

# **Annex 2: 2023-2028 KPI framework adjustment**

GF/B53/ER02\_Annex2



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# Purpose of the document

- This document outlines the proposal for material adjustment and non-material adjustments to 2023-2028 KPI Framework.
- The material adjustment being proposed is to replace **KPI S6a** (*Secure, maintained and interoperable HMIS*) that was approved by the Board in November 2022 with a new **KPI S6a2** that shall monitor the same outcome albeit with a different intent.
- The non-material adjustment is being proposed for KPI S6b (*Data driven decision making*) and KPI S7 (*Use of disaggregated data for planning or decision making*).

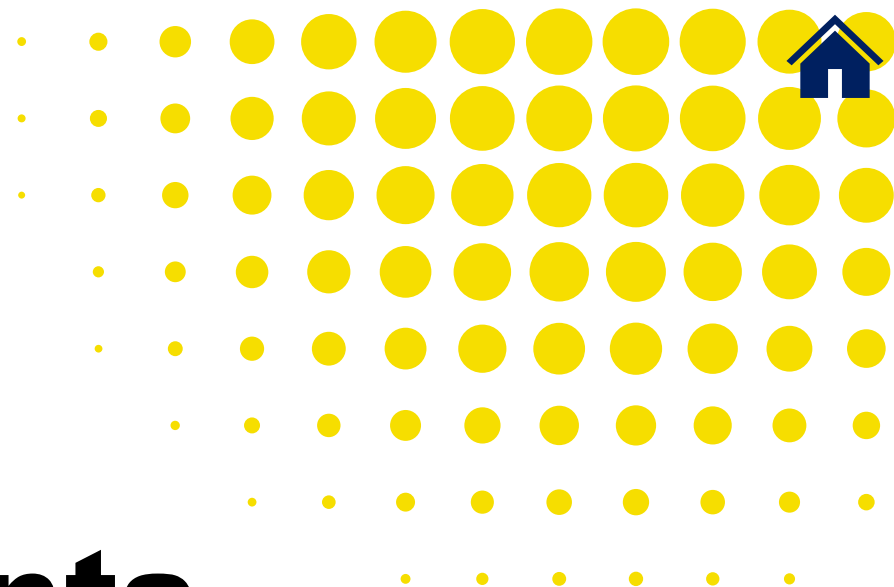
# Adjustments to 2023-2028 KPI Framework



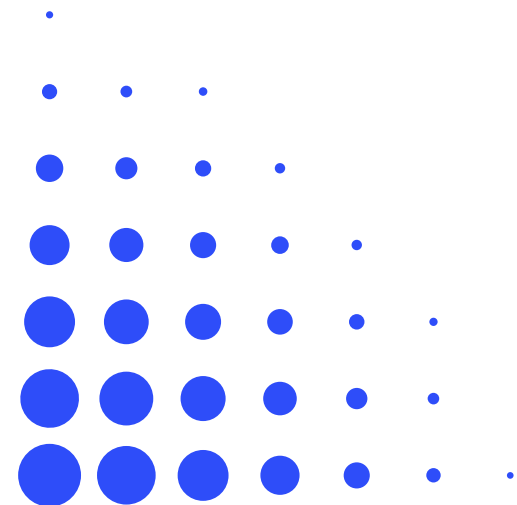
- The 2023-2028 KPI Framework was approved ([GF/B48/DP06](#)) by the Board at the 48<sup>th</sup> Board Meeting held in November 2022. The [KPI Handbook](#) provides the details on the 2023-2028 KPI Framework.
- In May 2023, the Board also approved a decision point ([GF/B49/DP03](#)) to delegate authority to the Secretariat, in consultation with the relevant Committee\* Chair and Vice-Chair, to make non-material KPI adjustments and report back to the relevant Committees and Board on all such changes.
- This document proposes one material adjustment and two non-material adjustments to three KPIs in the 2023-2028 KPI Framework which are outlined in the table below.

KPI	Adjustment to KPI element	Type of adjustment
<b>KPI S6a</b> : Secure, maintained, and interoperable HMIS	Replace with a new <b>KPI S6a2</b>	Material – replacing KPI S6a with a new KPI
<b>KPI S6b</b> : Data driven decision making	Data source	Non-material – rephrasing of data source definition
<b>KPI S7</b> : Use of disaggregated data for planning or decision making	Data source	Non-material – rephrasing of data source definition

- The materiality of these adjustments has been assessed as per the approach to assessing materiality of KPI adjustments outlined in [GF/B49/03 Annex 1](#) and agreed upon with the Strategy Committee Chair and Vice- Chair as all the KPIs come under the purview of the Strategy Committee.

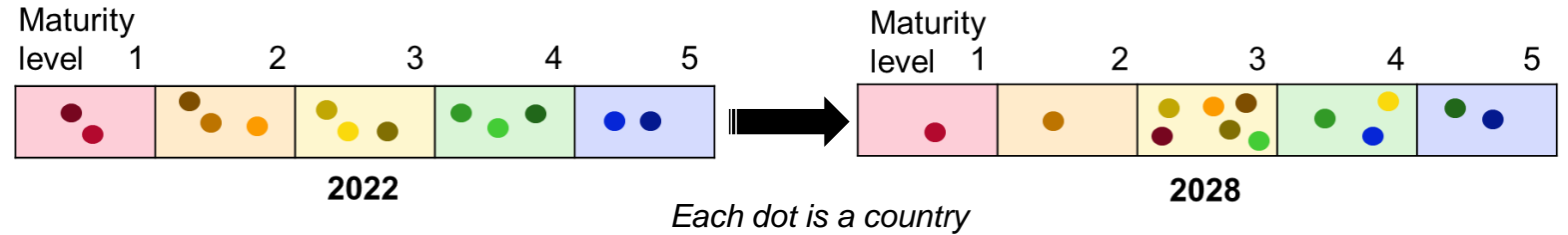


# Material KPI adjustments

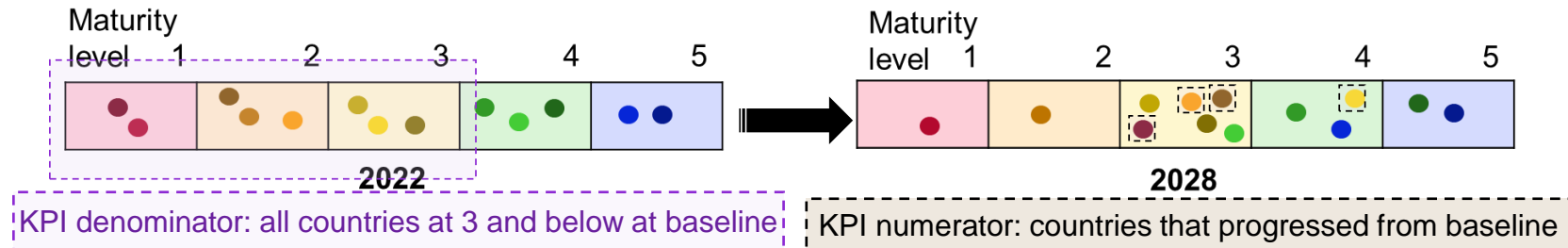


# In a nutshell: proposed material adjustment to KPI S6a on digital HMIS maturity, to measure functional capacity rather than progress

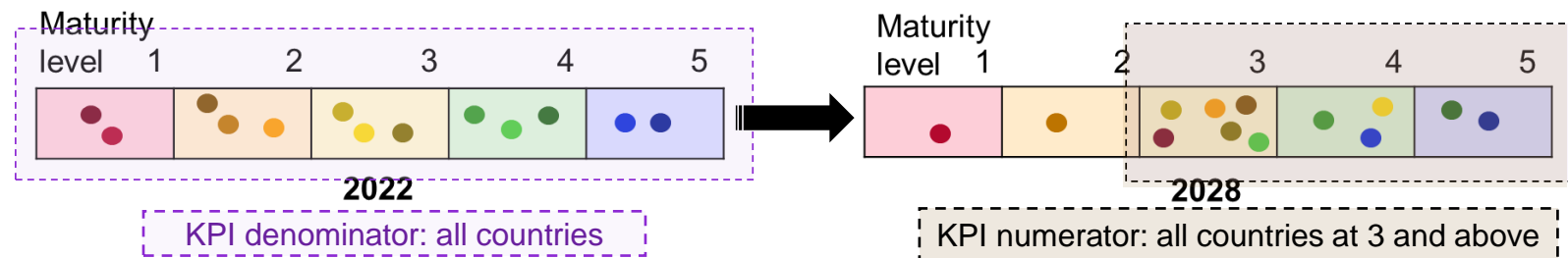
**Background:** KPI tracks the maturity of in-country data systems, through a 5-level model across the Strategy period and for High Impact and Core countries



**Current version of the KPI** counts # of countries that increased level, out of those that “started low” (level 3 and below) => tracking **progress**



**Proposed revised KPI** counts # of countries at “moderately functional” capacity (level 3 and above) out of the full cohort => tracking **functional capacity**



## Why this change?

- Proposed adjustment would consider **all** High Impact/Core countries rather than subset, giving full visibility
- Current definition ignores countries at 4 or 5 at baseline: it would not detect if they **regress** to lower level, leading to blind spots
- Reaching moderate threshold is a stronger driver / **enabler** than progress to support better use of data in country (KPI S6b), improved linkage between KPIs
- Relatively easy to show progress (quick wins) for countries at lower levels, **more difficult to move to 3 and above**; tracking progress compared to baseline is less interesting in later years of Strategy



## Background

- KPI S6a, defined as “*Percentage of countries with digital HMIS functionality baseline maturity level of 3 or less that increased by at least one maturity level*”, was approved in the 2023-2028 KPI Framework at the 48<sup>th</sup> Board meeting held in November 2022.
- The primary goal of KPI S6a is to track improvements in Health Management Information System (HMIS) maturity for countries in KPI cohort. This is done through a questionnaire completed by local stakeholders, which aggregates responses across five criteria to assess overall HMIS maturity. Progress is measured by determining if a country's maturity level has improved from its baseline.
- Latest KPI S6a results show that between 2022 and 2023, 79% (30/38) countries in KPI cohort have shown progress in improving HMIS maturity, and therefore for the remaining Strategy period, it was considered more useful to pivot from monitoring *improvements*, to monitoring whether countries have at least moderately functional (maturity level 3 or more) HMIS that enables data driven decision making. Additionally, to have a more nuanced and comprehensive understanding of HMIS maturity, need was felt to have a more refined assessment tool, along with a focus on all High Impact and Core portfolio countries, including those that had high maturity level at baseline, rather than just countries with a baseline maturity level of 3 or less.
- Therefore, the Secretariat is proposing a new KPI to replace the current KPI S6a to monitor whether countries have at least moderately functional HMIS supporting timely and evidence-based decisions to improve health outcomes.

## Proposal

- The latest KPI S6a results show that between 2022 and 2023, countries made significant progress in improving digital HMIS maturity with 79% (30/38) countries in KPI cohort improving their HMIS maturity level. The progress could be partly attributed to the regional and national capacity building activities, especially in West Central Africa through the GC6 Data Strategic Initiative which has now been discontinued. Whilst this progress is impressive, it is also indicative of the fact that countries with low maturity levels are likely to show faster progress through gains on “low hanging fruits” and that the rate of progress is likely to plateau in future results even if it shall continue to be on track to reach the 2028 target.
- Therefore, for the remaining Strategy period, the Secretariat proposes a pivot to monitoring whether countries have at least a moderately functional (maturity level 3 out of 5) HMIS – laying a solid foundation to support timely and evidence-based decisions to improve health outcomes, especially in the context of persistent challenges of funding, inadequate infrastructure and technology, and shortage of trained personnel.
- Furthermore, KPI S6a focuses on countries with baseline maturity level of 3 or less; in effect excluding countries with higher baseline maturity levels. This limits the ability to have comprehensive understanding of overall HMIS maturity levels and fluctuations across countries. Thus, the Secretariat also proposes to widen the KPI cohort going forward.
- Additionally, based on lessons learnt, the Secretariat also identified some aspects for improvement in the assessment tool that can provide a more nuanced understanding of HMIS maturity levels. For instance, the current assessment tool checks if the national HMIS data is backed up weekly at a minimum, with the countries answering either *Yes* or *No*. The response is informative to know how many countries back up national HMIS data weekly but cannot provide the nuance of how often countries backup data if at all, and if they are gradually improving the backup frequency. Hence, the assessment tool is also proposed to be refined to allow for scaled responses on a scale of 1-5 to obtain a more nuanced understanding of the progress being made to achieve full interoperability and meet the security and data management needs.
- Given the extent of changes being proposed to KPI S6a, the Secretariat would like to put forth the proposal to replace KPI S6a with a new **KPI S6a2** with the following definition:
  - Outcome being monitored: Percentage of countries with digital HMIS functionality maturity level of 3 or more
  - Cohort: all High Impact and Core countries (excl. acute challenging environments)
  - Target: 90% countries in the cohort at maturity level of 3 or more by end of Strategy (2028)

## For Board approval



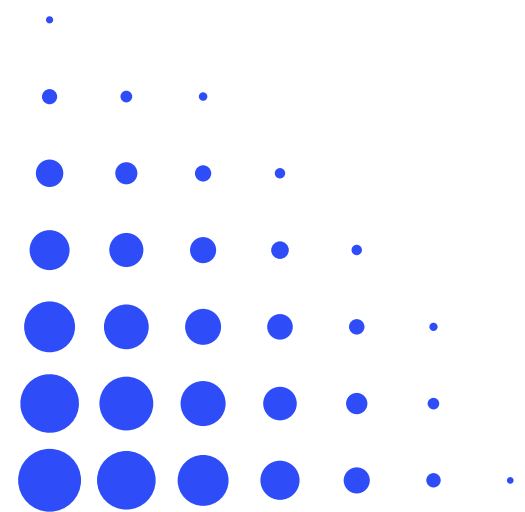
Difference between current KPI S6a and proposed KPI S6a2

KPI element	KPI S6a (current)	KPI S6a2 (proposed)
Long title (definition)	<p>Percentage of countries with digital HMIS functionality baseline maturity level of 3 or less that increased by at least one maturity level</p> <p><b>Assesses improvement in digital HMIS maturity level from baseline</b></p>	<p>Percentage of countries with digital HMIS functionality maturity level of 3 or more</p> <p><b>Assesses if country digital HMIS maturity level is maintained at least at a moderately functional level</b></p>
Cohort	<p>All countries with a maturity level of 3 or less at baseline, limited to High Impact and Core countries, excluding acute emergency countries</p> <p><b>Narrower subset of country portfolio</b></p>	<p>All High Impact and Core countries, excluding acute emergency countries</p> <p><b>Wider subset of country portfolio</b></p>
Formula	<ul style="list-style-type: none"><li><u>Numerator</u>: # countries that <i>increased maturity</i> level by one or more</li><li><u>Denominator</u>: Total # countries in cohort</li></ul> <p><b>Countries that improve maturity from baseline meet the KPI</b></p>	<ul style="list-style-type: none"><li><u>Numerator</u>: # countries with <i>maturity level of 3 or more</i></li><li><u>Denominator</u>: Total # countries in cohort</li></ul> <p><b>Countries at maturity level of 3 or more meet the KPI</b></p>
Target	<p>100% of countries increase by at least one maturity level by end of Strategy (2028)</p>	<p>90% countries are at maturity level of 3 or more by end of Strategy (2028)</p>
Baseline	<p>Distribution of 51 High Impact and Core countries (excl. acute emergency countries) on the 5-point HMIS maturity scale: “Level 1”:4 countries; “Level 2”: 20 countries; “Level 3”:14 countries; “Level 4”: 8 countries; “Level 5”:5 countries. 2022 baseline year</p>	<p>53% (27/51) countries at maturity level of 3 or more. 2022 baseline year</p> <p><b>Same as KPI S6a</b></p>
Data source	<p>Global Fund M&amp;E systems country profile</p>	<p>Global Fund M&amp;E systems country profile, data provided by PRs and MOH teams</p> <p><b>Same as KPI S6a with added articulation on source of data in countries</b></p>
PROS and CONS	<p><b>CONS:</b> performance likely to plateau in future post the strong performance in 2023; countries with maturity level of more than 3 remain excluded from the cohort even if they regress to lower maturity level of 3 or less; any change in methodology could impact comparability to baseline scores and thereby performance assessment</p>	<p><b>PROS:</b> comprehensive snapshot of maturity levels across all countries; factors countries that may regress to lower maturity levels in future; less impacted by methodological changes over the years though implication on trend analysis remains</p> <p><b>CONS:</b> changes KPI logic from what was initially approved by the Board; difficult to compare to results obtained in 2023 with proposed methodology changes</p>





# Non- material KPI adjustments










KPI	Current definition	Revised definition	Rationale	Impact on KPI as approved at 48th Board meeting
<b>KPI S6b:</b> Data driven decision making	<b>Data source:</b> Global Fund M&E systems country profile, questionnaire for profile completed by PRs and MOH teams	<b>Data source:</b> Global Fund M&E systems country profile, data provided by PRs and MoH teams questionnaire for profile completed by PRs and MOH teams	<p>Data for KPI S6b and KPI S7 is provided by either Principal Recipients (PRs) or Ministry of Health (MoH) teams in countries with data collected by different means such as via completion of questionnaires or interviews depending on ease of data collection in countries.</p> <p>The current definition assumes that all data collection is done via completion of questionnaires, which may not be the case in all countries. The revision thus gives the Secretariat the flexibility to adapt the means of KPI data collection to suit the country context whilst staying true to the original intent of ensuring that the source data in countries remains PRs and MoH teams.</p>	There is no impact on KPI performance
<b>KPI S7:</b> Use of disaggregated data for planning or decision making	<b>Data source:</b> Global Fund M&E systems country profile, questionnaire for profile completed by PRs and MOH teams	<b>Data source:</b> Global Fund M&E systems country profile, data provided by PRs and MoH teams questionnaire for profile completed by PRs and MOH teams	<p>This change simply removes the specificity around the means of data collection and is considered non-material as the source of data in countries and source of data for KPI calculation remain unchanged.</p>	There is no impact on KPI performance

# Annex 1: KPI S6a2 documentation for the KPI handbook

# KPI S6a2: Secure, maintained, and interoperable HMIS

Percentage of countries with digital HMIS functionality maturity level of 3 or more

Characteristics		Definition	Reporting
	Outcome	<p><b>Formula:</b></p> <ul style="list-style-type: none"><li>• <u>Numerator</u>: # countries with maturity level of 3 or more</li><li>• <u>Denominator</u>: Total # countries in cohort</li></ul> <p><b>Target:</b> 90% countries with maturity level of 3 or more at end of Strategy (2028)</p> <p><b>Cohort:</b> High Impact and Core countries, excluding acute emergency countries</p> <p><b>Baseline:</b> 53% (27/51) countries at maturity level of 3 or more, 2022 baseline year</p> <p><b>Data source:</b> Global Fund M&amp;E systems country profile, data provided by PRs and MOH teams</p>	<p><b>Reported:</b> Annually (Q4), against end Strategy target</p> <p><b>Interpretation of results (progress towards target):</b> <b>Green</b> if results at target/milestone or within margin of 10% (relative to target/milestone); <b>amber</b> if below target/milestone by a margin of 11%-20%; <b>red</b> if below target/milestone by a margin of 21% or more</p> <p><b>Disaggregation reported for this KPI:</b> Country categorization: region, portfolio type, etc., HMIS functionality maturity level sub-indicators</p> <p><b>Complementary insights:</b> drawn from other components of the M&amp;E framework</p>
	Level 1 - global and in-country		
	Subset of portfolio-priority countries		
	Existing GF data source		
	Countries meeting threshold		

## Rationale for selection

**Important:** KPI measures five of the most important aspects of a well-functioning digital HMIS that requires greater attention and resources closely aligned with the GF Strategy. It also helps ensure that countries at a minimum have moderately functioning HMIS to support evidence-based decision making to improve health outcomes.

**Integrated:** The indicator is monitored as part of GF M&E systems country profile and thus integral to the work of the Secretariat in supporting countries to strengthen data systems.

**Accountable:** KPI measures a strategic area of grant investments being made in digital data and M&E systems which can potentially detect how GF is having influence on the overall core HMIS performance. Balancing the strategic ambition with the realities of limited funding, the Global Fund aims to support the countries to have at least *moderately functional* HMIS that have reasonable security, integration and interoperability. Note though that several factors influence digital HMIS maturity level such as robust digital infrastructure, governance frameworks, capacity of personnel and adequate domestic and international funding. GF is only one of many contributors to the KPI results, and thus the level of influence of GF will differ across countries.

**Actionable:** The KPI results are actionable as they provide a snapshot of maturity levels in different countries that can guide the optimized allocation of financial resources and provision of technical support more effectively to the countries that are lagging behind.

**Available:** GF has an established process to collect data for the KPI. Data is provided by MOHs and PRs, reviewed and verified by Local Fund Agents (LFA) and Secretariat M&E teams and available through M&E System Country Profile dashboards

## Considerations

It is a composite maturity model score and lower achievement in some of the aspects might be overlooked by overall good performance in other areas. Disaggregation by each of the sub-indicators can help to detect this and allow for mitigation actions to be taken.

# KPI S6a2: Secure, maintained, and interoperable HMIS

## Additional details

### Maturity scale description

Nascent level (1)	Limited level (2)	Moderate level (3)	Well-developed level (4)	Sustainable level (5)
Score: 0-1.4	1.5-2.4	2.5-3.4	3.5-4.4	4.5-5
The national digital HMIS (HIS/RHIS) is functional in active use, but data may be insecure and the system is irregularly maintained	The national digital HMIS (HIS/RHIS) is functional nationally, with security measures but may be non-compliant with relevant data security regulations/policies, inadequately operated and maintained, having no digital health architecture and/or HIE framework to adhere to, and lacking or very little interoperability with HIV, TB, Malaria, and community health data systems	The national digital HMIS (HIS/RHIS) is functional nationally, partially compliant with relevant data security regulations/policies, operated and maintained adequately, with little or no adherence to a digital health architecture and/or HIE framework, and partial interoperability with two or less of HIV, TB, Malaria, and community health data systems	The national digital HMIS (HIS/RHIS) is fully functional nationally, mostly compliant with relevant data security regulations/policies, operated and maintained adequately, with increasing adherence to a digital health architecture and/or HIE framework, with partial or full interoperability with HIV, TB, Malaria, and community health data systems	The national digital HMIS (HIS/RHIS) is fully functional nationally down to all health districts, compliant with relevant data security regulations/policies, operated and maintained adequately, adheres to a digital health architecture and/or HIE framework, and demonstrates core data exchange functions with HIV, TB, Malaria, and community health data systems

### 5 criteria used to assess maturity level - *simplified but informative approach*

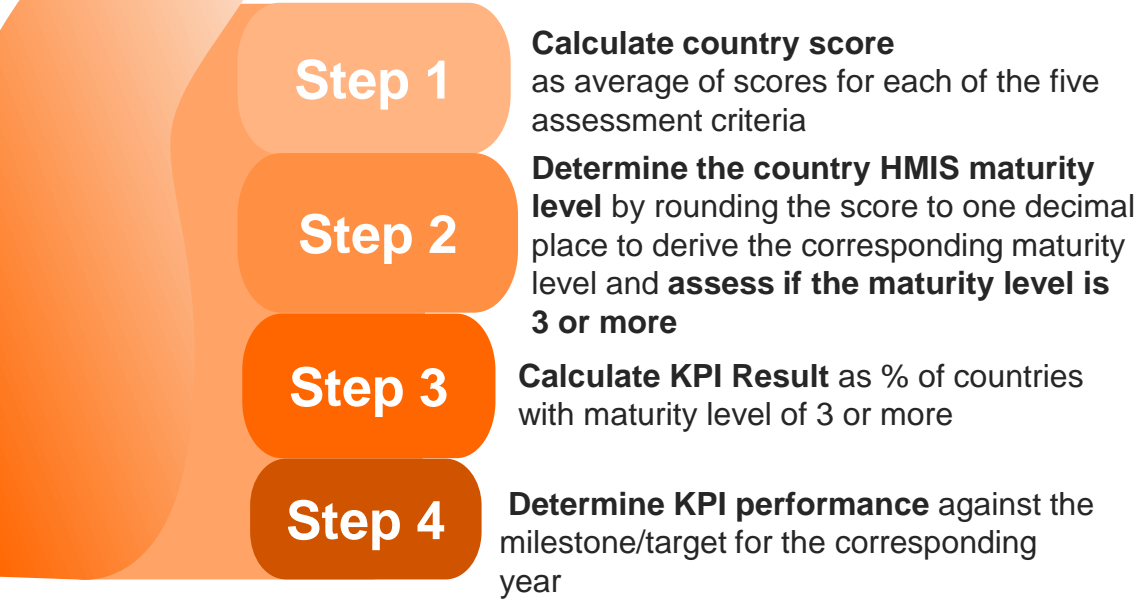
Dimension	Criteria	Possible score
Data security	Does the national HMIS software include password protected, role-based access protocols?	1-5 with 1 being lowest and 5 being highest possible score for the criteria
Operations and maintenance capacity	How often is the national HMIS data backed up and where is it stored?	1-5
Interoperability readiness (architecture)	Is there a national digital health (eHealth) architectural framework and/or health information exchange (HIE) established or being developed?	1-5
Integration (Aggregated)	Consider the status of the national HIV, TB, Malaria programme M&E data systems and the capacity of community health data systems. How many out of four are integrated or interoperable with the national HMIS?	1-5
Integration (UID)	For individual-level data in HIV, TB, malaria, and community health data systems, there is a common unique identifier (UID) scheme adopted and/or being used?	1-5

# KPI S6a2: Secure, maintained, and interoperable HMIS

## Illustration

**Measure:** % countries with digital HMIS functionality maturity level of 3 or more

**Numerator (N):** # of countries with maturity level of 3 or more  
**Denominator (D):** # of countries in cohort



KPI performance (progress towards target)		
On track	●	Result at target/milestone or lower by 10% (relative to target/milestone)
At risk	●	Result below target/milestone by margin of 11%-20%
Off track	●	Result below target/milestone by margin of 21% or more

## Illustrative example for 2024

Steps	Criteria	Country A score	Country B score	Country C score	Country D score
Step 1	Q1	4	4	5	3
	Q2	4	3	4	1
	Q3	4	1	3	3
	Q4	3	1	2	1
	Q5	3	1	1	3
	Average country score (rounded)	3.6 (18/5)	2	3	2.2
Step 2	Country	Latest score (2024)		Latest maturity level (2024)	Maturity level 3 or more?
	Country A	3.6		4	Yes
	Country B	2		2	No
	Country C	3		3	Yes
	Country D	2.2		2	No
Step 3	KPI result	50% (=2/4)			
Step 4	<p>The KPI is compared to its milestone for the corresponding year to assess whether it is on track to reach its target.</p> <p>Compared to the milestone for 2024 at 60% of countries at HMIS maturity level of 3 or more, the KPI would be deemed at risk as its result is below the milestone by margin of 17%</p> <p>KPI Result interpretation:</p>				

KPI Result interpretation:		
50% countries have a moderate or higher digital HMIS functional maturity level		
KPI performance		
On track	●	Result below target/milestone by margin of 11%-20%