Deutscher Akademischer Austauschdienst German Academic Exchange Service

Handbook on 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 (Bundesministeriums für Bildung und Forschung - BMBF) and the Federal Ministry for Economic Cooperation 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. Resultsoriented 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 (or impact analysis structure) 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-porting 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 com-

parison 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 creation 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.

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].

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

Further links (in German):

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

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].

[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 'Global Climate and Environment Centres' programme

The results framework for the Global Climate and Environment Centres programme was developed by the DAAD. It forms the framework of reference specified by funding bodies for project funding.

The long-term impacts of the programme are:

- The programme promotes climate and environmental protection and the related SDGs (SDG 13, 14 and 15 in particular).
- The programme contributes to knowledge generation, transfer and circulation in matters of climate and environmental protection.
- The programme promotes closer partnership-based cooperation among higher education institutions, research facilities and public and civic stakeholders from the area of climate and the environment.
- The programme contributes to an increase of expertise in emerging and developing countries in a wide range of fields relating to climate and the environment, and to improving these countries' conditions for developing solutions that are adjusted to their local, technical and cultural requirements.
- The programme contributes to Germany's involvement in joint strategies to tackle global challenges.
- The programme contributes to making higher education, research and innovation systems more efficient and international.
- The programme promotes a more climate and resource-friendly approach to realising international cooperation between universities.
- The programme contributes to improving the quality and relevance of education and research at the higher education institutions involved.
- In line with Foreign Cultural and Educational Policy, the programme contributes to finding new friends and partners for Germany and to making links with Germany stronger.

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

- The Centres provide study and doctorate opportunities in relevant disciplines.
- The Centres' graduates are qualified for the local and international employment market in the areas of climate protection and environmental conservation.
- There is established research capacity for matters regarding climate and the environment.

- An established Centre network allows for joint research endeavours, for addressing overarching issues, for synergy effects and for improved visibility.
- New scientific findings are transferred into practice.
- The climate and environmental footprint of education, research and international cooperation have been improved.

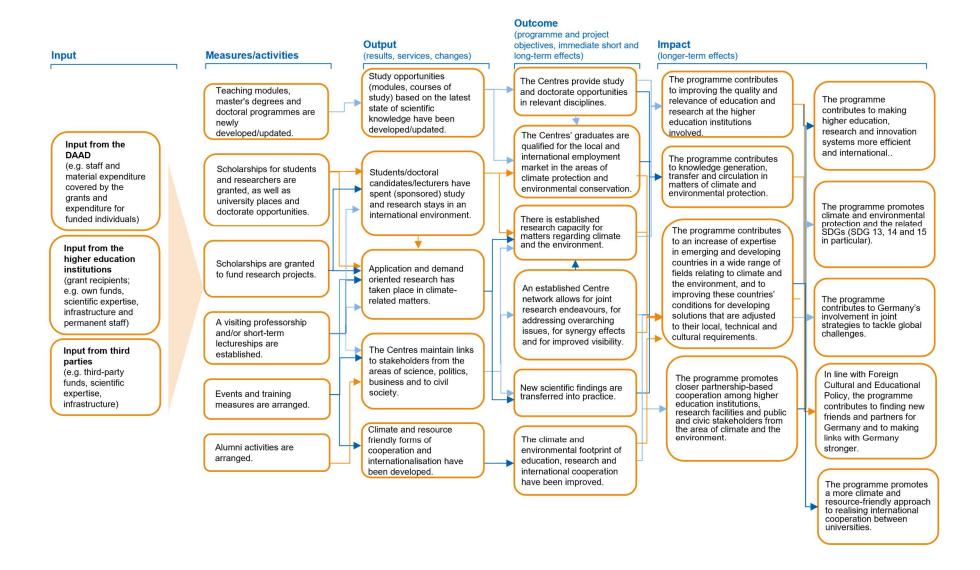
To achieve this, in the individual projects of the programme at an **output** level shall be reached the following direct results of measures/activities (outputs):

- Study opportunities (modules, courses of study) based on the latest state of scientific knowledge have been developed/updated.
- Students/doctoral candidates/lecturers have spent (sponsored) study and research stays in an international environment.
- Application and demand oriented research has taken place in climate-related matters.
- The Centres maintain links to stakeholders from the areas of science, politics, business and to civil society.
- Climate and resource friendly forms of cooperation and internationalisation

have been developed. To realise these results (outputs), the universities and higher education institutions involved can implement various **measures/activities**. Eligible for funding are, for example, expenditure for visiting professors and/or short-term lecturers, scholarships for study and research, measures for developing joint master's degree and doctoral programmes, for promoting digital teaching formats, for networking with other Centres, as well as politics, business and the civil society, as well as support for transferring research findings into practical use. Regarding funding benefits, please refer to the annex – call for applications (including annex 1 'Expenditure eligible for funding').

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, material expenditure, expenditure for funded individuals); 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 and infrastructure).

Results framework for the 'Global Climate and Environment Centres' programme



5. Indicators for the 'Global Climate and Environment Centres' programme

The following **programme** indicators were set for the Global Climate and Environment Centres programme, for which the DAAD requests data in the context of the institutions' annual substantive reporting. This data helps the DAAD with programme management and accountability.

Measures/activities and allocated programme indicators

Measures/activities	Indicator
Teaching modules, master's degrees and doctoral programmes are newly developed/updated.	 Number of newly developed or updated curricula (= full courses of study), teaching modules and/or classes (since funding started), differentiated by Type (eg full course of study, teaching module, class) Title/topic New or updated Level (eg master's, PhD) Implementation status (concept phase has begun, draft available, coordinated internally at the university, tried and tested, offered, accredited) Degree of digitisation in teaching (face-to-face teaching, blended learning, online teaching) Involvement of non-university partners (science/research, business, civil society (eg NGOs), public sector/politics) Number of partner institutions involved in the development
Scholarships for students and researchers are granted, as well as university places and doctorate opportunities.	Number of sponsored individuals (excluding visiting professors/short-term lecturers) in the reporting year, differentiated by Gender Country of nationality (DAAD key) Posting country (DAAD key) Target country (DAAD key) Type of degree pursued (master's degree, PhD) Duration of the funding (number of months) Subject group (DAAD key) Type of funding (DAAD key) Funding (new/continued funding)
	Total number of study and doctorate places awarded (in the reporting year) Level (master's, PhD) Gender Country of origin (country the Centre is based, neighbouring countries, other countries in the global South, Germany, other countries in the global North)
	Qualitative description of the selection process for granting scholarships, taking criteria for promoting members of disadvantaged groups (eg women, students with a non-academic family background, ethnic minorities) into account (in the reporting year).
Scholarships are granted to fund research projects.	Number of scholarships granted for funding research projects (in the reporting year) Total funding amount Duration of funding Short description of the research findings

Measures/activities	Indicator
A visiting professorship and/or short-term lecture-ships are established.	Number of funded lecturers (in the reporting year), differentiated by Gender Country of nationality (DAAD key) Posting country (DAAD key) Target country (DAAD key) Duration of the funding (number of months) Subject group (DAAD key) Funding (new/continued funding)
Events and training measures are arranged	Number of events (including continuing and further education measures) held with the support of the DAAD (in the reporting year), differentiated by Title/topic Event location/country (DAAD key) Duration (in days) Format (workshops/seminars, symposiums/conventions/conferences, summer schools, planning and management meetings, excursions) Number of Centres involved Number of other partners involved Degree of digitisation (eg face-to-face teaching, blended learning, online teaching) Educational (yes/no) Target group (students, alumni, researchers, politics, civil society, individuals with connections to practical application) Origin of participants (mostly domestic/regional/international) Type of qualification (in the case of continuing and further education measures) (discipline-related, cross-disciplinary, teaching, administrative)
	Number of participants at the events held (in the reporting year), differentiated by • Gender • Status (in the case of continuing and further education measures) (teaching staff, administration staff)
Alumni activities are arranged.	Number of alumni activities arranged (in addition to events and training measures) (in the reporting year), differentiated by Type (database creation/maintenance, newsletter (including frequency), follow-up survey, career survey) Title/topic Short description with regard to value for the project

Programme results (outputs) and allocated programme indicators

Output	Indicator
Study opportunities (modules, courses of study) based on the latest state of scientific knowledge have been developed/updated.	Number of newly developed or updated curricula (= full courses of study), teaching modules and/or classes (since funding started), differentiated by Type (eg full course of study, teaching module, class) Title/topic New or updated Level (eg master's, PhD) Implementation status (concept phase has begun, draft available, coordinated internally at the university, tried and tested, offered, accredited) Degree of digitisation in teaching (face-to-face teaching, blended learning, online teaching) Involvement of non-university partners (science/research, business, civil society (eg NGOs), public sector/politics) Number of partner institutions involved in the development
Students/doctoral candidates/lecturers have spent (sponsored) study and research stays in an international environment.	Number of sponsored individuals (excluding visiting professors/short-term lecturers) in the reporting year, differentiated by Gender Country of nationality (DAAD key) Posting country (DAAD key) Target country (DAAD key) Type of degree pursued (master's degree, PhD) Duration of the funding (number of months) Subject group (DAAD key) Type of funding (DAAD key) Funding (new/continued funding) Number of individuals sponsored (in the reporting year), differentiated by type of funding (DAAD key) Total number of study and doctorate places awarded (in the reporting year) Level (master's, PhD) Gender Country of origin (country the Centre is based, neighbouring countries, other countries in the global South, Germany, other countries in the global North) Number of students dropping out in the reporting year Qualitative clarification of reasons for students dropping out in the reporting year
Application and demand oriented research has taken place in climate-related matters.	 Number of publications published with support of the DAAD (in the reporting year), differentiated by Title/topic Type (peer-reviewed specialist journals, conference volumes, monographs, anthologies, grey literature, newspapers/magazines/online publications) Realisation status (submitted, under revision, accepted/published (including in print), rejected) Is the publication the result of a doctorate funded via the programme? (yes/no) Has it been published via an open access medium? (yes/no/planned)

	Qualitative description of the research activities and results (except publications) (in the reporting year)
The Centres maintain links to stakeholders from the areas of science, politics, business and to civil society.	Number of active cooperation partners (since funding started), differentiated by
	 Name of the institution Location of the institution (DAAD key) Area (science/research, business, civil society (eg NGOs), public sector/politics) With/without MoU (set out in the grant agreement (with MoU), additional partners (with/without MoU)) Development of the partnership (newly acquired, unchanged, consolidated, institutionalised, cooperation has ended) Qualitative description of the cooperation
	Number of Centres that have set up an advisory board of international representatives from politics, business, the civil society and academia (since funding started), differentiated by: • Number of members • Area (science/research, business, civil society (eg NGOs), public sector/politics) • Qualitative description of the advisory board's activities
Climate and resource friendly forms of cooperation and internationalisation have been developed.	Qualitative description of the developed cooperation forms that contribute to climate protection and climate neutrality of the cooperation (in the reporting year)
	Number of tonnes of carbon generated through the cooperation, for which compensation payments have been made (in the reporting year)

Programme results (outcomes) and allocated programme indicators

Outcome	Indicator
The Centres provide study and doctorate opportunities in relevant disciplines.	Number of newly developed or updated curricula (= full courses of study), teaching modules and/or classes (since funding started), differentiated by Type (eg full course of study, teaching module, class) Title/topic New or updated Level (eg master's, PhD) Implementation status (concept phase has begun, draft available, coordinated internally at the university, tried and tested, offered, accredited) Degree of digitisation in teaching (face-to-face teaching, blended learning, online teaching) Involvement of non-university partners (science/research, business, civil society (eg NGOs), public sector/politics) Number of partner institutions involved in the development Number of envisaged study and doctorate places that were updated or newly developed with support from the DAAD (since funding started) Number of applicants for study and doctorate places that were updated or newly developed with support from the DAAD (since funding started), differentiated by

The Centres' graduates are qualified for the local and international employment market in the areas of climate protection and environmental conservation.	Number of graduates of study and doctoral programmes offered with support of the DAAD (in the reporting year), differentiated by • Level • Gender • Country of origin (country the Centre is based, neighbouring countries, other countries in the global South, Germany, other countries in the global North) • Subject group (DAAD key)
There is established research capacity for matters regarding climate and the environment.	Number of research and consultation products of the universities involved, developed with support from the DAAD (since funding started), differentiated by Title/topic Type (project and research proposals, policy consultation) Implementation status (conception stage, submitted, proposal accepted/consultation ordered, rejected, being implemented, completed)
	Amount of third-party funds raised beyond DAAD-funding at the Climate Centres (in the reporting year), differentiated by • Funding institution
An established Centre network allows for joint research endeavours, for addressing overarching issues, for synergy effects and for improved visibility.	Qualitative description of the network and its activities (in the reporting year)
	 Number of joint research projects of the Centres (since funding started), differentiated by: Number of Centres involved Subject group (DAAD key) Implementation status (conception stage, submitted, proposal accepted/consultation ordered, rejected, being implemented, completed)
	Number of joint events and conferences held (in the reporting year), differentiated by
	 Type Event location Duration Participant number
New scientific findings are transferred into practice.	Qualitative description of formats for disseminating research results into practical use (in the reporting year)
	Qualitative description of findings transferred into practical use and their benefits (in the reporting year)
The climate and environ- mental footprint of educa- tion, research and interna- tional cooperation have been improved.	Qualitative description of the developed cooperation forms that contribute to climate protection and climate neutrality of the cooperation (in the reporting year)
	Number of tonnes of carbon generated through the cooperation, for which compensation payments have been made (in the reporting year)

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)

Study opportunities (modules, courses of study) based on the latest state of scientific knowledge have been developed/updated.



Output (project level)

A new master's curriculum on 'Applied Sustainability' has been developed in cooperation with the Mount Kenya University and the Institute for Advanced Sustainability Studies.

Indicator (programme level)

Number of newly developed or revised curricula, teaching modules and/or classes, differentiated by

- Type (eg curricula, teaching modules)
- Title/topic
- **New** or revised
- Level (eg bachelor's degree, master's degree)
- Implementation status (eg coordinated, tried and tested, offered)
- Degree of digitisation in teaching (eg face-to-face, online)
- Involvement of non-university partners (eg businesses)
- Number of partner institutions involved in the development



Indicator (project level)

The master's curriculum on 'Applied Sustainability' that has been jointly developed with the Mount Kenya University and the

Institute for Advanced Sustainability Studies will be internally coordinated for the 2022 winter semester.

Example 2

Output (programme level)

Students/doctoral candidates/lecturers have spent (sponsored) study and research stays in an international environment.



Output (project level)

Students have spent (sponsored) study stays in an international environment.

Indicator (programme level)

Total number of study and doctorate places awarded (in the reporting year)

- Level (master's, PhD)
- Gender
- Country of origin (country the Centre is based, neighbouring countries, other countries in the global South, Germany, other countries in the global North)



Indicator (project level)

15 people, including at least 6 women and at least 12 people from Kenya and the surrounding region will pursue a master's degree in 'Applied Sustainability' at the Mount Kenya University, starting with the 2023 winter semester. 6 of these students will receive a scholarship every year.

Formulation of project indicators at outcome level (objectives)

Example 1

Outcome (programme level)

There is established research capacity for matters regarding climate and the environment.

Indicator (programme level)

Amount of third-party funds raised beyond DAAD-funding at the Climate Centres (in the reporting year), differentiated by

Funding institution

__

Outcome (project level)

There is established research capacity for matters regarding applied sustainability.

Indicator (project level)

The Climate Centre in Kenya is going to raise funding for at least **three externally funded projects by 2024**.

Example 2

Outcome (programme level)

An established Centre network allows for joint research endeavours, for addressing overarching issues, for synergy effects and for improved visibility.



Number of joint events and conferences held (in the reporting year), differentiated by

- Type
- Event location
- Duration
- Participant number



Outcome (project level)

A network of the Climate Centres in Kenya and Bangladesh and other Centres that allows for joint research endeavours, for addressing overarching issues, for synergy effects and for improved visibility has been established.

Indicator (project level)

From 2022, the Centres in Kenya and Bangladesh shall hold at least **two** joint conferences **per year**, one **in each country**.

