



Investing in our future

**The Global Fund**

To Fight AIDS, Tuberculosis and Malaria



**The President's  
Emergency Plan for  
AIDS Relief**



**World Health  
Organization**



**USAID**

FROM THE AMERICAN PEOPLE



**MEASURE  
Evaluation**

## **Data Quality Audit (DQA) Tool**

**- January 2007 -**

# Agenda

1. Background

2. Methodology of the Data Quality Audit (DQA) Tool

3. Objective and lessons-learned of the Pilot-test in Tanzania

4. Next Steps

- National Programs and Donor-funded projects are working towards achieving ambitious goals in the fight against HIV, TB and Malaria.
- Measuring success and improving management of these initiatives is predicated on strong M&E systems that produce quality data.
- In the spirit of the “*Three Ones*” and the “*Stop TB Strategy*”, a Data Quality Audit (DQA) Tool is being developed jointly with PEPFAR, USAID, WHO and Measure Evaluation. Further harmonization with other partners is underway (RBM, World Bank, HMN, UNAIDS, etc.).
- A single tool ensures that standards are harmonized and allows for joint implementation (between partners and with National Programs).

## Purpose of the DQA

The Data-Quality Audit (DQA) Protocol is designed:

- 1 to verify that appropriate data management systems are in place in countries;
- 2 to verify the quality of reported data for key indicators at selected sites; *and*
- 3 to contribute to M&E systems strengthening and capacity building.

# Global Fund M&E and DQ Framework

## 1- M&E Systems

## 2- Data Quality

**Routine Assessments**

**M&E Assessment**  
(before Grant Signature)

**Routine LFA On-site Data Verifications**  
(at least once a year)

**Independent Assessments**

**Data Quality Audit (DQA) Tool**  
(approximately 5-10% of Grants per Year)

# Agenda

1. Background

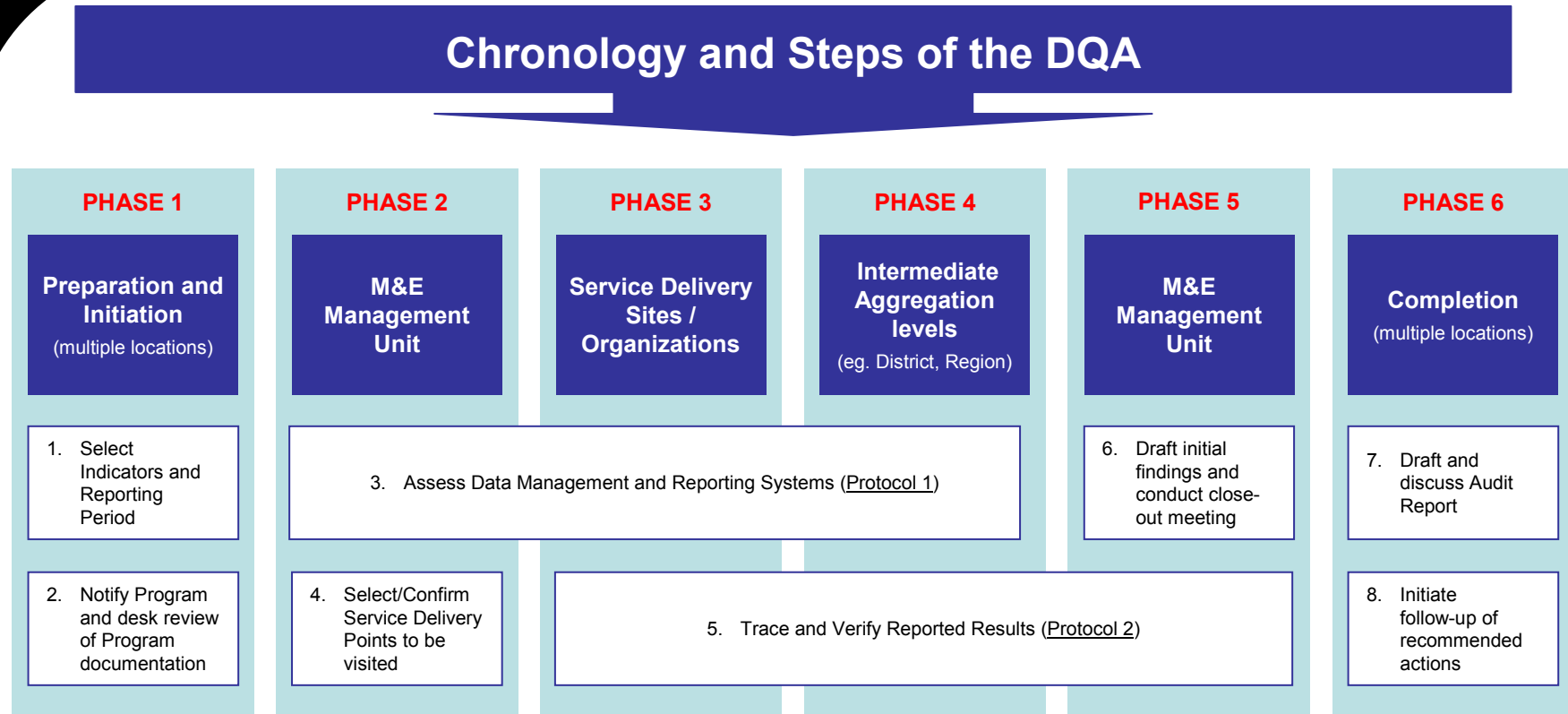
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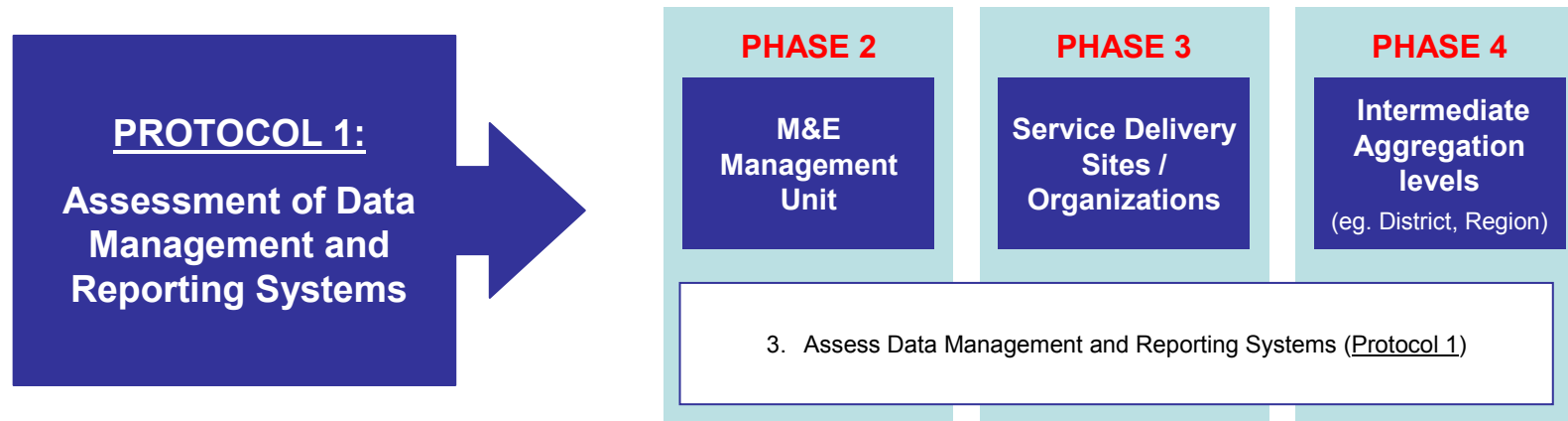
# Chronology and Steps of the DQA Tool

*Draft Document for Discussion*



- The DQA is implemented chronologically in 6 Phases.
- Assessments and verifications will take place at every stage of the reporting system:
  - M&E Management Unit
  - Intermediate Aggregation Level (Districts, Regions)
  - Service Delivery Sites.

# Protocol 1



- **PURPOSE:** Identify potential risks to data quality created by the data-management and reporting systems at:
  - the M&E Management Unit;
  - the Service Delivery Points;
  - any Intermediary Aggregation Level (District or Region).
- The DQA assesses both (1) the design; and (2) the implementation of the data-management and reporting systems.
- The assessment covers 8 functional areas (HR, Training, Data Management Processes , etc.)



# Systems Assessment

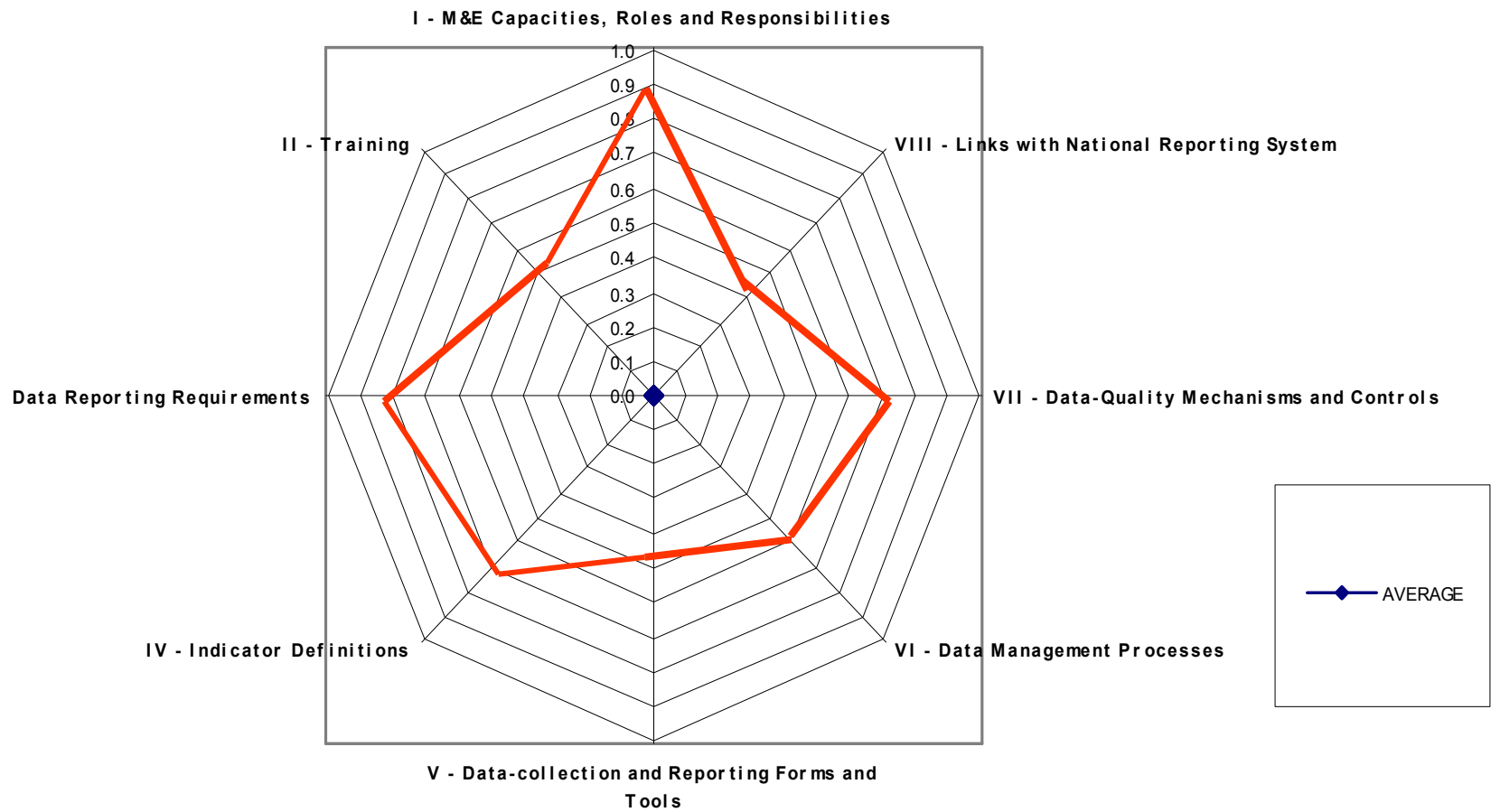
*Draft Document for Discussion*

SYSTEMS ASSESSMENT QUESTIONS BY FUNCTIONAL AREA			
Functional Areas		Summary Questions	
I	<b>M&amp;E Capabilities, Roles and Responsibilities</b>	1	Are key M&E and data-management staff identified with clearly assigned responsibilities?
II	<b>Training</b>	2	Have the majority of key M&E and data-management staff received the required training?
III	<b>Data Reporting Requirements</b>	3	Has the Program/Project clearly documented (in writing) what is reported to who, and how and when reporting is required?
IV	<b>Indicator Definitions</b>	4	Are there operational indicator definitions meeting relevant standards and are systematically followed by all service points?
V	<b>Data-collection and Reporting Forms and Tools</b>	5	Are there standard data-collection and reporting forms that are systematically used?
		6	Are source documents kept and made available in accordance with a written policy?
VI	<b>Data Management Processes</b>	7	Does clear documentation of collection, aggregation and manipulation steps exist?
VII	<b>Data Quality Mechanisms and Controls</b>	8	Are data quality challenges identified and are mechanisms in place for addressing them?
		9	Are there clearly defined and followed procedures to identify and reconcile discrepancies in reports?
		10	Are there clearly defined and followed procedures to periodically verify source data?
VIII	<b>Links with National Reporting System</b>	11	Does the data collection and reporting system of the Program/Project link to the National Reporting System?

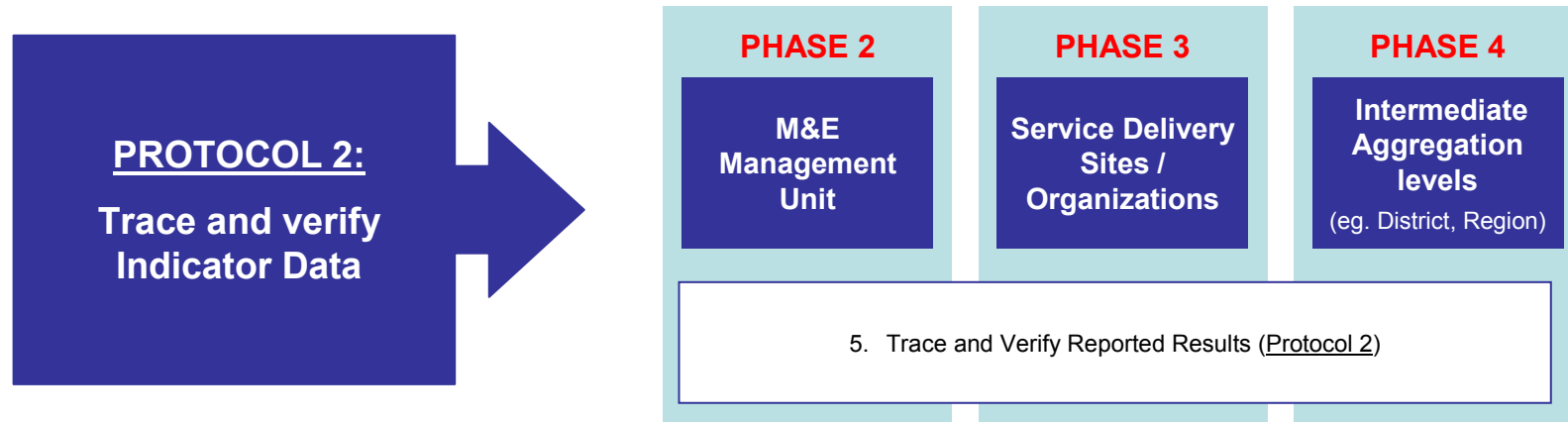
# DQA M&E Verification Protocol

## C- DQA M&E Systems Verification Protocol: Assessment of Capacity at the Service Delivery Points -

Distribution of Answer Categories Reporting System Level: **M&E Unit**



# Protocol 2

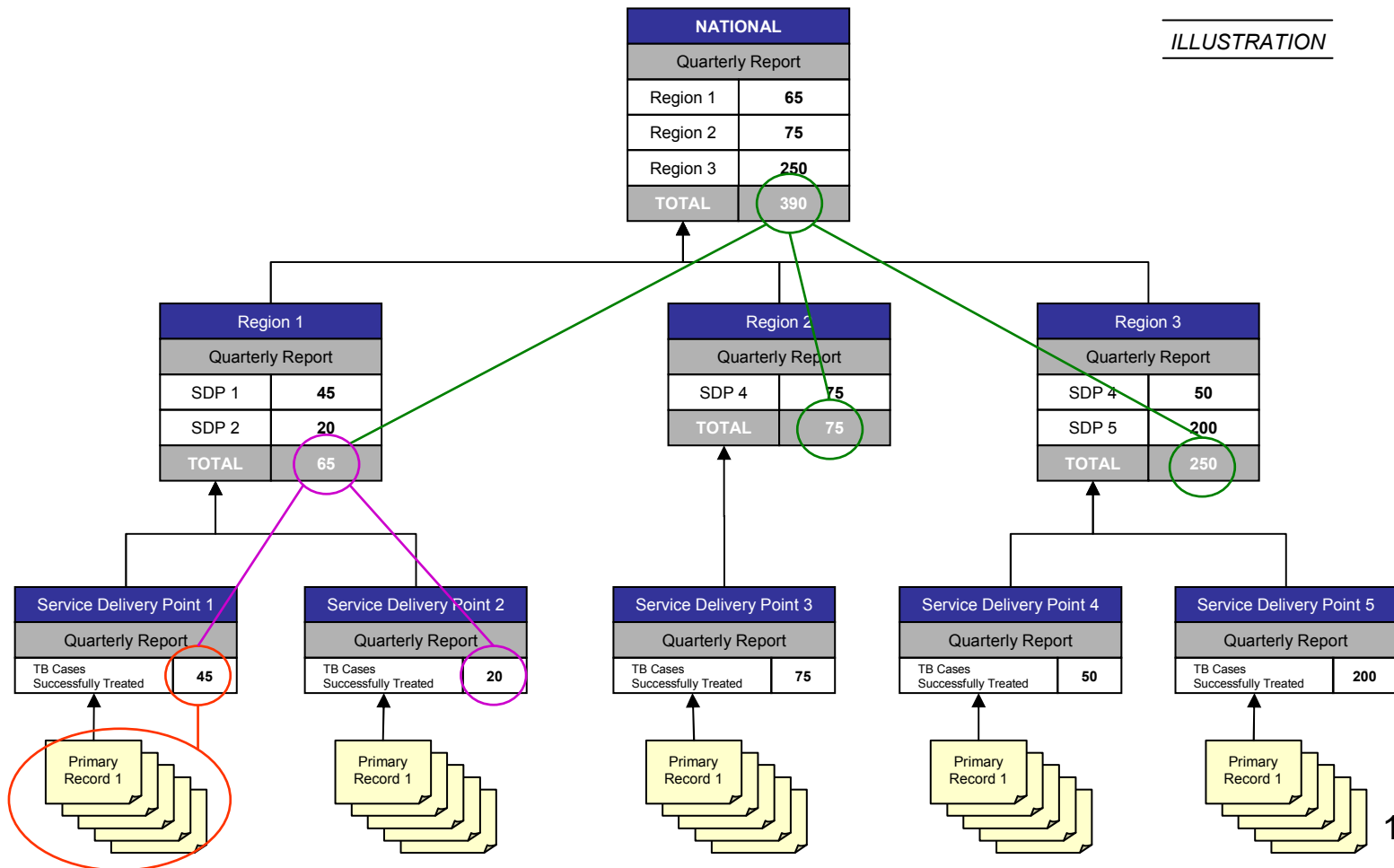


- **PURPOSE:** Assess on a limited scale if Service Delivery Points and Intermediate Aggregation Sites are collecting and reporting data accurately and on time.
- The trace and verification exercise will take place in two stages:
  - *In-depth* verifications at the Service Delivery Points; and
  - *Follow-up* verifications at the Intermediate Aggregation Levels (Districts, Regions) and at the M&E Unit.

# Trace and Verification Exercise

## Trace and Verification Exercise

ILLUSTRATION



# Service Delivery Points – Data Verification

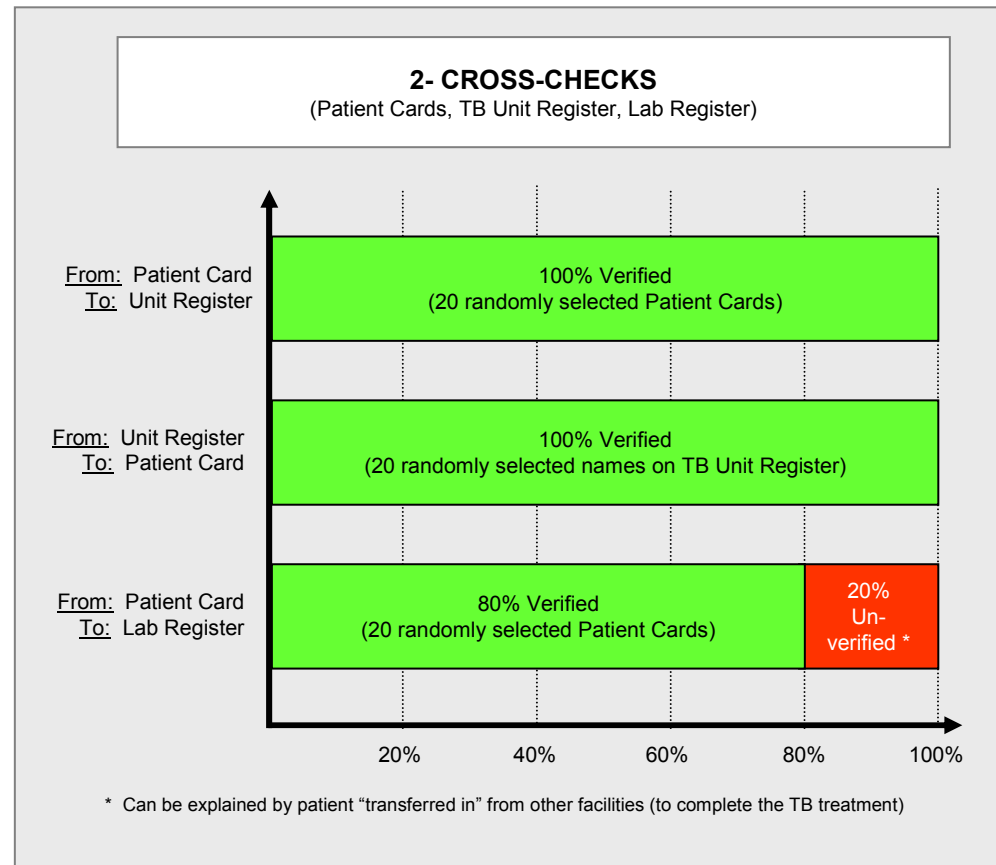
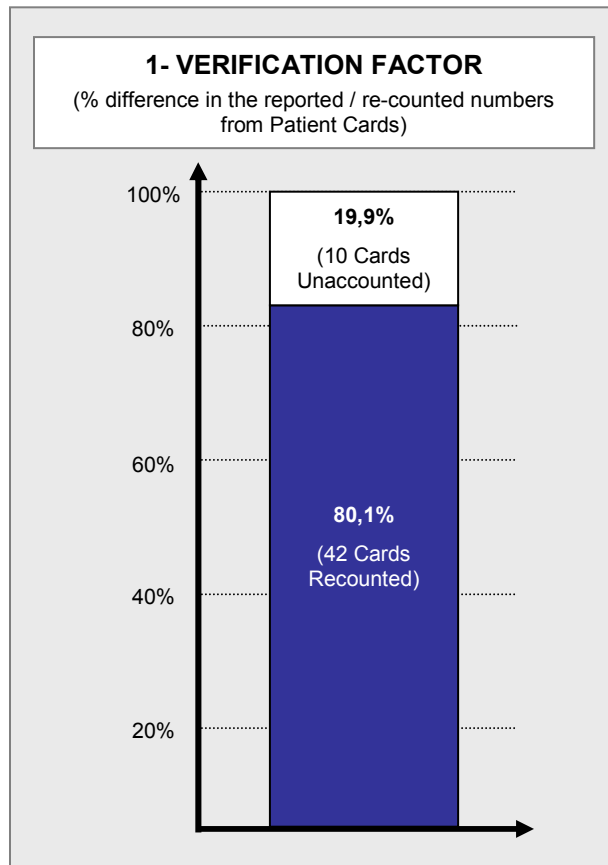
## Service Delivery Points – Data Verification

SERVICE DELIVERY POINT - 5 TYPES OF DATA VERIFICATIONS		
Verifications	Description	-
<u>Verification n°. 1:</u> <b>Observation / Description</b>	Observe or describe the connection between the delivery of services/commodities and the completion of the source document that records that service delivery.	In all cases
<u>Verification n°. 2:</u> <b>Documentation Review</b>	Review availability and completeness of all indicator source documents for the selected reporting period.	In all cases
<u>Verification n°. 3:</u> <b>Trace and Verification</b>	Trace and verify reported numbers: (1) Recount the reported numbers from available source documents; (2) Compare the verified numbers to the site reported number; (3) Identify reasons for any differences.	In all cases
<u>Verification n°. 4:</u> <b>Cross-checks</b>	Perform “cross-checks” of the verified report totals with other data-sources (eg. inventory records, laboratory reports, etc.).	If feasible
<u>Verification n°. 5:</u> <b>Spot checks</b>	Perform “spot checks” to verify the actual delivery of services or commodities to the target populations.	If feasible

# Illustration

## Illustration - Trace and Verification at the Service Point (TB)

**Number of new smear positive TB cases who are successfully treated  
1<sup>st</sup> of October 2004 - 31<sup>st</sup> of December 2004**



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## Objective of the pilot test in Tanzania

- The DQA Tool was designed in 2006 (with multi-partner participation and funding from the Global Fund and PEPFAR) and this was the first pilot test.
- The objective of the pilot test in Tanzania was to test and refine the tool and not to formally audit the Programs.
- However, we committed ourselves to communicating high level DQA findings - - *Which could help enhance and improve the monitoring and reporting systems.*



## Indicator Selection

DISEASE	INDICATORS	REPORTING PERIOD	
<b>HIV/AIDS</b>	1. Number of patients on ARV	3-month period <i>[1-Nov-05 / 31-Jan-06]</i>	National Numbers
<b>Tuberculosis</b>	2. Number of smear positive TB cases registered under DOTS who are successfully treated	3-month period <i>[1-Oct-04 31-Dec-04]</i>	National Numbers
<b>Malaria</b>	3. Number of insecticide-treated bed nets (ITNs) distributed (i.e., number of vouchers redeemed)	6-month period <i>[1-Nov-2005 / 30-Apr-2006]</i>	Reported numbers to Global Fund

## Site Selection

	Service Points		Intermediate Aggregation Level	
	Location	Date	Location	Date
<b>HIV/AIDS</b>	Temeke District Hopsital	10-11 Nov.	-	16 Nov.
	Iringa Regional Hospital	13-14 Nov.	-	14 Nov.
<b>Tuberculosis</b>	Temeke District Hopsital	10-11 Nov.	Temeke District Office	16 Nov.
	Iringa Regional Hospital	13-14 Nov.	Iringa Regional Office	14 Nov.
<b>Malaria</b>	Retailer	7 Nov.	ITN Cell; MENA	-

## Lessons Learned – Enhancement of DQA Tool

### Lesson Learned 1

#### The preparation phase is critical to the success of the DQA

- For the Audit Team to understand the systems beforehand and to reduce the burden on the Programs
- For the Programs to understand the purpose of the audit and to ensure availability of staff and key documents

### Lesson Learned 2

#### The composition of the Audit Team should be carefully considered

This is to ensure that the Audit Team (1) has a strong understanding of the Programs being implemented; *and* (2) can adapt the assessment and verifications to various systems, practices and context

### Lesson Learned 3

#### The methodology is flexible enough to be used in various settings

- Different health-related areas (e.g., TB, Malaria, Tuberculosis)
- Different implementing organizations (e.g., Ministry of Health, NGOs, donor-specific projects)
- Different data-management systems (e.g., paper-based vs. computer-based, centralized vs. Decentralized)

### Lesson Learned 4

#### The approach is complementary to routine supervision practices

- For example TB supervisory site visits, ...

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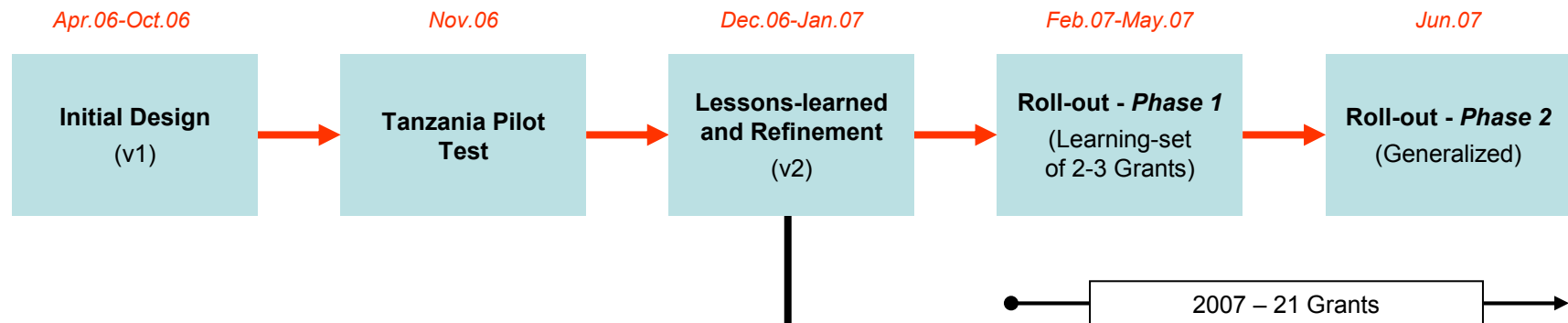
3. Objective and Scope of the Pilot-test in Tanzania

4. Lessons-learned for enhancement of the DQA Tool

5. Next Steps

# Next Steps

## DQA Development and Roll-out - Road Map



### NEXT STEPS:

- Finalization of the tool - WHO Workshop; Feb. 07 -
- Development of an Implementation Strategy
- Prepare for roll-out