

Guidance for impact-oriented project planning and monitoring

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1. Relevance

The DAAD sees itself as a learning organisation and strives to continuously improve the achievement and implementation of its programmes in dialogue with universities, donors and other partners. Its programmes, financed through funds from the German Federal Ministry for Economic Cooperation and Development (BMZ) are therefore accompanied by impact-oriented monitoring (IoM). The collection and evaluation of monitoring data enables DAAD and the universities to better understand results and impacts and to draw conclusions from them for the conception and further development of programmes, as well as for successful implementation. A continuous learning process forms the basis for an impact-oriented management with the goal of further increasing the effectiveness of the development policy action of all involved actors. In addition, the IoM supports transparency and accountability towards the donor, the public and partners at home and abroad. DAAD thus takes into account both the international discourse within the "Aid Effectiveness Agenda" and the provisions of federal budget regulation with regard to the monitoring of success in the use of public funds.

2. Function of interactions and indicators

An impact network is a central reference document for the impact-oriented planning and management of projects and programmes. Together with indicators, it forms the basis for monitoring and evaluation.

- An impact network is used to **illustrate the funding logic** of a project or programme. It highlights the links between the contributions of the various stakeholders, activities, short-term and medium-term outcomes and the medium and long-term objectives and impacts.
- **Indicators** are assigned to the activities, results and objectives described in the impact network. Based on these indicators, the implemented activities, as well as the intended **results and goals, are made measurable**.

- Impact networks and indicators form the basis for impact-oriented planning and reporting and thus for a systematic **evaluation of the status of the implementation and achievement of goals** in the sense of a target/actual comparison. This is the basis for managing a project or programme with an emphasis on impact and further develop dialogue between the partners involved.

3. Central terms and definitions

3.1. Impact network

In an impact network, the higher-level development policy-relevant objectives (**Impacts**), to which a contribution is to be made with direct project/programme objectives (**Outcomes**), are formulated. These project/programme objectives are achieved by use of the the results achieved (**Outputs**) by the target group. On the other hand, the results are the consequence of **activities and measures** of a project/programme which is made possible through the use of resources (**Inputs**).

When defining the various levels of effectiveness the BMZ and DAAD are guided by the OECD/DAC definitions¹:

Impacts: Positive and negative, primary and secondary long-term effects which are, directly or indirectly, intentionally or unintentionally, caused by a developmental process.

Impacts are the overarching development goals that a development measure seeks to contribute in the long term, such as helping to deepen cooperation structures or improve the conditions for research-based innovation in the areas of biodiversity and climate change. In turn, the effects observed at this level contribute to overall objectives such as the creation of practice-relevant research in Ecuador's national Biodiversity and Climate Change Strategy as well as the national Agenda on Biodiversity Research and the conservation of biodiversity in the context of the Nagoya Protocol in general. Impacts are generally not checked during monitoring, but through evaluations (often ex-post).

Outcomes: The expected or actually achieved short- and medium-term impacts of the outputs of a measure.

Outcomes describe the desired effects resulting from the use of the outputs for the target group (= benefit for the target group). At this level, the programme and project goals are formulated. Outcomes include, for example, the improved performance of the participating science-related institutes and universities, or the strengthened international and national networking of the cooperation partners among themselves and with other actors (research institutes, Ecuadorian authorities).

Outputs: Products, capital goods and services resulting from a development measure; this can also include changes induced by the measure that are relevant for achieving direct impacts.

Outputs include all products, services and results developed and/or provided by a measure through which the the outcome objectives are to be achieved. Outputs include established research collaborations, implemented research projects or the expansion

¹ OECD/DAC (2009): Glossary of development policy key concepts from evaluation and results-oriented management. Available online at: <http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf> [1st July 2016].

and consolidation of contacts. Outputs also encompass added personal competence or imparted knowledge.

Activities: Initiated actions or activities through which inputs such as financial resources, provision of [...] cooperation and other types of resources are mobilised to achieve specific outputs.

This includes project-specific activities and measures, such as the organisation of events, continuing education and training and project-related stays or the development/revision or procurement of teaching/learning materials and consumables.

Inputs: Financial, human and material resources deployed for a development project.

Inputs are all material and non-material resources used in a project, such as the financial and human resources, as well as professional expertise and infrastructure, used by DAAD, the universities, and, where applicable, other partners.

3.2. Indicators

Indicators are assigned to the activities, outputs and outcomes identified in the impact network and used for specification and measurement. An indicator is an empirically directly determinable quantity which gives information about a construct that is not directly measurable.

According to the OECD/DAC, an indicator is defined as:

Variable or factor (of a quantitative or qualitative nature) in the form of a simple, reliable tool that can be used to measure progress, to reflect changes caused by a developmental measure, or to assess the achievements of a developmental operator.²

When defining meaningful indicators, certain minimum requirements must be observed. On the one hand, an indicator must be capable of actually measuring the construct or the facts which it is intended to measure (validity). On the other hand, it must repeatedly deliver the same results under the same conditions (reliability). Apart from these methodological requirements, indicators should also meet pragmatic requirements. They should therefore be chosen in such a way that they can be implemented in a given environment with the available resources and capacities (practicability) and accepted by the persons involved (acceptance). Meaningful indicators should define precise target values (value equivalence), which provide information on how much of something is to be deployed, implemented and achieved within which timeframe of a project.

The so-called SMART rule is helpful when implementing these requirements. According to this, indicators should meet the following quality criteria:

Specific: precise and unambiguous in terms of quality and quantity
(who? what? how?)

Measurable: Measurable with reasonable effort and at reasonable cost

Attainable: Objective realistic within the given framework

Relevant: Meaningful with regard to the intended changes

Time-bound: fixed in time

² OECD/DAC (2009): Glossary of development policy key concepts from evaluation and results-oriented management. Available online at: <http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf> [20th July 2016].

Related links:

BMZ - Federal Ministry for Economic Cooperation and Development (2006): Evaluierungskriterien für die deutsche bilaterale Entwicklungszusammenarbeit. [http://www.bmz.de/de/zentrales_downloadarchiv/erfolg_und_kontrolle/evaluierungskriterien.pdf; status as of: 12 September 2016]

Meyer, Wolfgang (2004): Indikatorenentwicklung: Eine praxisorientierte Einführung. [http://ceval.de/modx/fileadmin/user_upload/PDFs/workpaper10.pdf; version: 12.09.2016]

OECD/DAC (2009): Glossar entwicklungspolitischer Schlüsselbegriffe aus den Bereichen Evaluierung und ergebnisorientiertes Management. [<http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf>; version: 12.09.2016]

Phineo (2013): Kursbuch Wirkung. Das Praxishandbuch für alle, die Gutes noch besser tun wollen. [https://www.phineo.org/fileadmin/phineo/2_Publikationen/Kursbuch/PHINEO_KURSBUCH_WIRKUNG_low.pdf; status as of: 12 September 2016]

4. Impact structure for the program "German-Ecuadorian Research Co-operative Programme on Biodiversity and Climate Change"

The impact of the programme of the German-Ecuadorian research cooperations on biodiversity and climate change was developed on the basis of the impact matrix agreed with GIZ and the BMZ. It forms the reference framework for the promotion of individual university projects stipulated by DAAD.

At the **impact level**, the programme will contribute to the creation of practice-relevant research results within the framework of the national biodiversity and climate change strategy as well as the national agenda on biodiversity research and thus to the preservation of biodiversity in accordance with the Nagoya Protocol. In order to achieve this, the prerequisites for research-based innovations in the fields of biodiversity and climate change are to be improved, and the cooperation structures between the participating universities and institutions must be deepened. At the same time, the programme should help German universities to become active partners in development cooperation.

In order to contribute to these long-term effects (impacts), the programme pursues four **programme objectives (outcomes)**:

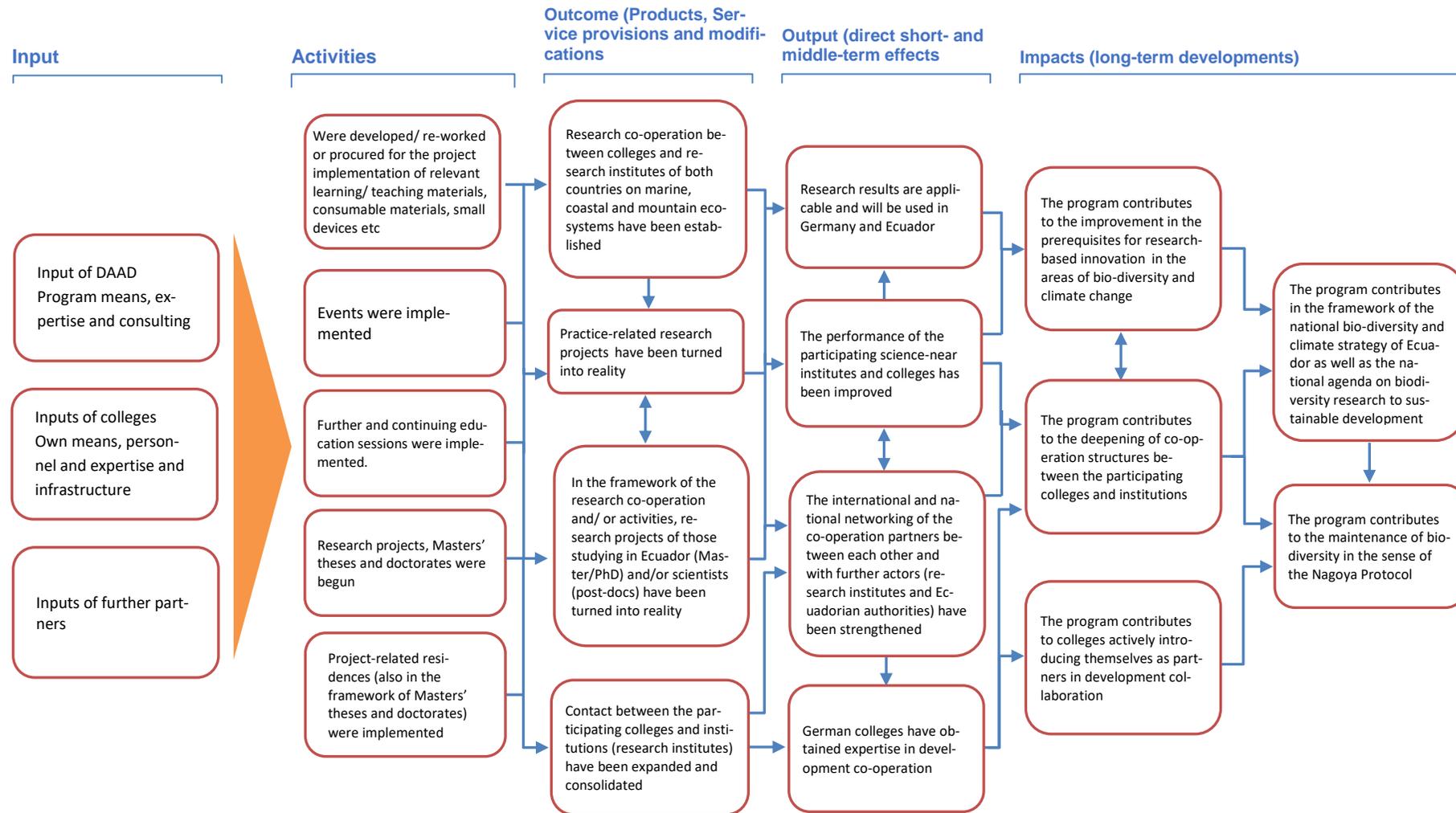
1. Research results are applicable in Germany and Ecuador and are used.
2. The performance of participating science-related institutions and colleges has improved.
3. The international and national networking of cooperation partners among themselves and with other actors (research institutes, Ecuadorian authorities) has been strengthened.
4. Through their participation in the programme, German universities are to acquire expertise in development cooperation so that they can make a long-term contribution to development cooperation as partners. Therefore at universities, development-relevant issues are to be increasingly dealt with in, for example, lectures, publications or seminar papers.

In order to achieve this, demand-oriented research cooperation projects and/or further research activities between Ecuador and Germany on marine, coastal and mountain ecosystems

are to be implemented at the **output level** in the projects. In addition, Ecuadorian students (Master or PhD students) or scientists (postdocs) should carry out research projects as part of the projects or activities, and the contacts between the participating universities and research institutes should be expanded and consolidated.

In order to realise these outputs, various **activities** can be performed by the participating universities and institutions. For example, expenditure on the realisation of continuing education and training, workshops, project-related stays and the development/revision or procurement of teaching/learning materials, consumables and small appliances (cf. Support framework annex).

Inputs (resources) are contributed by the main actors for the implementation of university projects. DAAD provides programme resources, expertise and advice; applicant universities and, where appropriate, other partners, provide personnel and financial resources, expertise, and infrastructure.



5. Indicators for the "German-Ecuadorian Research Co-operation Programme on Biodiversity and Climate Change" programme

For the German-Ecuadorian Research Cooperation programme, the following programme **indicators** have been defined, for which the DAAD queries data in the context of the annual report of the universities. This data is used for programme management by DAAD and the accountability of DAAD to the donor.

Activities and assigned programme indicators

Activities	Indicator
Teaching materials, consumables, small appliances, etc. relevant to the implementation of the project are developed/ revised or acquired.	Expenditure on teaching materials, consumables and small appliances (in Euros) (in the year under review)
	Qualitative description of the main teaching and learning materials, consumables and equipment, as well as their usefulness in the project (in the year under review)
Events are held	Number of events carried out (in the year under review), differentiated according to <ul style="list-style-type: none"> • Title/topic • Venue/country • Duration (in days) • Format (e.g. planning/steering meetings, workshops, meetings)
	Number of participants in the events (in the year under review), differentiated according to <ul style="list-style-type: none"> • Gender
Continuing education and training are carried out	Number of continuing education and training courses (in the year under review), differentiated according to <ul style="list-style-type: none"> • Title/topic • Venue/country • Duration (in days) • Format (e.g. seminars, summer schools, excursions) • Type of qualification (e.g. professional, didactic, interdisciplinary)
	Number of participants in continuing education and training (in the year under review), differentiated according to <ul style="list-style-type: none"> • Gender
Research projects, master theses, doctorates are started	Number of research projects funded by the programme (in the year under review), differentiated by <ul style="list-style-type: none"> • Title/topic • Implementation status <ul style="list-style-type: none"> - Concept started - Concept completed - Implementation initiated - Implementation completed - Other • Involved research institutes and/or Ecuadorian authorities
	Number of master theses and promotions (in the year under review) started and financed by the programme, differentiated according to
Continuation: Research projects,	

<p>master theses, doctorates are started</p>	<ul style="list-style-type: none"> • Type: <ul style="list-style-type: none"> - Master's thesis - Doctoral studies • Title/topic • Implementation status <ul style="list-style-type: none"> - Concept started - Concept completed - Implementation initiated - Implementation completed - Other
<p>Project-related stays (also in the context of e.g. master theses, doctorates) are carried out</p>	<p>Number of subsidies implemented (in the reporting year)</p>
	<p>Number of beneficiaries (in the year under review), differentiated according to</p> <ul style="list-style-type: none"> • Gender • Country of nationality (DAAD key) • Status (e.g. BA/MA students, doctoral students, professors) • Type of subsidy (new/continued funding) • Duration of funding • Subject group • Destination country (Germany/partner country)

Outputs and assigned programme indicators

Output	Indicator
<p>Research collaborations between universities and research institutes of both countries on marine, coastal and mountain ecosystems have been established.</p>	<p>Number of established research collaborations (since funding began), differentiated according to</p> <ul style="list-style-type: none"> • Type (e.g. research cooperation) • Title/topic • Number of participants by status <ul style="list-style-type: none"> - Graduates - Doctoral students - Postdocs - Academics and scientists • Involvement of non-university actors (e.g. research institutes, Ecuadorian authorities) • Number of partner institutions involved in the cooperation
	<p>Qualitative description of the established research cooperations as well as of the respective added value for the partner university(s) (since the start of funding), also under specification of the implementation status</p>

<p>Practice-relevant/application-related research projects are carried out.</p>	<p>Number of practice-relevant research projects jointly realised within the framework of the university cooperation (in the reporting year), differentiated according to</p> <ul style="list-style-type: none"> • Subject • Department (DAAD key) • Implementation status <ul style="list-style-type: none"> - Concept started - Concept completed - Implementation initiated - Implementation completed - Other • Involved research institutes and/or Ecuadorian authorities <p>Qualitative description of the practical relevance and benefit for the target group within the framework of the National Biodiversity and Climate Change Strategy (gender equality) as well as the National Agenda on Biodiversity Research</p> <p>Note: Compulsory only to be answered in final report: description of possible impacts of research on gender equality in Ecuador's National Biodiversity and Climate Change Strategy as well as the National Agenda on Biodiversity Research</p>
<p>As part of research collaborations and/or activities, research projects of Ecuadorian students (Masters/PhD) and/or scientists (postdocs) have been carried out.</p>	<p>Number of research projects carried out in the framework of the university cooperation (in the reporting year), differentiated according to</p> <ul style="list-style-type: none"> • Type <ul style="list-style-type: none"> - Master's thesis - PhD work - other research or qualification work • Subject • Department (DAAD key) • Implementation status <ul style="list-style-type: none"> - Concept started - Concept completed - Implementation initiated - Implementation completed - Other
<p>Contacts between the participating universities and institutions (research institutes) are expanded and consolidated.</p>	<p>Number of newly acquired active partners, who design, manage and/or carry out activities (in the reporting year) in participating universities</p> <ul style="list-style-type: none"> • Field (e.g. science/research, business, politics) <p>Number of contacts consolidated with existing partners since the start of funding, differentiated according to</p> <ul style="list-style-type: none"> • Field (e.g. science/research, business, politics)

Outcomes and assigned programme indicators

Outcome	Indicator
<p>Research results are applicable in Germany and Ecuador and are used</p>	<p>Number of research and advisory products funded by the DAAD on marine, coastal and mountain ecosystems developed (since the start of funding), differentiated according to</p> <ul style="list-style-type: none"> • Title/topic • Type <ul style="list-style-type: none"> - Project and research applications - Other • Status: <ul style="list-style-type: none"> - Submitted - In review - Accepted - Rejected - Other • Involvement of non-university actors (e.g. business, politics) • Implementation in practice (yes/no) • Number of partner institutions using the research results
	<p>Qualitative description of the research/advisory products and their contribution to Ecuador's National Biodiversity and Climate Change Strategy as well as to the National Agenda on Biodiversity Research</p>
	<p>The number of joint activities to disseminate research on marine, coastal and coastal ecosystems, developed with the support of the programme (since funding began), differentiated according to</p> <ul style="list-style-type: none"> • Type: <ul style="list-style-type: none"> - Active conference attendance - Kick-off workshops - Research into Use Workshops - Other
	<p>Number of publications realised as part of research projects (in the reporting year), differentiated according to</p> <ul style="list-style-type: none"> • Implementation status <ul style="list-style-type: none"> - In preparation - Implementation in progress - completed/submitted - in print/published • Type of publication <ul style="list-style-type: none"> - Trade journals with peer-review procedures - Specialist journals without peer review procedures - Conference proceedings - Scientific monographs - Scientific anthologies - Reviews - Project reports/technical reports/working paper (grey literature) - Lexical entries/review article - Newspapers/magazines/online publication - Other • In the context of a promotion promoted by the programme (yes/no)
<p>The performance of participating science-</p>	<p>Amount of third-party funds raised for projects outside the DAAD-funded project, in which biodiversity topics are dealt with (in the year under review)</p>

<p>related institutions and colleges has improved</p>	<p>The number of teachers and researchers who have been involved in DAAD-funded research projects and activities (since funding began) is differentiated according to</p> <ul style="list-style-type: none"> • Type of research project <ul style="list-style-type: none"> - Master's thesis - Dissertation - Other • Topic of the research project • Gender
	<p>Qualitative description of the improved performance of the participating science-related institutes and universities (since funding began)</p>
<p>The international and national networking of cooperation partners and other stakeholders (research institutes, Ecuadorian authorities) has been strengthened</p>	<p>Number of active cooperation partners in subsidised partnerships (since the start of funding), differentiated according to</p> <ul style="list-style-type: none"> • Name of institution • Seat of institution (DAAD key) • Area <ul style="list-style-type: none"> - Education/career - Economy - Ecuadorian authorities - Other actors in politics - Other • Type <ul style="list-style-type: none"> - stipulated in the grant contract (with MoU) - further partners (with MoU) - further partners (without MoU) • Development of the partnership <ul style="list-style-type: none"> - Unchanged - Consolidated - Institutionalised - Cooperation ended
	<p>Qualitative description of cooperation within the project (in the reporting year)</p>
	<p>Number of professional networks in which the subsidised universities actively participate (since the start of funding)</p> <ul style="list-style-type: none"> • Network name • Specialist focus (DAAD key) • Regional focus (DAAD key) • Participation of non-university actors <ul style="list-style-type: none"> - Education/career - Economy - Political science • Central tasks of the network • Added value for the project
<p>German universities have gained expertise</p>	<p>Increase in DC expertise of the project team of the German university (since the start of funding)³</p>

³ Note on the query: Assessment of the EZ expertise of the project team before the project starts and at the end of the project: Scale from 1 = no expertise to 10 = very high expertise; Note on the evaluation: At the project

in development cooperation	Qualitative description of the extent to which German universities are increasingly concerned with development-relevant issues (e.g. in courses, seminar papers, theses, publication of publications or within the framework of the university strategy) and how the diffusion of the topic of DC is taking place in the university (since funding began)
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6. Notes on impact-oriented project planning

Project applications by universities require that they specify the impact logic and the indicators of the programme for the respective project. This is done using a **project concept** in text form and a **project planning overview**.

The activities, outputs and outcomes depicted in the program's impact network must be defined according to their own project conception and planning. For the planned project, it must therefore be specified which activities or measures are to be implemented in order to achieve the project-specific outputs and outcomes. This results in an impact-oriented project concept that is consistent with the program's effectiveness.

Important Information:

Within the context of the programme, individual partnerships can set different priorities; they thus have the freedom of action in the formulation of their goals and in the ways in which they achieve their goals. The project objectives must be consistent with the programme objectives and projects are expected to contribute to each of the four programme objectives.

Based on the project concept, **1 to 2 meaningful indicators** have to be defined for each project-specific output or outcome. The programme indicators described in section 5 are to be used as far as they are relevant for concrete project planning and management. In addition, further indicators can be developed which are suitable for specifying and measuring the outputs and outcomes of the project. Indicators can be quantitative (number) and qualitative. Each indicator must be assigned with project-specific target values (value equivalence), which provide information on how much of the project is to be deployed, implemented and achieved. In this way, the degree of project progress and goal attainment can be checked. The project concept, value-added indicators and time schedule planning are documented in tabular form in the **project planning overview** (annex).

Both the relevant programme indicators and the individual project indicators defined in the universities' application form comprise the reference framework for the universities' annual reports to DAAD.

Selected examples of impact-oriented project planning and adaptation of the programme indicators to a specific project

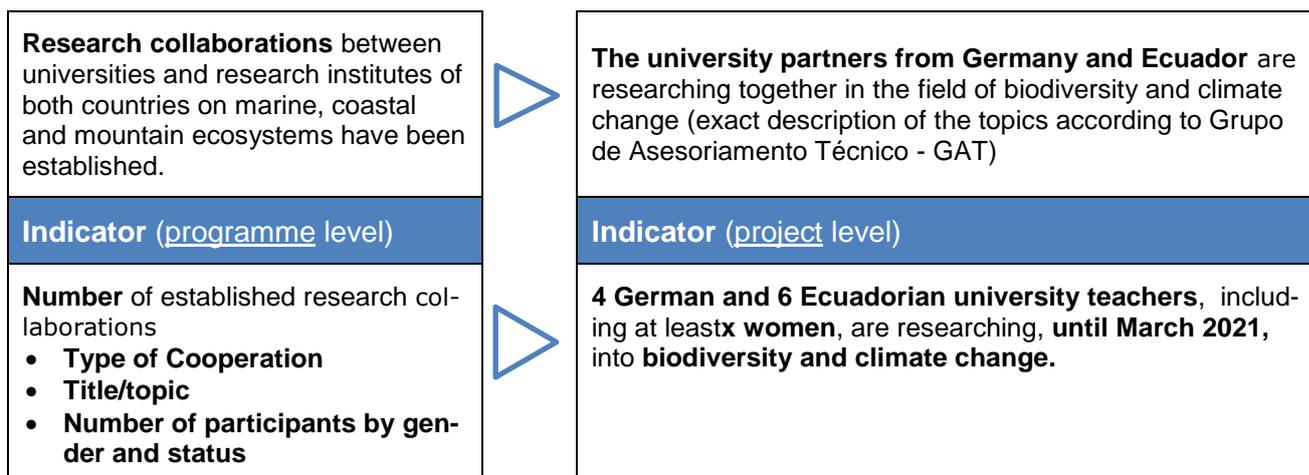
Formulation of project indicators at output level

Example 1

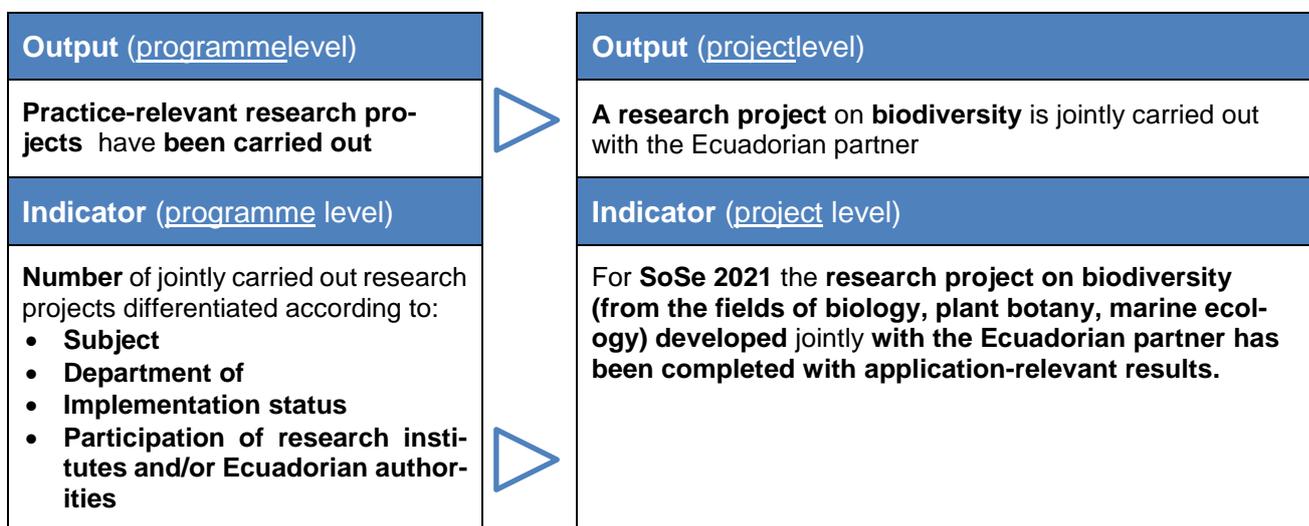
Output (programme level)

Output (project level)

level, the values at the start of the project and the end of the project are relevant. The following values are relevant for reporting to the BMZ: average values at the start of the project and project end of the projects as well as average increase in expertise (= average of the differences between the end of the project and the start of the project).



Example 2



Formulation of project indicators at outcome level

Example 1

Outcome (<u>programme level</u>)	▷	Outcome (<u>projectlevel</u>)
Research results are applicable in Germany and Ecuador and are used		The partnership project "Biodiversity in Paramo" is consolidated and has application-relevant results
Indicator (<u>programme level</u>)	▷	Indicator (<u>project level</u>)
Number of publications realised from the research projects (in the reporting year), differentiated according to <ul style="list-style-type: none"> • Implementation status • Type 		From the joint project of the German and the Ecuadorian university/research institution, the following publications have been submitted at the end of the project in SoSe 2021 : <ul style="list-style-type: none"> - 1 Article Specialist journal with peer review - 3 Articles for journals without peer review

Example 2

Outcome (<u>programme level</u>)	▷	Outcome (<u>projectlevel</u>)
The international and national networking of cooperation partners and other stakeholders has been strengthened		In Germany and Ecuador, the cooperation has established networks in which the subsidised universities actively participate
Indicator (<u>programme level</u>)	▷	Indicator (<u>projectlevel</u>)
Number of active cooperation partners in subsidised partnerships, differentiated according to <ul style="list-style-type: none"> • Name of institution • Seat of the institution • Type 		In SoSe 2021, at least 10 scientists are actively involved in the network. All partners are defined in the grant contract (with MoU). The network includes the following universities , all based in Quito: <ul style="list-style-type: none"> - Universidad Técnica de Cotopaxi (UTC) - Universidad de Cuenca (UCUENCA) - Pontificia Universidad Católica del Ecuador (PUCE)