

A guide to results-oriented project planning and monitoring

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1. Relevance

As a learning organisation, the DAAD is committed to working with higher education institutions, funding bodies, and other partners to continually improve the achievement of objectives and the implementation of its programmes. DAAD programmes funded by the Germany Foreign Office (Auswärtiges Amt - AA), the Federal Ministry of Education and Research (Bundesministerium für Bildung und Forschung - BMBF) and the Federal Ministry for Economic Co-operation and Development (Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung, BMZ) are therefore supported by a results-oriented monitoring system (RoM). The collection and evaluation of monitoring data enables the DAAD and the higher education institutions to better understand results and impacts. Thus, conclusions can be drawn for the design and further development of programmes and their successful implementation. Results-oriented management is based on a continuous learning process. This aims to further enhance the effectiveness of the action of all parties involved regarding education and development policy. Results-oriented monitoring also supports transparency and accountability with respect to funding bodies, the public, and partners in Germany and abroad. Consequently, the DAAD is able to take account of the provisions of the Federal Budget Code regarding performance monitoring in the use of public funds.

2. The function of results frameworks and indicators

A results framework is a core reference document for the results-oriented planning and management of projects and programmes. Combined with indicators, it forms the basis for monitoring and evaluation.

- A results framework **visualises the funding logic** of a project or programme. It clarifies the relationships between the contributions of the various stakeholders, the measures / activities, the intended short and medium-term results, and the medium and long-term objectives and impacts.
- **Indicators** are assigned to the measures / activities, results, and objectives described in the results framework. These indicators allow the implemented measures / activities and the intended **results and objectives to be measured**.

- Results frameworks and indicators are the basis for the results-oriented planning and re-reporting of projects. Thus, they are decisive for a systematic **assessment of the extent to which objectives have been implemented and achieved** by means of a comparison between target and actual performance. This is the basis for the results-oriented management of a project or programme and its further development in dialogue between the partners involved.

3. Key terms and definitions

3.1. Results framework

In a results framework, the higher-level development policy objectives (**impacts**) are formulated. The direct project/programme goals (**outcomes**) should contribute towards achieving these impacts. The project/programme goals are achieved when the results produced (**outputs**) are used by the target group. The results, in turn, are derived from the **activities and measures** of a project/programme, which are made possible through the use of resources (**inputs**).

The DAAD bases its definition of the different impact levels on the OECD/DAC definitions¹:

Impacts: Positive and negative, primary and secondary long-term effects produced by a measure / activity, directly or indirectly, intended or unintended.

Impacts are the intended higher-level education and development policy goals, towards which a contribution is to be made in the long term through a measure / activity, eg a contribution towards the structural reinforcement of teaching at the partner institutions or towards the internationalisation of the higher education institutions. The impacts observed at this level in turn contribute towards overarching objectives, such as the creation of outstanding, cosmopolitan higher education institutions, and towards sustainable development in general. Impacts are usually reviewed by means of evaluations (often ex-post), not as part of monitoring.

Outcomes (at the DAAD: Programme/programme objectives): The anticipated or achieved short-term and medium-term effects of a measure's / activity's outputs.

Outcomes are the intended effects that result from use of the outputs for the target group (= benefits for the target group). The programme objectives are formulated at this level. Outcomes are, for example, newly developed degree courses at the partner institutions, which reflect the latest developments in science and suit the local context, or established development-related, specialist networks between the participating universities and other institutions.

Outputs (programme/project results): The products, capital goods, and services which result from a measure / activity; may also include changes resulting from the measure / activity which are directly relevant to the achievement of outcomes.

Outputs are all the products, services, and results developed and/or provided through a measure / activity required to achieve the intended outcomes. Outputs are, for example, jointly developed curricula or teaching modules compiled within projects, the crea-

¹ Based on OECD/DAC (2009): Glossary of Key Terms in Evaluation and Results Based Management. Available online at: <http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf> [01/07/2016].

tion of structural conditions for degree courses at the partner universities, or the expansion and consolidation of contacts. Outputs also include personal skills gained or knowledge transmitted.

Measures / activities: Actions taken or meaningful bundling of actions through which specific outputs (results of the measures / activities) can be produced.

These include eg the organisation of events, further and continuing education activities, project-related visits, and the development/revision of teaching/learning materials.

Inputs: The financial, human, and material resources used for the measure / activity.

Inputs are eg the grant (personnel resources, material expenditure, expenditure for funded individuals financed by this) and the contribution of the grant recipient or project partner (specialist expertise and infrastructure).

3.2. Indicators

Indicators are assigned to the measures / activities, results (outputs), and effects or objectives (outcomes) listed in the results framework which are used for specification and measurement. An indicator is a value that can be measured empirically, providing information about a construct that cannot be measured directly.

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

Variable or factor (quantitative or qualitative) that provides a simple and reliable means to measure achievement to reflect the changes connected to a measure / activity or to help assess the performance of an actor.²

The formulation of conclusive indicators requires a number of minimum standards. Firstly, an indicator has to measure the actual issues it ultimately ought to measure (validity). Secondly, repeated tests and measurements should, given that the conditions remain the same, always lead to the same results (reliability). Aside of these methodological requirements the indicators also need to follow practical requirements. They should thus be chosen in consideration of the given circumstances, such as resources and capacities (practicability) on the one hand and acceptance of the people concerned on the other hand (acceptance). Meaningful indicators ought to define precise target values (benchmarks). These targets specify the measures which should be deployed and implemented in the project and the specific timeframe.

The SMART rule is a useful guide towards the implementation of these requirements. Indicators should meet the following quality criteria:

| | |
|--------------------|--|
| Specific: | precise and unambiguous in terms of quality and quantity (who? what? how?) |
| Measurable: | can be measured with reasonable effort and at reasonable cost |
| Attainable: | objectives are realistically achievable within the specified parameters |
| Relevant: | meaningful in terms of the intended changes |
| Time-Bound: | has a defined timeframe |

² Cf. OECD/DAC (2009): Glossary of Key Terms in Evaluation and Results Based Management. Available online at: <http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf> [20/07/2016].

Further links:

Federal Ministry for Economic Cooperation and Development (Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung) (2006): Evaluation criteria for German bilateral development cooperation.

[http://www.bmz.de/de/zentrales_downloadarchiv/erfolg_und_kontrolle/evaluierungskriterien.pdf; Date: 12/09/2016]

Meyer, Wolfgang (2004): Indikatorenentwicklung: Eine praxisorientierte Einführung.

[http://ceval.de/modx/fileadmin/user_upload/PDFs/workpaper10.pdf; Date: 12/09/2016]

OECD/DAC (2009): Glossary of Key Terms in Evaluation and Results Based Management.

[<http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf>; Date: 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; Date: 12/09/2016]

4. Results framework for the programme "German-Egyptian Progress Partnership: Short Measures"

The results framework for the programme German-Egyptian Progress Partnership: Short Measures was developed by the DAAD. It forms the framework of reference specified by funding bodies for project funding.

At the **impact level**, the programme German-Egyptian Progress Partnership: Short Measures contributes to the expansion and/or intensification of cooperation structures. The programme gives active impulses towards a sustainable quality improvement in research and teaching at the partner universities. Moreover, the programme is intended to contribute to science transfer between the partner universities and to the employability of the participants.

To contribute to the achievement of these long-term effects (impacts), the programme pursues four **programme objectives (outcomes)**:

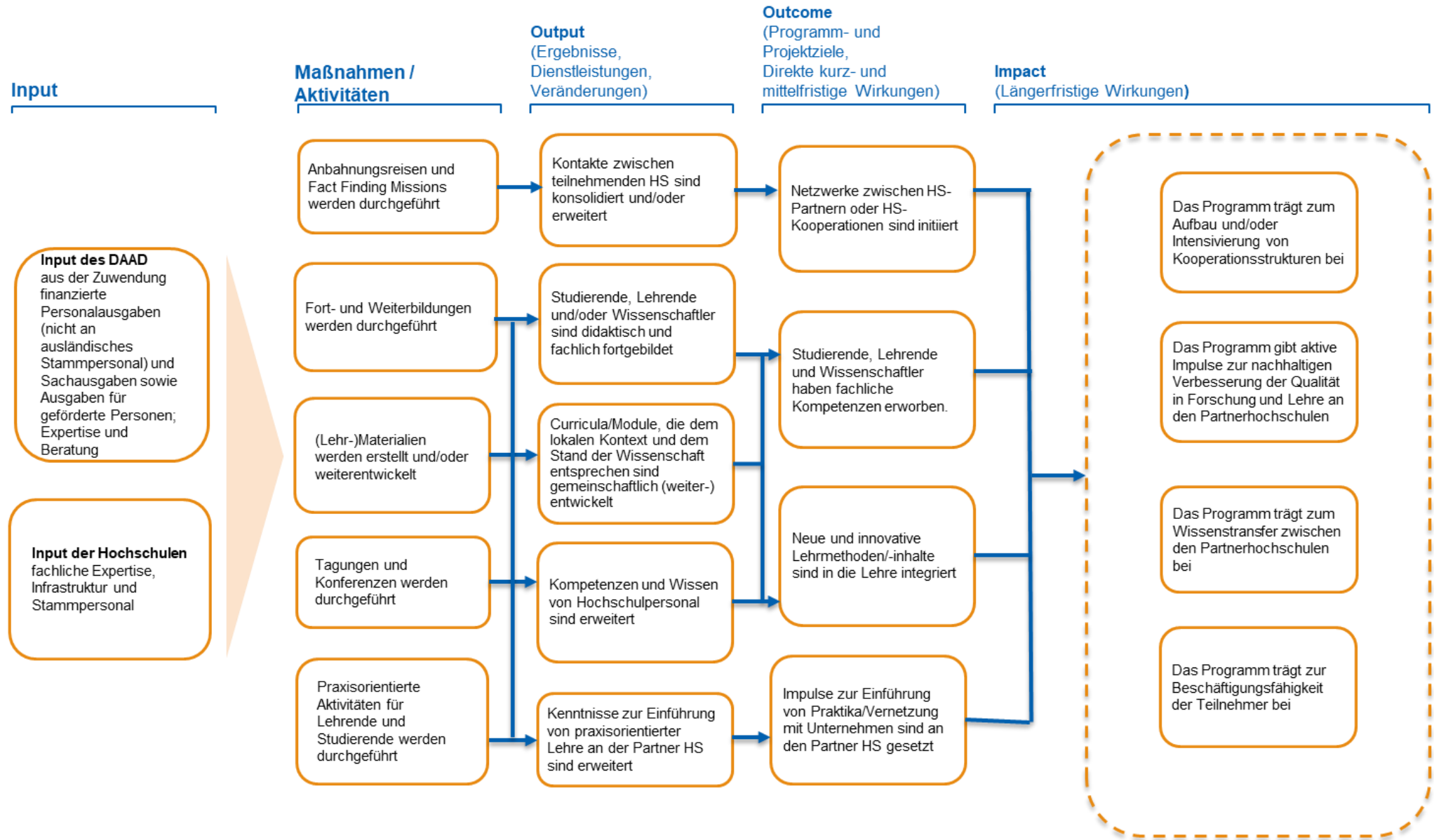
1. Networks between university partners or university cooperations have been initiated.
2. Students, lecturers and researchers have acquired technical competences.
3. New and innovative teaching methods/contents are integrated into the teaching.
4. Impulses to introduce internships/networking with companies have been set at the partner universities.

To achieve this, **at the output level**, contacts between the participating universities in the projects of the programme German-Egyptian Progress Partnership: Short Measures are to be consolidated and/or extended. In addition, students, lecturers and/or researchers are to receive further teaching or technical training and curricula/modules which suit the local context and the state of the art of science are to be jointly developed (further). Moreover, the competences and knowledge of university personnel and the knowledge on introducing practical teaching have been extended at the partner universities.

To realise these results (outputs), the universities and higher education institutions involved can implement various **measures/ activities**. For example, expenditure is eligible if used to implement preparatory trips and Fact Finding Missions, hold continuing and further education events, create and/or further develop teaching materials, hold conventions and conferences or implement practical activities for lecturers and students.

The actors involved contribute **inputs** (see above) to implement university projects. On the part of the DAAD, this is the grant (used to finance personnel expenditure (not for non-German permanent staff), material expenditure, expenditure for funded individuals, expertise and consultants); on the part of the universities submitting the application and any additional partners, these are the contributions of the grant recipient and project partners (eg technical expertise, infrastructure and permanent staff).

Note: The results framework is in German; however, the individual elements in the results framework are listed in English in the catalogue of indicators.



5. Indicators for the programme "German-Egyptian Progress Partnership: Short Measures"

The following **programme** indicators were set for the programme German-Egyptian Progress Partnership: Short Measures, for which the DAAD requests data in the context the annual substantive reporting. These data help the DAAD with programme management and accountability.

Measures / activities and allocated programme indicators

| Measures / activities | Indicator |
|--|--|
| <p>Preparatory trips and Fact Finding Missions have been implemented</p> | <p>Number of funded individuals (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Gender • Country of nationality (DAAD key) • Status (students, doctoral candidates, postdocs, university personnel) • Funding: <ul style="list-style-type: none"> - New funding - Continued funding • Duration of the funding: days, weeks, months • Subject group (DAAD key) • Target country: <ul style="list-style-type: none"> - Germany - Partner country |
| | <p>Number of implemented funding streams (in the reporting year)</p> |
| <p>Further training and continuing education courses are held</p> | <p>Number of continuing and further education events held with the support of the DAAD (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Event location/country • Date (start) • Duration (in days) • Format: <ul style="list-style-type: none"> - Workshops/Seminars - Spring/summer/autumn/winter schools - Other • Degree of digitisation <ul style="list-style-type: none"> - In-person events - Blended learning - Online event • Type of qualification: <ul style="list-style-type: none"> - Technical - Cross-disciplinary (eg intercultural, linguistic) - Teaching - Administrative • Main target group <ul style="list-style-type: none"> - Students |

| Measures / activities | Indicator |
|--|---|
| | <ul style="list-style-type: none"> - Doctoral candidates - Postdocs - University personnel <p>Number of participants at the continuing and further education events (in the reporting year), differentiated by:</p> <ul style="list-style-type: none"> • Gender • Partner country/countries / Germany |
| (Teaching) materials are being compiled and/or developed further | <p>Number of newly developed or revised curricula, teaching modules, classes or other study offers (in the reporting year), differentiated by:</p> <ul style="list-style-type: none"> • Type: <ul style="list-style-type: none"> - Curricula - Teaching modules - Classes - Other study offers • Title/topic • New or revised: <ul style="list-style-type: none"> - Newly developed - Revised • Level: <ul style="list-style-type: none"> - Bachelor's degree - Master's degree - PhD - Other • Implementation status: <ul style="list-style-type: none"> - Concept phase has begun - Draft available - Coordinated internally at the university - Tried and tested - Offered - Accredited - Other • Degree of digitisation <ul style="list-style-type: none"> - In-person teaching (note: if used alongside digital media) - Blended learning (note: in-person events and online teaching are combined) - Online teaching (note: all teaching and learning happens virtually) • Use of digital elements • Involvement of non-university actors by area: <ul style="list-style-type: none"> - Science/research - Business - Civil society - Public sector - No non-university actors - Other • Number of partner institutions involved in the development |

| Measures / activities | Indicator |
|--|--|
| | <p>Qualitative description of the most important (teaching) materials and their benefits in the context of the project (in the reporting year)</p> |
| <p>Conventions and conferences are being held</p> | <p>Number of conventions and conferences held with the support of the DAAD (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Event location/country • Date (start) • Duration (in days) • Degree of digitisation <ul style="list-style-type: none"> - In-person events - Blended learning - Online event • Target groups <ul style="list-style-type: none"> - Students - Lecturers - Administrative staff |
| | <p>Number of participants at the conventions and conferences held (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Gender • Partner country/countries / Germany • Type of university personnel who received training <ul style="list-style-type: none"> - Administration - Teaching/research - International Offices |
| <p>Practical activities for lecturers and students have been implemented</p> | <p>Number of practical activities implemented with the support of the DAAD (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Format <ul style="list-style-type: none"> - Internship/shadowing - Workshops - Visits - other • Title/topic • Type of partner <ul style="list-style-type: none"> - Business - Research - Public sector - Miscellaneous |

Programme results (outputs) and allocated programme indicators

| Output | |
|--|---|
| <p>Contacts between the participating universities are consolidated and/or extended</p> | <p>Number of new active partners who design, manage and/or implement higher education institutions involved (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Area: <ul style="list-style-type: none"> - Science/research - Business - Civil society - Public sector - Miscellaneous |
| | <p>Number of consolidated contacts with existing partners (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Area: <ul style="list-style-type: none"> - Science/research - Business - Civil society - Public sector - Miscellaneous |
| <p>Students, lecturers and/or researchers have received further didactic or technical training</p> | <p>Number of qualified students, lecturers and/or researchers (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Type of qualification: <ul style="list-style-type: none"> - Specialised - Teaching - Cross-disciplinary - Administrative |
| <p>Curricula/modules are jointly developed/advanced that suit the local context and reflect the latest developments in science</p> | <p>Number of newly developed or revised curricula, teaching modules, classes or other study offers (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Type: <ul style="list-style-type: none"> - Curricula - Teaching modules - Classes - Miscellaneous • Title/topic <ul style="list-style-type: none"> - Newly developed - Revised • Level: <ul style="list-style-type: none"> - Bachelor - Master's - PhD - Miscellaneous • Implementation status: <ul style="list-style-type: none"> - Concept phase has begun - Draft available - Coordinated internally at the university - Tried and tested - Offered |

| Output | |
|--|---|
| | <ul style="list-style-type: none"> - Accredited - Miscellaneous • Involvement of non-university actors by area: <ul style="list-style-type: none"> - Science/research - Business - Civil society - Public sector - No non-university actors - Miscellaneous • Number of partner institutions involved in the development <p>Qualitative description of the developed curricula, teaching modules and classes and of the respective added value for the partner university/universities (in the reporting year)</p> |
| <p>The competences and knowledge of the university personnel have been extended</p> | <p>Number of participants receiving continuing and further training from university personnel (in the reporting year), differentiated by:</p> <ul style="list-style-type: none"> • Gender • Partner country/countries / Germany • Type of university personnel who received training <ul style="list-style-type: none"> - Administration, - Teaching/research, - International Offices • Type of qualification: <ul style="list-style-type: none"> - Technical - Cross-disciplinary - Teaching - Administrative |
| <p>Knowledge on introducing practice-oriented teaching at the partner university has been extended</p> | <p>Qualitative description of the knowledge and competences gained on introducing practical teaching and of the respective added value for the partner university/universities (in the reporting year)</p> |

Programme results (outcomes) and allocated programme indicators

| Outcome | Indicator |
|---|---|
| <p>Networks between university partners or university cooperations have been initiated.</p> | <p>Number of technical networks which the funded higher education institutions have set up/ expanded, differentiated by</p> <ul style="list-style-type: none"> • Network name • Partner structure (German/non-German partner) • Technical focus • Regional focus • Involvement of non-university actors <ul style="list-style-type: none"> - Science/research - Business - Civil society - Public sector - Other |
| <p>Students, lecturers and researchers have acquired technical competences.</p> | <p>Qualitative description of the technical competences acquired by the students, lecturers and researchers (in the reporting year)</p> |
| <p>New and innovative teaching methods/contents are integrated into the teaching</p> | <p>Number of newly developed or revised curricula, teaching modules, classes or other study offers (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Type: <ul style="list-style-type: none"> - Curricula - Teaching modules - Classes - Miscellaneous • Title/topic • New or revised: <ul style="list-style-type: none"> - Newly developed - Revised • Level: <ul style="list-style-type: none"> - Bachelor - Master's - PhD - Miscellaneous • Implementation status: <ul style="list-style-type: none"> - Concept phase has begun - Draft available - Coordinated internally at the university - Tried and tested - Offered - Accredited - Miscellaneous • Involvement of non-university actors by area: <ul style="list-style-type: none"> - Science/research - Business - Civil society - Public sector - No non-university actors - Miscellaneous • Number of partner institutions involved in the development |

| Outcome | Indicator |
|--|---|
| | <p>Qualitative description of the new teaching methods and contents which were integrated into teaching and of the respective added value for the partner university/universities (in the reporting year)</p> |
| <p>Impulses to introduce internships/networking with companies have been set at the partner universities</p> | <p>Number of created or improved processes and structures to introduce internships/networking with companies (in the reporting year)</p> <ul style="list-style-type: none"> • Name/description • Area (teaching; research; university management; network; other) • Implementation status: <ul style="list-style-type: none"> - Concept developed - Concept completed - Implementation started - Implementation completed - Other |

6. Information on results-oriented project planning

With regard to the project applications, it is necessary to specify the results logic and the programme indicators for the respective project. For this, the measures/ activities, programme results (outputs) and programme objectives (outcomes) depicted in the programme's results framework must be stated precisely, according to the individual project concept and planning. For the planned project, each activity and measure that will be implemented in order to achieve the project-specific results (outputs) and objectives (outcomes) must be specified and assigned to the categories in the programme results framework. This produces a results-oriented project concept that is consistent with the programme's results framework.

Results-oriented project planning must be presented in textual form at the following points:

Results-oriented project planning must be presented in textual form in the **project description template** and as a table in the **project planning document**.

Project description template: The **project objectives (outcomes)** and project results (outputs) should be described in the Section "Detailed project description and reference to results logic" which must be submitted as part of the project. The description is intended to show how the project contributes to the achievement of the project's objectives (outcomes). It also contains an explanation of which project-specific results (outputs) are to achieve which project objectives (outcomes).

Important note:

Individual projects can focus on different aspects within the programme's results framework. It is not necessary that each project contributes to all programme objectives (outcomes). Projects are also permitted room for manoeuvre in formulating their objectives and in their strategies for achieving them; whereby the project objectives must be consistent with programme objectives.

Project planning document: one meaningful indicator must be defined for each project-specific result (output) and objective (outcome) respectively – in individual cases, more than one indicator may be required to make meaningful statements about the result (eg number of classes and number of participants). The programme indicators presented in Section 5 should be used if relevant for the project plan and management. Further indicators may be developed if necessary, where these help define and measure the project results (outputs) and objectives (outcomes). Indicators can be quantitative (number) or qualitative. Each indicator ought to be given precise target values (benchmarks). These targets specify the measures which should be deployed and implemented in the project and the specific timeframe. This helps with reviewing project progress and target achievement. The **project planning document (attachment)** documents the benchmark indicators and measures/activities planning as a table. Justified changes to the project plan are possible during the project in consultation with the DAAD.

The relevant programme indicators and the individual project indicators defined in the universities' applications create the frame of reference for the higher education institutions' annual reports to the DAAD. In addition, the programme indicators above are reviewed as part of annual substantive reporting. The report must be submitted online using a monitoring tool set up for this purpose.

Below are shown examples of how to formulate indicators for project results (outputs) and project objectives (outcomes) based on the results framework and catalogue of indicators.

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

Formulation of project indicators at output level (results)

Example 1

| | | |
|---|---|---|
| Output (programme level) | ▷ | Output (project level) |
| Students, lecturers and/or researchers have received further didactic or technical training . | | Students, lecturers and/or researchers at the partner universities A, B and C have received further technical training in environmental studies . |
| Indicator (programme level) | ▷ | Indicator (project level) |
| <p>Number of qualified students, lecturers and/or researchers (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Type of qualification (eg technical, teaching, cross-disciplinary, administrative) | | <p>5 students, 3 lecturers and 2 researchers at the partner universities A, B and C, at least 4 of whom are women, have received further technical training in environmental studies by the end of 2021.</p> |

Example 2

| | | |
|---|---|--|
| Output (programme level) | ▷ | Output (project level) |
| Curricula/modules are jointly developed/advanced that suit the local context and reflect the latest developments in science. | | One module on the topic of water treatment has been newly developed together with the partner universities A, B and C. |
| Indicator (programme level) | ▷ | Indicator (project level) |
| <p>Number of newly developed or revised curricula, teaching modules, classes or other study offers (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Type (eg curricula, teaching modules) • Title/topic • New or revised • Level (eg bachelor's degree, master's degree) • Implementation status (eg coordinated internally at the university, tried and tested, offered) • Involvement of non-university actors by area (eg science/research, business) • Number of partner institutions involved in the development | | <p>For the 2021 winter semester, the new module which was jointly developed by the three partner universities A, B and C on the topic of water treatment has been coordinated internally at the university as a master's degree course.</p> |

Formulation of project indicators at outcome level (objectives)

Example

