designing interventions that encompass HSIS.

Gavi dedicates significant financial resources to HSIS, and additional funding is available to support countries transitioning out of Gavi's support. Gavi recently extended the transition phase from five years to eight years, demonstrating a commitment to long-term sustainability. However, analysis of evidence shows that some interviewees expressed concerns that Country Managers might be overburdened, and there may be a need for more human resources (HR) dedicated to overseeing the transition process and advocating for sustainability efforts.

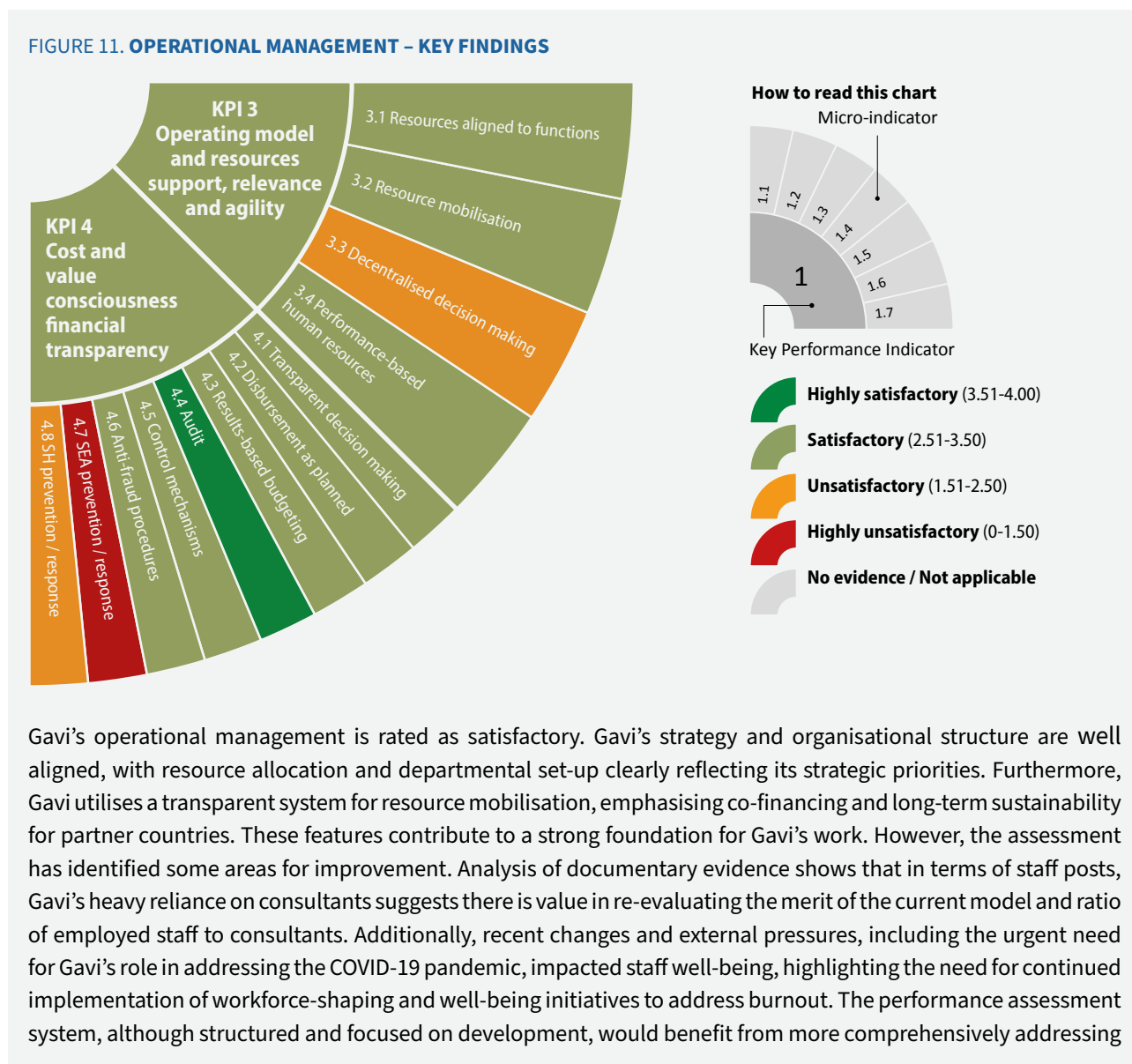
Gavi's commitment to addressing cross-cutting issues, HSIS, governance and sustainability/transition is woven demonstrably into the fabric of its operations. Strategic objectives and targeted interventions clearly reflect these priorities, complemented by robust progress-tracking indicators embedded into the Gavi Measurement Framework 5.0. To further empower its partner countries, Gavi offers a comprehensive suite of tools and training programmes, including funding mechanisms specifically designated for HSIS initiatives, and the Gavi Learn platform, which offers training modules on these topics. Recognising the critical role of robust health systems in vaccine delivery, Gavi prioritises HSIS initiatives. The efficacy of this approach was demonstrably validated during the recent pandemic, as strengthened health systems facilitated a significant surge in vaccine deployment. Fostering strong partnerships and governing these necessitates a delicate balancing act. Gavi's governing board includes representatives from organisations that also

receive funding. Although this supports collaboration, it can raise concerns with regard to potential COIs. To mitigate these concerns, Gavi has implemented clear governance policies and a system of independent Board members who act as a buffer, ensuring transparent and objective decision-making, although some Board members and Secretariat staff in the interview feedback, raised concerns about the efficacy of these systems.

Another cross-cutting objective for Gavi is developing self-sufficiency in immunisation programmes within recipient countries. Gavi's ELTRACO policies guide countries through distinct phases of support, with co-financing requirements gradually increasing as their economic capacity strengthens. Analysis of documentary evidence shows that these policies have demonstrably proven effective. However, some interviewees advocated for further refinement to enhance their effectiveness and value. Some interviewees suggested incorporating additional factors beyond GNI per capita, such as the robustness of public health policies, into the eligibility criteria. Gavi is receptive to this feedback and is actively engaged in reviewing its transition policies to ensure continued effectiveness.

OPERATIONAL MANAGEMENT

FIGURE 11. OPERATIONAL MANAGEMENT – KEY FINDINGS



concerns around transparency in promotions, consultant management and collaboration. Additionally, gathering staff feedback on the grievance process would provide valuable insights for improvement.

Gavi's resource mobilisation strategy prioritises raising domestic resources from partner countries and institutions in accordance with the goals and objectives of the strategy and demonstrates an appropriate and balanced approach in relation to prioritisation. Resource allocation at the country level is driven by contextual need, and approval of all reallocations or reprogramming is the responsibility of the Gavi Board or the Secretariat, depending on the level of funding (i.e. the Secretariat can solely make reprogramming decisions for USD 1 million or less). Communication, particularly with private sector partners, could be enhanced to improve transparency surrounding resource allocation decisions and thus could strengthen these partnerships. Although Gavi emphasises country ownership, the Alliance does not have a clear policy outlining the level of decision-making autonomy delegated to countries. Developing such a policy would solidify Gavi's commitment to country-driven approaches.

Gavi leverages both external and internal control mechanisms to uphold a high standard of financial management and transparency. Through rigorous external audits, Gavi ensures compliance with international accounting standards. Internally, Gavi implements robust policies and frameworks, including a comprehensive Counter-Fraud Framework and strict guidelines on ethics and whistleblower reporting, to guide and govern the conduct of all parties involved in Gavi-supported activities. These mechanisms are complemented by regular training, detailed reporting and accessible channels for reporting misconduct, all aimed at fostering a transparent, accountable organisational environment.

Since 2018 Gavi has pledged to meet the commitments of the UK Foreign, Commonwealth & Development Office (FCDO) international Safeguarding Summit. Gavi reports annually on progress in relation to training, reporting, whistleblower protection and victim support. It does not publicly report on SEA allegations, and no SEA allegations have occurred to date. Gavi recognises the line of sight between Gavi Secretariat, Alliance partners and beneficiaries, and considers PSEAH from the dual perspectives of risk and gender. A PSEAH framework and policy on preventing and responding to SEA were under development during the assessment but were not yet in place. Gavi has started to integrate into its agreements with its implementing partners obligations for them to take reasonable measures to prevent SEA and actively engage in steps to address such incidents. However, because there is no information on how specific requirements are to be fulfilled by partners and because there is no information on how Gavi checks compliance, issues of accountability remain unclear.

The Gavi Respectful Behaviour Policy (2021) includes SH in the workplace alongside other forms of harassment and abuse of authority. The policy and the Investigation and Disciplinary Procedures jointly contain procedures for reporting, investigating and remedying incidents of SH. The Respectful Behaviour Policy will be revised based on the outcomes of an ongoing audit and development of the aforementioned PSEAH framework. There is no dedicated SH action plan, and SH allegations are handled as other forms of misconduct. Two SH incidents were identified by Gavi as being investigated between August 2022 and July 2023. Analysis of evidence from interviews shows that some Gavi Secretariat staff managers identify the value of "a culture journey" within the Secretariat to better understand the low number of reported SH cases.

The **operational management** performance area gauges to what extent the assets and capacities organised behind strategic direction and intended results ensure relevance, agility and accountability. This area is assessed through the two KPIs specified below.

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

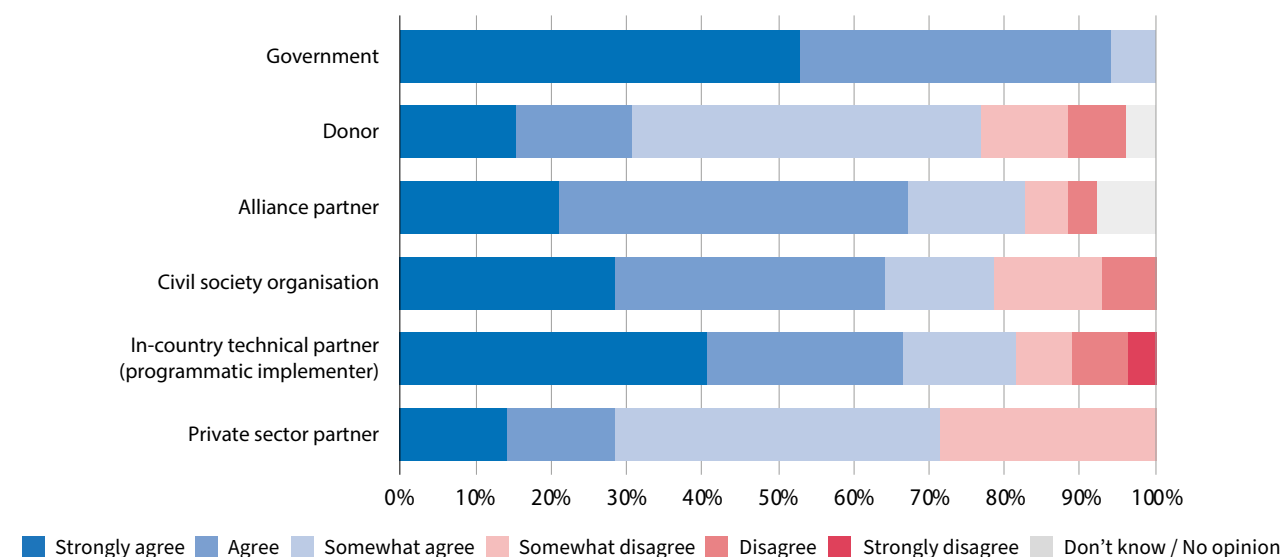
Satisfactory	2.75
--------------	------

Gavi exhibits a strong focus on aligning its internal structure with strategic priorities. The departmental structure and resource allocation patterns reflect this commitment. To optimise the staffing model and subsequent effectiveness, there is value in Gavi re-evaluating consultant reliance, enhancing communication with private sector partners and addressing staff well-being through ongoing workforce-shaping initiatives.

Analysis of documentary evidence shows that Gavi’s commitment to aligning its internal organisation with strategic goals outlined in Gavi 5.1 is evident. For instance, in the February 2022 organogram, the Country Programme Delivery Department and the Policy, Programme Design and Delivery Support Department contribute to all three core objectives, ensuring a holistic approach to achieving Gavi’s goals. This alignment extends to resource allocation: in 2022, over 52% of the total five-year budget was allocated to vaccines (Goal 1), and 24% was dedicated to HSIS programmes (Goal 2). However, analysis of evidence from documents highlights challenges and opportunities for improvement in staffing. In particular, Gavi’s current high level of reliance on consultants suggests there is value in reassessing what is the optimal staffing model for the Secretariat. A 2022 staff review revealed that, although 89% of positions were filled, 36% were occupied by consultants. This reliance on consultants, particularly during the COVID-19 pandemic, raises questions about long-term effectiveness and knowledge retention. Interviews with Board members further identified this concern. Furthermore, there is room to enhance communication with funding partners, particularly those in the private sector. More than 90% of government respondents to the MOPAN survey either strongly agreed or agreed that Gavi’s strategic resource allocation is transparent, but only 29% of private sector partners shared this sentiment, with nearly 30% at least somewhat disagreeing. Indeed, dissatisfaction was not limited to the private sector but also included donor countries and civil society, with around 20% of each group either disagreeing or strongly disagreeing.

Finally, recent pressures due to the COVID pandemic and organisational changes demonstrably impacted Gavi’s workforce during the timeframe of the assessment. Multiple interviewed staff highlighted staff burnout as a significant challenge. Gavi’s assessment of financial performance to the end of 2022 acknowledges this by mentioning the pressures of responding to the COVID-19 pandemic and the scale and complexity of organisational changes. To address burnout and other staff well-being issues? Gavi is actively implementing workforce-shaping strategies.

FIGURE 12: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI’S STRATEGIC ALLOCATION OF RESOURCES IS TRANSPARENT AND COHERENT WITH AGREED STRATEGIC PRIORITIES



Source: MOPAN external partner survey: GAVI, July – September 2023.

Gavi’s resource mobilisation strategy exhibits a strong focus on alignment with its strategic goals and long-term programme sustainability. However, areas for improvement, such as the use of GNI per capita as the sole indicator in the ELTRACO policies, remain to be addressed.

Gavi’s resource mobilisation strategy demonstrates a clear alignment with the Gavi 5.1 strategic goals. As a case in point, the 2021-25 investment opportunity document explicitly highlights eight priority investment areas that correspond directly to these goals, which are all critical elements for achieving Gavi’s core objectives. This alignment between funding priorities and strategic objectives ensures that resources are directed towards activities with the greatest impact on immunisation outcomes. As shown in Figure 11, 84% of respondents to the MOPAN survey agreed that Gavi’s strategic allocation of resources is transparent and coherent with agreed strategic priorities. This high level of agreement suggests that staff members across the organisation understand the rationale behind resource allocation decisions and perceive them to be aligned with Gavi’s overall goals.

A cornerstone of Gavi’s strategy is its commitment to co-financing, fostering a sense of ownership and incentivising domestic resource mobilisation. This is evident in Gavi’s funding requirements, which require partner countries to contribute financially to vaccine procurement. For instance, Gavi’s 2022 management reporting to the AFC showcases a steady increase in partner country co-financing, reaching 45% of total programme expenses. This highlights the success of Gavi’s Co-Financing Policy in promoting domestic resource mobilisation and programme sustainability. The phased transition model, as laid out in the Gavi Investment Policy, further strengthens Gavi’s commitment to co-financing and programme sustainability. This model gradually reduces Gavi’s support as a country’s financial capacity strengthens, as indicated by GNI per capita.

Gavi’s commitment extends to ensuring long-term predictability for programme development. The use of five-year funding cycles, aligned with its strategic planning horizon, provides stability for partner countries. The 2021-25



Climate change created challenges in Pakistan

A vaccination team going on a boat (locally made with plastic barrels) to vaccinate children against Typhoid, during the TCV campaign in Sohbatpur city, full of flood water in in Sohbatpur District, Baluchistan Province, Pakistan. Even after two months, 80 percent of the city was still filled with flood water.

Photo: © GAVI / Asad Zaidi

Gavi investment opportunity document exemplifies this approach. This document outlines funding needs for the entire five-year cycle, based on strategic goals and projected programme activities. This transparency and long-term outlook allows partner countries to plan and budget effectively for their immunisation programmes. However, the 2019 Cambridge Economic Policy Associates (CEPA)-led evaluation of ELTRACO policies found that Gavi's use of GNI as the sole indicator for transition, without consideration of other contextual indicators such as programmatic readiness to transition, does not "maximise impact and sustainability of Gavi support". It recommended that Gavi implement a measure of programmatic capacity alongside the use of GNI, similarly to what other organisations such as the Global Fund and GFF do. This finding was highlighted by a number of interviewees, indicating that it remains a challenge and an area for improvement.

Within the Gavi Alliance, policies clearly delineate decision-making processes at the Board level; however, at lower levels, there is a lack of clarity in how decisions are delegated to the country level. Formalisation and collation of the decision-making processes across the Secretariat in terms of grant management are clearly laid out in the January 2024 Grant Operations Manual, including where countries are required to submit requests for amendments.

The Gavi Alliance Statutes establish the Board as the ultimate authority on high-level strategic, financial and institutional matters. The Delegation of Authority (DoA) Policy outlines the Board-level responsibilities. This policy empowers a designated group of officers (CEO, Deputy CEO, Treasurer, Secretary) to act on the Board's behalf for specific decisions, such as approving country programmes exceeding a predefined financial threshold. However, the DoA Policy itself does not delve into the intricacies of decision-making at lower levels within the Gavi structure. The Gavi Delegation of Signature Authorities for Legal Instruments (DoSA) policy complements the DoA by empowering the CEO and Deputy CEO to delegate signing authority for routine operations. This policy outlines various legal instrument types, associated clearance processes and individuals with signing authority. For instance, the DoSA policy clarifies that procurement-related transactions up to a certain threshold can be signed off by the Head of Procurement, facilitating a more expeditious processing of essential purchases. Other decision-making processes are set out in the Gavi Alliance Investment Policy, in which the investment management structure is clearly set out, and the policy delegates decision-making authority to managers to manage assets within their portfolios.

Other Alliance policies suggest that, in practice, authority can be delegated through different levels of the Alliance, but the guidelines governing this were not contained in a single policy document. Analysis of evidence from documents, interviews and the survey show that country-level actors have the authority to direct resource reallocation and programming decisions; however, this is not outlined in a clear set of guidelines or one policy to delineate this. For example, the Gavi Alliance Investment Policy clearly sets out the investment management structure and delegates decision-making authority to managers to manage assets within their portfolios, though other aspects of decision-making are not included in this policy. According to feedback from the Gavi Secretariat, a new Grants Management Operational Manual, which was developed in Q4 of 2023, with Board approval granted in December 2023, should address some of these issues; however, this information was not available during the assessment period.

Gavi is taking steps to improve transparency and country ownership through tracking mechanisms, but a clear policy outlining country-level decision-making autonomy would further solidify the organisation's commitment to this approach.

Gavi policies consistently emphasise the importance of country ownership and leadership in decision-making. The Gavi Framework for Funding to Countries underscores the significance of "country-driven" approaches and "tailored-to-context" resource allocation. In interviews conducted with Secretariat staff, it was noted that a streamlined reprogramming process has been in place since Gavi 4.0, with the threshold for escalation rising to 25% of a CP budget. This empowers countries to adjust their allocations under this threshold without navigating a complex review process. No evidence was identified to demonstrate instances when countries could autonomously reallocate resources. In some cases, the decision-making process is shared, such as through the Joint Assessment (JA), a multi-

stakeholder review process conducted every year which typically involves the country, partners and the Secretariat. Progress is discussed and final recommendations for reallocation are proposed, which require approval by a High-Level Review Panel (HLRP).

Secretariat staff that were interviewed acknowledged the need for a more robust system to track reallocation decisions and strengthen country ownership. The organisation is actively working to address this gap by developing a repository for final budgets with reallocation details. Country Managers are uploading these budgets, with the aim of providing data on how budget adjustments translate into programme results. The extent of decision-making autonomy delegated to country-level actors remains unclear, even among some Gavi staff. Interviews with Gavi Secretariat staff revealed a general understanding that countries have some level of autonomy in programme design and resource allocation, but within certain parameters. According to Gavi Secretariat feedback, this will be further detailed in its new Grant Operations Manual. However, a clear policy document outlining the specific authorities and processes for country-level decision-making was not readily available.

Gavi’s performance assessment system offers a structured approach, with a focus on development and alignment with organisational goals. Addressing concerns with regard to transparency in promotions, consultant management and collaboration assessment would further strengthen the system. Additionally, gathering staff feedback on the grievance process would provide valuable insights for improvement.

Gavi’s performance assessment system applies to all staff except consultants, emphasising both individual contributions and adherence to organisational values. A three-point rating scale with departmental calibrations ensures consistency across the organisation. The system follows a standardised cycle, setting objectives at the beginning of the year and utilising reminders and monitoring to ensure compliance. This approach fosters a culture of development, encouraging staff to take charge of their growth through self-directed learning supported by training and feedback initiatives. A recent addition links individual objectives to corporate or team objectives, promoting a more holistic approach to performance. Performance assessments also influence annual adjustments, recognition programmes and promotion decisions. However, areas for improvement exist. In interviews, some staff perceived a lack of transparency, particularly with regard to recent promotions linked to the influx of COVAX staff. The exclusion of consultants from the system creates a knowledge retention gap and reduces transparency. Additionally, although individual objectives are linked to organisational goals, it is unclear if the system assesses collaboration with external entities – a crucial aspect of Gavi’s work. Finally, limited evidence exists on staff perceptions of the grievance process for disputes arising from performance assessments.

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

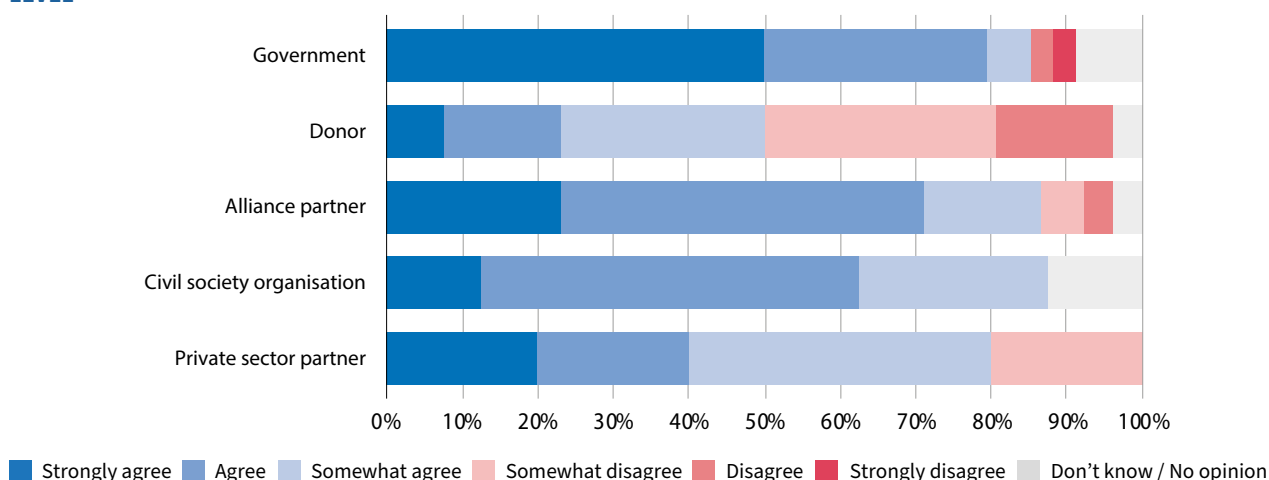
Satisfactory

2.90

Gavi has established a clear and comprehensive framework that defines the criteria for resource allocation to its partners, ensuring alignment with its strategic objectives.

The Framework for Gavi Funding to Countries governs programmatic funding policies and emphasises Gavi’s commitment to supporting LICs in improving equitable and sustainable vaccine use. This framework guides financial support across different country classifications of Core, High-Impact or Fragile and is tailored to align with national plans and priorities, ensuring resources meet the most pressing needs. Within this structure, Gavi employs a multifaceted approach to resource allocation, differentiating support based on each country’s classification and adjusting it as their needs evolve over time, considering factors such as GNI per capita, population and birth cohort. Gavi’s Eligibility and Transition Policy sets out criteria for country eligibility and phases of support, which include initial self-financing, preparatory transition and accelerated transition, facilitating a smooth transition for countries as they increase domestic financing for immunisation programmes. A significant proportion of survey respondents – 78% – acknowledged that Gavi effectively co-ordinates its financial contributions to partners, ensuring streamlined support at the country level.

FIGURE 13: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI CO-ORDINATES ITS FINANCIAL CONTRIBUTIONS WITH PARTNERS TO ENSURE COHERENCE AND AVOID FRAGMENTATION/DUPLICATION AT THE COUNTRY LEVEL

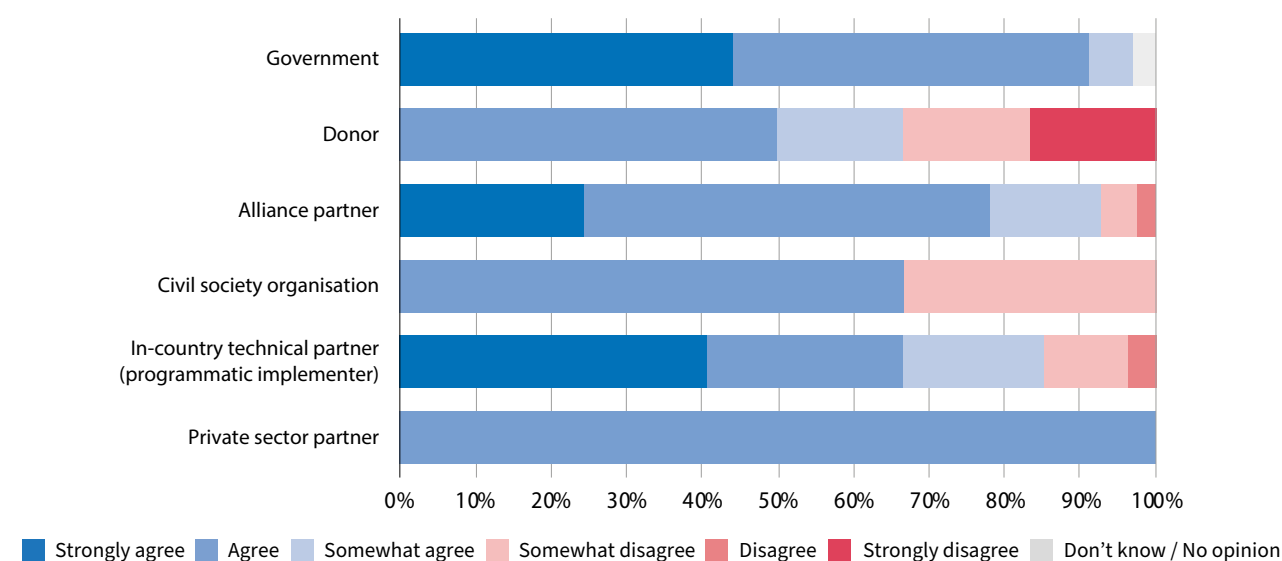


Source: MOPAN external partner survey: GAVI, July – September 2023.

Resource allocation strategies have been designed to meet high-priority themes and country-specific needs as outlined in Gavi’s strategic objectives.

Organisational adaptability is rooted in the principles of the Gavi Theory of Change (ToC), which emphasises a country-driven and context-tailored approach, allowing for flexibility and responsiveness to exceptional circumstances. Flexible policies such as Eligibility and Transition, Co-Financing, and HSIS include provisions for revisiting support under extraordinary conditions. Examples of Gavi’s adaptability are seen in its response to crises in fragile and conflict-affected states (FCAS), adjustments in co-financing requirements for new vaccines such as for malaria, and specific accommodations for countries with unique challenges, such as Bangladesh, where the ceiling was adjusted to reflect improved immunisation coverage and economic constraints. These actions underscore Gavi’s commitment to strategically targeting resources to address priority health challenges and support countries based on their specific

FIGURE 14: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI’S WORK IS TAILORED TO THE SPECIFIC SITUATIONS AND NEEDS IN THE LOCAL CONTEXT



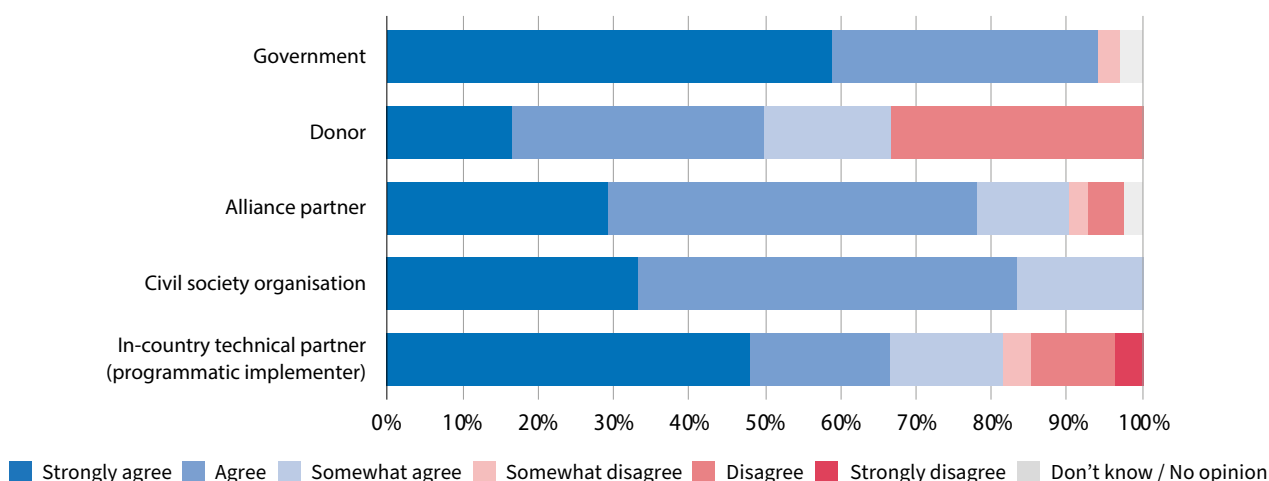
Source: MOPAN external partner survey: GAVI, July – September 2023.

needs and situations, a commitment that is well recognised by stakeholders, with 78% of the external partners survey respondents perceiving that Gavi’s in-country work is tailored effectively to local contexts.

Gavi employs a thorough and transparent approach to financial management.

Organisational processes for ensuring effective financial management begin with countries developing their strategic health initiatives and plans, making a case for vaccine funding. This participative, demand-driven model allows countries to establish their own financial targets, effectively fostering a collaborative approach to financial planning and execution. This process enables Gavi to set clear targets for disbursements to its partners which are then rigorously reviewed by expert committees to ensure technical feasibility and alignment with strategic goals. This system is highly regarded by stakeholders, with 79% of survey respondents affirming Gavi’s transparency in communicating financial criteria; however, over 30% of donor stakeholders were dissatisfied with this. Analysis of relevant documents shows that Gavi ensures that disbursements are timely and adhere to agreed margins, with detailed financial breakdowns provided for specific initiatives such as malaria pilots and product switch disbursements. This highlights Gavi’s commitment to fiscal responsibility and transparency.

FIGURE 15: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI OPENLY COMMUNICATES THE CRITERIA FOR ALLOCATING FINANCIAL RESOURCES



Source: MOPAN external partner survey: GAVI, July – September 2023.

Gavi is proactive in addressing financial variances, providing comprehensive explanations to stakeholders to ensure clarity and accountability in its financial reporting.

During the assessment period, these variances were attributed to external factors rather than internal procedural issues, as evidenced during the COVID-19 pandemic, when global health priorities shifted, leading to significant underspends. Regular updates provided to the Board and the AFC on undisbursed commitments and cash balances ensure that delays in disbursements are not due to internal procedures but are linked to the complex nature of Gavi’s operations. Responsiveness to external challenges is further exemplified by Gavi’s robust handling of cash requests and its efficient management of large-scale payments during the COVAX initiative, demonstrating the organisation’s commitment to maintaining strict financial controls and aligning resource allocation with changing global health needs.

There has been a progressive shift in Gavi’s budgeting approach from a predominantly activity-based model to one that is more results-based.

This includes Gavi aligning its resource allocation more closely with strategic objectives and intended outcomes as highlighted in its evolving strategies. Although the organisation has traditionally not employed a strict results-based budgeting system, recent efforts include the development of specific indicators to gauge performance against the strategic goals set for 2021-25. These indicators and their progress are documented in Gavi’s annual reports, reflecting an

ongoing commitment to align financial resources with the strategic objectives of enhancing vaccination coverage and outcomes. The transformation towards results-based budgeting is part of Gavi's broader EVOLVE initiative, aiming to enhance the linkage between financial allocations and the achievement of programmatic goals. Operational changes include collaborating closely with partners to optimise fund utilisation and implementing rigorous monitoring to prevent unspent balances from accumulating. Evidence from interviews shows that stakeholders acknowledge this shift as a significant improvement in Gavi's financial management, marking a transition to a system that aims not only for broader strategic alignment but also for increased accountability and effectiveness in meeting global targets.

Gavi adheres to robust audit standards.

For external audits, Gavi engages Deloitte, a multinational professional services network, for annual audits compliant with US generally accepted accounting principles (GAAP), Swiss law and its own statutes, overseen by the AFC. These audits confirm Gavi's financial compliance and the effectiveness of internal controls. Additionally, Gavi has robust internal mechanisms, as seen in its annual Audit and Investigations (A&I) Plan. The A&I plan is supported by tools such as a whistleblower hotline and a tracking system for monitoring issues and corrective action. The ethics policy encompasses tools which underpin the management of robust audit standards and is applied in conjunction with Gavi's Disciplinary Procedures and Whistleblower Policies. The HR manual also includes standards of conduct, which list the behaviour required of employees, including integrity, respect for others, responsibility and how to deal with confidential information. Together these practices ensure that Gavi maintains high standards of financial integrity and operational oversight.

Gavi has a comprehensive and publicly accessible Counter-Fraud Framework that defines strict policies and guidelines on handling fraud, corruption and other financial irregularities.

This framework, along with policies on transparency and accountability, ethics, Col procurement, and whistleblower reporting, is designed to provide clear directions for all individuals involved in Gavi-supported activities, particularly for identifying and managing fraud cases. Regular training sessions enhance staff and partner understanding of these measures, supported by multiple confidential reporting channels, including a dedicated whistleblower hotline and an ethics hotline on Gavi's website, ensuring that staff and third parties can report suspected misconduct confidentially and without fear of retaliation. Gavi's commitment to transparency is demonstrated through routine, detailed reports to the AFC, the minutes of which include the evolving status of issues currently under review and are publicly disclosed as per Gavi's Access to Information Policy.

Gavi does not have a policy on prevention and response to SEA of external persons, including beneficiaries of immunisation services.

The Gavi Secretariat does not have a regional or country presence, and therefore it is through its implementing partners that Gavi has direct engagement with beneficiary communities and subsequent risk exposure to SEA. This is in contrast to Gavi's Alliance partners (e.g. UNICEF, the World Bank and WHO), whose personnel engage with external persons. Gavi reports an ongoing audit of its PSEAH approach as part of its entire ethics framework.¹ A new Ethics, Risk and Compliance Office will establish a framework for PSEAH and strengthen implementation of PSEAH policies and procedures to prevent and manage inappropriate behaviour by implementing partners and their employees in-country. This framework will draw from the IASC Core Principles and the Common Approach to Protection from Sexual Exploitation, Abuse and Harassment. Although Gavi did not have an organisational SEA policy during the assessment timeframe, since 2018, Gavi has subscribed to the commitments agreed upon as part of the UK FCDO international Safeguarding Summit. This includes specific commitments, aligned with international standards, on survivor support, accountability, transparency, reporting, cultural change and organisational capacity building. As a member of the Cross-Sector Safeguarding Steering Group (CSSG), Gavi reports annually (FCDO, 2024_[20]) on progress on these Safeguarding commitments. The 2022 Safeguarding report mentions that Gavi engaged in a Public Health

1. Reportedly the findings of these audits have been shared with the AFC in December 2023 but were not yet documented at the time of this MOPAN assessment.

Health Initiatives in Oti Region, Ghana

Awudi Felicia Akosua, a health worker and Ernest Nabuel, a volunteer, board a boat for a community visit at Abotoase in the Oti Region of Ghana. Healthcare workers visited families to provide vaccines to zero-dose children, including the Mosquirix vaccine (RTS,S) against malaria.

Photo: © GAVI / Nipah Dennis



Collaboration on PSEAH, working closely with the Global Fund, WHO and Unitaid. A Protection against Sexual Exploitation, Abuse and Harassment Policy was under development during the assessment period and was approved in April 2024. It will come into force in December 2024 and is therefore not yet part of this assessment.

Gavi considers SEA from the dual perspectives of risk and gender.

Gavi's Gender Policy recognises SEA as a barrier to access, and the Women at Gavi group has advocated for a corporate response to SEA. From the perspective of risk, Board members interviewed recognised the importance of PSEAH and the line of sight between the Gavi Secretariat, Gavi Alliance partners and beneficiaries, but opinions differed on the importance of SEA as an organisational risk for Gavi. The Gavi annual report to the FCDO Safeguarding Group recognises that Gavi's ability to detect and respond to SEA is limited. Evidence from interviews shows that some Board members have highlighted a need for more attention from relevant Directors (A&I and Ethics) and for an explicit link between SEA and child protection. As an Alliance, a considerable part of Gavi's SEA risk lies with its partners. Although Gavi has begun to make SEA clauses part of its agreements with its key partners, it has yet to develop clearly defined lines of accountability, ensure due diligence and capacity for protecting from SEA, and monitor adherence to Gavi's policy and standards. Also, because Gavi agreements are largely with country governments, a challenge Gavi has in common with other MOs is to establish agreements with sovereign countries in this regard. Gavi Alliance core partners UNICEF and WHO implement the United Nations Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners and report allegations to the UN Secretary-General, but this is not the case for other partners (UN, 2018_[21]).

Pending the finalisation of a PSEAH framework, it is not clear who is ultimately in charge and where accountability lies.

The Senior Leadership Team and Risk Committee ensure that SEA is considered at high-level discussions and risk assessments; the HR department and the Well-Being & Culture Committee integrate PSEAH into broader internal culture and employee welfare. The Gavi Code of Conduct for staff and collaborators and Gavi's Respectful Behaviour Policy (2021) state that there is zero tolerance for SEAH but do not explicitly mention behaviour towards external persons, nor do they provide details about resources and structures for PSEAH. Subcontract clauses oblige contractors

Temperature controlled warehouse in Gambia

Solar panels power a cold storage facility for medical and vaccination equipment in a remote area.

Photo: © GAVI / Guido Dingemans



to take reasonable measures to prevent SEA and actively engage in steps to address such incidents, including maintaining protection for whistleblowers. Gavi funds are indirectly available for SEA prevention and response. For example, the Gavi programme funding guidelines state that Gavi funds can be used to address gender-related barriers to access, for example safeguarding policies and programmes for prevention and response to SEA. Gavi does not undertake specific training of personnel or country-level awareness raising on SEA.

Current e-learning training materials focus on SH in the workplace but not on SEA towards immunisation service beneficiaries and other stakeholders. Although the (online) Gavi capacity building module on gender and immunisation programme design includes a module on PSEAH, this module is a joint Gavi Alliance partners' initiative and was not developed by the Gavi Secretariat. Gavi does not publicly report on the number of and responses to SEA allegations, and the Gavi internal reporting systems have not yet yielded any SEA allegations. Its UN partners report through the UN Secretary-General's reporting system, but it is not known how many of those allegations relate to work they conduct for Gavi. The A&I department reports internally to the AFC and the Board on whistleblowing reports, but no SEA allegations from external individuals have occurred to date. Although Gavi management considered the absence of SEA allegations as a positive sign, this may in reality indicate barriers to the reporting system. Gavi does not have a victim support function in place at the central level or at the country level, which reflects Gavi's modus operandi of working through implementing partners at the service level, relying on their PSEAH systems. Evidence from interviews shows that Secretariat staff and Board members recognise the need to strengthen its victim-centred approach and support mechanisms.

Gavi has a corporate policy and various procedures for prevention and response to SH and abuse in the workplace.

Gavi's Respectful Behaviour Policy (2021) includes SH in the workplace, alongside discrimination, other forms of harassment and abuse of authority. This policy defines relevant behaviours and outlines the roles and responsibilities of management, HR and employees to foster a respectful working environment. The policy and the Investigation and Disciplinary Procedures jointly establish procedures for reporting, investigating and remedying incidents of SH while ensuring due process. Finally, Gavi's Code of Conduct states that there is zero tolerance for SH and any form of discrimination or harassment towards and between its employees. The package of Gavi corporate policies, procedures and guidelines forms an integral part of any employment contract. Information on the alignment of Gavi's SH policies with international standards, including UN standards, is not available.

The Respectful Behaviour Policy mentions that it will be revised as needed, which may happen shortly, pending the outcomes of the ongoing audit and revision of the entire PSEAH framework. Gavi reports annually on progress towards

the London Safeguarding Summit commitments on SH, as part of PSEAH. In the most recent (2023) progress report, Gavi reports the ongoing audit of its entire ethics framework and the establishment of an Ethics, Risk and Compliance Office, which will establish a framework for PSEAH and strengthen co-ordination and consistency of implementation of PSEAH policies and procedures to prevent, including detection and resolution of, SH in the workplace. The Respectful Behaviour Policy does not contain a dedicated SH action plan or detail on roles, structures, resources, preventive strategies, awareness campaigns or reporting. Some of this detail is expected as part of the Gavi PSEAH Framework currently under development. As of 2023, the process for handling SH allegations is the same as for other forms of misconduct, as per the 2020 Gavi Grievance and Appeals Procedures, Investigation and Disciplinary Procedures, HR manual and Whistleblower Policy. This is the joint responsibility of the Ethics, HR and A&I departments, with an ongoing review exploring transferring responsibilities from the HR to the A&I Department. The Respectful Behaviour Policy approach to reporting misconduct (including but not limited to sexual misconduct) is that individuals report through channels they are comfortable with and that reporting takes place in good faith. Gavi’s Whistleblower Policy ensures protection from retaliation, but there is no information on how anonymity is operationalised for people reporting SH. The 2020 Gavi Grievance and Appeals Procedures and Gavi’s Investigation and Disciplinary Procedures mention informal and formal channels for reporting and resolution.

Low levels of reporting of sexual harassment may mask barriers in the system.

The Gavi A&I department and Gavi management confirmed that there were two reports of SH between August 2022 and July 2023, of which one was investigated. According to some Gavi key informants interviewed, including a Gavi Board member, the low level of reporting SH may indicate barriers in the system. Some Gavi managers mentioned the need for continuous improvement and “a culture journey” to better understand the low number of reported SH cases. The HR team is currently developing an HR monitoring and reporting framework that would include grievances, acknowledging the need for a more sophisticated system as Gavi continues to grow in size. There is no evidence of reporting to inter-agency HR mechanisms to prevent the rehiring of alleged offenders. The A&I department regularly reports to the AFC and the Gavi Board, including on whistleblowing events, providing (where relevant) anonymised, high-level information on the nature of these reports. The Gavi annual reports to the FCDO Safeguarding Group do not contain information on the number of SH incidents and actions taken to ensure the anonymity of the participants, according to feedback from Gavi management.

Most Gavi managers have undergone training on preventing and responding to SH, and most staff have been trained to set behavioural expectations (including with regard to SH).

According to the 2023 FCDO Safeguarding progress report, Gavi has rolled out training and awareness raising, targeting all staff and consultants on the Respectful Behaviour Policy since 2021, also doing this as part of onboarding training for new personnel. The training is a mandatory e-learning course, and it has reached more than 500 people – roughly 69% of eligible staff, including the majority of Gavi managers (see Table 2). Information on the impact or outcomes of these training and awareness initiatives is not available. Gavi staff interviewed also mentioned introducing mandatory unconscious bias training for leadership, which includes a module on PSEAH.

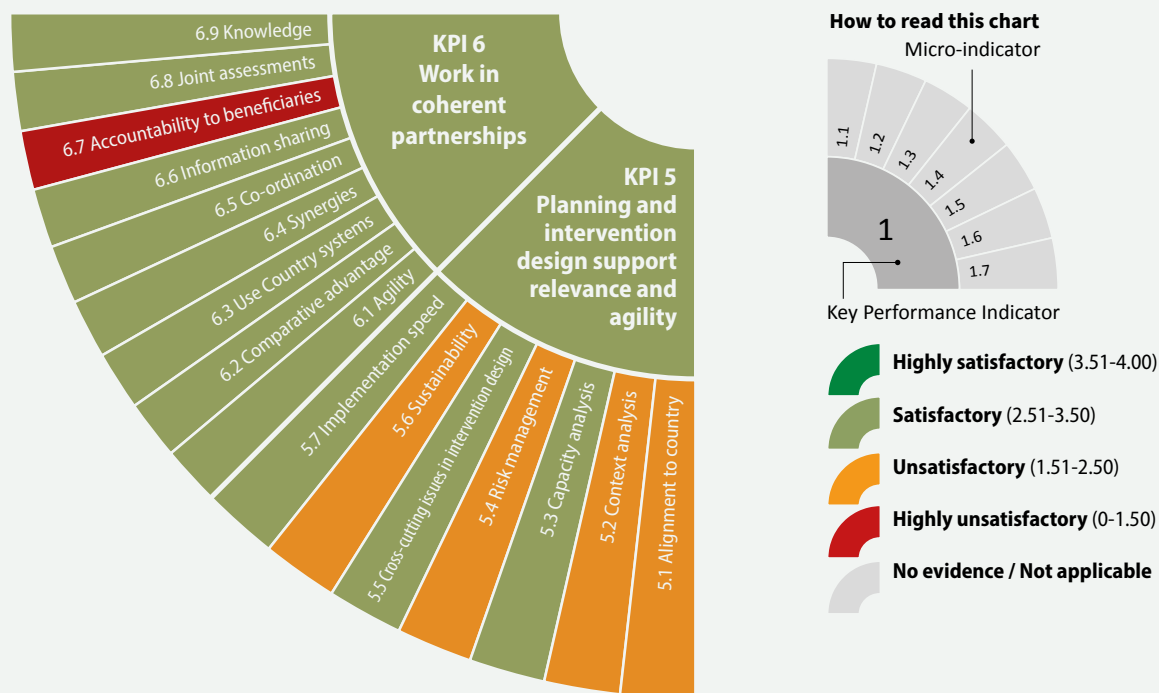
TABLE 2. ATTENDANCE FOR RESPECTFUL BEHAVIOUR TRAINING

Number of eligible people	744	
Total attendees for individual contributor sessions	306	
Total attendees for manager sessions	124	
Total attendees for country-facing sessions	80	
Total attendance	510	69%

Source: #128 Training report for live sessions (9/8/2023)

RELATIONSHIP MANAGEMENT

FIGURE 16. RELATIONSHIP MANAGEMENT – KEY FINDINGS



Both Gavi's planning and intervention design support, relevance and agility and Gavi's work in coherent partnerships are rated as satisfactory. Partnerships are one of the cornerstones of Gavi's business model, and this principle is clearly articulated in many of its core documents and strategies. Since its inception more than 20 years ago, Gavi has emphasised that it operates within a partnership model, drawing upon a wide variety of stakeholders – including governments, civil society and the private sector – to ensure the success of its programmes. These partnerships operate at both the global level through several forums, including the composition of its Board, and at the country level through expanded programme on immunisation (EPI) programmes, with country governments taking ownership of partner selection and funding allocation.

Gavi prioritises empowering countries to design interventions that address their specific needs. However, analysis of documentary evidence and evidence from interviews shows that a clear definition of who ultimately benefits from their work (recipient governments or immunised populations) is missing among Gavi staff and within official documents.

Gavi excels at building sustainable capacity within partner countries through assessments and ongoing monitoring. However, this assessment notes that its risk management practices require much further development and formalisation. Prior to 2023, Gavi's primary risk register tool was included in the TPM process, which captured risks per department or team in relation to objectives and which reported twice a year. Several other risk registers were either supported or developed by Risk Management (e.g. COVAX, Finance Risk and Controls Matrix) on an as-needed basis.

Gavi demonstrates a strong commitment to transparency through information sharing and independent oversight. However, data availability for the Board could be improved. Evidence from interviews with some Board members

highlights that sometimes information is provided late and can be burdensome in length. The Gavi Secretariat recognises the diversity of interests and preferences of Board members and is planning on addressing this issue.

Gavi leverages partnerships for impact by outlining clear roles and utilising unique partner expertise. Opportunities exist for further formalisation of the partnership process, particularly with regard to private sector partnerships and how country needs are factored into agreements. Although Gavi collaborates effectively with various actors, clear guidelines are absent for fostering development partnerships directly between countries. The current focus lies primarily on individual country needs and strengthening existing health systems.

The **relationship management** performance area looks at whether and to what extent the organisation engages in inclusive partnerships to support relevance, leverage effective solutions and maximise results. This area is assessed through the two KPIs specified below.

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

Satisfactory

2.51

Gavi displays a strong focus on aligning its interventions with national priorities. By explicitly stating its beneficiaries and providing clearer guidance on targeting them within the application process, Gavi can further enhance its efforts towards global immunisation goals. This definition of Gavi’s beneficiaries will also support the Secretariat to ensure more robust accountability to their beneficiaries.

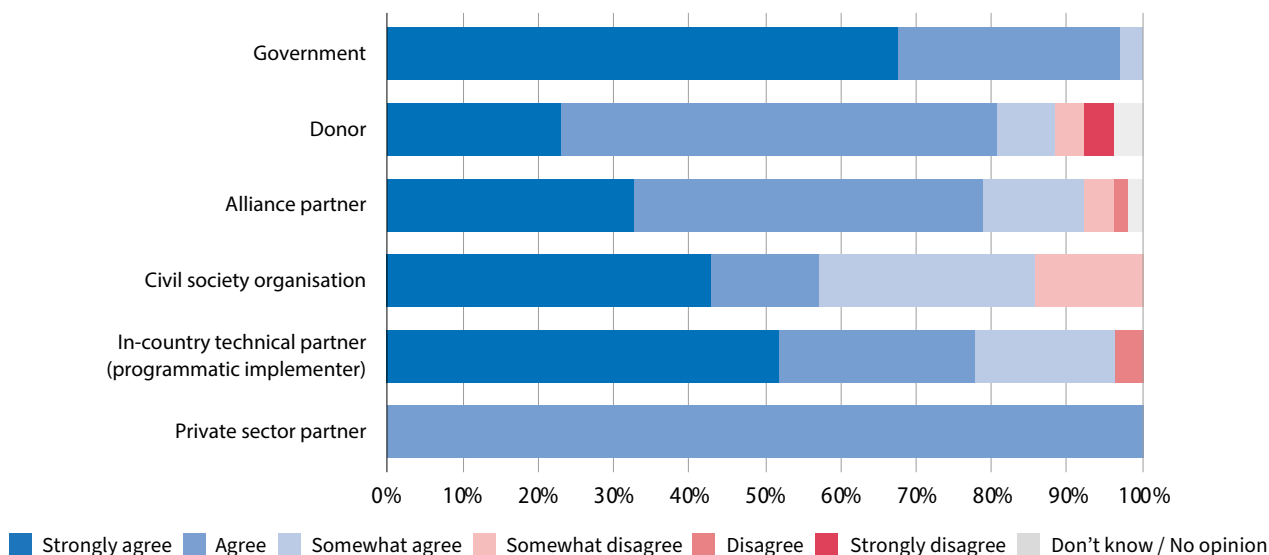
Gavi demonstrates its commitment to aligning its work with the needs and priorities of the countries it supports. This is evident throughout the entire funding process, from the development of Gavi’s strategic plans to the approval and monitoring of grants. Gavi prioritises collaboration with stakeholders at all levels during the development of its programming, including national governments, regional bodies and other relevant actors. This collaborative approach ensures that Gavi’s interventions reflect the most pressing priorities identified by the countries it serves. For example, Gavi’s decision to support the Africa manufacturing agenda in its 5.1 Strategy update was directly informed by a consultative process with stakeholders across the continent.

The grant application process is also specifically designed to guarantee alignment with national goals. Countries work hand in hand with Gavi to develop funding proposals that clearly outline how Gavi’s support will contribute to achieving their national immunisation objectives. Most survey respondents agreed that Gavi reflects national programmes and intended results adequately in its planning and implementation, with 93% in agreement.

Additionally, Gavi’s funding guidelines explicitly encourage applicants to integrate Gavi’s support into existing national health systems, fostering a cohesive approach to immunisation efforts. A multi-step review process ensures that applications are closely aligned with national policies and utilise existing national structures. This rigorous review process continues even after the grant is awarded. Gavi’s Measurement Framework incorporates indicators that track progress towards national and global goals. This allows Gavi to demonstrate ongoing alignment with national priorities throughout the grant cycle.

One area for improvement identified is the lack of an explicit definition of Gavi’s beneficiaries within its official documentation. Although Gavi emphasises reaching vulnerable populations and integrating equity into vaccine access in its strategic plans, currently it seems to operate without an explicit policy outlining how it ensures that its efforts serve the intended target population. This ambiguity extends to the definition of beneficiary itself, with internal debate as to whether governments or vaccinated individuals fall under this category, as identified in interviews with Board and Secretariat staff members. However, feedback from the Gavi Secretariat noted that their beneficiaries are

FIGURE 17: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI’S WORK RESPONDS TO THE NEEDS OF BENEFICIARIES, INCLUDING THE MOST VULNERABLE POPULATIONS



Source: MOPAN external partner survey: GAVI, July – September 2023.

implied within their strategic visions (i.e. the non-immunised). However, evidence from the MOPAN external partner survey suggests that these stakeholders perceive Gavi’s work to align with beneficiary needs. It is important to note that the term “beneficiary” was not defined in the survey. The ambiguity about a definition of beneficiaries that was highlighted by interviewees may be indicative of a wider misunderstanding, which would be rectified through the explicit delineation of Gavi’s beneficiaries in official policy.

As it stands, this lack of official definition makes it challenging to assess how effectively Gavi reaches its intended target groups. This absence of a standardised definition hinders the ability to effectively measure the success of Gavi’s programmes in relation to beneficiary impact. Furthermore, there are few formal policies and standardised procedures outlining Gavi’s approach to beneficiary accountability. Interviewed staff perceive that they currently lack explicit guidance on how to ensure responsible and transparent practices vis-à-vis beneficiaries. Similarly, the absence of formal staff training specifically focused on beneficiary accountability negotiations with recipient countries presents a potential obstacle to fostering strong collaborative relationships. Gavi’s current programme evaluation processes, although robust in measuring progress towards its overall mission, do not explicitly assess beneficiary accountability. These evaluations focus on metrics such as child mortality rates and lives saved, offering valuable insights, but they do not directly analyse the effectiveness of programmes in reaching and serving their beneficiaries.

This uncertainty further extends to defining exactly to which groups the organisation is accountable (e.g. to its donors, implementing countries and corresponding Ministries of Health, its Board and the non-immunised populations, including children, which it serves), how that accountability would be realised, and how it would function within Gavi’s partnership structure. The absence of a clear framework also creates challenges for Gavi staff, particularly during interactions with recipient countries and in ensuring accountability to beneficiaries (MI 6.7). Interviewees reported that the current approach, which they perceive as relying on Senior Country Managers, on Country Managers’ relationships with countries and on case-by-case navigation and as lacking standardised guidance, can lead to inconsistencies and pressure on staff. This is in addition to a lack of guidance, training or programming tools to support staff in the implementation of procedures for accountability to beneficiaries.

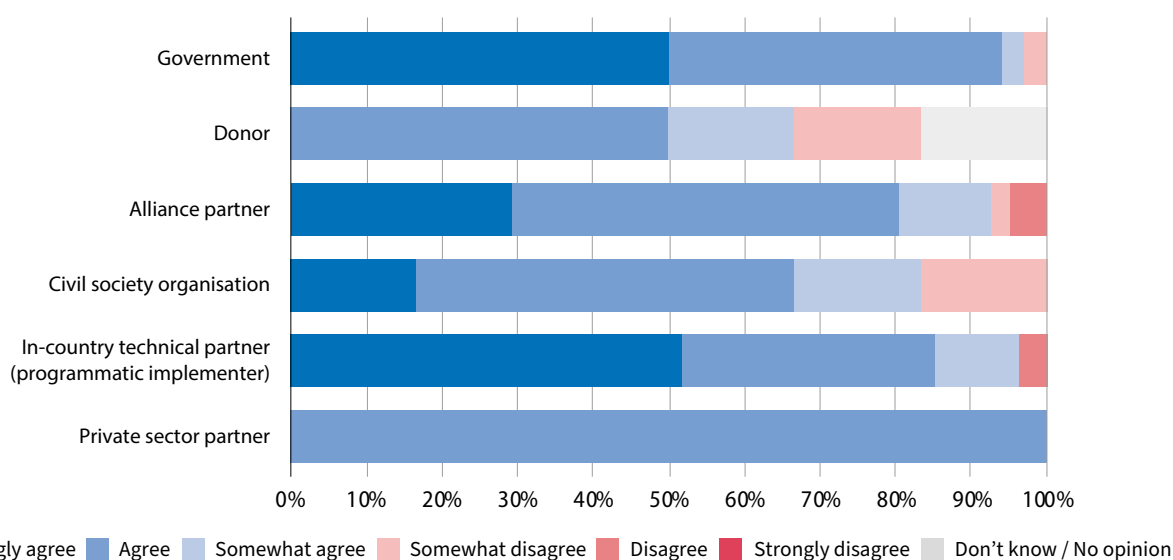
Gavi’s application process fosters contextually relevant interventions. The recently restarted JAs, coupled with the development of a new performance framework and ongoing communication channels, ensure a robust system for programme monitoring and adaptation.

Gavi’s intervention design prioritises context-specific approaches. The application process mandates a comprehensive situational analysis, requiring countries to evaluate their immunisation programmes across key metrics such as coverage, service delivery and financing. This focus on context extends to the recent emphasis on understanding the unique barriers faced by ZD children. Gavi facilitates programme adaptation through JAs, which are annual discussions with countries, implementing partners and the Gavi Secretariat, to review progress and collaboratively address challenges. These JAs, recently restarted after a pause due to the pandemic, related lockdowns and travel restrictions) provide a valuable platform for ongoing programme monitoring and adaptation. Complementing the JAs, a new partner performance monitoring framework is being developed to further strengthen the evaluation process. This framework, in conjunction with ongoing informal dialogue with partners, ensures a robust system for programme reflection. Ensuring partner buy-in and transparency on how data will be used for learning and programme improvement will support the operationalisation and utility of the performance monitoring framework. Country Managers engage in regular communication between Country Teams and Country Support Directors, the CP management team and the Managing Director, and the Managing Director and the Executive Office, and they participate in monthly calls with partners such as UNICEF and WHO. These interactions foster knowledge sharing, collaborative problem-solving and course correction as needed. Internal bi-weekly meetings further contribute by facilitating experience exchange among participating countries. Formalising management of country programmes through the Country Managers supports knowledge sharing of best practices and improves consistency.

Gavi employs a multi-step approach to assess and strengthen the capacity of countries applying for vaccine introduction programmes. While the JAs were paused, there was a lack of formal mechanisms by which changed capacity needs could be noted or addressed; however, the JAs are now in the process of being reinstated.

Gavi’s approach to funding prioritises country ownership. At the application stage, countries conduct a situational analysis that identifies implementing partners and assesses their capabilities, including plans to address any identified gaps. Gavi further strengthens applications through a multi-layered review process. Independent contractors conduct programme capacity assessments (PCAs), the Gavi Secretariat provides additional information

FIGURE 18: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI’S WORK IS DESIGNED TO FIT WITH NATIONAL PROGRAMMES AND INTENDED RESULTS OF THE COUNTRIES IT WORKS IN



Source: MOPAN external partner survey: GAVI, July – September 2023.

based on past interactions and the IRC offers recommendations for improvement. Sustainability is a key focus for Gavi. An internal dashboard tracks capacity and progress across countries. Additionally, the recent reinstatement of JAs fosters transparency and facilitates discussions on programme performance and challenges throughout the life of a grant. Interviewees believed that this approach is successful. The MOPAN survey respondents agreed that Gavi considers national and regional capacity when designing programmes, and interviewees perceive that Gavi's work contributes to long-lasting programme effects.

Analysis of relevant documents shows that the approach is comprehensive, but some areas could benefit from further evaluation. The impact of the new requirement for allocating funds to CSO implementation would benefit from further review, although this information is regularly reported to the Board. The evaluation of the effectiveness of this requirement would help determine if it strengthens programme implementation and achieves its intended goals.

Gavi tackles complex challenges, and managing risk is crucial for success. Although Gavi has a risk management framework, several gaps need addressing through significant formalisation of risk policies and procedures.

Gavi has a risk policy in place and a dedicated risk function to identify, assess and mitigate risks. Gavi's risk management processes are embedded in its funding application and design process. Funding applicants must complete a situational analysis that includes a budget and staffing plan, and they are encouraged to consider how Gavi can support operational aspects of their programmes, although there is not the requirement for applications to include a risk matrix comprising detailed analysis of and mitigation strategies for risk. After the application and design process, there are risk management and audit procedures in place. Other procedures also include the biannual reporting of risks related to activities, operations and teams in dedicated risk registers as part of the Team Performance Metrics cycle. This reporting informs the mid-year and end-of-year reporting to AFC on top risks.

Gavi also works with partners such as UNICEF to manage risk. The template for grant agreements between Gavi and UNICEF includes an annex on risk management and assurance. This annex states that UNICEF will apply the principles of the United Nations Sustainable Development Group (UNDG) Harmonised Approach to Cash Transfer (HACT) framework to assess risk and obtain assurance that funds are used as intended.

Despite the strengths outlined above, this assessment found that a number of areas require improvement to meet generally accepted international standards. Gavi is currently in the process of professionalising its approach to risk management, which includes embedding risk management approaches in operational and programmatic team meetings, streamlining the application process to be more risk-based, and formalising an enterprise risk management framework. However, currently, for example, although the requirement for funding applications to address operational challenges establishes a solid foundation, a more comprehensive approach to CP risk management is necessary. The absence of a formal requirement for detailed operational risk analyses with corresponding mitigation strategies may cause Gavi to overlook critical challenges at the programme implementation level. Furthermore, interviewees highlighted the inconsistent application of risk analysis tools, such as the reported discontinuation of country risk matrices – and the absence of a justification for discontinuing them – as well as a need for a more systematic and standardised approach to risk identification and assessment across all country programmes.

Gavi's risk management framework also exhibits limitations in addressing broader strategic considerations. The complete lack of formal requirements for intervention at the design stage to analyse and mitigate strategic risks exposes the organisation to unforeseen changes in the global health landscape. Similarly, the absence of a structured approach to political risk management creates a potential vulnerability to political disruptions that could hinder vaccine delivery efforts. Another area requiring urgent attention is the protection of healthcare workers. The development of a PSEAH framework is a positive step. A robust and fully operational PSEAH framework is essential to ensure the safety and well-being of those delivering critical vaccination programmes.

Established practices within Gavi’s risk management system would benefit from further optimisation, including Gavi’s reliance on partner frameworks, such as the HACT framework employed by UNICEF. This necessitates a thorough evaluation of the effectiveness of these partner-led risk management practices to ensure they adequately address Gavi’s specific risk profile.

Several risk management procedures were put in place for the COVAX AMC Facility. These include: (i) a COVAX risk register (CRR), which includes risk tracking, mitigation measures and delineation of risk responsibility, and (ii) regular updates on risk, which encompass risk pertaining to delivery, supply and financing; the data for this is taken from the CRR. Although the management of the Facility is out of scope, it is important to note that this work has helped to develop Gavi’s risk management across the Secretariat, with a number of tools and processes being retained and integrated into the Secretariat. These policy changes have recently been approved under the Gavi 6.0 Strategy. By the end of 2023, the Secretariat had planned the launch of the risk register suite, which will facilitate the new Enterprise Risk Management Policy Framework and processes. The risk registers, which will be in Excel and are currently in development, are intended to capture both operational and strategic risks. The risk register tools will also enable automated risk analysis and reporting for the first time. The registers have been planned for launch in Q3/4 2024.

Gavi integrates a focus on cross-cutting areas within its intervention design processes to bolster the impact of immunisation programmes. Implementing a holistic approach ensures programme efficacy and supports long-term sustainability in the face of climate change.

Gender, ZD children and marginalised communities, HSIS, and governance are all assessed during design and approval stages. Situational analyses review these areas, and pre-screening dialogues and dedicated teams such as HSIS ensure a comprehensive evaluation. However, a critical gap exists in the consideration of the environment and climate change. Although Gavi invests in healthcare waste management, a comprehensive strategy to support recipient countries in adapting to or mitigating the effects of climate change is not in place. Interviews with Secretariat staff corroborated this observation, highlighting ongoing efforts by the Board to develop a more robust response. Pilot projects such as solarising health facilities demonstrate a positive step, but these initiatives are not yet well integrated into core processes. Furthermore, some recipient countries appear to prioritise other areas, potentially hindering progress in this crucial domain.



Vaccines for remote regions of Madagascar

A pentavalent vaccine vial (*Diphtheria-Tetanus-Pertussis, Hepatitis B, Haemophilus Influenzae*) with a portable cold storage box. Taken during a routine vaccine session at the CSBII Tsianofana of Vaingandrano health centre.
Photo: © GAVI / Randrianarivony Voara

Gavi's MEL framework stands out as a success in tracking progress on cross-cutting areas. Applicants are required to develop programme ToCs which feed into M&E plans with clearly defined indicators. A noteworthy example is the grant-linked KPI focusing on the reduction in ZD children, which exemplifies Gavi's commitment to specific areas. Regular reviews conducted by the Secretariat based on these indicators ensure sustained attention to cross-cutting areas throughout the programme's life cycle. Even Gavi's financing policy underscores its commitment to sustainability by implementing negative screening of companies based on carbon footprint and investment in sustainable solutions.

Gavi assesses critical aspects of sustainability effectively at the intervention design stage through its situational analyses, which go on to form integral aspects of a country's ToC and MEL plan. However, improvements could be made to ensure that Gavi develops the capacity of countries and advocates for relevant policy and legislative changes to ensure sustainability after a country's transition.

Per key informant feedback, there is a disconnect between the emphasis on strong governance in funding applications and the limited focus on building a supportive policy and legal environment. Although countries present robust governance plans, discussions surrounding the development of enabling policies and regulations remain at an early stage. Interviews with staff confirmed this gap, highlighting the need to formalise a requirement for applicants to demonstrate concrete plans for establishing a sustainable legal framework. Under the Gavi 5.0 Measurement Framework, indicators exist to track both the number of children immunised and the coverage. A more holistic approach to programme sustainability could be achieved by integrating policy and legal considerations throughout Gavi's framework. Currently, strategic goals and performance indicators across different levels of the Alliance lack a focus on policy and legal environments for sustainability. The Secretariat has significant expertise in the financial transitions of countries but would benefit from reflecting on the need to expand expertise and support beyond financial aspects of transition. Countries in the transition phases face a multitude of challenges, and analysis of evidence from staff interviews highlights a perception that Gavi's focus on co-financing overshadows support for addressing non-financial barriers.

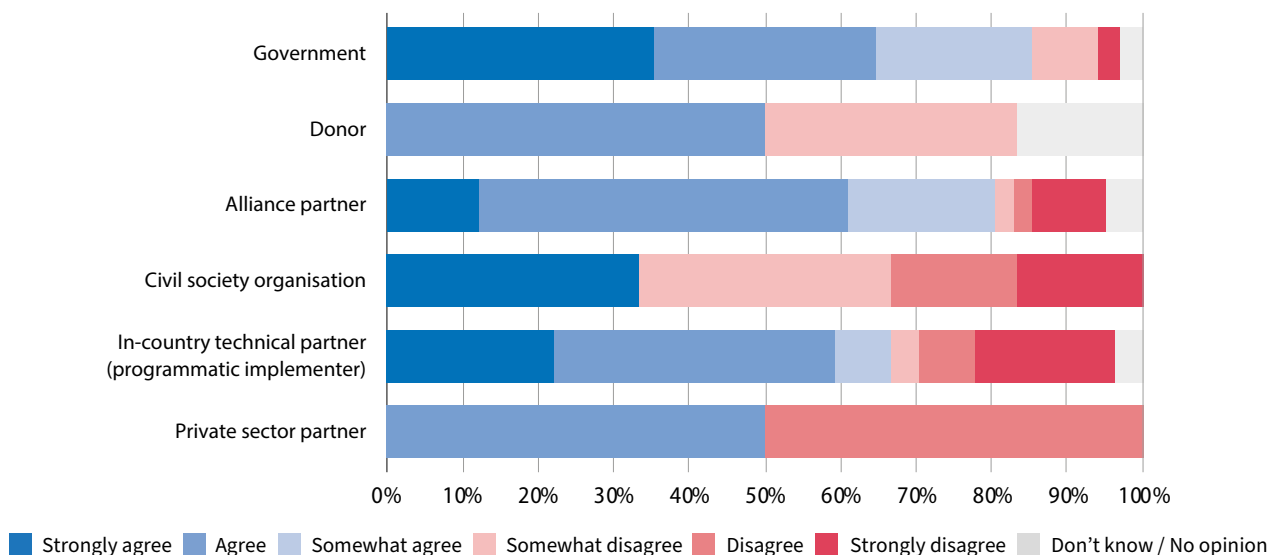
Although Gavi tracks timeliness and speed effectively, benchmarking exercises against external organisations have identified some areas for improvement. They have highlighted that Gavi's processes can be more time-consuming compared to those of its peers. Efforts are currently underway to expedite implementation processes.

Gavi employs a multifaceted approach to measuring implementation speed across diverse country contexts. It utilises internal mechanisms to track the timeliness of grant and vaccine disbursements against established forecasts from both Gavi and recipient countries. The Gavi 5.0 Strategy update implemented a restructuring of the CP Team, differentiating between high-impact, core programme, and fragile and/or conflict contexts. This strategic shift has the potential to impact implementation speed based on the specific needs of each country.

Gavi's Country Programmes Delivery Monitoring and Performance Management (MPM) framework tracks the timeliness of grant-making processes. Independent evaluations (e.g. ELTRACO) and Gavi's internal Draft Gavi Balanced Scorecard pinpoint areas experiencing delays, such as strengthening recipient countries' health systems. However, MOPAN survey respondents generally agreed that Gavi management processes do not cause unnecessary delays for partners in implementing operations.

Analysis of published evaluations suggests that Gavi could benefit from increased flexibility in policy implementation, particularly in fragile settings, and several recommendations have been made to enhance implementation speed. For example, Gavi could streamline its processes to reduce the time between funding approval and disbursement to recipient countries. Interviewees' feedback indicates that Gavi could improve communication with regard to co-financing forecasts and cost estimates. Finally, the effectiveness of new funding mechanisms, such as the Saving Lives at Birth grants, designed to expedite implementation should be evaluated to determine their success in achieving this objective.

FIGURE 19: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI MANAGEMENT PROCESSES (e.g. PROCURING, DISBURSING) DO NOT CAUSE UNNECESSARY DELAYS FOR PARTNERS IN IMPLEMENTING OPERATIONS



Source: MOPAN external partner survey: GAVI, July – September 2023.

KPI 6: Working in coherent partnerships directed at leveraging and catalysing the use of resources

Satisfactory	2.92
---------------------	-------------

Gavi’s approach to working in partnership demonstrates commitment and aims to be consultative and evidence-based. However, there are areas for improvement in ensuring effective monitoring and communication. Gavi’s decision-making structures are robust and consultative. Gavi would benefit from regularly monitoring its processes to ensure that they remain fit for purpose.

Stakeholders from governments, CSOs, technical experts and the private sector all contribute their perspectives to Gavi’s decision-making processes. This collaborative approach helps ensure decisions are informed by diverse viewpoints and aligned with the needs of the populations Gavi serves. Furthermore, the multi-level decision-making process with distinct bodies for different purposes (e.g. the Board for strategy, the Secretariat for day-to-day operations) allows for efficient decision-making at the appropriate level. Gavi utilises evidence-based tools, such as PCAs and regular monitoring reviews, to inform programmatic decisions.

However, a key monitoring weakness identified during the assessment period was the suspension of JAs due to the pandemic, as they had previously played a crucial role in reviewing programme progress and adapting to changing contexts. Although they will be reinstated fully in 2024, no evidence was provided to confirm their effectiveness. Gavi would benefit from (i) monitoring the reinstated JAs and ensuring they function effectively; (ii) providing clear guidance to countries on utilising them for programme improvement; and (iii) making adjustments as needed.

The Alliance Partnership and Performance Team (APPT) is a recently established group which brings together partners to review programme performance and identify areas for improvement. The establishment of the APPT supports Gavi to address concerns raised at the Partnerships Team meeting in March 2023: that greater co-ordination and communication between the country, regional and global levels was required, as well as a clear escalation procedure.

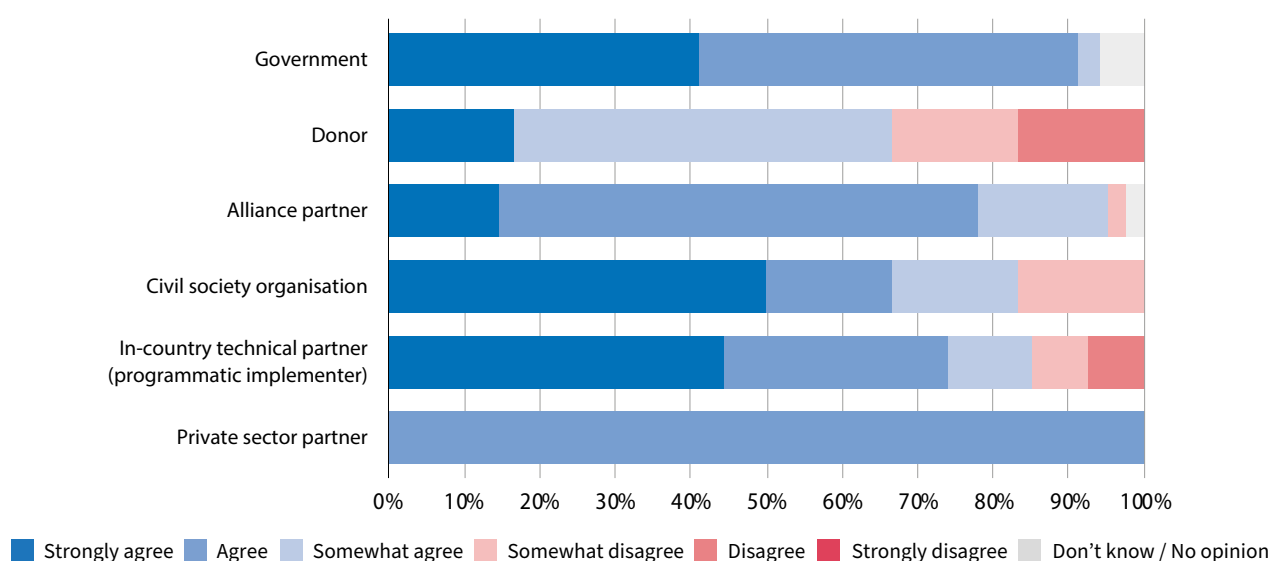
Gavi’s partnership strategy is strong, leveraging a diverse range of partners and fostering collaboration through clear frameworks and co-designed plans. To maximise the impact of these partnerships, Gavi would benefit from improving transparency on partner roles beyond the core Alliance and developing methods to measure the effectiveness of leveraging partner expertise.

Gavi’s strength lies in its diverse partnerships. By bringing together the Alliance partners with their unique expertise, Gavi can tackle a broad range of immunisation challenges. The PEF further strengthens this approach by outlining clear roles for each partner and allowing Gavi to tap into the skills of more than 55 expanded partners. This collaborative outlook extends to co-designing plans, grant agreements and Memoranda of Understanding (MoUs) with partners, ensuring everyone is accountable for achieving set goals. Although Gavi acknowledges its role in facilitating partnerships, there is no clear and documented statement outlining its own and its partners’ comparative advantages. A draft document outlining roles and responsibilities was developed in 2018 but was not finalised. However, positive steps are underway to revive this effort in 2024. Encouragingly, the MOPAN stakeholder survey indicated that a significant majority (91%) agreed that Gavi’s strategies demonstrate an understanding of comparative advantage.

Gavi utilises MoUs, grant agreements and results frameworks to define and track collaborative advantages with partners. Partners work together to identify their complementary skills and formalise these advantages in the accompanying workplans. Examples of successful collaborations leveraging comparative advantages include the COVAX AMC as well as partnerships with the African Union (AU), the Africa Centres for Disease Control and Prevention (Africa CDC), CEPI and Unilever. Additionally, Gavi’s participation in initiatives such as the COVAX AMC and the Future of Global Health Initiatives (FGHI) demonstrates its commitment to improving collaboration within the health sector.

Although Gavi excels at leveraging Alliance partners, a more standardised approach to defining partner roles and responsibilities, especially for non-Alliance partners, could enhance collaboration. Similarly, although Gavi utilises private sector expertise through innovative financing, there is potential to more clearly showcase how these partnerships leverage resources and expertise beyond the Alliance Network and demonstrate external coherence. Currently, there is a lack of documentation outlining the basis for these partnerships with corporate entities. Addressing this gap would enhance transparency.

FIGURE 20: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – THE STRATEGIES OF GAVI DEMONSTRATE A GOOD UNDERSTANDING OF COMPARATIVE ADVANTAGE



Source: MOPAN external partner survey: GAVI, July – September 2023.



Niger health centre

A baby plays with her mother and a health worker at CSI Nouveau Marché, a health centre in Niamey, Niger.

Photo: © GAVI / Isaac Griberg

Finally, to fully understand the impact of these partnerships, Gavi would benefit from developing methods to comprehend how leveraging partners' strengths translates into better immunisation coverage and equity. To address these gaps, Gavi is revising its roles and responsibilities (R&R) documentation and focusing on improving collaboration across all partners. This includes developing standardised definitions for partner roles and fostering a more collaborative environment through shared onboarding materials and team-building activities. Additionally, measuring the impact of partner leverage on immunisation outcomes will be crucial in demonstrating the effectiveness of Gavi's partnership strategy.

Gavi demonstrates dedication to collaboration and country ownership. Areas for potential improvement include developing a formal framework for country-to-country partnerships and refining the comprehensiveness of capacity analysis.

Gavi's commitment to collaborative efforts is evident in its established committees and regional dialogues, which serve as valuable platforms for knowledge exchange and joint programme planning. However, there are potential opportunities to strengthen this area by developing a formal framework to support development partnerships between countries. Gavi currently prioritises addressing individual country needs, but a more structured approach to developing country-to-country partnerships has the potential to leverage expertise and resources more effectively, ultimately accelerating progress towards global immunisation goals. Some work on this is underway with the establishment of learning hubs for ZD.

Empowering implementing countries is a core tenet of Gavi's strategy. Gavi prioritises strengthening existing in-country health systems to ensure the long-term sustainability of immunisation programmes. This is achieved through a multi-pronged approach, including directly funding nations, providing targeted capacity-building initiatives through training and technical assistance (e.g. through SFAs), and fostering the co-creation of programmes through the grant development process and the Full Portfolio Planning Processes (FPPs). However, there is an opportunity to refine Gavi's capacity analysis to be even more comprehensive, particularly when considering strategies to reach underserved populations. Finally, under the Performance Management Plan (PMP), Gavi countries and Gavi Alliance partners have co-created indicators that speak to the extent to which the EPI team and/or government perceived that they have gained additional knowledge and skills. This framework has been rolled out in high-impact countries and, according to Secretariat staff, will be rolled out in other countries from 2024 onwards.

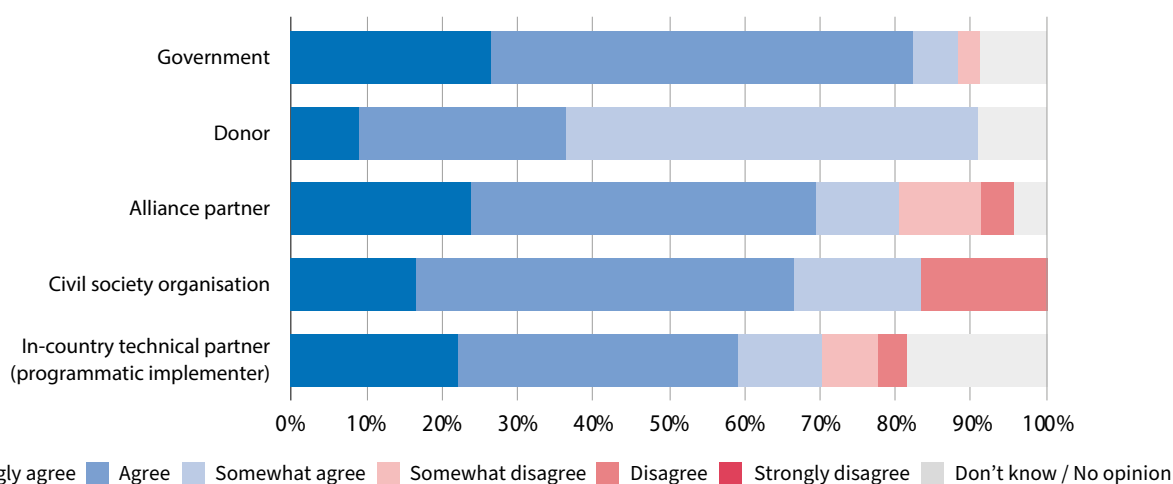
Gavi serves as a prominent leader in global immunisation co-ordination. By acknowledging the need for enhanced collaboration and actively working towards a more streamlined approach, Gavi demonstrates its commitment to achieving global immunisation goals.

Gavi is an important agency in the global health arena, fostering collaboration through its active participation in high-level forums. This includes the United Nations General Assembly (UNGA) and the World Health Assembly (WHA), where strategic discussions are held with key international partners. Gavi’s engagement extends beyond planning as it actively contributes to global monitoring initiatives such as the Immunisation Agenda 2030 (IA2030), tracking immunisation rates to ensure progress towards global health goals. Gavi is also a member of FGHI and sits on the Research and Learning Task Team, which supports global coherence in advocacy for universal health coverage. However, Gavi acknowledges the potential for further effectiveness. Interviews with Gavi staff raised concerns with regard to the fragmentation within the global health landscape, characterised by a multitude of funding mechanisms and implementing organisations. To respond to this, in collaboration with WHO, Gavi is spearheading efforts to streamline global efforts, aiming to reduce fragmentation and cultivate a more unified approach to immunisation programmes. Analysis of stakeholder feedback highlights Gavi’s participation in joint evaluations when possible. Stakeholders also noted that there might be limitations to collaboration that could be addressed due to differing requirements.

Gavi has robust transparency practices, although some areas would benefit from further development, such as the timeliness of data responses and the comprehensiveness of information provided to the Board.

Gavi’s commitment to transparency is evident in its established Transparency and Accountability Policy (TAP) of 2008, which aligns with the International Aid Transparency Initiative (IATI). This dedication is further reflected in its consistent “very good” ranking on Publish What You Fund’s Aid Transparency Index since 2018. Gavi’s proactive approach to information sharing is exemplified by the data readily available on its website, on the IATI website and through ongoing communication with partners. This data encompasses organisational schedules, CP details, analysis, budgeting and management information. However, opportunities for improvement exist. Analysis of evidence from the interviews shows a perceived lack of clarity with regard to the timeliness of Gavi’s responses to partner data requests. Interviewees from the Board noted that there were inconsistencies in data availability and a deficit in the comprehensiveness of information on operations and financial allocations, particularly for high-impact countries. They also perceived a gap in the sharing of programme implementation feedback and best practices across participating nations.

FIGURE 21: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI PROVIDES HIGH-QUALITY INPUTS TO POLICY DIALOGUE IN-COUNTRY OR AT A REGIONAL LEVEL THAT AFFECTS THE COUNTRY LEVEL



Source: MOPAN external partner survey: GAVI, July – September 2023.

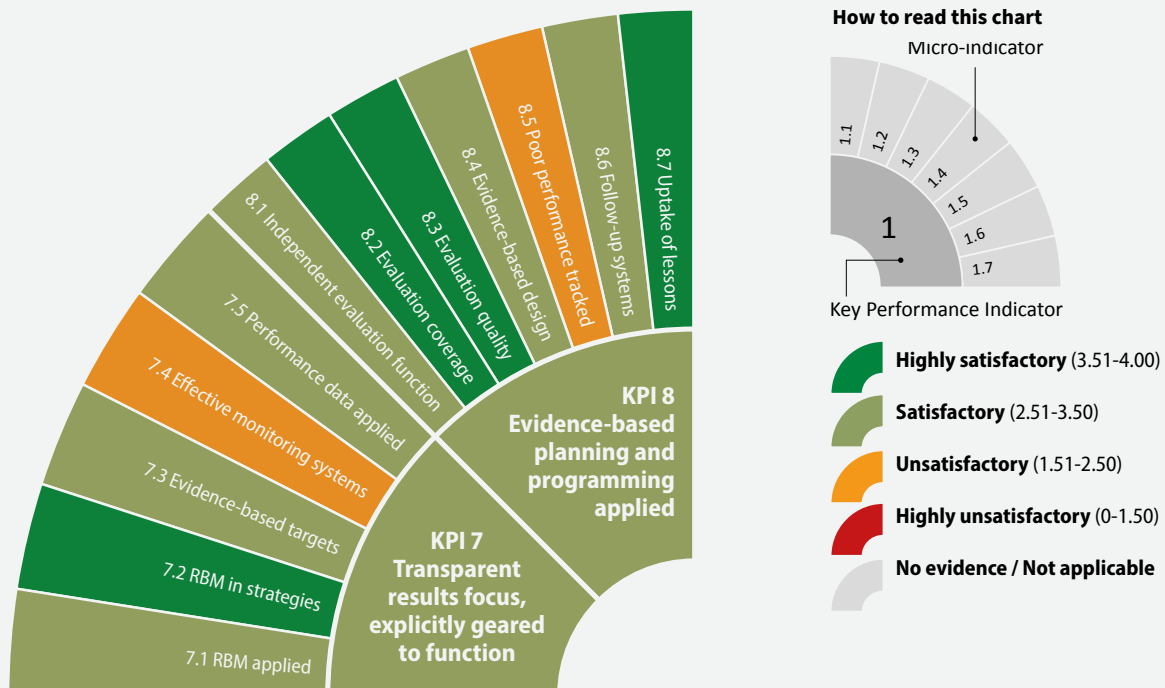
Gavi demonstrates a strong commitment to knowledge sharing and its positive impact on policy making. Regularly collecting feedback on partners’ perceptions of their knowledge products and formalising a framework for integrating learning into policy would improve the use of Gavi’s knowledge base.

Gavi demonstrates a deep understanding of the value of knowledge sharing and continuous learning. Its comprehensive MEL strategy outlines a clear path for integrating learning into core decision-making processes. This strategy encompasses a robust framework for conducting various studies, evaluations and analyses. Additionally, Gavi fosters knowledge exchange through platforms such as the ZD LEARN hub. Leveraging its unique position as a global alliance, Gavi is adept at developing evidence-based knowledge products that inform policy and action at the global, regional and country levels. Its influence extends to shaping WHO guidelines and supporting critical policy decisions within individual countries. Feedback from the MOPAN survey indicates a general satisfaction with the quality of Gavi’s knowledge products for policy development among external partners; however, some CSOs and donors have expressed concerns with regard to the timeliness of the information provided.

Gavi disseminates knowledge products through its user-friendly website and a diverse range of publications, including white papers, learning briefs and annual reports, which are presented in accessible formats catering to a broad audience. Although Gavi exhibits a strong commitment to knowledge sharing, there are opportunities for further improvement. To enhance the effectiveness of knowledge dissemination, Gavi could consider implementing a system for collecting partner feedback on knowledge products, including timeliness. Additionally, efforts to strengthen the feedback loop could ensure that insights and recommendations gleaned from evaluations reach implementing countries and inform future programming endeavours.

PERFORMANCE MANAGEMENT

FIGURE 22. PERFORMANCE MANAGEMENT – KEY FINDINGS



Gavi achieved a satisfactory rating for performance management. During the assessment period, Gavi became a learning organisation, with a strong and shared commitment to the use of results and evidence to support the design, implementation and review of programmes. This sentiment is perceived across the Secretariat

and is enabled by the work of the EvU and the EAC as well as by the decentralised approach to RBM and MEL that Gavi has taken. Since the previous MOPAN assessment, Gavi has strengthened its supporting policies and frameworks and embedded a learning culture within the organisation. Policies such as the Learning System Strategy and Evaluation Policy, clearly linked to the Gavi 5.0/5.1 Strategy in the 2021-25 strategic period, and their accompanying tools and framework, such as the Gavi 5.0 Measurement Framework, provide guidance for staff to utilise results for decision-making, develop learning agendas, and plan and implement evaluations. However, there is room for improvement with regard to improving the streamlining and consolidation of target setting for interventions (which has already begun), variation in data quality received from the country level, and greater transparency of the total financial resources spent on RBM and MEL across the organisation.

During the assessment period, Gavi improved its use of evidence-based planning and programming, supported significantly by the quality of centralised evaluations and the guidance the EvU provides to the rest of the Secretariat for decentralised evaluations. The EvU is strengthened by its behavioural independence from the Gavi Secretariat, although it is still housed within the Secretariat. Gavi has a resourced evaluation plan that is linked to the overall ToC of the Gavi 5.0 Strategy; however, greater clarification and systematic demonstration of how centralised evaluations are selected and prioritised are recommended. Another potential weakness is that although Gavi's 5.0 MEL guidance and application materials encourage the use of learning in the design of new interventions, and it is considered standard practice, there is no formal mechanism for requiring the use of lessons learned. Internal mechanisms to track the number of new interventions that adequately use lessons learned would benefit from being formalised.

The **performance management** area assesses the existence of systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson learning. This area is assessed through the two KPIs specified below.

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

Satisfactory

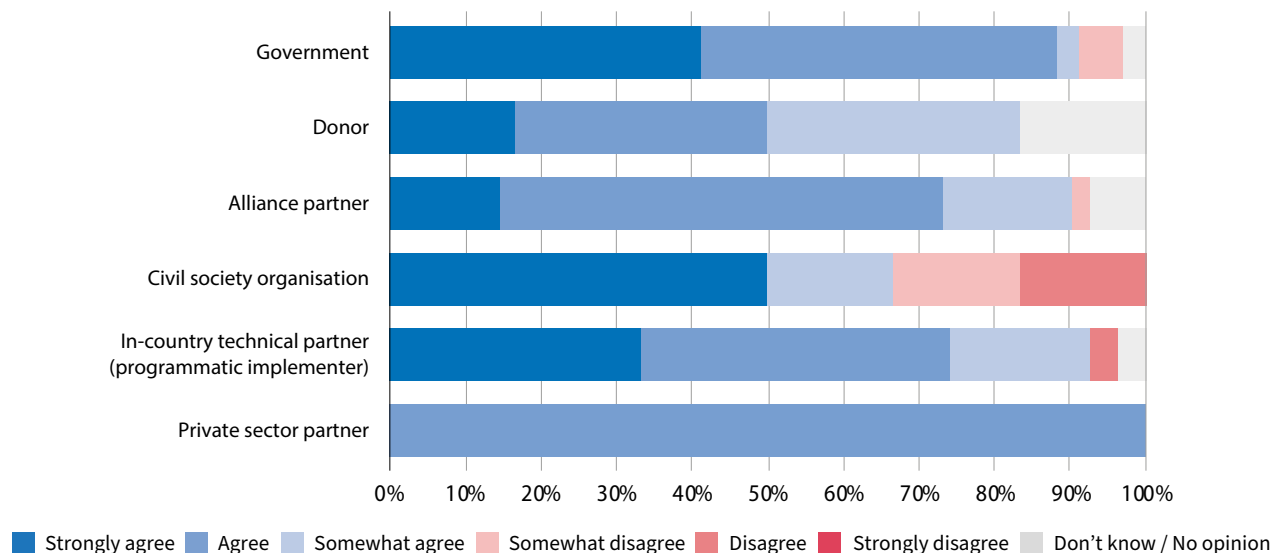
3.18

Gavi has made significant progress in becoming a learning agency that is committed to the use of results and evidence to support the design, implementation and course correction of interventions and programmes.

Since the previous MOPAN assessment in 2016 and the roll-out of Gavi's Strategy 5.0/5.1, covering the strategic period 2021-25, Gavi has been focused on and successful in embedding a robust result and learning culture within the organisation. The Gavi 5.0 Measurement Framework clarifies tools and methods of measurement of results for the Secretariat. The Measurement Framework is a component of the Secretariat's LSS, initially developed to support the Gavi 5.0 Strategy. The most recent Strategy, Gavi 5.1, outlines key objective-level indicators, which are clearly linked and cascaded down towards Gavi's Results Framework, Strategy Performance Monitoring Framework and AAF, as well as towards country-level reporting. Most targets and indicators outlined in these documents and tools are relevant and adequate to capture causal pathways between interventions and outcomes because they generate significant data at the output and outcome levels of the results chain. These mechanisms and reporting processes ensure data are available at the corporate and strategic planning levels for the Secretariat. The use of such evidence is clear in Gavi's most recent planning documents, namely the Gavi 5.0/5.1 Strategies, which have improved in their use of performance data over time.

The use of the LSS and Evaluation Policy is evident throughout key Gavi strategy activities, and all relevant staff are trained in appropriate RBM approaches and methods accordingly. However, the focus on results may face challenges because of decentralisation.

FIGURE 23: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – IN-COUNTRY, GAVI PRIORITISES A RESULTS-BASED APPROACH, FOR EXAMPLE WHEN ENGAGING IN POLICY DIALOGUE OR PLANNING AND IMPLEMENTING INTERVENTIONS



Source: MOPAN external partner survey: GAVI, July – September 2023.

Gavi encourages staff to utilise results through an enhanced MEL approach, focused on: (i) strengthened accountability, including an expanded set of linked indicators; (ii) generation and use of learning; and (iii) catalysed data strengthening. This commitment to results is similarly found in insights from staff. According to surveys, more than 76% of respondents either strongly agreed or agreed that Gavi prioritises a results-based approach. Only 2% either disagreed or strongly disagreed with that statement. Although it is clear that Gavi has been successful in promoting a results-based, learning culture that is decentralised across the Secretariat, there remain questions about how the development and refinement of tools and mechanisms can support such a culture. For instance, Gavi's decentralisation approach enables the Secretariat to avoid a one-size-fits-all approach to setting metrics. However, that may lead to variation in the quality of data collected – particularly as Gavi relies on country data systems and Alliance partner reporting – and to a lack of clarity around the use of standard grant-linked KPIs. Gavi is seeking to address this concern through the recent introduction of the Gavi Balanced Scorecard.

Although adequate resources seem allocated to the activities of RBM, the Gavi Secretariat would benefit from addressing the transparency of its decentralised approach.

The Gavi Secretariat invests a significant amount of financial and human resources in designing and implementing its decentralised approach to RBM. This includes monitoring, learning, and centralised and decentralised evaluations. However, the extent to which the Gavi Secretariat assigns adequate resources to results monitoring is not clear or able to be assessed, owing to the organisational decentralised approach to results. According to internal analyses shared with the MOPAN assessment team, Gavi has spent a similar amount each year since 2016 on MEL (operational cost). However, there is no centralised or readily available information as to what is included in the MEL budget; for instance, according to correspondence with the MEL team, it seems that resources for MEL activities across Gavi have increased but staff costs have decreased slightly. The inability to systematically or independently assess the financial and human resources allocated across the Gavi Secretariat to RBM and MEL more broadly may be an unintended consequence of the decentralisation of RBM across the organisation.

Gavi’s approach to results and learning informs its work with country-level partners. However, it is not clear how results targets are determined with in-country partners, and the extent to which performance data support dialogue with global-level partners is also unclear. Such processes, which may exist and are simply not externally visible, should be better articulated and formalised.

Gavi is viewed by survey respondents as responding to the needs of beneficiaries, including the most vulnerable populations. But, based on a review of documentation, it is not evident that beneficiaries are directly consulted in the overall design or setting of results targets of country-level interventions. No documentation was available (even after reviewing all relevant MEL and results-related documentation) that would indicate how consultation takes place with in-country partners with regard to results targets. This may be a result of the Gavi Secretariat’s role as part of a partnership, in which core partners and developing countries are expected to accurately reflect the needs and perceptions of country-level stakeholders. The extent to which performance data support dialogue in partnerships at the global level is similarly unclear, although it appears to be positive at the regional and country levels. Data and evidence are used in dialogue with partners at the corporate level, such as in the Gavi 5.1 Strategy, which discusses a series of consultations with partners about the need for an updated strategy based on emerging data. There is also continual data and evidence-based dialogue at the corporate level with partners such as the APPT.

KPI 8: Evidence-based planning and programming are applied

Satisfactory	3.16
---------------------	-------------

Gavi’s EvU, although not structurally independent from the Secretariat, is able to maintain its behavioural and organisational independence and produce quality centralised evaluations and clear guidance and policies for decentralised evaluations.

The independence of the Gavi Secretariat’s EvU is also substantiated by the EAC, which reports to the Board, and Gavi’s 2022 Evaluation Policy, which outlines measures that are taken to safeguard evaluation independence in Gavi. These include behavioural independence and organisational independence. However, one key informant noted that Gavi’s evaluation function relies more on behavioural rather than organisational independence in maintaining impartiality for Gavi’s evaluations managed by the EvU.

The role of the EvU within the Secretariat and the support it receives from the EAC are clearly articulated in Gavi’s up-to-date 2022 Evaluation Policy and Evaluation Operational Guidelines.

The EvU is responsible for centralised evaluations, which are planned, commissioned and managed by Gavi’s Centralised Evaluation Team within the EvU and fed to the EAC for their assessment. Decentralised evaluations are commissioned and managed directly by country-facing teams (and are not subject to review by the EAC), although country-facing teams are supported throughout the process by the EvU. Gavi’s evaluations include either strategic, thematic or country and programme evaluations. Additionally, where relevant, joint evaluations with other organisations and partners can be conducted (including a joint evaluation of COVAX delivery, currently underway).

Gavi has a prioritised and funded five-year evaluation plan connected to its overarching ToC.

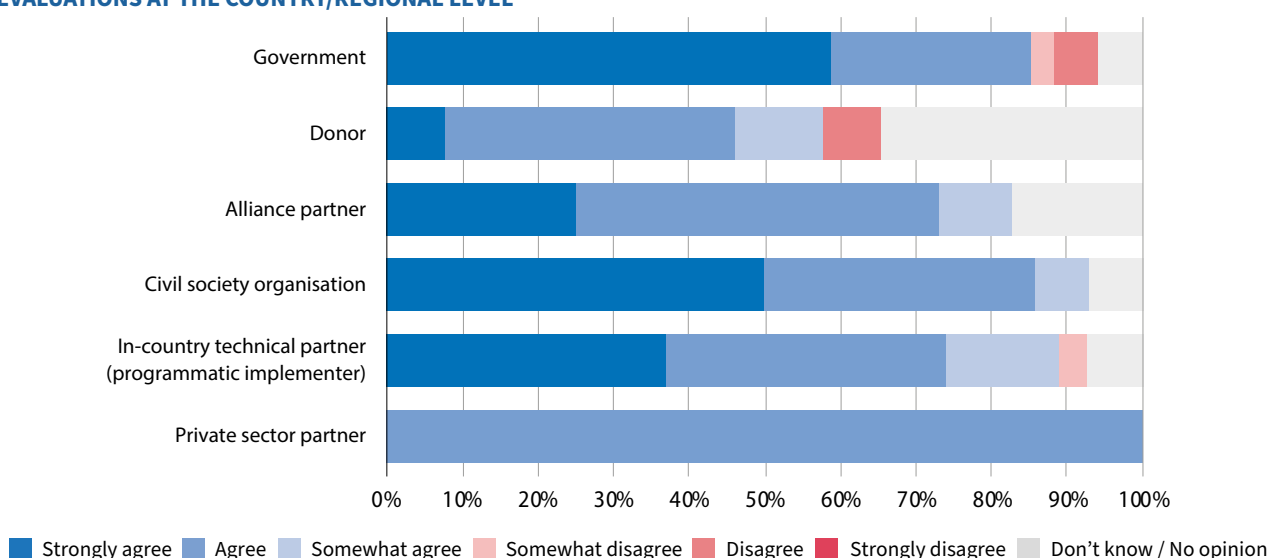
The evaluation plan outlines the type of evaluation, evaluation questions, justification and proposed methodology. Although there are some initial questions with regard to how some evaluations, particularly decentralised ones, are connected to the strategy, the most recent Gavi Annual Evaluation Report (2022) provides more detail as to how the multi-year workplan is informed by Gavi’s ToC. Additionally, Gavi’s evaluations are considered to be relevant and appropriate, as the majority of survey respondents believed that Gavi conducts country-level evaluations where appropriate and participates in joint evaluations at the country and regional levels. However, questions were raised during some of the key informant interviews about the internal process of selecting and prioritising evaluation questions. The process was characterised by the key informants that were interviewed as being somewhat opaque in terms of how prioritised evaluation questions are selected in comparison to other questions.



Dedicated healthcare workers in Ghana

Awudi Felicia Akosua, a health worker and Ernest Nabuel, a volunteer, board a boat for a community visit at Abotoase in the Oti Region of Ghana. Healthcare workers visit families to provide vaccines against malaria to zero-dose children. Photo: © GAVI / Nipah Dennis

FIGURE 24: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI PARTICIPATES IN JOINT EVALUATIONS AT THE COUNTRY/REGIONAL LEVEL



Source: MOPAN external partner survey: GAVI, July – September 2023.

Gavi's centralised evaluations are high-quality and based on appropriate evaluation approaches and methodologies, although the processes for ensuring the quality of decentralised evaluations require greater clarity.

Gavi's evaluations usually present evidence, findings and recommendations in a clear and relevant manner to emphasise utilisation for learning (as discussed in KPI 7), as well as stating key limitations and constraints. Gavi's centralised evaluations are assessed to meet the requirements of the United Nations Evaluation Group's (UNEG's) Norms and Standards for Evaluation, and the ongoing management is shared between the Commissioning Unit, the Steering Committee and the EAC; the EAC is then responsible for reporting to the Board. However, some stakeholders raised the question of the use of the same methodologies and evaluation approaches over time (in other words, without variation or innovation based on the evaluation question), although innovative methods are encouraged in Terms of Reference (TOR) as well as the small number of evaluation suppliers repeatedly selected.

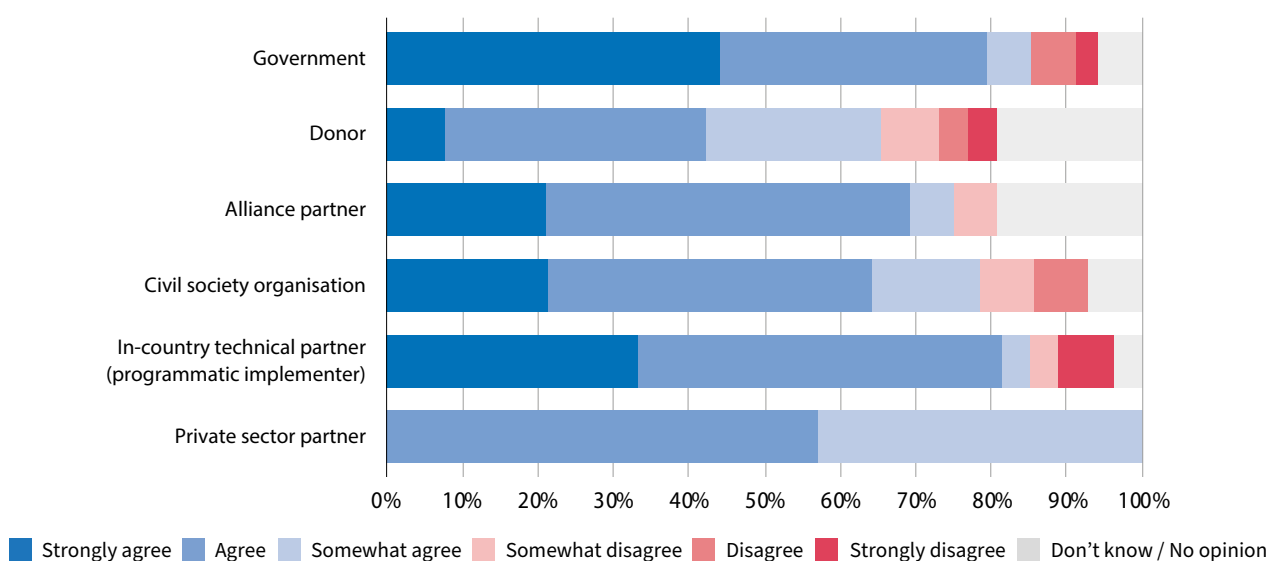
For centralised evaluations, the EAC is also responsible for completing a final quality assessment. In contrast, although the EvU provides quality assurance tools and technical guidance to support other Secretariat teams on decentralised evaluations, there is greater variation in the quality of decentralised evaluations. Similarly to the issue

of decentralisation of RBM in KPI 7 above, decentralised evaluations are commissioned and managed directly by country-facing teams; therefore, it is not immediately clear whether they are adequately funded. Significant data and learning-related activities are also covered by funding from other SFA programmatic areas. The cost of such activities is estimated at USD 53 million for 2022-25. However, the MEL team is not the formal owner of the allocated USD 53 million budget, although it actively engages during conceptual and results assessment periods.

The uptake of lessons and best practices is considered standard practice, and evaluations are easily accessible to support the uptake; however, Gavi should consider formalising such practices within the Secretariat.

Key documentation, such as Gavi's 5.0 MEL guidance and application guidelines, encourages the use of lessons learned from past interventions in the design of new programmes and interventions. This sentiment is demonstrated through survey respondents, who agreed that Gavi learns lessons from previous experiences, likely as a result of Gavi's improved learning culture. It is considered standard practice within the Secretariat. Gavi's centralised evaluations, corresponding evaluation management responses and actions planned in response are publicly available online, and Gavi has improved its mechanisms for dissemination both internally and externally with partners and other stakeholders.

FIGURE 25: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI LEARNS FROM PREVIOUS EXPERIENCE RATHER THAN REPEATING THE SAME MISTAKES



Source: MOPAN external partner survey: GAVI, July – September 2023.

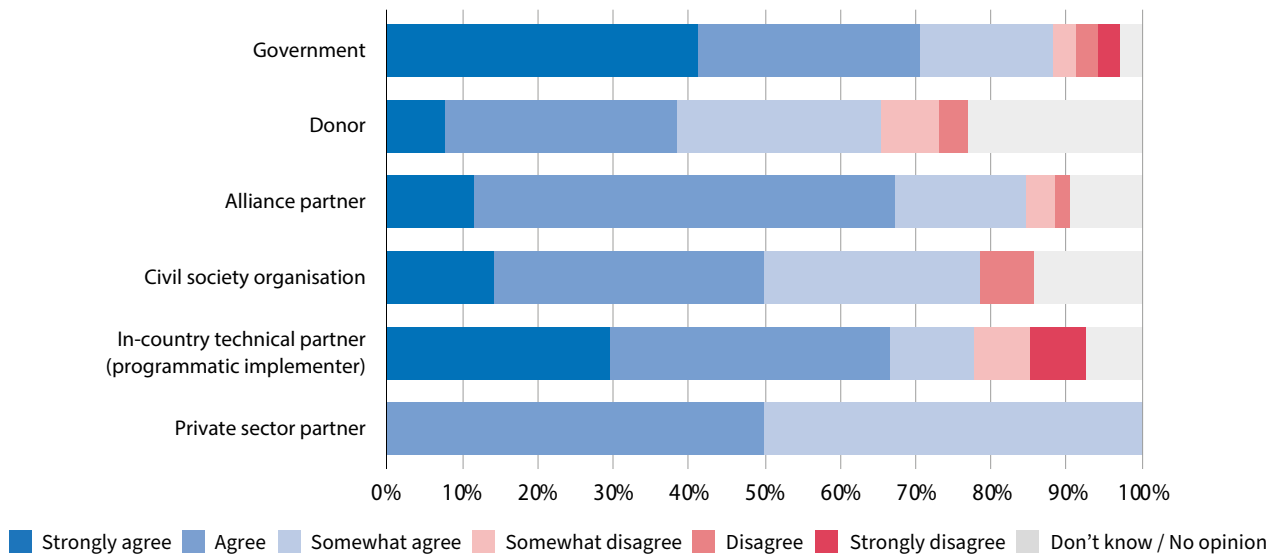
Although each new intervention is required to include a learning agenda (which is forward-looking), the use of lessons learned is not a requirement or mandatory in order for new intervention applications to be approved. Incentives appear to be somewhat informal and supported by the well-understood learning culture within the Gavi Secretariat. Additionally, the tracking of the application of lessons learned and best practices internally is informal.

Gavi's ability to proactively identify and track poorly performing interventions in a timely manner is heavily dependent on a somewhat unclear country-level MEL system and core partner reporting.

The Gavi Secretariat has an integrated monitoring approach from the Strategy down to the country and intervention level, but it is not clear how the identification of poorly performing interventions takes place systematically (in terms of how often, types of information and who is then provided such information) or if it goes beyond output- or activity-level indicators. In addition, it is not clear, when a partner's reporting does indicate underperforming interventions, who is responsible for what in addressing performance challenges. One important key informant interviewed noted

that poorly performing results were visible more through financial systems than through results reporting. Only 61% of survey respondents either strongly agreed or agreed that Gavi addresses areas of intervention underperformance, for example through technical support or changing funding patterns if appropriate.

FIGURE 26: MOPAN SURVEY RESPONSES DISAGGREGATED BY RESPONDENT TYPE – GAVI ADDRESSES AREAS OF INTERVENTION UNDERPERFORMANCE, FOR EXAMPLE THROUGH TECHNICAL SUPPORT OR CHANGING FUNDING PATTERNS IF APPROPRIATE



Source: MOPAN external partner survey: GAVI, July – September 2023.

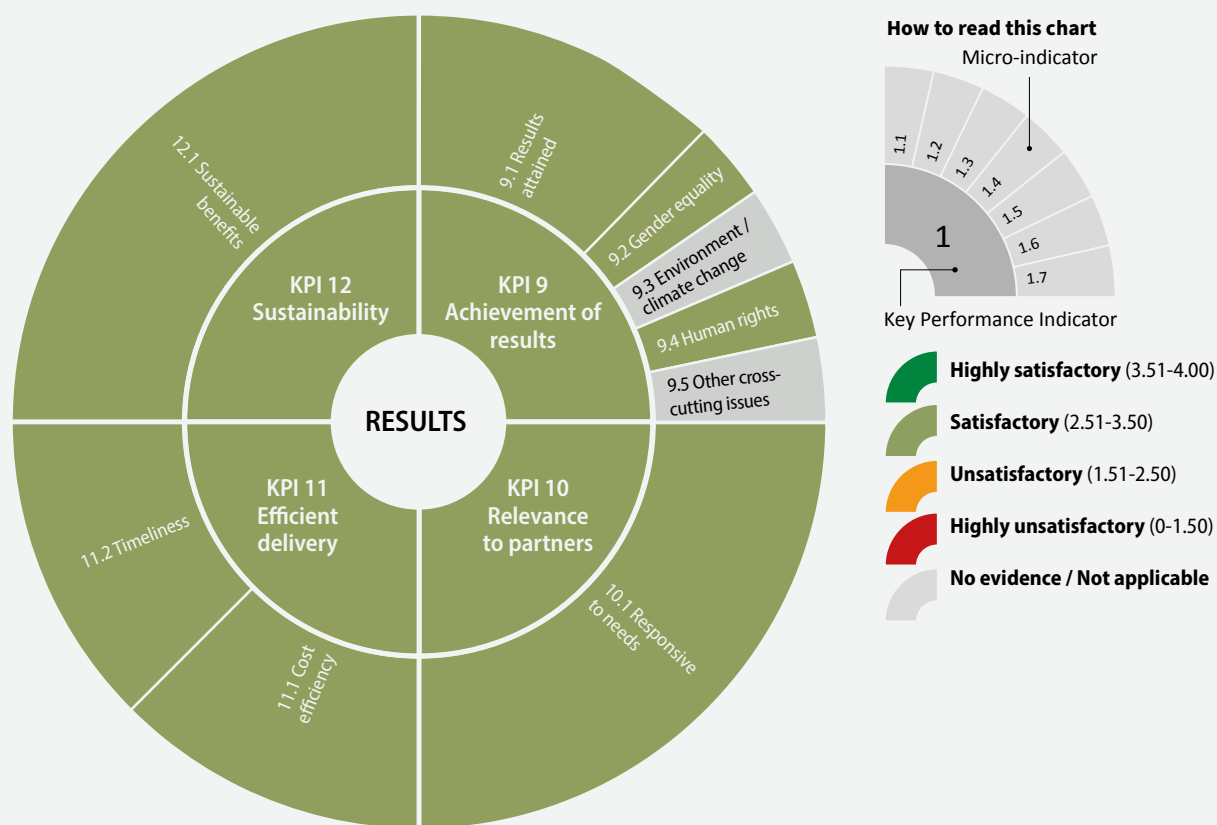


Helping to fight polio in Papua New Guinea

A young child at the Malahang Health Clinic where the Polio Vaccine is administered to children in Lae, Marobe Province, Papua New Guinea. Photo: © GAVI / Brendan Esposito

RESULTS

FIGURE 27. RESULTS – KEY FINDINGS



Gavi's achievement of results, relevance to partners, efficient delivery and sustainability are assessed as satisfactory. The data examined for the delivery of results is positive in terms of efficiency and timeliness. Gavi has made central to its operations the use of evidence to determine how best to invest its funding, both technically and administratively, to ensure value for money. Further, it has closely monitored the timeliness of the flow of funds throughout the implementation cycle (and continues to do so), as well as actual programme implementation. These issues have been given priority in its vision, as evidenced by the high-level goals, objectives and indicators within its strategies. It has also been a leader in developing principles, policies and practices to ensure the sustainability of its programming. When gaps have been identified, particularly at the implementing country level, it has processes and internal teams and committees in place to consider and address the recognised challenge. Some of these issues are still a work in progress, but Gavi has demonstrated a commitment to remedying them.

One area, however, which Gavi would benefit from reflecting on is whether it is sufficiently responsive to its beneficiaries. This assessment has noted that there is still a lack of clarity as to how many beneficiary and stakeholder groups there are and exactly how they are defined. Although Gavi has a vision in its 5.1 Strategy of "Leaving no one behind with immunisation" – which seems to imply that its beneficiaries are the unimmunised – the evidence gathered for this review has demonstrated that defining Gavi's beneficiaries is more complex. This issue is put forward for consideration as Gavi deliberates on its future direction.

The **results performance** area explores to what extent relevant, inclusive and sustainable contributions to humanitarian and development results are achieved in an efficient manner. This area is assessed through the four KPIs specified below.

KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals

Satisfactory

3.00

Gavi’s core vision is of “Leaving no one behind with immunisation”, based on a mission to save lives and protect people’s health by increasing equitable and sustainable use of vaccines. In this regard, it has succeeded in making significant progress against its four strategic goals, despite the profound, unprecedented disruption of the COVID-19 pandemic during its 5.0 Strategy.

However, it has not fared as well on MOPAN’s cross-cutting issues, which stretch Gavi beyond its typical focus of immunisation in LMICs.

Based on Gavi’s 2022 corporate reporting, Gavi has made significant progress against its four strategic goals. For Strategic Goal 1, Gavi supported more than 40 vaccine introduction and prevention campaigns in 2022 alone, and it estimates that 2.7 million deaths were averted by COVAX across participating LMICs. One billion children were vaccinated through routine programmes from 2000 to 2022, which should be applauded. COVAX has also played a significant role, as 2.7 million deaths were averted by COVAX across participating LMICs.

For Strategic Goal 2 on equity, Gavi-supported health systems have improved, reaching the most vulnerable children over the assessment period. This includes recent progress in helping health systems recover from COVID-19-related shocks with vaccines such as DTP3 and measles-containing-vaccine first-dose (MCV1). However, there are gaps that remain, such as with regard to measles.



Containing rotavirus in India

Nurse Vaishali Khiran giving rotavirus vaccine to a child in the Kausa Vaccine point.
Photo: © GAVI / Prakhar Deep Jain

For Strategic Goal 3 on sustainability, despite the profound financing challenges in light of the COVID-19 response, conflict and global economic shocks, Gavi-supported countries were able to contribute significantly towards co-financing, strongly enhancing the potential for country ownership and future financial sustainability. Most Gavi-supported countries have recently maintained or increased domestic resources for co-financing of Gavi-supported vaccines in 2022 since the introduction of the Co-Financing Policy in 2008, bringing the total contribution up to USD 1.5 billion.

For Strategic Goal 4 on shaping markets, Gavi has continued to positively influence vaccine manufacturing at scale to improve access for LMICs. The number of manufacturers supplying prequalified Gavi-supported vaccines has grown from 5 in 2001 to 19 in 2022, including a majority based in LMICs. There has also been an encouraging increase in innovation among products available, as well as improved numbers of markets deemed as operating with “health market dynamics”.

Gavi performs less well on MOPAN’s cross-cutting issues that may be beyond Gavi’s typical focus. Gavi has a 2020 gender policy that, according to most stakeholders, has promoted gender-sensitive approaches within the Gavi Alliance Secretariat, governance structures and HR processes. However, there is little mention of gender or marginalised groups in Gavi’s key strategic documents and policies. This is also the case for climate change, which has not yet been addressed by the Gavi Secretariat in terms of any policies (stand-alone or embedded). In terms of vulnerable groups or those left behind, however, the Gavi Secretariat’s focus on ZD children in Strategy 5.0 and Strategy 5.1 is strong and was appreciated by both internal and external stakeholders (see KPI 2 for more on these cross-cutting areas).

KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, as the organisation works towards results in areas within its mandate.

Satisfactory

3.00

Gavi has responded well to the priorities of its partner countries and has put country ownership at the core of its policies and practices. Although Gavi can be said to be responding to the needs of its beneficiaries, those beneficiaries first need to be better defined (see KPI 6/MI 6.7), and then an evaluative process needs to examine Gavi’s responsiveness to those needs.

Gavi applies and extends its concept of partnership to its implementing countries through a variety of methods, including its Country Engagement Frameworks, expanded country dialogues and joint planning missions. These practices implement and augment its principle of country ownership and its emphasis on ensuring that it has a country-centric focus. As such, Gavi is well aligned with the Paris Declaration (2005), the Accra Agenda (2008) and, more recently, the Lusaka Agenda (2023). As previously noted, the organisation has been critical in responding to partner needs, specifically during the COVID-19 pandemic but more generally throughout its life. The analysis of evidence from Gavi-commissioned reviews has noted several questions and issues with regard to country responsiveness, which it would be valuable for Gavi to consider as it evolves. Gavi has shown a willingness to do so. Analysis of evidence from relevant documents, corporate reporting data and interviews highlights one key question that Gavi would benefit from examining and answering: Who are its beneficiaries? Although this may be implicit in its strategic vision (e.g. reaching the non-immunised), the MOPAN review has shown that, for many stakeholders, there is still a lack of clarity around this issue. Indeed, analysis of evidence from different stakeholders and documents showed that there may be multiple beneficiaries and/or stakeholders to whom Gavi is accountable. This should not be considered problematic, as many MOs have to grapple with the same issue. Regardless, it is a topic that deserves closer consideration.

KPI 11: Results are delivered efficiently

Satisfactory

3.00

Gavi applies meticulous and comprehensive methodologies to ensure that it delivers results in an efficient and timely manner. Through the use of periodic reviews, Gavi has been able to implement a system of continuous quality improvement in these areas; however, reviews have shown that there are still gaps to be addressed.

Central to Gavi's approach in ensuring a cost-efficient use of resources is its VIS, which underpins its decision-making for future programming. Within the VIS are two important criteria (health and economic impact, and value for money), which provide not only fundamental guidance to the organisation and its partners but also quantitative evidence to ensure funding is spent wisely. This is noteworthy, as it provides a safeguard for the technical decisions which should drive its programming. Previous Gavi-commissioned reviews have shown the importance of using these criteria, because small investments in immunisations can generate high levels of savings in future direct healthcare costs. Likewise, the direct and indirect economic benefits are enormous. Based on the 2019 ELTRACO review, additional focus is needed on communicating this evidence (and corresponding benefits) to implementing country counterparts to ensure that their decisions are similarly based on the technical evidence and not political considerations.

Gavi has also made a firm commitment to the timely implementation of its programmes. It has closely monitored the timely disbursement of funds from itself to countries and partners and then within countries, as well as the implementation of the actual roll-out of immunisation efforts. It has several high-level measures of timeliness (e.g. timeliness of cash disbursements, percentage of countries which are on track for a timely and successful transition) which give prominence to this matter. Previous reviews, including the 2019 ELTRACO country case studies, provided mixed results in terms of Gavi's timeliness policies being translated to the country level. However, it is also notable that Gavi has several ongoing processes for examining its portfolio of grants to improve overall management, including reducing the time between grant approval, implementation and, eventually, country transition.

KPI 12: Results are sustainable

Satisfactory

3.00

In general, Gavi has been successful in ensuring the sustainability of its programmes, especially for countries which have transitioned away from its support. Gavi is perceived as being at the vanguard among global health organisations in addressing sustainability. Previous Gavi-commissioned reviews have revealed gaps in its efforts; however, efforts are underway to further review and address those gaps.

Gavi has multiple high-level goals which give sustainability significant importance in what the organisation is trying to achieve. Chief among these is to improve the sustainability of immunisation programmes, and a corresponding aspiration is to ensure that vaccinations are sustained after Gavi's support ends. At the time of the 2019 ELTRACO review, which included several country case studies, the majority of countries which had transitioned away from Gavi's support had been able to maintain their immunisation programmes post-transition. This points to Gavi having robust policies and practices, including close monitoring and strengthening of transition efforts, which have allowed successful transitions and sustainability. Although several gaps were noted in the ELTRACO review, especially in terms of communicating to implementing countries the criteria for transition and advocating that they continue to prioritise immunisation, Gavi took note of these various challenges and has ongoing efforts to update its sustainability and transition policies and practices. As such, the organisation is well placed to continue to be a trendsetter in addressing issues of sustainability.

REFERENCES

- FCDO (2024), *Safeguarding against Sexual Exploitation, Abuse and Harassment: Cross-sector Progress Report 2022 to 2023*, <https://www.gov.uk/government/publications/safeguarding-against-sexual-exploitation-abuse-and-harassment-cross-sector-pr>. [20]
- Gavi (2024), “About our Alliance”, <https://www.gavi.org/our-alliance/about>. [13]
- Gavi (2024), “Funding”, <https://www.gavi.org/investing-gavi/funding>. [9]
- Gavi (2024), *Gavi Secretariat*, <https://www.gavi.org/operating-model/gavi-secretariat>. [8]
- Gavi (2024), “Innovative financing”, <https://www.gavi.org/investing-gavi/innovative-financing>. [10]
- Gavi (2024), “Learning from COVID-19 to support vaccine delivery during future health emergencies”, <https://www.gavi.org/news-resources/knowledge-products/learning-covid-19-support-vaccine-delivery-during-future-health-emergencies>. [18]
- Gavi (2024), “Operating model”, <https://www.gavi.org/our-alliance/operating-model>. [3]
- Gavi (2024), *Phase VI (2026-2030)*, [https://www.gavi.org/our-alliance/strategy/phase-6-2026-2030#:~:text=Phase%20VI%20\(2026%E2%80%932030\),learn%20more%20about%20the%20process](https://www.gavi.org/our-alliance/strategy/phase-6-2026-2030#:~:text=Phase%20VI%20(2026%E2%80%932030),learn%20more%20about%20the%20process). [5]
- Gavi (2023), *Gavi, The Vaccine Alliance 2022 Annual Financial Report*, <https://www.gavi.org/sites/default/files/2023-06/GAVI-Alliance-2022-Annual-Financial-Report.pdf>. [4]
- Gavi (2023), “Gavi’s partnership model”, <https://www.gavi.org/our-alliance/operating-model/gavis-partnership-model>. [7]
- Gavi (2022), *Annual Progress Report 2021*, <https://www.gavi.org/sites/default/files/programmes-impact/our-impact/apr/Gavi-Progress-Report-2021.pdf>. [1]
- Gavi (2020), “Board composition”, <https://www.gavi.org/governance/gavi-board/composition>. [6]
- Gavi (2020), *Gavi’s Business Model*, <https://www.gavi.org/our-alliance/operating-model/gavis-business-model>. [2]
- Gavi (2020), “Gavi’s resource mobilisation process”, <https://www.gavi.org/investing-gavi/funding/resource-mobilisation-process>. [11]
- Gavi (n.d.), “Responding to COVID-19”, <https://www.gavi.org/covid19>. [17]
- ICAI (2020), “Report: The UK’s Work with Gavi, the Vaccine Alliance”, <https://icai.independent.gov.uk/html-version/gavi-the-vaccine-alliance/>. [14]
- IHME (2024), *Financing Global Health: Explore Patterns of Global Health Financing*, <https://vizhub.healthdata.org/fgh/>. [19]
- KFF (2023), “The U.S. Government & Gavi, the Vaccine Alliance”, <https://www.kff.org/global-health-policy/fact-sheet/the-u-s-government-gavi-the-vaccine-alliance/>. [12]
- MOPAN (2020), *2020 Assessment Cycle: MOPAN Methodology: MOPAN 3.1 – Methodology*, http://www.mopanonline.org/ourwork/themopanapproach/MOPAN_3.1_Methodology.pdf. [22]
- MOPAN (2016), *Gavi 2015-16*, <https://www.mopanonline.org/assessments/gavi2015-16/>. [16]
- MOPAN (2012), *Gavi 2012 Report*, <https://www.mopanonline.org/assessments/gavi2012/index.htm>. [15]
- UN (2018), *Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners*, https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf. [21]

ABOUT THE ASSESSMENT





Combatting meningitis in Burkina Faso

An oral vaccine against Meningitis A is administered to a young child in a health centre in Ouagadougou.
Photo: © Gavi / Juliette Bastin

THE ASSESSMENT APPROACH

The approach to MOPAN assessments has evolved over time to adjust to the needs of the multilateral system. The MOPAN 3.1 methodology, applied in this assessment, is the latest iteration.

Starting in 2020, all assessments have used the MOPAN 3.1 methodology (MOPAN, 2020^[22]), which was endorsed by MOPAN members in early 2020. The framework draws on the international standards and reference points as described in the MOPAN Methodology Manual. The approach differs from the previous 3.0 approach in the following ways:

- Integration of the 2030 Sustainable Development Agenda into the framework.
- Two new MIs for the prevention and response to SEA and SH.
- The incorporation of elements measuring key dimensions of reform of the United Nations Development System (UNDS Reform).
- A reshaped relationship management performance area, with updated and clearer KPIs 5 and 6, which better reflect coherence and which focus on how partnerships operate on the ground in support of partner countries (KPI 5) and how global partnerships are managed to leverage the organisation's resources (KPI 6).
- A refocused and streamlined results component.
- A change to how ratings (and their corresponding colours) are applied, based on scores defined for indicators. Compared to the previous cycles conducted under MOPAN 3.0, the threshold for a rating has been raised to reflect the increasing demands for organisational performance in the multilateral system. The underlying scores and approach to scoring are unaffected. This approach was already implemented in MOPAN 3.0* (2019 cycle).

MOPAN conducted annual surveys from 2003 to 2008 and used a methodology entitled The MOPAN Common Approach during 2009-14. The MOPAN 3.0 Approach was first adopted for the 2015-16 cycle of assessments.

In 2019, MOPAN 3.0 was relabelled as MOPAN 3.0* to acknowledge a change in how ratings (and their corresponding colours) were aligned with the scores defined for indicators. Compared to previous cycles conducted under MOPAN 3.0, the threshold for ratings was raised to reflect increasing demands for organisational performance in the multilateral system. The underlying scores and approach to scoring remained unaffected.

In applying the MOPAN Framework, COVID-19 is also to be considered from three perspectives:

- how the organisation has leveraged its internal processes to respond to COVID-19 in an agile and flexible way
- the extent to which risk management frameworks contributed to an MO's preparedness to respond to the crisis
- how COVID-19 has been reflected in the organisation's strategies, operations and results targets.

Table 3 lists the performance areas and indicators used in MOPAN 3.1.

TABLE 3. PERFORMANCE AREAS AND KEY PERFORMANCE INDICATORS

Aspect	Performance area	Key performance indicator (KPI)
Organisational effectiveness	Strategic management	KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results
		KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels in line with the 2030 Sustainable Development Agenda principles
	Operational management	KPI 3: Operating model and human and financial resources support relevance and agility
		KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability
	Relationship management	KPI 5: Operational planning and intervention design tools support relevance and agility in partnerships
		KPI 6: Working in coherent partnerships directed at leveraging and catalysing the use of resources
	Performance management	KPI 7: Strong and transparent results focus, explicitly geared towards function
		KPI 8: Evidence-based planning and programming applied
Development / humanitarian effectiveness	Results	KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals
		KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, as the organisation works towards results in areas within its mandate
		KPI 11: Results are delivered efficiently
		KPI 12: Results are sustainable

Source: MOPAN (2020), 2020 Assessment Cycle MOPAN Methodology: MOPAN 3.1 Methodology, http://www.mopanonline.org/ourwork/themopanapproach/MOPAN_3.1_Methodology.pdf

APPLYING MOPAN 3.1 TO GAVI

Interpretations of and adaptations to the methodology

This assessment used the MOPAN 3.1 methodology, but the KPIs, MIs and elements were interpreted so as to be meaningful to Gavi. These modifications were initially noted in the assessment Inception Report (see Table 4) and then further refined during the data collection process (see italicised, underlined text in Part II, Annex A). Five elements from the MOPAN Framework were not used as they were specific to UN organisations.

TABLE 4. INCEPTION PHASE INTERPRETATIONS OF THE MOPAN 3.1 METHODOLOGY

INDICATOR	Rationale
KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels, in line with the 2030 Sustainable Development Agenda principles.	
MI 2.1: Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for gender equality and women’s empowerment	Remove “country” as Gavi does not have country-level strategies.
MI 2.2: Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for environmental sustainability and climate change	Remove “country” as Gavi does not have country-level strategies.
MI 2.3: Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for human rights, including the protection of vulnerable people (those at risk of being “left behind”)	Remove “country” as Gavi does not have country-level strategies. Consider the ZD strategy for this MI as is Gavi’s flagship “Leaving no one behind” strategy.
MI 2.4: Corporate/sectoral and country strategies respond to and/or reflect the intended results of normative frameworks for other cross-cutting issues (e.g. good governance, protection, nutrition, innovation)	Remove “country” as Gavi does not have country-level strategies. Cross-cutting areas to include HSS, governance and sustainability/transition.
KPI 3: Operating model and human and financial resources support relevance and agility	
MI 3.1: Organisational structures and staffing ensure that human and financial resources are constantly aligned and adjusted to key functions	This will need to be informed by an understanding of the alliance model.
MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities	There is a need to interpret MIs and judgement criteria to assess resource mobilisation strategies, plans and ambitions in relation to the business model and ambition, which includes direct contributions, innovative finance mechanisms and co-financing commitments. There is a need to recognise that co-financing is central to Gavi’s resource mobilisation strategy and business model.
MI 3.3 Resource reallocation/programming decisions responsive to need can be made at a decentralised level	Rather than assess against “decentralisation” and “delegation”, there is a need to assess whether/how guidance and policies support ownership and leadership of decisions and actions by countries (with appropriate oversight and accountability).
KPI 4: Organisational systems are cost- and value-conscious and enable transparency and accountability	
MI 4.2: Allocated resources disbursed as planned	Interpret in relation to the partnership model, i.e. Gavi disburses the majority through partners. Also, in relation to COVAX disbursements, need to account for dose sharing from donors who over-ordered vaccines (leading to resizing of contracts).
MI 4.3: Principles of results-based budgeting applied	This is not fully applicable to Gavi because it is country-driven, so it is not fully results-based budgeting but rather uses a framework of accountability.

TABLE 4. INCEPTION PHASE INTERPRETATIONS OF THE MOPAN 3.1 METHODOLOGY *continued*

INDICATOR	Rationale
MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards, etc.) adequately addressed	This needs to be interpreted in relation to the partnership model. Gavi has less control and leverage over issues or concerns that are raised about an implementing country government (than those raised about the Secretariat).
MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities	Need to account for partnership model when assessing.
MI 4.7: Prevention of and response to sexual exploitation and abuse (SEA)	This needs to be interpreted in relation to the partnership model. Gavi has less control and leverage over issues or concerns that are raised about an implementing country government.
KPI 5: <i>Operational planning and intervention design tools support relevance and agility within partnerships</i>	
MI 5.1: Interventions/strategies aligned with needs of beneficiaries and regional/country priorities and intended national/regional results	Gavi does not work in-country, so we need to take into consideration the scope of the Secretariat's role – their responsibility is setting direction and choosing implementing partners, as well as ongoing technical support. Therefore, we will review relevant strategies, tools, guidance documents, processes and policies to see if they reflect beneficiary needs.
MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed	Remember that the Secretariat's role in implementation is not the work in-country.
MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks	This will also consider programmatic and corporate risk.
KPI 6: <i>Working in coherent partnerships directed at leveraging and catalysing the use of resources</i>	
MI 6.1: Planning, programming and approval procedures make partnerships more agile when conditions change	The principle Gavi uses for this is to provide funds to countries and not to third parties generally. That empowers countries to manage their own health systems rather than working around health systems – work with countries through countries. Therefore, this assessment will recognise country capacity as a limiting factor.
MI 6.2: Partnerships are based on an explicit statement of comparative or collaborative advantage, e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy	We will consider Gavi's and COVAX's range of partnerships. These include (non-exhaustive): long-standing institutional partnerships, e.g. with WHO; innovative financing partnerships; technical in-kind partnerships. This will more accurately reflect Gavi's unique business model and ways of working.
MI 6.4: Strategies or designs identify and address synergies with development partners to encourage leverage/catalytic use of resources and avoid fragmentation in relation to 2030 Sustainable Development Agenda implementation	Consider both public and private sectors as Gavi uniquely works across the two sectors to find innovative and the most appropriate partnerships.
MI 6.6: Key information (analysis, budgeting, management, results, etc.) shared with strategic/implementation partners on an ongoing basis	Partners to be considered all relevant partners, as mentioned above.

TABLE 4. INCEPTION PHASE INTERPRETATIONS OF THE MOPAN 3.1 METHODOLOGY *continued*

INDICATOR	Rationale
MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented	Gavi has limited direct engagement with beneficiaries and may not be visible to them. They allocate funds to national governments according to national strategies. So we will focus primarily on Gavi's participation with partners. The way in which those partners work with beneficiaries is beyond Gavi's scope.
KPI 7: <i>The focus on results is strong, transparent and explicitly geared towards function</i>	
MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic	Gavi does not have country programmes or strategies. Gavi's support aims to assist countries in advancing their own national plans. As such, national immunisation plans (supported by Gavi), country funding proposal applications (based on the Gavi Application Process Guidelines) and reviews by Gavi's IRC will be assessed instead.
KPI 8: <i>The organisation applies evidence-based planning and programming</i>	
MI 8.1: A corporate independent evaluation function exists	Gavi's independent evaluation function is under the mandate of the EAC, and centralised evaluations are managed by Gavi's EvU. However, many other evaluations (i.e. decentralised) and evidence-generating activities, such as monitoring and learning, take place beyond the remit of the EvU. As such, the assessment will also consider those MEL activities beyond centralised evaluations managed by the EvU.
MI 8.3: Systems applied to ensure the quality of evaluations	The scope of this MI will also include the EAC.
KPI 9: <i>Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals</i>	
MI 9.2: Interventions assessed as having helped improve gender equality and women's empowerment	Gavi considers its efforts as addressing gender to improve vaccination coverage and HSS, not to directly improve gender equality. Gavi uses the terms "gender-responsive" and "gender-transformative" in its country programming support.
MI 9.4: Interventions assessed as having helped improve human rights, including the protection of vulnerable people (those at risk of being "left behind")	The scope of this MI will extend to the roll-out of COVAX and its considerations on the protection of human rights.
KPI 11: <i>Results are delivered efficiently</i>	
11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)	May not include the reference to humanitarian programming or will need to be defined in the context of Gavi.

Lines of evidence

This assessment relies on three lines of evidence: a document review, a partner survey, and staff and Board interviews and consultations. The assessment team collected and reviewed a significant body of evidence:

- **A document review:** This comprised publicly available documents primarily published between 2017 and 2023, as well as guidelines and policies that are “current and in force” and a few internal (i.e. not publicly available) documents. Most were in final form because a number of significant developments occurred during the assessment period (e.g. the development of a new strategy). The MOPAN team also reviewed draft documents which were believed vital to a full understanding of the organisation. All documents were available in English. In total, 731 documents were reviewed.
- **An online survey:** Partners surveyed fall into the following categories:
 - Government: 21%
 - Donor: 16%
 - Alliance partner: 33%
 - CSO: 9%
 - In-country technical partner: 17%
 - Private sector: 4%.

Approximately 72% of respondents were country-based, with the majority located in Africa.

The online survey was administered by MOPAN and was conducted over a period of 9 weeks, starting on 17 July 2023 and closing on 17 September 2023. There was a total of 160 respondents from an effective sample size of 369, yielding a survey response rate of 43%. For more details, see [Part II, Annex C: Results of the MOPAN External Partner Survey](#).

- **Interviews and consultations:** These were undertaken virtually between July and September 2023 as follows:
 - Headquarters interviews with 47 Secretariat staff
 - Board/Committee interviews with 15 individuals.

Discussions were held with the institutional lead of the Gavi assessment as part of the analytical process. These served to gather insights on current priorities for the organisation from the perspective of MOPAN member countries.

General information about the sequence and details related to these evidence lines, the overall analysis, and the scoring and rating process as applied to Gavi can be found in the MOPAN 3.1 methodology.

METHODOLOGY FOR SCORING AND RATING

The approach to scoring and rating under MOPAN 3.1 is described in the 2020 Methodology Manual, which can be found on MOPAN’s website.

Each of the 12 KPIs contains several MIs, which vary in number. The KPI rating is calculated by taking the average of the ratings of its constituent MIs.



Testing vaccine efficiency in Kenya

Laboratory workers analyse swab tests for the PCVIS's nasopharyngeal carriage study. The Kenyan government with support from the GAVI Alliance, introduced a new vaccine, PCV-10, which targets 10 bacteria that can cause Invasive Pneumococcal Disease.

Photo: © GAVI / Evelyn Hockstein

Scoring of KPIs 1-8

The scoring of KPIs 1-8 is based upon an aggregated scoring of the MIs. Each MI contains several elements, which vary in number, that represent international good practice. Taking the average of the constituent scores per element, a score is then calculated per MI. The same logic is pursued at aggregation to the KPI level, to ensure a consistent approach. Taking the average of the constituent scores per MI, an aggregated score is then calculated per KPI.

Scoring of KPIs 9-12

The scoring of KPIs 9-12 is based upon a meta-analysis of evaluations and performance information, rated at the MI level and aggregated to the KPI level. For KPI 9, results against the mandate and contribution to cross-cutting results are given equal weight. KPIs 9-12 assess results achieved as assessed in evaluations and annual performance reporting from the organisations.

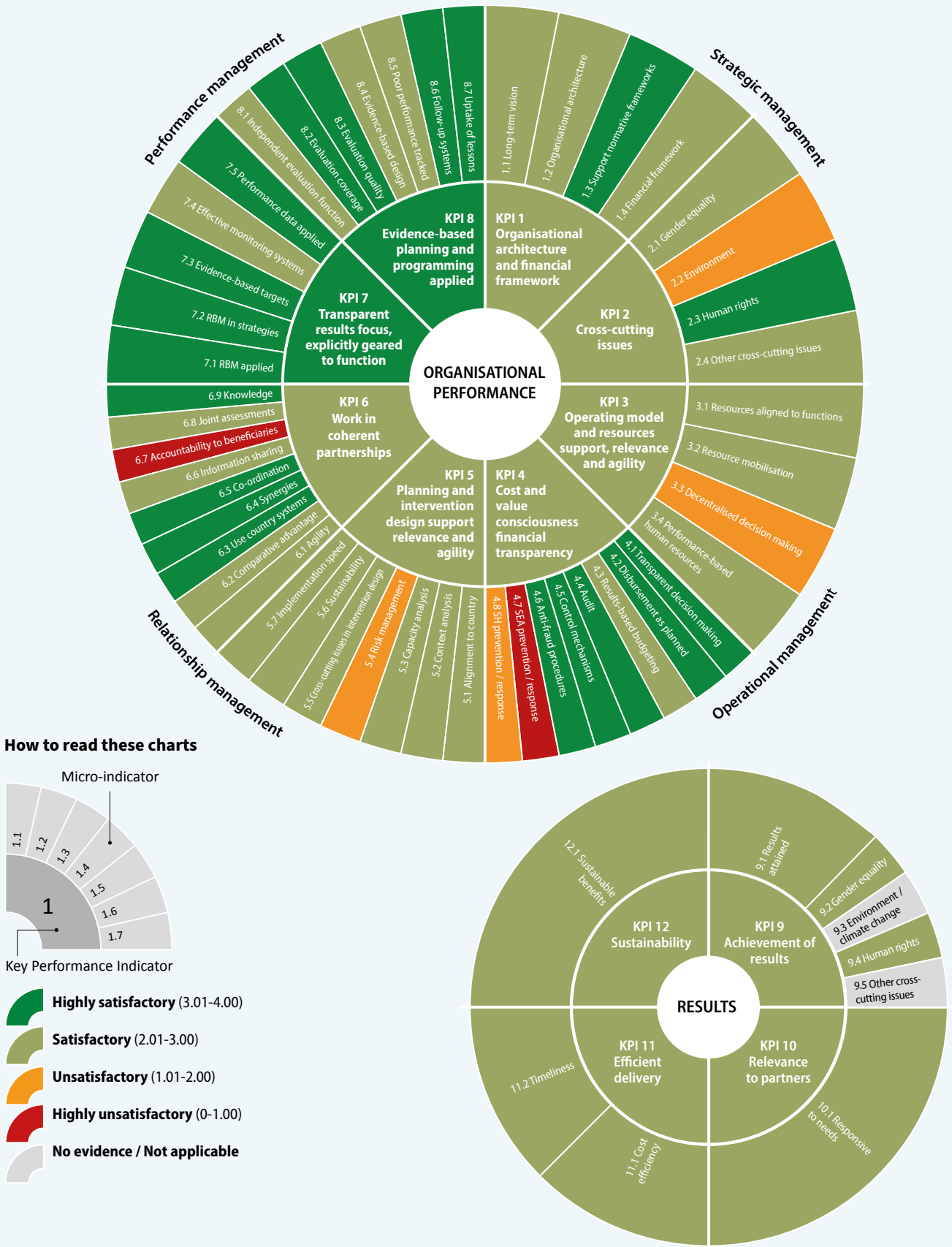
■ Highly satisfactory (3.51-4.00)	■ High evidence confidence
■ Satisfactory (2.51-3.50)	■ Medium evidence confidence
■ Unsatisfactory (1.51-2.50)	■ Low evidence confidence
■ Highly unsatisfactory (0.00-1.50)	
■ No evidence / Not applicable	

A score of “N/E” means “no evidence” and indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that “no evidence” does not necessarily mean that the element is not present (which would result in a zero score). Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see “Limitations” section below). A note indicating “N/A” means that an element is considered to be “not applicable”. This usually owes to the organisation’s specific nature.

Changes to MOPAN’s rating system

MOPAN’s methodology is continuously evolving, and a notable change concerns how ratings (and their corresponding colours) are applied based on the scores at MI and KPI levels. Compared to the pre-2019 rating scale, applied in Figure 23, the threshold for each rating has been raised to reflect the increasing demands of organisational performance in the multilateral system. The underlying scores and approach to scoring are unaffected.

FIGURE 28: GAVI'S PERFORMANCE RATING SUMMARY (previous rating scale)



ASSESSMENT PROCESS

Assessment Phase	Inception (November 2022- March 2023)	Evidence collection (April-October 2023)	Analysis (November- December 2023)	Reporting (January 2024- ongoing)
Key activities	<ul style="list-style-type: none"> Adaptation of indicator framework Preparation of evidence collection – survey partners, key informants and key documents for review 	<ul style="list-style-type: none"> Key informant Interviews Document review Partner survey 	<ul style="list-style-type: none"> Triangulation Preliminary findings Presentations Evidence documentation 	<ul style="list-style-type: none"> Report drafting Quality assurance Presentations
Timeline	<p>Scoping Interviews <i>February 2023</i></p> <p>Draft Inception Report to MOPAN Secretariat ● <i>February 2023</i></p> <p>Final Inception Report ● <i>March 2023</i></p>	<p>Interim Document Review (IDR) to MOPAN Secretariat ● <i>May 2023</i></p> <p>Document gaps reviewed by Gavi ● <i>June 2023</i></p> <p>Key informant interviews ● <i>July-September 2023</i></p> <p>Partner survey launch and closure ● <i>July-September 2023</i></p>	<p>Draft Summary Analysis Table (Annex A) and Evidence File to MOPAN Secretariat ● <i>December 2023</i></p> <p>Preliminary findings to Gavi and institutional leads (ILs) ● <i>November 2023-February 2024</i></p> <p>Feedback received from Gavi ● <i>March 2024</i></p>	<p>Draft Assessment Report to MOPAN Secretariat ● <i>May 2024</i></p> <p>Second Draft Assessment Report to Gavi/ILs ● <i>June 2024</i></p> <p>Final Assessment Report ● <i>August 2024</i></p>

LIMITATIONS

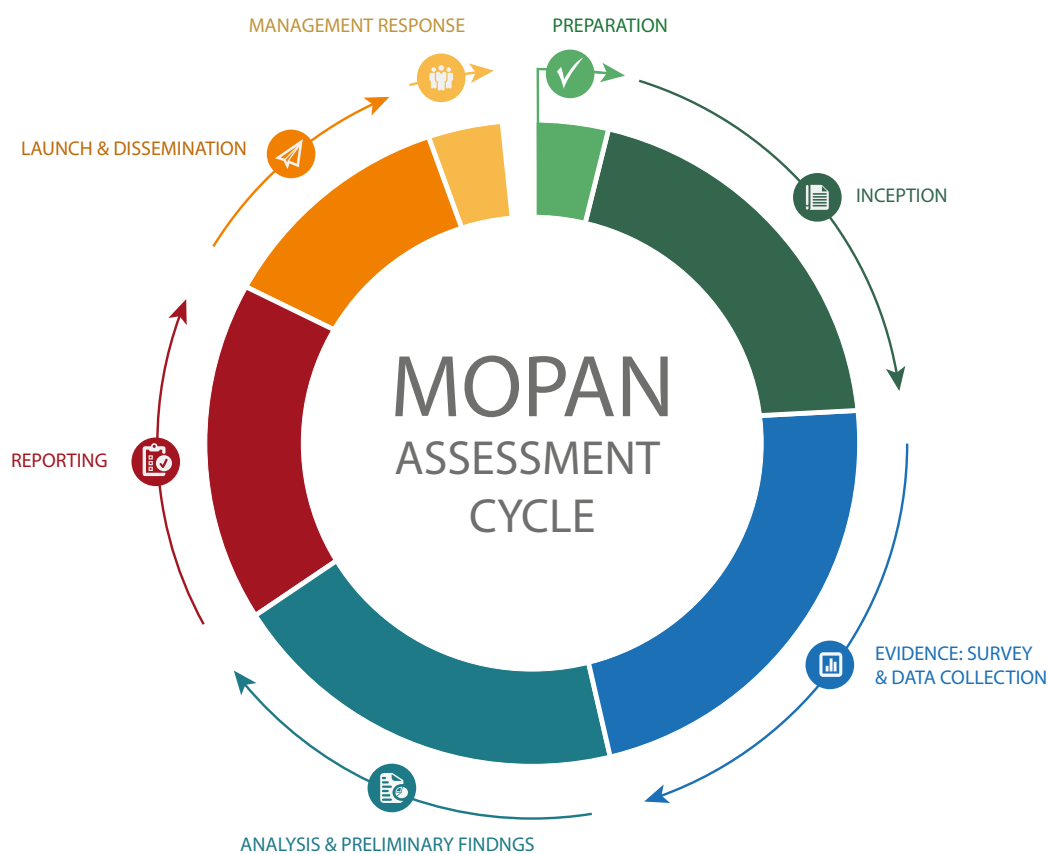
The assessment applies a standardised framework that provides a picture of the organisation's performance. Thus any general strengths and limitations of the MOPAN 3.1 methodology, which are laid out in MOPAN 3.1, Section 8, apply to this assessment too.

In addition, there are a few limitations specific to this assessment of Gavi and, subsequently, to the confidence that can be ascribed to the findings.

Documentation issues: The main limitations affecting the assessment of Gavi occurred during the document review and can be classified into three sub-categories: (a) overabundance; (b) evolution; and (c) documents still in draft (i.e. not completed prior to the close of data collection).

Gavi operates with a high degree of transparency; as an operating principle, this is of benefit to all of its stakeholders, but for reviewers of its performance, it can lead to an inundation of documents, especially when the timeframe for the assessment is abbreviated and the number of documents supplied is sizeable (e.g. for this assessment more than 700 documents were provided by Gavi). Thus, a triage system had to be applied, in which some documents may not have received as thorough a review as others; this would not have been the case if there had been fewer documents and a longer timeframe.

FIGURE 29: MOPAN'S ASSESSMENT PROCESS



As noted previously, this assessment covered the period of 2016-23, or approximately seven years. During that time, many important changes, both internal and external, occurred to Gavi's operating environment which required updating, adapting and adjusting Gavi's documentation. For example, most notably the COVID-19 pandemic required the organisation to update its Strategy 5.0 to 5.1 to capture the system shocks which occurred starting with the declaration of the pandemic in March 2020 and the key role Gavi played in fighting the disease. Thus, the evolution of Gavi's operating environment and the corresponding evolution of its documents had to be accounted for as part of the assessment, and this required differentiation of the basis on which the organisation should be reviewed.

Finally, this assessment occurred during a critical period for the organisation, namely the development of its Strategy 6.0. This meant for the assessment that a number of documents were under active development but were not available to the assessment team until after the close of data collection in September 2023. Indeed, a number of new and key documents were approved as part of Gavi's December 2023 Board meeting. Where possible, these approved documents were noted; however, they were not included in the assessment of the organisation.

Partnership participation: Gavi's unique Partnership structure means that the stakeholders involved in Gavi's operations, decisions and accomplishments extend past its Secretariat structure. However, for data collection purposes, it was decided that the primary focus of the key informant interviews would be Gavi's Secretariat, Board and committees, and feedback from the greater Partnership would be included in the survey instrument. Whether including Partnership stakeholders in the key informant interview process would have altered the findings is indeterminate; however, between the various lines of evidence utilised and the robust response rate to the survey, it is believed that this possible issue has been well mitigated.

REFERENCES

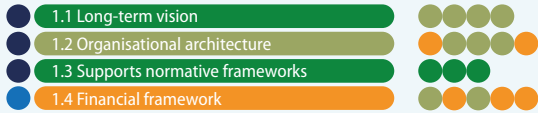
- FCDO (2024), *Safeguarding against Sexual Exploitation, Abuse and Harassment: Cross-sector Progress Report 2022 to 2023*, <https://www.gov.uk/government/publications/safeguarding-against-sexual-exploitation-abuse-and-harassment-cross-sector-pr>. [20]
- Gavi (2024), “About our Alliance”, <https://www.gavi.org/our-alliance/about>. [13]
- Gavi (2024), “Funding”, <https://www.gavi.org/investing-gavi/funding>. [9]
- Gavi (2024), *Gavi Secretariat*, <https://www.gavi.org/operating-model/gavi-secretariat>. [8]
- Gavi (2024), “Innovative financing”, <https://www.gavi.org/investing-gavi/innovative-financing>. [10]
- Gavi (2024), “Learning from COVID-19 to support vaccine delivery during future health emergencies”, <https://www.gavi.org/news-resources/knowledge-products/learning-covid-19-support-vaccine-delivery-during-future-health-emergencies>. [18]
- Gavi (2024), “Operating model”, <https://www.gavi.org/our-alliance/operating-model>. [3]
- Gavi (2024), *Phase VI (2026-2030)*, [https://www.gavi.org/our-alliance/strategy/phase-6-2026-2030#:~:text=Phase%20VI%20\(2026%E2%80%932030\),learn%20more%20about%20the%20process](https://www.gavi.org/our-alliance/strategy/phase-6-2026-2030#:~:text=Phase%20VI%20(2026%E2%80%932030),learn%20more%20about%20the%20process). [5]
- Gavi (2023), *Gavi, The Vaccine Alliance 2022 Annual Financial Report*, <https://www.gavi.org/sites/default/files/2023-06/GAVI-Alliance-2022-Annual-Financial-Report.pdf>. [4]
- Gavi (2023), “Gavi’s partnership model”, <https://www.gavi.org/our-alliance/operating-model/gavis-partnership-model>. [7]
- Gavi (2022), *Annual Progress Report 2021*, <https://www.gavi.org/sites/default/files/programmes-impact/our-impact/apr/Gavi-Progress-Report-2021.pdf>. [1]
- Gavi (2020), “Board composition”, <https://www.gavi.org/governance/gavi-board/composition>. [6]
- Gavi (2020), *Gavi’s Business Model*, <https://www.gavi.org/our-alliance/operating-model/gavis-business-model>. [2]
- Gavi (2020), “Gavi’s resource mobilisation process”, <https://www.gavi.org/investing-gavi/funding/resource-mobilisation-process>. [11]
- Gavi (n.d.), “Responding to COVID-19”, <https://www.gavi.org/covid19>. [17]
- ICAI (2020), “Report: The UK’s Work with Gavi, the Vaccine Alliance”, <https://icai.independent.gov.uk/html-version/gavi-the-vaccine-alliance/>. [14]
- IHME (2024), *Financing Global Health: Explore Patterns of Global Health Financing*, <https://vizhub.healthdata.org/fgh/>. [19]
- KFF (2023), “The U.S. Government & Gavi, the Vaccine Alliance”, <https://www.kff.org/global-health-policy/fact-sheet/the-u-s-government-gavi-the-vaccine-alliance/>. [12]
- MOPAN (2020), *2020 Assessment Cycle: MOPAN Methodology: MOPAN 3.1 – Methodology*, http://www.mopanonline.org/ourwork/themopanapproach/MOPAN_3.1_Methodology.pdf. [22]
- MOPAN (2016), *Gavi 2015-16*, <https://www.mopanonline.org/assessments/gavi2015-16/>. [16]
- MOPAN (2012), *Gavi 2012 Report*, <https://www.mopanonline.org/assessments/gavi2012/index.htm>. [15]
- UN (2018), *Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners*, https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf. [21]

ANNEX

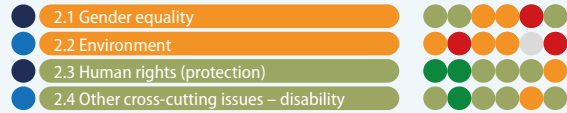
GAVI PERFORMANCE OVERVIEW CURRENT RATING

Strategic management

KPI 1: Organisational architecture and financial framework

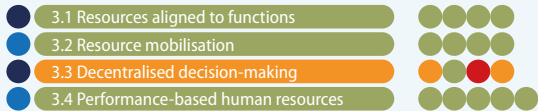


KPI 2: Cross-cutting issues



Operational management

KPI 3: Operating framework

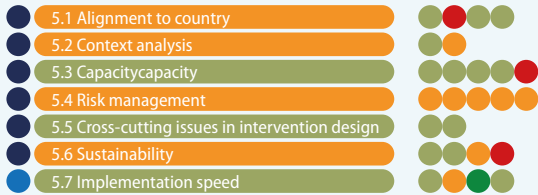


KPI 4: Cost and value consciousness, financial transparency

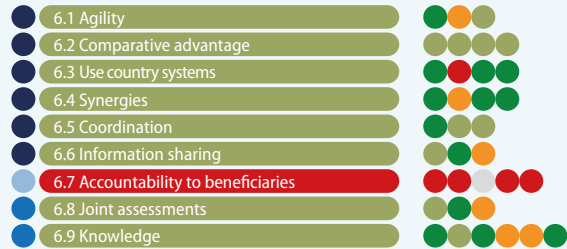


Relationship management

KPI 5: Planning and intervention design support relevance and agility



KPI 6: Work in coherent partnerships

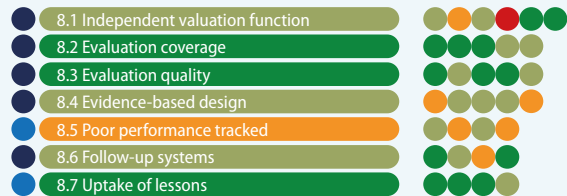


Performance management

KPI 7: Transparent results focus, explicitly geared to function

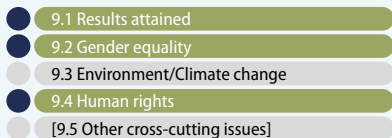


KPI 8: Evidence-based planning and programming applied

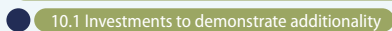


Results

KPI 9: Delivery of results



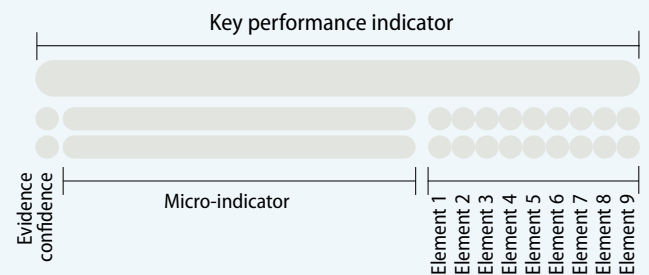
KPI 10: Relevance to partners



KPI 11: Efficient delivery



KPI 12: Sustainability





For any questions or comments, please contact:
The MOPAN Secretariat
[**secretariat@mopanonline.org**](mailto:secretariat@mopanonline.org)
www.mopanonline.org



For any questions or comments, please contact:
The MOPAN Secretariat
secretariat@mopanonline.org
www.mopanonline.org