Global Fund M&E and Data Quality Tools & Initiatives: Harmonization with the Task Force Framework

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Summary of Tools & Initiatives

**Tools:**
- M&E Systems Assessment (MESS tool)
- Data Quality Assessment – Primary data verifications
  - OSDV (On-site Data Verification)
  - DQA (Data Quality Audit)
  - RDQA (Routine Data Quality Assessment)

**Assesses:**
- Accuracy of Data
- Reporting Performance
- Systems Assessments
Initiatives during Grant Life Cycle

- Monitoring and Evaluation assessment
- Implementation of strengthening measures
- Routine LFA data verifications

External Data Quality Audit (DQA) - any time during grant lifecycle

- Capacity Building
- Auditing
Objective - To strengthen M&E Systems and to guide strategic investments in M&E (5-10% of the overall grant budget)

- To identify M&E capacity gaps and corresponding strengthening measures, including Technical Support;

- To ensure that investments in M&E are based on identified weaknesses and contribute to the strengthening of the National Systems (avoiding parallel reporting systems);

- To enhance the quality of programmatic data; to improve program implementation to support PBF.
Content and Structure

The M&E Systems Strengthening Tool assesses 3 areas:

1 - M&E Plan

2 - Data management capacities of the Program Management Unit (PR)

3 – Data collection and reporting systems per program area
M&E System Strengthening Cycle

1. Assess the M&E system
2. Develop costed action plan to strengthen M&E system
3. Implement strengthening plan
4. Follow up
On-site Data Verification (OSDV)

**Objective:**
To ensure the data quality of important programmatic results and to provide an overall statement on the quality of data within the grant portfolio;

**VOI:**
OSDV are a component of the LFA’s verification of implementation (VOI);

**Routine exercise:**
At least once a year per grant;

**MPI:**
The implementation of OSDV in grants has been identified as a Management Performance Indicator (MPI) of the Global Fund.
OSDV Methodology: Audit Trail

ILLUSTRATION
OSDV Implementation in 2009

<table>
<thead>
<tr>
<th>Global Fund Regions</th>
<th>Number of Grants Eligible for OSDV in 2009</th>
<th>Number of OSDV Conducted in 2009</th>
<th>Implementation Rate for 2009</th>
</tr>
</thead>
<tbody>
<tr>
<td>East Africa and Indian Ocean (EAIO)</td>
<td>58</td>
<td>50</td>
<td>86%</td>
</tr>
<tr>
<td>East Asia &amp; Pacific (EAP)</td>
<td>49</td>
<td>44</td>
<td>90%</td>
</tr>
<tr>
<td>Eastern Europe and Central Asia (EECA)</td>
<td>48</td>
<td>45</td>
<td>94%</td>
</tr>
<tr>
<td>Latin America &amp; Caribbean (LAC)</td>
<td>42</td>
<td>38</td>
<td>90%</td>
</tr>
<tr>
<td>Middle East &amp; Northern Africa (MENA)</td>
<td>40</td>
<td>32</td>
<td>80%</td>
</tr>
<tr>
<td>Southern Africa (SA)</td>
<td>49</td>
<td>34</td>
<td>69%</td>
</tr>
<tr>
<td>South &amp; West Asia (SWA)</td>
<td>51</td>
<td>44</td>
<td>86%</td>
</tr>
<tr>
<td>West &amp; Central Africa (WCA)</td>
<td>66</td>
<td>53</td>
<td>80%</td>
</tr>
<tr>
<td>Total</td>
<td>403</td>
<td>340</td>
<td>84%</td>
</tr>
</tbody>
</table>
Data Quality Audits (DQA)

Objective: To provide an in-depth assessment of data quality and M&E systems in selected grants and/or programs;

Auditor: To maintain independence, DQAs are conducted by external auditors contracted by the Global Fund;

Risk Management Approach: 15-20 DQAs are conducted annually on selected ‘Top-25’ grants and on other identified grants

DQA Tool: Developed by the Global Fund & Partners. It assesses data accuracy, the reporting performance and the underlying M&E System of the grant.
DQA Conceptual Framework

- **Dimensions of Quality**
  - Accuracy, Completeness, Reliability, Timeliness, Confidentiality, Precision, Integrity

- **Functional Components of a Data Management System Needed to Ensure Data Quality**
  - I: M&E Structure, Functions and Capabilities
  - II: Indicator Definitions and Reporting Guidelines
  - III: Data-collection and Reporting Forms / Tools
  - IV: Data Management Processes
  - V: Links with National Reporting System

- **Service Points**
   - Intermediate Aggregation Levels (e.g. Districts, Regions)
   - M&E Unit

- **Data Management and Reporting System**

- **Quality Data**
Outputs of the DQA

STRENGTHS and WEAKNESSES of the Data-collection and Reporting Systems
Outputs of the DQA

ACCURACY, TIMELINESS, AVAILABILITY and COMPLETENESS of reported Data

**Total and Adjusted District Verification Factors from DQA**

- Total Verification Factor: 0.95, 1.07, 1.03, 1.22
- IAL #4: 0.80
- IAL #3: 0.50
- IAL #2: 0.88
- IAL #1: 0.75

**% On Time Reports from DQA**

- M&E Unit: 0.75
- IAL #4: 0.73
- IAL #3: 0.88
- IAL #2: 0.88
- IAL #1: 0.88

**% Available Reports from DQA**

- M&E Unit: 0.75
- IAL #4: 0.83
- IAL #3: 0.92
- IAL #2: 0.85
- IAL #1: 0.80

**% Complete Reports from DQA**

- M&E Unit: 0.50
- IAL #4: 0.67
- IAL #3: 0.72
- IAL #2: 0.60
- IAL #1: 0.70
## Results of the 25 DQAs up to Date

<table>
<thead>
<tr>
<th>Data Quality Rating</th>
<th>Country / Grant</th>
<th>HIV</th>
<th>TB</th>
<th>Malaria</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Data Quality Issues</td>
<td>Belarus</td>
<td>The Philippines, Niger, China, Yemen</td>
<td>China, Gambia, Sri Lanka, Cote d’Ivoire, Vietnam</td>
<td></td>
</tr>
<tr>
<td>Some Data Quality Issues</td>
<td>Mali, Dominican Republic, Haiti, Comoros, South Africa, Burundi, Swaziland, Thailand, Tanzania</td>
<td>Tajikistan</td>
<td>Rwanda, Nigeria, Ghana, Indonesia, Multi-country (Andean Region)</td>
<td></td>
</tr>
<tr>
<td>Major Data Quality Issues</td>
<td>____</td>
<td>____</td>
<td>____</td>
<td></td>
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</tbody>
</table>
Evolution of RDQA tool

• Need expressed for a simplified tool for programs/projects to use for **self assessment**, **capacity building** and to **prepare for external audits**

• Two components:
  1). Systems assessment
  2). Data verifications
RDQA Summary Statistics – Level Specific Dashboard

Global Dashboard - Overall Summary Statistics

Data Management Assessment - Global Aggregate Score

M&E Structure, Functions and Capabilities
Links with National Reporting System
Data Management Processes
Data-collections and Reporting Forms / Tools

Data and Reporting Verifications - Global Aggregate Score

<table>
<thead>
<tr>
<th>% Available</th>
<th>% On Time</th>
<th>% Complete</th>
<th>Verification Factor</th>
</tr>
</thead>
<tbody>
<tr>
<td>88%</td>
<td>62%</td>
<td>73%</td>
<td>89%</td>
</tr>
</tbody>
</table>
Harmonizing approaches for TB Data Quality Assessment
Task Force Framework

**DATA QUALITY**
- Completeness
- No duplications, no misclassifications
- Internal and external consistency

**TRENDS**
Do surveillance data reflect trends in TB incidence and mortality?
- Analyse time-changes in notifications and recorded deaths alongside changes in case-finding, case definitions, HIV prevalence and other determinants of changes in TB incidence and TB mortality

**ARE ALL TB CASES AND DEATHS CAPTURED IN SURVEILLANCE DATA?**
- "Onion" model
- Inventory studies
- Capture re-capture studies
- Prevalence surveys
- Innovative operational research

**IMPROVE**
- surveillance system

**EVALUATE**
- trends and impact of TB control

If appropriate, **CERTIFY**
- TB surveillance data as direct measure of TB incidence and mortality

**UPDATE**
- estimates of TB incidence and mortality

TB notifications ≈ TB incidence
TB deaths in VR system ≈ TB mortality
## What information do the tools capture?

<table>
<thead>
<tr>
<th></th>
<th>MESS</th>
<th>DQA</th>
<th>RDQA</th>
<th>OSDV</th>
<th>WHO Workbook</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>M&amp;E Plan</strong></td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td><strong>Data Mx Capacity</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td>?</td>
</tr>
<tr>
<td><strong>Data reporting</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td><strong>Indicators</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>Formats</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td><strong>Timeliness</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>Completeness</strong></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>Misclassification</strong></td>
<td>±</td>
<td>±</td>
<td></td>
<td>±</td>
<td></td>
</tr>
<tr>
<td><strong>Internal Consistency</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td><strong>External Consistency</strong></td>
<td></td>
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<td></td>
<td></td>
<td>√</td>
</tr>
<tr>
<td><strong>Duplication</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Missing Cases</strong></td>
<td></td>
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<td></td>
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<td>±</td>
</tr>
</tbody>
</table>
Summary of Harmonized Approach

- **MESS** – Systems assessment

- **Data Quality Assessment** – Primary data verification
  - OSDV; RDQA and DQA
    - Reporting
      - Availability, Timeliness, Completeness and accuracy
    - Systems
      - Roles & responsibilities
      - Standardization – formats and definitions
      - Data management processes

- **WHO Workbook** – Secondary data verification
  - Missing cases
  - Trend analysis
  - Planning (Qualitative information on M&E plan and Data Mx capacity)
• Thank you