



**African Population and  
Health Research Center**

Transforming lives in Africa through research.

# Monitoring and Evaluation Framework

## 2019 - 2021

Prepared by  
Monitoring, Evaluation and Learning Unit  
2019

## **Monitoring and Evaluation Framework 2019 – 2021**

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## Executive Summary

The Monitoring and Evaluation Framework 2019-2021 has been developed to guide the performance monitoring and review of the Center in line with the strategic plan 2017-2021 which is a document that provides the Center with a five-year roadmap. The M&E framework is also suitable for capturing the Center's impacts as we strive to transform lives in Africa through research. The goal of the framework is thus to standardize and align the monitoring and evaluation processes, provide timely data and information, facilitate continuous learning and enhance accountability and transparency of the activities conducted at the Center. It will also guide the establishment of an M&E platform that is comprehensive, fully integrated and well-coordinated; improving tracking systems and databases. Ultimately, providing data that will inform strategic decision making and improve institutional memory.

This framework describes in detail the whole process of M&E from data collection, collation, analysis, reporting and dissemination, which are vividly highlighted in the logical framework, M&E implementation plan and institutional M&E costed work plan. This whole process will also reflect APHRC's values on integrity for transparency, excellence for quality, fairness and accountability.

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## Acronyms and Abbreviations

<b>AAD</b>	Ageing and Development Unit
<b>APHRC</b>	African Population and Health Research Center
<b>DME</b>	Data Measurement and Evaluation Unit
<b>eDMS</b>	Electronic Data Management System
<b>ERP</b>	Enterprise Resource Planning System
<b>EYE</b>	Education and Youth Empowerment Unit
<b>HR</b>	Human Resource
<b>IT</b>	Information Technology
<b>KPI</b>	Key Performance Indicators
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MCW</b>	Maternal and Child Health Unit
<b>MoU</b>	Memorandum of Understanding
<b>NGO</b>	Non-Governmental Organization
<b>PDRH</b>	Population and Reproductive Health and Rights Unit
<b>PEC</b>	Policy Engagement and Communication Division

<b>PMS</b>	Performance Management System
<b>RCS</b>	Research Capacity Strengthening Division
<b>REDCap</b>	Research Data Capture Web Application
<b>SMT</b>	Senior Management Team
<b>UWB</b>	Urbanization and Wellbeing Unit
<b>USD</b>	United States Dollars

# CHAPTER 1

## INTRODUCTION

### 1.1. Background information and Scope of the framework

The Monitoring and Evaluation Framework 2019-2021 has been developed to monitor, track and evaluate the APHRC Strategic Plan 2017-2021 with an impact- focus on all of the center's projects and processes. The framework was developed with the aim of informing the Center on its progress towards achieving the set targets and ultimate goal of transforming lives in Africa through research as highlighted in the strategic plan. It is intended that the M&E framework shall be suitable not only for capturing the APHRC's current impact and influences on an institutional; but also in providing measurement tools for effectively tracking overall performance of projects. Moreover, it will also provide strategic information to management for evidence-informed decision making.

The scope of the document is purely institutional; meaning its purpose is to solely track the Center's outputs, outcomes and potential impacts in relation to its set goals and objectives. Thus, the framework is based on the Center's values on integrity for transparency and accountability, excellence for quality and consistency as well as fairness. It also anchors its indicators in the various levels of the results chain (inputs, processes/activities, outputs, outcomes and impact) on the four strategic objectives:

1. Generate scientific knowledge aligned to local and global development agendas on population health and wellbeing.
2. Develop and nurture the next generation of African research leaders.
3. Engage with decision-makers using evidence to drive optimal development and implementation of policies that will have a transformative impact on lives in Africa.
4. Create operational efficiencies in systems and processes for maximum programmatic impact.

The intention of this document is to therefore base its tracking on the strategic objectives that reflect the actual activity profiles of all the units and programs across the Center. The M&E framework has been made simple enough for the M&E team to aggregate and compile information in the most efficient possible manner and also for staff that may not be M&E officers, who shall be part of operationalizing the M&E system, to easily make reference to. Moreover, this document also makes sure that the indicators are not generic and have all the attributes of a SMART indicator i.e. Specific, Measurable, Achievable, Relevant, and Time-bound.

### 1.2. Current Status of M&E at the Center

The previous Monitoring and Evaluation Framework was developed in 2010. An in-house software was additionally developed called the Performance Management System (PMS); the de-facto standard system used to document progress vis-a-vis the set objectives. However, monitoring and evaluation has been conducted in silos and on a project level; a larger percentage of M&E activities and format being dictated by funder demands. Clear definitions on the results chain, data needs and indicators have been lacking, bringing about inconsistencies in tracking and reporting of outputs and outcomes. There has also been inadequate feedback mechanisms and sharing of lessons. This, has ultimately led to weak institutional synchrony and coordination, as a guideline on M&E had not been developed that is guided by the current strategic plan 2017-2021.

Nearly a decade later, with this new strategic plan, the M&E framework 2010 has become outdated. This has thus necessitated this Monitoring and Evaluation Framework 2019-2021 that shall seek to institutionalize M&E at APHRC guided by the strategic plan.

### 1.3. Development of the Framework

The development of the framework was led by the monitoring and evaluation team. The whole process followed a comprehensive consultative review process with various staff at the center as well as directors of the each of the four divisions. For further clarifications and additions, consultative meetings were held with focal persons in the various topical areas. The M&E framework 2019-2021 is the second framework developed after the M&E Framework 2010. It focuses on the main M&E activities and aligns them to the existing national and international structures and frameworks of monitoring and evaluation. The document describes the processes, methods and tools that the Center shall use to collect, collate, analyze, report and

use data to provide necessary feedback and lessons. It translates these processes into annual and costed activities, and assigns roles and responsibilities. Furthermore, it documents what needs to be monitored, with whom, by whom, when and how it shall be conducted. The framework shall be disseminated to all the units and published in the APHRC intranet.

## 1.4. Goals and Objectives of the Framework

### 1.4.1. Goal of the Framework

The goal of the M&E framework 2019-2021 is “to establish a system that is comprehensive, fully integrated and well-coordinated to guide the monitoring and evaluation of the Strategic Plan 2017-2021”.

### 1.4.2. Specific Objectives of the Framework

The specific objectives of the framework are thus to:

1. Standardize and align the monitoring and evaluation processes for tracking progress of the strategic plan objectives.
2. Enhance accountability and transparency of the activities conducted at the Center.
3. Provide timely data to guide and inform the institutional decision making process.
4. Facilitate continuous learning by sharing challenges and lessons learnt.

## 1.5. Theory of change and its implication to M&E

Figure 1 is the theory of change, a retrospective mapping on how the strategic plan seeks to achieve the ultimate goal of transforming lives in Africa through research.

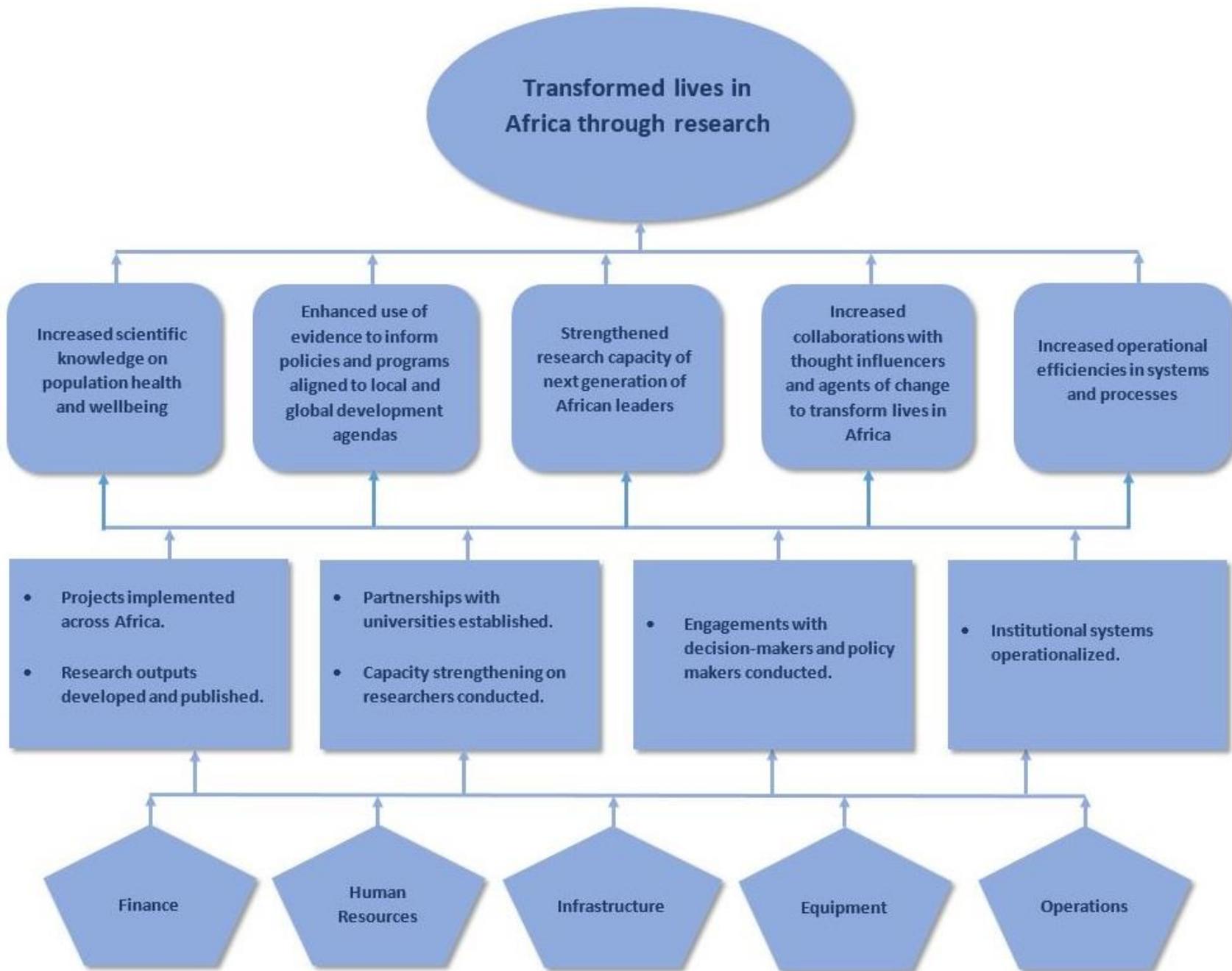


Figure 1: Theory of Change

The APHRC strategic plan has clearly defined goals on all the levels of the result chain. For the achievement of the APHRC impact and goals, it is important for the Center to focus on a comprehensive knowledge management system that shall allow for monitoring and tracking of the indicators. This system should provide for a comprehensive look at information needs of the Center as per the theory of change so as to generate useful information and better guide institutional decision making. To achieve the theory of change as illustrated in Figure 1, there should be a supportive institutional environment with defined roles and responsibilities of all the stakeholders, sufficient funding and human resource with adequate technical capacity to manage the various components of the M&E system. This will ultimately ensure a comprehensive, fully integrated and well-coordinated monitoring of the strategic plan implementation. In the following chapters, the document proposes a standard M&E system routinely implemented, guided by the logical framework and M&E implementation plan; in overall contributing to M&E deliverables for the Center.

### 1.6. Key Stakeholders

The projects and programs implemented at the Center involve multiple stakeholders at different levels. Table 1 summarizes the key stakeholders and some of the likely information needs and use from the M&E data.

*Table 1: APHRC Stakeholders and their Information Needs*

Stakeholders	Information Needs
APHRC Management	<ul style="list-style-type: none"> <li>- Long-term strategic planning.</li> <li>- Donor accountability.</li> <li>- Knowledge sharing.</li> <li>- Organizational learning and advocacy.</li> </ul>
Project/Program Management and staff	<ul style="list-style-type: none"> <li>- Evidence- informed decision-making</li> <li>- Project/program planning and accountability.</li> </ul>
Donors/Funders	<ul style="list-style-type: none"> <li>- Ensure proper compliance and accountability</li> </ul>
Partner Institutions (Local And International)	<ul style="list-style-type: none"> <li>- Use information for coordination and inform collaborations.</li> <li>- Knowledge and resource sharing</li> </ul>
Central government and county authorities	<ul style="list-style-type: none"> <li>- Information to ensure that legal and regulatory requirements are met</li> </ul>

	- Build political understanding and support.
Communities	- Better understand, participate in and fully engage in the research conducted by the Center.

### 1.7. Key Outputs of the Framework

The following are the expected outputs from the institutionalization of the framework:

- ✓ Comprehensive, fully integrated and well-coordinated M&E system.
- ✓ Improved tracking systems and databases.
- ✓ Regular updates on the core performance indicators.
- ✓ Periodic Performance reporting.
- ✓ Institutional memory on implementation of the strategic plan 2017-2021.

## CHAPTER 2

### MONITORING AND EVALUATION PLAN

#### 2.1.Components of the M&E Plan

The M&E plan describes in detail the whole process of M&E from collecting data, collating, analyzing, and reporting to dissemination. This chapter gives details on the logical framework, M&E implementation plan, institutional M&E costed work plan and the roles and responsibilities.

#### 2.2.Logical Framework

The logical framework outlines the core indicators that shall track, monitor and evaluate the impact, outcomes, outputs, processes and inputs; giving definitions of each of the indicator with numerators and denominators where applicable. The indicators are direct i.e. directly measuring the expected results or indirect i.e. measured through proxy indicators related to the expected result. It also highlights the assumptions surrounding each strategic objective. The following tables gives the logical framework for the five levels of the result chain, starting with the impact indicator:

- Improved lives in Africa through Research

Impact level Results	Impact Indicator	Definition of terms/ numerator/ denominator
Improved lives in Africa through Research	Number of persons in Africa affected by policies and programs influenced by APHRC research	This is the African population that has been affected and impacted by the adoption of policies and programs influenced by APHRC.

## Objective 1: Generate scientific knowledge aligned to local and global development agendas on population health and wellbeing

The following indicators in Table 2 are targeted towards units in various divisions that seek to generate scientific knowledge through research in order to transform lives in Africa.

Table 2: Logical Framework for Strategic Objective 1

Indicators	Definition of terms and Metrics	Means of verification	Assumptions for the objective
<b>Outcome Indicators</b>			Willingness of organizations to collaborate.
<b>Outcome 1: Increased Scientific Knowledge on population health and Wellbeing</b>			
01.1. Number of publications published during this reporting year	Publications include published papers, supplements, books, book chapters developed and published during this reporting year. Disaggregation by type of publication and by units.	Hyperlink/DOI/ISBN/P MID/PMCID	Quality grant proposals submitted.
<b>Outcome 2: Enhanced use of evidence to inform policies and programs aligned to local and global development agendas</b>			Grant proposals meet the funder's requirements.  Feedback given by the donors on grant status.
01.2. Number of innovations developed	Any new invention based on or informed by APHRC research or line of work.	Documentation of the Innovation	
01.3. Number of policy or programs documents informed by evidence from APHRC	Policy documents include policies/ guidelines/frameworks influenced by the center's work. This also includes interventions and programs influenced or informed by the center's work.	Policy/program documentation	
01.4. Number of organizations and individuals that used data from the APHRC micro data portal	External organizations and individuals that use APHRC data stored in the micro data portal or in other media.	Report on the requests	
<b>Output indicators</b>			Grants have been awarded to the center.
01.5. Proportion of projects that tackled signature issues	Signature issues are the seven areas highlighted in the strategic plan as key programmatic areas for the research units. These areas provide thought leadership and focus on policy outreach efforts for greater impact. Disaggregation by units.  <u>Numerator</u> Number of projects that tackled signature issues  <u>Denominator</u> Total number of projects during the reporting period	Signed agreements	Good quality research.  Conducive environment that supports adoption and implementation of the innovation.

<p>01.6. Proportion of projects that tackled synergy issues</p>	<p>Synergy issues are the topical areas highlighted in the strategic plan in which units collaborate to implement activities on these areas. Disaggregation by units.</p> <p><u>Numerator</u> Number of projects that tackled synergy issues</p> <p><u>Denominator</u> Total number of projects during the reporting period</p>	<p>Signed agreements</p>	<p>Buy in from policy makers and decision makers.</p> <p>Availability of funds throughout the project period.</p>
<p>01.7. Proportion of projects that tackle both synergy and signature issues</p>	<p>These are projects that tackle both synergy and signature issues. Disaggregation by units.</p> <p><u>Numerator</u> Number of projects that tackled both signature and synergy issues</p> <p><u>Denominator</u> Total number of projects during the reporting period</p>	<p>Signed agreements</p>	
<p>01.8. Proportion of projects that are multi -year</p>	<p>These are projects that are running for more than one year. Disaggregation by units, duration.</p> <p><u>Numerator</u> Number of projects that are multi – year during the reporting period</p> <p><u>Denominator</u> Total number of projects during the reporting period</p>	<p>Signed agreements</p>	
<p>01.9. Proportion of projects that are prime awards grants.</p>	<p>These are grant awards that have been awarded directly to APHRC without passing through another entity as a sub-award. Disaggregation by type of ward- prime or sub-award and by units.</p> <p><u>Numerator</u> Number of projects that are prime awards grants.</p> <p><u>Denominator</u> Total number of projects during the reporting period</p>	<p>Signed agreements</p>	

O1.10.	Monetary value of projects in United States Dollars	This is the grant amount of the projects in USD (United States Dollars). Disaggregation by units.	Signed agreements
O1.11.	Number of grant proposals application submitted	Grant proposals that have been submitted to funders/donors during the reporting year. Disaggregation by status i.e. Those approved, rejected, feedback pending; and by units	Proposals developed
O1.12.	Grant proposals success rate	Rate at which number of grant proposals submitted have been successful and grant awarded. Disaggregation by units.  <u>Numerator</u> Number of successful grant proposals during the reporting year.  <u>Denominator</u> Sum of successful and unsuccessful grant proposals during the reporting year.	Donor feedback communication
O1.13.	Proportion of projects implementing its activities across Africa.	Projects that have their activities being implemented in Africa. These are projects that are implementing activities in other outside Kenya. Disaggregation by units and by regions (Kenya only, Sub-Saharan Africa, Rest of Africa).  <u>Numerator</u> Number of projects implementing its activities across Africa.  <u>Denominator</u> Total number of projects during the reporting period	Signed agreements
O1.14.	Number of technical reports developed	Technical reports are also called scientific report which is a document that describes the process, progress, or results of technical or scientific research or the state of a technical or scientific research problem. Disaggregation by units.	Hyperlink/DOI/ISBN/P MID/PMCID

Process Indicators			
O1.15.	Number of projects conducted during the reporting year	These are all the projects that were conducted during the reporting year. Disaggregation by new (commenced during the year), ongoing from the previous year and those that closed during the reporting year as well as disaggregation by the units.	Signed agreements

## Objective 2: Develop and nurture the next generation of African research leaders.

The following indicators in Table 3 are targeted towards programs in the Research Capacity Strengthening Division (RCS) as they seek to develop and nurture the next generation of African research leaders. The programs include Partnerships with Universities, Fellowships and Internships, Research on Higher Education and Research Capacity Strengthening and Training programs.

Table 3: Logical Framework for Strategic Objective 2

Indicators	Definition of terms and Metrics	Means of verification	Assumptions for the objective
<b>Outcome Indicators</b>			
<b>Outcome 3: Strengthened research capacity of next generation of African leaders</b>			
O2.1.	Number of research outputs developed by the fellows	Research outputs include published papers, supplements, book, book chapters, policy briefs, fact sheets etc. by fellows.	Hyperlink/DOI/ISBN/P MID/PMCID
O2.2.	Number of grant proposals submitted by the fellows	These are proposals that have been developed by fellows and submitted for funding.	Proposal developed
O2.3.	Innovations developed by fellows	Any new invention based on or informed by APHRC fellows research; including and not limited to curriculums tools etc.	Innovation documentation
O2.4.	Career progression of the RCS fellowships alumni	Evaluation of the career progress of fellows after completion of their fellowships. This include promotion at work as a result of fellowship etc. Disaggregate by RCS program.	Career Tracker
O2.5.	Institutionalization of doctoral strengthening programs and courses	Adoption of the RCS division innovation on doctoral studies by partner institution.	MOUs/Agreements

			Availability of funds to host the capacity building activities.
<b>Output Indicators</b>			
O2.6.	Number of partnerships with universities and research institutions	These are partner institutions working in collaboration with RCS division to develop and nurture the next generation of African research leaders. Disaggregation by type of institution and region (African and non-African). This includes both ongoing and any new partnerships.	MOUs/ agreements with the institutions
O2.7.	Number of fellows who have completed their fellowships	Fellows in the various programs who have completed their fellowships. Disaggregation by sex, type of fellowship and program.	Graduation certification/final report
O2.8.	Number of undergraduate African fellows graduated	Young African fellows graduated in their undergraduate training.	Graduation certification/final report
O2.9.	Number of interns under RCS who have completed internships	These are Post-grad interns under RCS programs coming from partner universities who have completed their internship.	Final internship reports
O2.10.	Number of visiting scholars and senior faculty completed their visits and program during this reporting period	These includes faculty from partner universities who are senior faculty and/or visiting scholars from a partner institution who have completed the visit/program. These includes senior faculty visits and visiting scholars	Visiting scholar reports.
O2.11.	Number of fellows and faculty and administrative staff from partner universities attended capacity strengthening activities and events supported by APHRC	Fellows in the different programs who were supported by APHRC to attend capacity building activities e.g. trainings, workshops, short courses and conferences. Faculty include the teaching staff while the administrative staff include the non-teaching staff working at the university trained from the event.	Participants lists/ Activity reports
O2.12.	Number of APHRC staff and external participants attended capacity strengthening activities organized by APHRC	These includes trainings such as scientific writing workshops and short courses, organized by APHRC for APHRC staff.	Participants lists/ Activity reports
<b>Process Indicators</b>			
O2.13.	Number of fellows enrolled in various fellowship programs during the reporting period	Existing and new fellows enrolled in the various fellowships programs during this reporting period, to support young African scholars. Disaggregation by sex, type of fellowship (pre- doc. Doc or post doc) and program. This includes both new and ongoing fellows.	Enrollment/admission letter
			Participants willingness to enroll for the training activities.
			Conducive environment that supports adoption and implementation of the innovation.
			Willingness of institutions to partner with APHRC.
			Availability of funds to support the fellows
			Sustained partnerships with universities
			Availability of funds to host the capacity building activities.
			Participants willingness to enroll for the training activities

O2.14.	Number of undergraduate African fellows from partner institutions enrolled	Young African fellows from partner institutions supported in their undergraduate training to cultivate their interest in research careers.	Enrollment/admission letter	
O2.15.	Number of interns under RCS programs enrolled to gain knowledge and experience	These are interns under RCS programs enrolled to gain knowledge and experience. This could either be post Docs or post- graduates. Disaggregation by Nationality; program, and level of studies	Letter of internship offer	
O2.16.	Number of visiting scholars and faculty exchange enrolled during this reporting period	These includes enrolled faculty from partner universities who are senior faculty and/or visiting scholars from a partner. These includes senior faculty visits and visiting scholars	Letter of offer and Senior faculty exchange reports	
O2.17.	Number capacity strengthening activities and events held for fellows and faculty and administrative staff from the partner universities supported by APHRC	These are capacity building events such as trainings, workshops, short courses, seminars and/or conferences held for fellows, faculty and administrative staff and supported by APHRC.	Training reports/ Participants list	
O2.18.	Number of capacity strengthening activities organized by APHRC for APHRC staff and external participants	These includes trainings such as scientific writing workshops and short courses organized by APHRC for APHRC staff and external participants who are not APHRC staff.	Activity reports, Photos of the event	

**Objective 3: Engage with decision-makers using evidence to drive optimal development and implementation of policies that will have a transformative impact on lives in Africa.**

The following indicators in Table 4 are targeted towards the units as they seek to engage with decision-makers using evidence to drive optimal development and implementation of policies that will have a transformative impact on lives in Africa.

Table 4: Logical Framework for Strategic Objective 3

Indicators	Definition of terms and Metrics	Means of verification	Assumptions for the objective
<b>Outcome Indicators</b>			High quality and relevant research.
<b>Outcome 4: Increased collaborations with thought influencers and agents of change to transform lives in Africa</b>			
O3.1 Number of references/ citations, quotations and mentions	These includes mentions, reference and quotations made on the APHRC areas of work.	Citation documentation/ hyperlinks	Expression of interest by policy makers in the center’s work.
O3.2 Collaborations with various though leaders to develop policy and programs	This involves APHRC collaboration with agents of change in line with the evidence-to-change model towards development of policies and documents	Collaboration documentation	Visibility of center’s work.
<b>Output Indicators</b>			Advocacy grants awarded to the center.  Social media sites are active.
O3.3 Number of engagement events attended by APHRC	Policy engagement forums with policy and decision makers that APHRC has participated in. This includes consultative meetings with policy makers, policy cafes, conferences and/or forums where the Center has participated as presenters, session chairs, discussants, key note speakers, attendees etc.	Engagement reports/ attendance lists	
O3.4 Media hits and analytics	Social media analytics that’s engagements such as reach, mentions, comments and likes of the centers work on the various social media platforms. Disaggregate by social media platforms.	Social media analytics/tracker	
O3.5 Number of policy briefs developed	Policy brief is a concise summary of a particular issue, the policy options to deal with it, and some recommendations on the best option aimed at policymakers, policy influencers and decision makers. Disaggregation by units.	Hyperlink/DOI/ISB N/PMID/PMCID	
O3.6 Number of fact sheets developed	A fact sheet is a short, printed document with information about a particular subject. Disaggregation by units.	Hyperlink/DOI/ISB N/PMID/PMCID	

O3.7	Number of research products disseminated to decision makers and agents of change	Number of policy briefs and fact sheets disseminated to policy and decision makers.	Pictures of events/ dissemination report/attendance list	
<b>Processes Indicators</b>				
O3.8	Number of advocacy and policy engagement projects conducted	These are projects geared towards policy engagements and advocacy that seeks to nurture champions in and out of governments. These includes both new and ongoing projects.	Signed agreements	
O3.9	Number of social media campaigns conducted	This includes any campaign conducted on the APHRC Facebook, Twitter, LinkedIn, YouTube or on APRHC website (aphrc.org)	Social media Analytics	
O3.10	Number of capacity strengthening activities on policy engagements organized by APHRC for APHRC staff and external participants	These includes trainings on matters policy and engagements as well as developing policy briefs and sheets organized by PEC. This does not include trainings organized through the trainings programs in RCS. Disaggregate by topic area and type of participants.	Attendance lists/ training report	

**Objective 4: Create operational efficiencies in systems and processes for maximum programmatic impact.**

The following indicators in Table 5 are targeted towards the units in the Operations division as they seek to create efficiencies in all its systems and processes. The units include Finance, Human Resource, Development, Facilities and Administration, Internal Audit and Information Technology units.

Table 5: Logical Framework for Strategic Objective 4

Indicators	Definition of terms and Metrics	Means of verification	Assumptions for the objective
<b>Outcome Indicators</b>			Willingness to embrace operation efficiencies.  Funds are available for use.  Low attrition rate.  Requests made.  Legal requirements  Availability of funds  Systems are stable and does not crash  Data available for the reporting  Staff aware of the requirement to submit grant calls for the go no-go analysis.  Relevant grant calls available.
<b>Outcome 5: Increased operational efficiencies in systems and processes</b>			
O 4.1 New ways of doing business/ best practices	Ways of doing business within APHRC that make operational procedures and processes effective and efficient.	best practices documentation	
<b>Output Indicators</b>			
O 4.2 Annual expenditure by the Center	This is the amount in United States dollars spent by the Center either through the programs, unrestricted funds etc. percentage of approved budget utilized by programs.	ERP	
O 4.3 Overall Burn rate	Rate at which funds are being utilized in projects to implement its activities	ERP	
O 4.4 Turnover rate	Rate at which employees have left the Center. Disaggregate by the type of turnover rate i.e. voluntary and involuntary turnover rates.  <u>Numerator</u> Employees who have left APHRC voluntarily or involuntarily  <u>Denominator</u> Average number of employees (mid-year and end of year average)	HR database	
O 4.5 Average Staff satisfaction and engagement score	This is the rate of staff satisfaction that is determined from the staff satisfaction survey that is conducted every 3 years.	Staff Satisfaction Survey Report	
O 4.6 Number of follow ups conducted on the implementation status of the audit reports	These are the follow ups on the units, conducted on the implementation status of the recommendations from the audit reports.	Implementation status report	

O 4.7	Number of follow ups conducted on the implementation status on risks	These are the follow ups on the units, conducted on the implementation status of the risk mitigation measures.	Implementation status report
O 4.8	System uptime	A metric that represents the percentage of time that hardware, an IT system or device is successfully operational.	
O 4.9	Data completeness rate in the SMT quarterly Unit reports submitted	This is the rate of completeness of data reported in the SMT Quarterly Unit reports developed and submitted.	Copy of reports, completeness checklist
O 4.10	Proportion of grant proposals that gone through the go-no go process	Grants calls that have gone through the go-no go process before being developed into grant proposals  <u>Numerator</u> Number of grant proposals that have gone through the go-no go process.  <u>Denominator</u> Number of grant proposals developed	Go-no go synopses
<b>Input Indicators</b>			
O 4.11	Annual Income by the Center	These is the money received from various donors i.e. from bilateral, Multilaterals, Individuals, Foundations and NGOs.	ERP
O 4.12	Number of regular employees by the end of the reporting year	These are the regular staff at the center by the end of the reporting year. Disaggregation of sex, cadre, nationality and units.	HR database
O 4.13	Number of new regular employees hired as by the end of the reporting period	New employees hired as APHRC regular staff by the end of the reporting period. Disaggregation of sex, cadre, nationality and units.	HR database
O 4.14	Number of Interns	Trainee or student working to gain experience offered by the center. This does not include the post-graduate interns from RCS. Disaggregation of sex and units.	HR database
O 4.15	Number of internal audits conducted	Audits conducted within the center by the audit unit	Copy of the audit reports
O 4.16	Number of risk register reviews conducted	These are the reviews of the risk registers submitted by units. The risk registers are reviewed every quarter.	Risk assessment reports

### 2.3.M&E implementation plan

The institutional M&E culture proposed by this document speaks to a simple model of data flow. Data flow alludes to everything that happens to information from collection to use. This document follows the 5-step data flow:

*Data Sources → Collection/Collation → Analysis → Reporting → Use*

The information presented in the M&E implementation plan as seen in Appendix 1: describes who collects data and from where, the frequency at which data is collected and aggregated, who will analyze and how the data will be used. It also gives the baseline data as well as annual targets for each indicator from 2019 to 2021, when the strategic plan comes to an end. Unit- specific targets for each of the indicators are listed and can be accessed in the targets tracking document. The data intended to be captured have multiple uses according to the various stakeholder needs as seen in Table 1. The intended use is principally aligned towards informing decisions and determining impact. The data gathered and aggregated will be shared in form of detailed reports on request, by the institutional M&E officer, in the spirit of continuous improvement.

### 2.4.Institutional M&E costed work plan

The institutional M&E costed work plan in Appendix 3: details the specific activities that shall be conducted over the next three years till completion of the strategic plan. Its activities are summarized into four major activities: Planning and institutionalization of M&E, performance review and reporting, communication tools, assessments and Monitoring and Evaluation of the M&E Annual Work plans. The plan also gives an estimated cost of the conducting monitoring of the indicators. Important to note, the costing are estimates that may change over the years due to fluctuations, matters arising and/or other external factors. However, as rule of thumb 5% to 10% of a project budget should be allocated for M&E. Much more detailed annual work plans shall be developed each year stating activities for every quarter.

## 2.5.Roles and Responsibilities

This document outlines an M&E team that works hand in hand with other staff at the center to conduct periodic reviews and necessary data aggregations and analysis for each unit/program and the institution as a whole. The roles of M&E officers will borrow extensively from the skill set displayed by data analysts as the analysis of said data will be done by the same M&E staff. Support shall be provided by the program administrative assistants, development officers, program managers, finance officers, HR officers, IT officers and internal auditor, as they are required to gather project oriented data specifically in line with the logical framework indicators.

The following are the roles and responsibilities assigned that will ensure an efficient and effective running of the monitoring process. The various officers will avail data and analysis, as highlighted in the implementation plan in Appendix 1:

### a) M&E Unit/Team

The M&E team shall act as a coordination entity to ensure a unified M&E approach in the institutional and project tracking of indicators. The team shall consist of all M&E officers in the various divisions and projects. It shall:

- Establish and maintain the various information systems and databases.
- Develop guidelines on M&E data collection, analysis and reporting.
- Conduct data quality assessments, internal evaluations and surveys.
- Coordinate external evaluations.
- Organize M&E meetings periodically.
- Provide training for staff on monitoring and evaluation.

### b) M&E officer

The M&E Officer is the M&E database manager and overall coordinator of the M&E function in their units or projects. He/she shall:

- Collate and analyze data.
- Manage and update the institutional M&E database.

- Develop regular and on-demand M&E reports.
- Development of communications tools for information sharing e.g. presentations, newsletters etc.
- Organize and take part in data quality assessments, internal evaluations and surveys.
- Coordinate external evaluations.

c) Communication Officers/Program Administrative Assistants/Development Officers/Program Managers/Finance Officers/HR Officers/IT Officers/ Internal Auditors

The following are the roles and responsibilities that will ensure an efficient and effective running of the monitoring process. The various officers will avail data and analysis as highlighted in the implementation plan in Appendix 1:. In addition, they shall:

- Adopt and use the data collection tools and reporting mechanisms.
- Provide data on a timely manner.
- Provide data that is clean and complete.

## CHAPTER 3

### OPERATIONALIZATION OF THE M&E PLAN

#### 3.1. Overview of the Operationalization of M&E

This chapter looks at the process that shall be undertaken to institutionalize and operationalize the monitoring and tracking processes. It looks at the process of establishing a unified architecture that will ensure a common information system and data sharing platform. The chapter also outlines the data collection and data management plan, progress review reporting and finally the dissemination plan.

#### 3.2. Establishment of a Common Information System and Data Sharing Platform

A common information system is important in ensuring a coordinated and unified way of information gathering, management, sharing and presentation. This architecture shall link and bring together data from different sources for ease of analysis, reporting and information use for informed decision making. The proposed information system, will be able to summarize the performance of the Center as per the four strategic objectives; thus having a clear visualization of the progress of the Center in implementing activities towards the achievement of the set goals in the strategic plan. The M&E implementation plan gives the baseline data and targets from 2019 to 2021 for the core indicators and this shall act as a roadmap in the analysis and visualization processes.

A harmonized and aligned information system shall ensure efficiency and seek to avail data and information in real-time. As illustrated in Figure 2 **Error! Reference source not found.**, the proposed unified information system shall ensure that there is a:

- Centralized database for data on the strategic plan performance for institutional memory.
- Clear mechanism and procedures for analysis and reporting.
- Data visualization and dashboards.

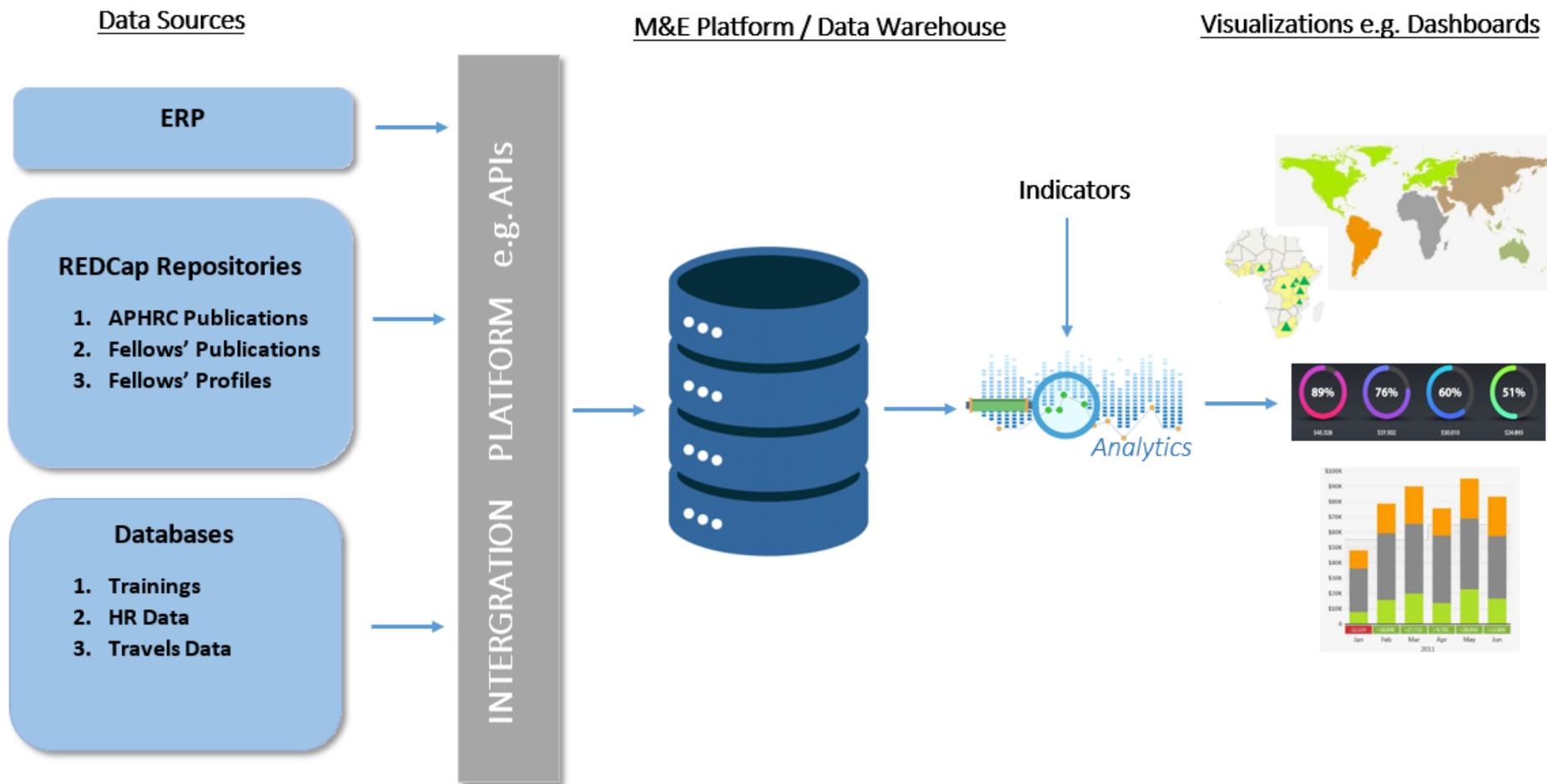


Figure 2: Illustration of the proposed common data architecture

### 3.3.Data Collection Plan

The center piece of the institutional M&E framework identifies the tools and methods to be used in collecting data on the indicators and properly identifies the sources of such data and the frequency of data collection in the M&E implementation plan. This framework provides that the M&E data

be collected quarterly or annually depending on the type of indicator. This document recommends various methods of data collection as outlined in Appendix 2::

1. Excel project update sheets
2. Proposal Tracker
3. REDCap publication form
4. Go-No Go Tool
5. Human Resources Tool
6. Engagements Data Tool
7. Research Capacity Strengthening Data Tool
8. Burn Rate tool

The tools include structured questionnaires and computer software such as REDCap a web application for data capture and ERP, an enterprise resource planning system. Other tools will be developed where need for surveys and assessments shall arise.

### 3.4.Data Management

Data management includes data collation, cleaning and validation and storage that ensures the highest possible quality of data.

- i. **Data collation** – Once data collection has been done, collation shall be conducted that involves bringing together data and presenting it in a manageable form to enable easy interpretation and analysis. This will mostly involve summarizing and tabulating the data collected, in readiness for analysis.
- ii. **Data cleaning and validation** - This involves checking the reported data for empty records, missing variables, duplicates, inconsistencies and incompleteness. The collection of high quality data starts at the source of information. Thus, validation checks should be enforced at the point of data entry such as defining data types, mandatory fields and checking valid data formats among

others. Persons responsible for data collection are responsible for its quality. The M&E officer shall be responsible for the final data cleaning and validation.

- iii. **Data analysis** – This shall be undertaken by the M&E Officer who forwards regular and on-demand reports. For quantitative data collected, the officer should create various pivot tables as per the indicator level of disaggregation, distributions, charts and mapping for visualizations as well as conducting trends analysis. For qualitative data, thematic areas shall be identified and analyzed into word clouds and/or analyzed quantitatively to determine distributions on the various themes identified. For impact indicators, a much more in- depth analysis will be conducted during the impact evaluations after the strategic plan has been implemented to completion.
- iv. **Data storage** – This shall be important in ensuring institutional memory. The proposed M&E data warehousing as illustrated in Figure 2 will seek to conduct this repository function.

### 3.5. Progress Review Reporting

The progress review shall consist of both quarterly and annual reporting and shall be developed across all the divisions. The timelines of the progress review of each of the indicators is highlighted in the implementation plan in Appendix 1::

- a) **Quarterly SMT Reports** -These reports shall be developed by all units to report on the performance of the activities of the projects in the various units. These shall then be presented during the SMT (Senior Management Team) meetings that are held every quarter.
- b) **Annual Divisional Report** – These are reports developed by each division highlighting the performance of their units. It also reports on the challenges experienced, recommendations and best practices. It also sets priorities for the following reporting year.
- c) **Quarterly Strategic Plan Performance Review Report** - The report also be developed highlighting the performance of the center in line with the set strategic objectives and will also be presented during the SMT quarterly meetings.

- d) Annual Strategic Plan Performance Review Report – The report highlights the performance of the center in line with the set strategic objectives and compares the performance to the set targets and the achievements from previous years. Lessons learnt and recommendations shall be derived from this report.

### 3.6. Dissemination plan

Dissemination of information generated from the M&E system is a key component of the monitoring and evaluation. The information generated is useful in promoting the culture of learning and use of evidence in decision making. The information shall be useful for both internal and external stakeholders. Internally, dissemination shall be for organizational learning, strategic planning and evidence-informed decision-making. On the programmatic level, the information shall be useful in program learning and sharing of best practices. Externally, the dissemination will ensure donor accountability, compliance with legal and regulatory requirements as well as build stakeholder understanding and support. This will be especially useful as the Center strives to strengthen partnerships and collaborations towards transforming lives in Africa through research.

The main outputs of the information generated from the system will be performance review reports that will be shared quarterly, bi-annually or annually. Communication tools such as newsletters shall also be disseminated to both external and internal stakeholders. Furthermore, the proposed M&E platform shall develop dashboards that will give at-a-glance view of the Center's Key Performance Indicators (KPIs). The M&E platform shall be accessible to the executive leadership team, senior management, heads of divisions, units and the project teams. The channels for dissemination will also include but not be limited to publication of evaluation reports and annual reports on the APHRC website and portal, dissemination to staff through staff emails as well as in forums for presentations such as Brownbag presentations, staff meetings, management meetings or board meetings. Other forums that will focus on external stakeholders may include partner briefing meetings, conferences as well as countries' Health forums and summits.

## APPENDICES

### Appendix 1: M&E Implementation Plan

The baseline data was derived from the annual divisional reports 2018, board report 2018, the institutional proposal tracker, project websites and the strategic plan performance review report 2018 and finance report 2018. The targets are aggregated figures for the whole institution. Unit- specific targets for each of the indicators can be accessed in a separate targets tracking document.

**Objective 1: Generate scientific knowledge aligned to local and global development agendas on population health and wellbeing**

Indicators	Unit of Measure	Center Baseline (2018)	Targets			Disaggregate by:	Timelines/ Frequency of reporting	Reporting Divisions (Divisions that shall be reporting on the indicator)	Persons Responsible (who will collect data)	Analysis (who will analyze the data)	Data source	Data use (how will the data be used)	
			2019	2020	2021								
<b>Outcome Indicators</b>													
<b>Outcome 1: Increased Scientific Knowledge on population health and Wellbeing</b>													
01.1.	Number of publications published during this reporting year	Number	67				By type of publication, units.	Quarterly	Research RCS PEC	Unit heads	M&E officer	REDCap repository	dissemination
<b>Outcome 2: Enhanced use of evidence to inform policies and programs aligned to local and global development agendas</b>													
01.2.	Number of innovation developed	Number	6				None	Annually	Research RCS PEC	Program Managers	M&E officer	Project reports	Learning
01.3.	Number of policy or programs documents informed by evidence from APHRC	Number	2				None	Annually	Research RCS PEC	Unit Head	M&E officer	Project reports	Dissemination learning

01.4.	Number of organizations and individuals that used data from the APHRC micro data portal	Number					None	Annually	Research	Micro data portal manager	Micro data portal manager	Microdata portal	Planning learning
<b>Output Indicators</b>													
01.5.	Proportion of projects that tackled signature issues	%	56%				Units	Quarterly	Research	Development officer	M&E officer	ERP	Learning Planning Decision making
01.6.	Proportion of projects that tackled synergy issues	%	31%				Units	Quarterly	Research	Development officer	M&E officer	ERP	Learning Planning
01.7.	Proportion of projects that tackle both synergy and signature issues	%	13%				Units	Quarterly	Research	Development officer	M&E officer	ERP	Learning Planning
01.8.	Proportion of projects that are multi-year	%	68%				Units By duration term	Quarterly	Research	Development officer	M&E officer	ERP	Learning Planning
01.9.	Proportion of projects that are prime awards grants	%	50%				Units By type of grant award prime or sub-award	Quarterly	Research	Development officer	M&E officer	ERP	Learning Planning
01.10.	Monetary value of projects in United States Dollars	USD	59.5 million				Units By type of grant award prime or sub-award	Quarterly	Research	Development officer	M&E officer	ERP	Learning Planning
01.11.	Number of grant proposals	Number	105				Units	Quarterly	Research RCS	Development officer	M&E officer	Proposal Tracker	Learning Planning

	application submitted						By approved, rejected, feedback pending		PEC Operations				
O1.12.	Grant proposals success rate	%	70%				Units	Quarterly	Research RCS PEC Operations	Development officer	M&E officer	Proposal Tracker	Learning Planning
O1.13.	Proportion of projects implementing its activities across Africa.	%	41%				Units, regions (Kenya only, Rest of Africa).	Quarterly	Research	Development officer	M&E officer	ERP	Learning Planning
O1.14.	Number of technical reports developed	Number	6				Units	Quarterly	Research RCS PEC	Project managers	M&E officer	REDCap repository	dissemination
<b>Process Indicators</b>													
O1.15.	Number of projects conducted during the reporting year	Number	78				Units  By new, ongoing and closed	Quarterly	Research RCS PEC	Development officer	M&E officer	ERP	Planning

**Objective 2: Develop and nurture the next generation of African research leaders.**

Indicators	Unit of Measure	Center Baseline (2018)	Targets			Disaggregate by:	Timelines/ Frequency of reporting	Reporting Divisions (Divisions that shall be reporting on the indicator)	Persons Responsible (who will collect data)	Analysis (who will analyze the data)	Data source	Data use (how will the data be used)	
			2019	2020	2021								
<b>Outcome Indicators</b>													
<b>Outcome 3: Strengthened research capacity of next generation of African leaders</b>													
O2.1.	Number of research outputs by the fellows	Number	106				By RCS programs, Type of research outputs	Annually	RCS	M&E Officer	M&E Officer	REDCap fellows' repository	Planning Learning
O2.2.	Number of grant proposals submitted by the fellows	Number	-				By RCS programs	Annually	RCS	M&E Officer	M&E Officer	REDCap fellows' repository	Planning Learning
O2.3.	Innovations developed by fellows	Number	-				none	Annually	RCS	Program Managers	Program Managers	RCS reports	Learning
O2.4.	Career progression of the RCS fellowships alumni	Qualitative	-				Type of fellowships; By RCS programs	Annually	RCS	Program Officer/ M&E Officer	M&E Officer	Career Tracker report	Monitoring Learning
O2.5.	Institutionalization of doctoral strengthening programs and courses	Number	2				none	Annually	RCS	Program Managers	M&E Officer	RCS reports	Planning Learning
<b>Output Indicators</b>													
O2.6.	Number of partnerships with universities and research institutions	Number	20				By universities or research institution; African and region (non-	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Learning Monitoring

						African institution)						
O2.7.	Number of fellows who have completed their fellowships	Number	23			By RCS programs and type of fellowship (pre-Doc, Doc and Post doc)	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning
O2.8.	Number of undergraduate African fellows graduated	Number	0			By Nationality, institution,	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning
O2.9.	Number of interns under RCS who have completed internships	Number	11			By Nationality, institution, graduate and post-graduate	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning
O2.10.	Number of visiting scholars completed their program during this reporting period	Number	6			By institution	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning
O2.11.	Number of fellows and faculty and administrative staff from partner universities attended capacity strengthening activities and events supported by APHRC	Number	184			By Nationality	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning
O2.12.	Number of APHRC staff and external participants attended capacity strengthening activities organized by APHRC	Number	135			By institution	Annually	RCS	M&E Officer	M&E Officer	RCS trainings reports	Planning Learning

**Process Indicators**

O2.13.	Number of fellows enrolled in the various fellowship programs during the reporting period	Number	420				By program, type of fellowship (Pre- doc, Doc and Post doc)	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning Resource mobilization
O2.14.	Number of undergraduate African fellows from partner institutions enrolled	Number	0				Nationality	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning Resource mobilization
O2.15.	Number of interns under RCS programs enrolled to gain knowledge and experience	Number	11				Nationality; program, and level of studies	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning Resource mobilization
O2.16.	Number of visiting scholars during this reporting period	Number	6				Nationality; program	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning Resource mobilization
O2.17.	Number capacity strengthening activities and events held for fellows and faculty and administrative staff from the partner universities supported by APHRC	Number	9				Program, Event	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning
O2.18.	Number of capacity strengthening activities organized by APHRC for APHRC staff and external participants	Number	7				Type of event, location of the event	Annually	RCS	M&E Officer	M&E Officer	RCS reports	Planning Learning

**Objective 3: Engage with decision-makers using evidence to drive optimal development and implementation of policies that will have a transformative impact on lives in Africa.**

Indicators	Unit of Measure	Center Baseline (2018)	Targets			Disaggregate by:	Timelines/ Frequency of reporting	Reporting Divisions (Divisions that shall be reporting on the indicator)	Persons Responsible (who will collect data)	Analysis (who will analyze the data)	Data source	Data use (how will the data be used)	
			2019	2020	2021								
<b>Outcome Indicators</b>													
<b>Outcome 4: Increased collaborations with thought influencers and agents of change to transform lives in Africa</b>													
O3.1	Number of references/citations, quotations and mentions	Number	-				None	Annually	PEC	Communication officer	Communication officer	PEC reports	Learning
O3.2	Collaborations with various thought leaders to develop policy and programs	Number	10				None	Annual	PEC	Communication officer	Communication officer	PEC reports	Learning
<b>Output Indicators</b>													
O3.3	Number of engagement events attended by APHRC	Number	10				By units, Level of actors (Regional, national and international)	Annually	PEC RCS Operations Research	Communication officer	Communication officer	PEC reports	Planning
O3.4	Media hits and analytics	-	(Available on the tracking tool)				By social media platforms	Quarterly	PEC	Communication officer	Communication officer	PEC reports	Planning Learning

O3.5	Number of policy briefs developed	Number	8				Units	Quarterly	Research, RCS, PEC	Communications officer	M&E officer	REDCap repository	dissemination
O3.6	Number of fact sheets developed	Number	3				Units	Quarterly	Research, RCS, PEC	Communications officer	M&E officer	REDCap repository	dissemination
O3.7	Number of research products disseminated to decision makers and agents of change	Number					None	Annually	PEC Research RCS	Program administrative assistant	Program administrative assistant	PEC reports	Planning Learning
<b>Processes Indicators</b>													
O3.8	Number of advocacy and policy engagement projects conducted	Number	4				None	Quarterly	PEC	Development officer	Communication officer	ERP	Planning
O3.9	Number of social media campaigns conducted	Number/Qualitative	12				By social media site	Annually	PEC	Communication officer	Communication officer	PEC reports	Planning Tracking
O3.10	Number of capacity strengthening activities on policy engagements organized by APHRC for APHRC staff and external participants	Number	5				None	Annually	PEC	Program administrative assistant	Program administrative assistant	PEC reports	Planning Learning

**Objective 4: Create operational efficiencies in systems and processes for maximum programmatic impact.**

Indicators	Unit of Measure	Center Baseline (2018)	Targets			Disaggregate by:	Timelines/ Frequency of reporting	Reporting Divisions (Divisions that shall be reporting on the indicator)	Persons Responsible (who will collect data)	Analysis (who will analyze the data)	Data Sources	Data use (how will the data be used)	
			2019	2020	2021								
<b>Outcome Indicators</b>													
<b>Outcome 5: Increased operational efficiencies in systems and processes</b>													
O 4.1	New ways of doing business/ best practices	(qualitative)	8				None	Annually	Operations	Unit head	Unit head	Outcome evaluation report	Planning Learning
<b>Output Indicators</b>													
O 4.2	Annual expenditure by the center	USD	15.2 million				Division	Annually	Operations	Finance Manager	Finance Manager	Finance report	Planning Learning
O 4.3	Overall Burn rate	%	75%				By units, project	Annually	Operations	Development officer	Finance officer	Finance report	Planning Learning
O 4.4	Turnover rate	%	11%				By type of turnover rate	Annually	Operations	M&E officer	M&E officer	HR reports	Planning Learning
O 4.5	Average Staff satisfaction and engagement score	%	70%				None	Every 3 years	Operations	HR officer	HR officer	HR reports	Learning
O 4.6	Number of follow ups conducted on the implementation status from the audit reports	Number	3	4	4	4	None	Annually	Operations	Internal auditor	Internal auditor	Audit reports	Monitoring
O 4.7	Number of follow ups conducted on the	Number	1	4	4	4	None	Annually	Operations	Internal auditor	Internal auditor	Audit reports	Monitoring

	implementation status on risks												
O 4.8	System uptime	%	99%				None	Annually	Operations	IT officer	Unit head	IT report	Planning Learning
O 4.9	Data completeness rate in the SMT Quarterly Unit reports submitted	%	N/A				By unit	Quarterly	Operations	M&E officer	M&E officer	Development unit reports	Planning Learning
O 4.10	Proportion of grant proposals that gone through the go-no go process	%	N/A				Units	Quarterly	Operations	Development officer	M&E officer	Development unit reports	Learning Planning
<b>Input Indicators</b>													
O 4.11	Annual Income by the Center	USD	16.4 million				None	Annually	Operations	Finance Manager	Finance Manager	Finance report	Planning Tracking
O 4.12	Number of regular employees by the end of the reporting year	Number	144				cadre nationality sex Unit	Annually	Operations	HR officer	HR officer	HR report	Planning Tracking
O 4.13	Number of new regular employees hired as by the end of the reporting period	Number	24				cadre sex	Annually	Operations	HR officer	HR officer	HR report	Planning Tracking
O 4.14	Number of Interns	Number	13				sex Unit	Annually	Operations	HR officer	HR officer	HR report	Planning Tracking
O 4.15	Number of internal audits conducted	Number	6				None	Annually	Operations	Internal Auditor	Internal Auditor	Audit reports	Planning Tracking

O 4.16	Number of risk register reviews conducted	Number	1	4	4	4	None	Annually	Operations	Internal Auditor	Internal Auditor	Audit reports	Planning Tracking
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## Appendix 2: Data Collection Tools

This appendix includes the following data collection tools:

- |                                |  |
|--------------------------------|--|
| I. Excel project update sheets | V. Human Resources Tool                        |
| II. Proposal Tracker           | VI. Engagement Data Tool                       |
| III. REDCap publication form   | VII. Research Capacity Strengthening Data Tool |
| IV. Go-No Go Tool              | VIII. Burn Rate tool                           |

### I. Excel project update sheets



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#### Excel Projects Update Sheets

Units	Grants	Profile	Start Date	End Date	Status	Main Donor	Country Presence	Towns/Cities	Grant Amount (USD)	Profile	Signature vs Synergy Issues	synergy unit	Type of partnership	partners
<i>(unit where the project is housed)</i>	<i>(Name of the grant)</i>	<i>(Short brief of what the project is about)</i>	<i>(when the project commenced)</i>	<i>(when the project shall close)</i>	<i>(New, Ongoing, Closed in this quarter)</i>	<i>(list of donors)</i>	<i>(Countries where the project is implementing activities)</i>	<i>(specific locations of the project)</i>	<i>(total budget of the grant)</i>	<i>(Short brief of what the project is about)</i>	<i>(the project tackles both synergy, signature or both)</i>	<i>(where the project is synergy what unit they are tackling the synergy issue with)</i>	<i>(The project is either Prime Award, Sub-Award, Prime with a sub-Award, Sub-Award with a sub-award)</i>	<i>(List of partners)</i>

Kindly attach the grants partnerships agreements (ERP), as a means of verification

## II. Proposal Tracker Data Tool



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### Proposal Tracker Data Tool

Proposal Title	Funder	Submission date <i>(date when the proposal as submitted)</i>	Project period	Project budget	Partners	Feedback from funder <i>(approved, unsuccessful, waiting feedback)</i>	Date of feedback <i>(when the feedback has been given)</i>

Kindly attach the proposal tracker report as a means of verification.

### III. REDCap publication form

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## Research Outputs

Please complete the form below on the various research outputs developed/published between November 2018 and February 2019.

Thank you!

Reporting period \_\_\_\_\_

Unit  MCW  
 PDRH  
 EYE  
 HSH  
 DME  
 AAD  
 UWB  
 Partnerships with Universities  
 Fellowships and Internships  
 Training Programs  
 RHERCS  
 Visibility Unit  
 Advocacy Unit  
 Synergy Unit  
 PEC

Name of lead author \_\_\_\_\_  
(name of the 1st author)

Name(s) of other collaborating authors \_\_\_\_\_  
(other authors)

Title \_\_\_\_\_

Research Output  Published paper  
 Book  
 Book chapter  
 Technical Report  
 Supplement  
 Policy Brief  
 Fact Sheet

Name of Publisher \_\_\_\_\_

Year of Publication \_\_\_\_\_

Publishing journal \_\_\_\_\_  
(Name of the publishing journal)

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Book Title \_\_\_\_\_

ISBN \_\_\_\_\_

Grant/Project Name \_\_\_\_\_  
(project name in full)

Book Chapter Number \_\_\_\_\_

Journal Volume \_\_\_\_\_

Supplement Number \_\_\_\_\_

Journal Issue \_\_\_\_\_

Journal Page \_\_\_\_\_

Link Available to the Document  DOI  
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Link Available to the Supplement  DOI  
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PMCID \_\_\_\_\_

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#### IV. Go - No Go Data Tool



**African Population and  
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Transforming lives in Africa through research.

##### Go - No Go Data Tool

###### A. Quarterly Reporting of the go-no go processes

Indicators	Number
Number of proposals submitted	
Number of proposals submitted that have gone through the go-no go process	
Number of proposals approved by the go-no go process	
Number of proposals rejected by the go-no go process	

*Kindly attach all the Go-no go synopses, as a means of verification*

## V. Human Resources Tool



**African Population and  
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### Human Resources Data Tool

Indicators	Total	Research		RCS		PEC		Operations		Nationalities (Distribution)
		M	F	M	F	M	F	M	F	
Number of regular employees by the end of the year										
Number of employees who have left APHRC e.g. through resignation, termination, laying off etc.										
Turnover rate										

*\*\*M - Male, F - Female*

#### By cadre:

Cadre	Research	RCS	PEC	Operations	Total
Post Docs					
Research Scientists					
Associate Research Scientists					
Research Officers					
Data Analysts					
Program Assistants					
Research Officers					
M&E Officers					
HR officers					
Finance officers					
Development officers					
IT officers					
Procurement officers					
Interns					
Interns under RCS program					
Visiting Scholars					
Others ( <i>specify</i> )					
<b>Total</b>					

## VI. Engagements Data Tool



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### Policy Engagement Data Tool

This tool gives a summary of the performance of the division biannually, guided by the strategic plan 2017-2021 as well as performance from the units' work plans.

#### A. Engagement events attended by APHRC to develop policies

Units	Type of engagement <i>(Consultative meetings with policy makers, conferences, forums, policy cafes, dissemination workshops)</i>	Brief comment on the engagement	Country	Title of presentation made <i>(where applicable)</i>	Role of presenter <i>(Key note speaker, presenter, discussant, chair, etc.)</i>	Organizations/ institutions present	Key people present with whom contact was made
1.							
2.							
3.							

**Annex:** Kindly attach the travel requests excel database, as a means of verification.

#### B. Policy briefs, fact sheets and other material disseminated to policy makers.

Kindly attach the dissemination workshop reports/attendance list, as a means of verification.

	Unit <i>(Units the research was conducted)</i>	Type of research outputs disseminated <i>(policy briefs/ fact sheet/ other material)</i>	Title of policy briefs/fact sheet/other material disseminated
1.			
2.			
3.			

**C. Media**

	Interviews, newspapers, newsletters, magazines, social media <i>(E.g. Twitter, Facebook, YouTube etc.)</i>	Analytics <i>(Number of views, shares, bounce rate, mentions, comments and likes etc.)</i>	Campaign conducted <i>(Brief of what the campaign was about)</i>
1.			
2.			
3.			

*Kindly attach the social media analytics as a means of verification*

**D. Capacity Strengthening Events on policy and policy engagements on both APHRC staff and external participants**

Number and type of capacity building activities held to support staff and external participants on policy engagements. *Kindly attach attendance sheets or training report as a means of verification.*

	Type of capacity building activity	Number of participants		Purpose of the event	Project link to (e.g. WASH)	Venue/country
		Male	Female			
1.						
2.						
3.						

## VII. Research Capacity Strengthening Data Tool



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### Research Capacity Strengthening Reporting Tool

Reporting Period: \_\_\_\_\_

This tool gives a summary of the performance of the division biannually, guided by the strategic plan 2017-2021 as well as performance from the programs' work plans.

#### A. Partnerships with Universities and Research Institutions

Number of new partnerships formed during this reporting year with universities and research institutions. Attach the signed MoUs for completed new engagements, as a means of verification [MOV]

	Name of partner institution	Status <i>(Completed new engagements, Ongoing new engagements)</i>	Brief comment on the type of engagement with the partner	Country Registered <i>(Where partner is registered)</i>	Type of partner institution <i>(research institution, university, national, regional and international bodies)</i>
1.					
2.					
3.					
4.					

#### B. Fellowships and Internships

##### I. Fellowships Enrollments and Completions

Number of fellows enrolled (both new and continuing) by the various programs. Attach the REDCap Tracking Worksheet, as a means of verification.

Program: XXXX													
	Newly enrolled fellows			Continuing fellows			Total (T <sub>1</sub> + T <sub>2</sub> )	Nationalities and Institution			Completed/Graduated		
	Male(M <sub>1</sub> )	Female (F <sub>1</sub> )	Total (T <sub>1</sub> )	Male(M <sub>2</sub> )	Female (F <sub>2</sub> )	Total (T <sub>2</sub> )		Nationality <i>(Country of origin)</i> <i>(e.g Kenya n=2)</i>	Host institution <i>(Where fellowship taken)</i>	Male (M <sub>3</sub> )	Female (M <sub>4</sub> )	Total (M <sub>3</sub> +M <sub>4</sub> )	
Senior Faculty Visit/visiting scholars													
Post-Doctoral Scholarship													
Research Reentry Grant													
Doctorate													

Masters												
undergraduate												
<b>Total</b>												

## II. Internships

Number of internships enrolled and completed. (Attach the final internship reports and letters of offer as MOV)

Disaggregation	Gender	Interns		Institution and Nationality	
		Enrolled (n)	Completed (n)	Institution (e.g., University of Michigan)	Nationality (e.g., USA)
Doctoral	Male				
	Female				
	<b>Total (T1)</b>				
Masters	Male				
	Female				
	<b>Total (T2)</b>				
<b>Cumulative total</b>	<b>T1+ T2</b>				

## C. Capacity Strengthening Events

### i. Capacity strengthening events held

Number of capacity strengthening events held for fellows and faculty (attach Attendance lists/activity reports as MOV for the activities)

Program	Type of capacity building activity		Number of participants		Purpose of the event (e.g., Equip fellows with Scientific Writing Skills)	Venue/Country (e.g., Dakar Hall, Senegal)
			Male (n)	Female (n)		
ADDRF	<i>(e.g., Scientific Writing)</i>					
CARTA	Fellows	<i>(e.g., JAS 1)</i>				
		<i>(e.g., JAS 2)</i>				
	Faculty	<i>(e.g., FAS)</i>				
RESEARCH	<i>(e.g., Technical Assistance Offerings [SSRC])</i>					
Any other capacity strengthening event e.g. short courses, conferences etc.						

### ii. Number of capacity strengthening activities organized by APHRC for APHRC staff and external participants (Training program)

Attach the attendance lists/activity reports for the activities as MOV

Type of Offering and Course	Number of Participants			Purpose of training	Venue/Country (e.g., APHRC, Kenya)
	APHRC Staff	External	Total (T1+ T2)		

		Male(M <sub>1</sub> )	Female(F <sub>1</sub> )	Total(T <sub>1</sub> )	Male(M <sub>2</sub> )	Female(F <sub>2</sub> )	Total(T <sub>2</sub> )			
	Course (e.g., Grant Proposal Writing)	Type of Offering (Public, Bespoke)								
1										
2										
3										
4										

#### D. Governance events

This includes meetings held by the programs such Board of Management, partners' meetings, executive directorate meetings etc. Attach *the attendance lists/activity reports, as MOV for the activities.*

Program: XXXXXX					
	Type of event	Number of participants		Purpose of the event	Venue/country
		Male	Female		
1					
2					
3					
4					
5					

#### E. Research Outputs by the Division

Kindly provide the list of publications with the DOI or hyperlink to the publications as MOV

Program: XXXXXX	
Publication Type	Number of publications
Published Papers	
Supplements	
Books	
Book Chapters	
Policy briefs	
Fact sheets	
Blogs	
<b>Total</b>	

**F. Outputs by fellows**

**i. Publications**

*Kindly provide the Redcap Tracking worksheet, list of fellows' publications with DOI/hyperlinks, as a means of verification*

<b>Program: XXXXXX</b>	
<b>Publication Type</b>	<b>Number of publications</b>
Published Papers	
Supplements	
Books	
Book Chapters	
Policy briefs	
Fact sheets	
Blogs	
<b>Total</b>	

**ii. Grants by fellows**

These are the grants proposals submitted by the fellows and grants awarded to the fellows. Kindly provide the grant proposal and contractual agreements as a means of verification.

<b>By program: XXX</b>			
<b>Grants</b>	<b>CARTA Fellows</b>	<b>ADDRF Fellows</b>	<b>Total</b>
Grants Proposals submitted			
Grants awarded			

VIII. Burn Rate tool



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Units Burn Rates

Grants	Burn Rates
EYE	
HSH	
MCW	
PDRH	
UWB	
DME	
AAD	
RCS	
PEC	
<b>Grand Totals:</b>	

*Kindly include the ERP burn rates for the projects, as a means of verification.*

## Appendix 3: Institutional M&E Costed Work Plan 2019-2021



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### Institutional M&E Costed Work Plan 2019-2021

Main Activities	Performance Indicators	Expected Outputs	Means of verification	Timeline 2019 - 2021			Estimated Cost*			Total cost*
				2019	2020	2021	2019	2020	2021	
<b>1. Planning and Institutionalization of M&amp;E</b>										
a). Develop and finalize M&E Strategic framework 2019-2021	Number of M&E framework developed	1 M&E framework	Copy of framework	x						
b). Disseminate the framework to the units	Number of M&E framework disseminated	1 M&E framework	link to website and portal	x						
c). Review of the M&E framework 2019-2021	Number of M&E framework reviews conducted	1 review	Framework Review report, copy of reviewed framework		x					
d). Develop M&E platform/ information system for data collection, sharing and reporting	Number information systems developed	1 M&E platform	HIS documentation	x	x					
e). Develop institutional M&E annual work plans	Number of AWP's developed	1 AWP's	Copies of AWP's	x	x	x				
f). Training staff on concepts of M&E	Number of trainings conducted	3 training conducted	training report, attendance list	x	x	x				
<b>2. Performance review and reporting</b>										
a). Develop and disseminate Strategic plan Performance Review Report biannually	number of institutional strategic plan quarterly reports developed	4 quarterly reports	copies of the institutional strategic plan quarterly reports	x	x	x				
b). Develop and disseminate Annual Strategic plan Performance Review Report	number of Strategic plan annual reports disseminated	1 annual report	copies of the strategic plan annual reports; email/ links	x	x	x				
c). Compile and share the quarterly SMT unit reports	number of quarterly SMT units reports shared	40 quarterly SMT units reports	copies of the SMT unit reports; email/ links	x	x	x				

d). Compile and disseminate annual SMT unit reports	number of annual SMT units reports shared	10 quarterly SMT units reports	copies of the SMT unit reports; email/ links	x	x	x				
<b>3. Assessments</b>										
a). Conduct an institutional MECAT assessment	Number of MECAT conducted	1 assessment	MECAT report	x		x				
b). Develop and share MECAT Report	Number of MECAT reports shared	1 assessment	MECAT report; link	x		x				
c). Conduct Data Quality Assessment (DQA)	Number of DQAs conducted	2 DQAs	DQA reports		x	x				
d). Develop and share DQA report	Number of DQA reports shared	2 DQA reports	DQA reports; link		x	x				
e). Conduct a joint support supervision site visits with projects and partners on M&E	number of joint supervisory on M&E conducted		supervisory report; link		x	x				
f). Develop and share joint supervisory reports	Number of joint supervisory report shared	3 supervisory report	supervisory report; link		x	x				
<b>4. Communication tools</b>										
a). Develop and share bi-annual newsletter/center profile	Number of M&E Fact sheets/center profile shared	2 fact sheets/center profile	copy of the fact sheets/center profile		x	x				
b). Prepare Strategic Plan report presentation for the quarterly SMT meetings	number of presentations prepared	4 SMT presentations	copy of presentation	x	x	x				
<b>5. Monitoring and Evaluation of the M&amp;E Annual Work plans</b>										
a). Hold M&E update meetings with the development unit	Number of monthly update meetings	12 (monthly) meetings	Development monthly unit update sheets	x	x	x				
b). Develop M&E bi- annual work plan report	Number of AWP report developed	2 M&E AWP reports	Copy of M&E plan report	x	x	x				
c). Share the M&E bi-annual work plan report	Number of AWP report developed	2 M&E AWP reports	Email thread	x	x	x				
d). Facilitate the end- term evaluation	Number of end-term evaluations conducted	1 evaluation	Evaluation report			x				
<b>GRAND TOTAL</b>										

\* Note: The work plan highlights main activities and does not delve into detailed activities, thus costing was not determined during the development of this document. Actual estimates will be determined during the development of budgets during annual planning. The costing are estimates that may change due to fluctuations, matters arising and/or other external factors.



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