

Guide to Results-Oriented Project Planning and Monitoring

We recommend the following procedure for results-oriented project planning:



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Introduction and overview

The DAAD implements results-oriented monitoring (ROM) for many of its programmes. This guide provides an outline of the background and foundations of ROM (Section 1), followed by step by step instructions for your results-oriented project planning (Sections 2 and 3) that forms the basis of your application. Results framework and indicators for the programme are illustrated in the final part (Sections 4 and 5).

Our [FAQ on results-oriented monitoring for project funding programmes](#) provides important questions and answers and a clear overview of definitions of terms related to results-oriented monitoring.

1. Why do we use results-oriented monitoring (ROM)?

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. The DAAD uses results-oriented monitoring (ROM) to plan its programmes in a results-oriented manner. Implementation at the project level is provided through ongoing monitoring. The focus of interest is always on achieving results and objectives in this context. Indicators are used during the implementation to compare the planned or expected changes with those that actually occurred.

We use results-oriented monitoring (ROM) because it enables tangible **added value** for you and the DAAD.

- ✓ ROM promotes your project’s **effectiveness** and achievement of the intended objectives.
- ✓ ROM allows for easier **communication** of your projects’ results to the DAAD and the general public, as your results-oriented project planning includes a clear definition of the desired results and the approaches for reaching specific objectives.
- ✓ A shared **project approach** is ensured right from the start. This allows, for example, for easier collaboration with project partners.

- ✓ Using specific figures to define when your projects' goals are achieved, the indicators allow for a continuous **learning process**. You can therefore identify challenges early on and use your limited resources in a targeted manner.
- ✓ ROM enables the DAAD to **manage and develop** its programmes more effectively, for example with regard to adaptation to the requirements of higher education institutions.

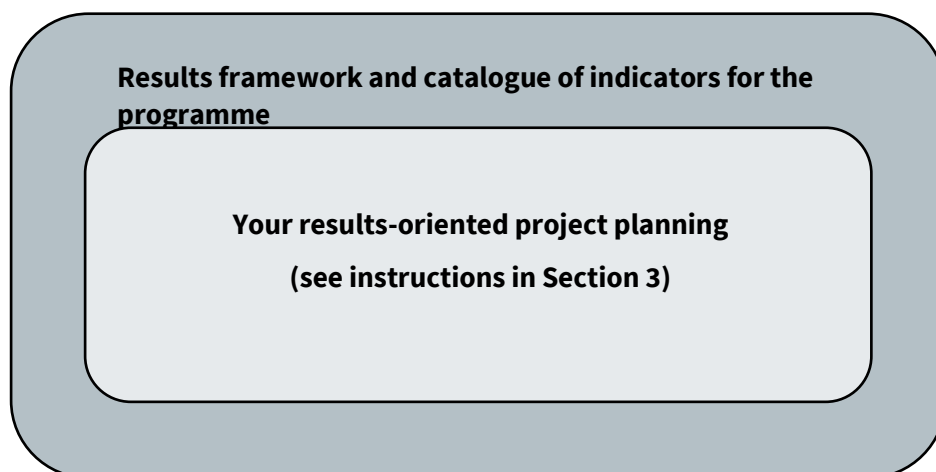


Results-oriented monitoring also supports transparency and accountability with respect to funding bodies, the public, and partners in Germany and abroad. The DAAD uses ROM to create a basis for success monitoring.

2. Requirements for results-oriented project planning

2.1 The structure of results-oriented project planning

The programme's results framework that is outlined in Section 4 and the catalogue of indicators in Section 5 form the structure of your results-oriented project planning. The purpose of a results framework is to **visualise the funding logic** of a programme. The catalogue of indicators clarifies how the DAAD reviews the effectiveness of the programme.



Your results-oriented project planning should be prepared based on the programme's results framework and catalogue of indicators. Results-oriented reporting allows for the status of project implementation and the achievement of goals to be assessed systematically in the form of a target-performance comparison. This is the basis for results-oriented management of a project and its further development in dialogue between the partners involved. In addition to this, the aggregated project information enables the DAAD to review the achievement of objectives of the programme and to determine areas that require adjustment.

2.2 The levels of the results framework

The results framework is the primary reference document for results-oriented planning. It illustrates the funding logic of a programme and comprises five different impact levels: inputs, measures/activities, programme results (outputs), programme objectives (outcomes) and impacts. The DAAD bases its definition of the five impact levels on the OECD/DAC definitions.¹

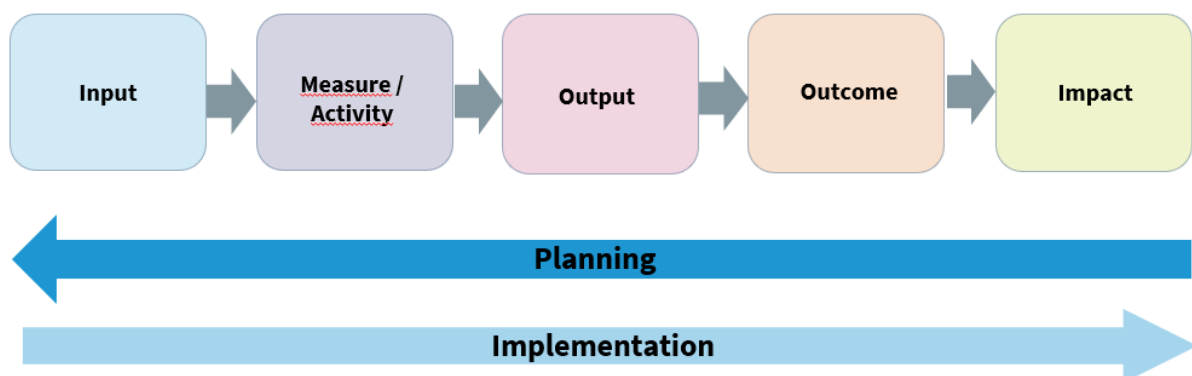
The levels of measures/activities, programme results (outputs) and programme objectives (outcomes) that you must specify in the project planning summary (please refer to the instructions in Section 3) are particularly relevant to results-oriented project planning.

Important note:

The programme's results framework allows for individual projects to focus on different aspects. Projects do not have to contribute to all programme objectives (outcomes).

The wording of project objectives and outputs allows for some flexibility. Project objectives must be in line with the programme objectives, i.e. it must be possible to assign all project objectives to programme objectives.

The first step of results-oriented **project planning** is to define the desired results as project objectives (outcomes). The next steps are to identify the desired project results (outputs), followed by measures/activities and finally the required inputs. **Implementation** takes place in reverse order, starting with the inputs and ending with the intended effects (project objectives (outcomes)).



Programme impacts

The higher-level programme objectives (**impacts**) describe the direct or indirect long-term effects of a programme. Impacts are usually reviewed in the context of evaluations (often ex-post), rather than being covered by monitoring. You therefore do not need to specify any impacts for your projects, since the projects contribute to the programme impacts through the project and programme objectives.

Examples of impacts: a contribution to structural support for teaching at the partner higher education institutions or to the institutions' level of internationalisation. There can be an additional second level of overarching objectives (impacts), such as 'establishing high-performing cosmopolitan universities'.

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/2754804.pdf> [20/10/2020].

Programme/project objectives (outcomes)

The programme/project objectives (**outcomes**) contribute to achieving the higher-level goals (**impacts**). The programme objectives are defined at the outcome level. You should specify these when preparing the results-oriented project planning for your project (as project objectives). The programme/project objectives (outcomes) describe the intended short and medium-term results that arise from using the outputs.

Examples of programme objectives (outcomes): availability and use of newly developed degree courses at the partner higher education institutions, which reflect the latest developments in science and suit the local context, or: establishment of specialist networks between the participating universities and other institutions.

Programme/project results (outputs)

Programme/project results (**outputs**) are results, services and changes that result from the measures/activities and that represent the intermediate stage towards programme/project objectives (outcomes). The use of the achieved results (outputs) allows for the project/programme objectives (outcomes) to be reached.

Examples of programme results (outputs) include: jointly developed curricula or teaching modules compiled within projects, the creation of structural conditions for degree courses at the partner higher education institutions, or the expansion and consolidation of contacts. Outputs also include personal skills gained or knowledge transmitted.

Measures/activities

The realisation of **measures/activities** in the context of a programme or a project gives rise to programme/project results (outputs). A measure/activity may comprise multiple interconnected individual activities, provided that these are pooled in a plausible manner.

Examples of measures/activities include: the organisation of events (including further training and continuing education activities), project-related stays, and the development/revision of teaching/learning materials.

Inputs

Input is required to realise measures/activities. Inputs include funding from the DAAD, as well as human, professional and infrastructural resources of the grant recipient and from third parties.

Examples of inputs: staff and material expenditure and expenditure for funded individuals, covered by funding from the DAAD; own and other resources provided by the grant recipient or by third parties, technical expertise, infrastructure and permanent staff.

2.3 The programme and project indicators

The inputs, measures/activities, results (outputs) and short and medium-term effects or objectives (outcomes) listed in the results framework are assigned programme indicators, 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. The DAAD uses the internationally used OECD/DAC definition of an indicator².

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].

You must specify meaningful indicators with precisely defined target values (**benchmarks**) for your project. These target values indicate how much should be deployed, implemented and achieved in the project within a specific time frame. These details must be defined to allow for a SMART indicator. Examples are provided in Section 3.1, item c.

SMART indicators

To define indicators, you should use the **SMART rule**. 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

3. How do I plan my project in a results-oriented manner?

3.1 Complete the project planning summary

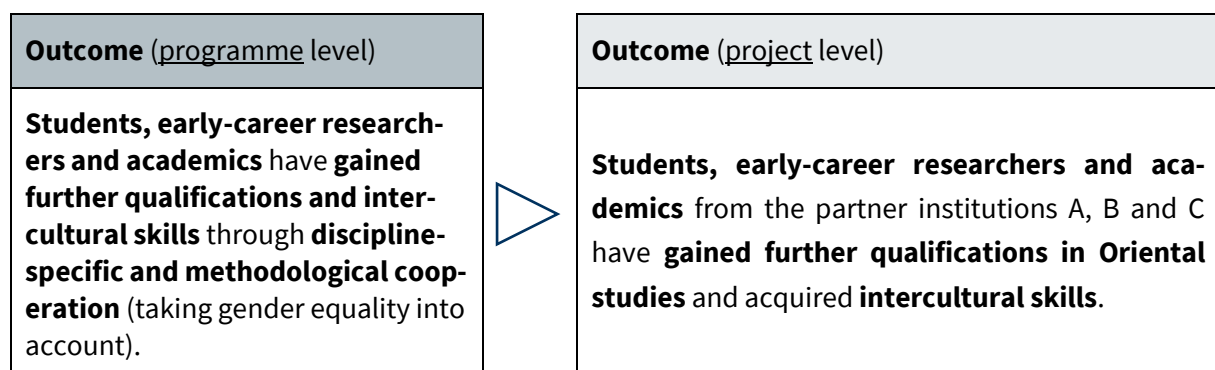
The first step of your results-oriented project planning is to complete the **project planning summary** table. Start by defining the desired short and medium-term results or objectives of your project (outcomes), followed by the required results (outputs) and suitable measures/activities. The measures/activities are not described in the project planning summary but in the project description (see Section 3.2 ‘Completing the project description’ below).

It is important that you provide a brief and clear account in the project planning summary, to allow for your project to be understood at a glance during the selection process. You do not need to develop a results framework or catalogue of indicators for your project. The essence of both documents should be presented in your project planning summary. Please use the [exemplary project planning summary](#) for orientation and make sure the information you provide is **presented briefly and clearly**.

You should proceed as follows based on the programme’s results framework:

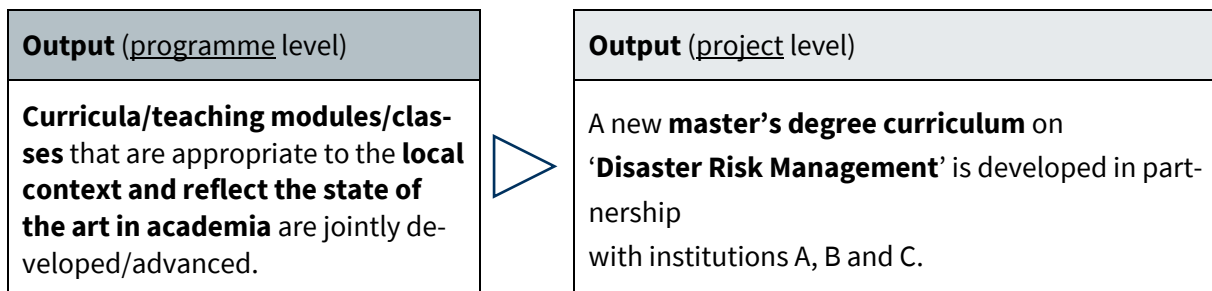
a) The first step is to define your **project objectives (outcomes)**. These describe the short and medium-term effects of your project. Based on the programme objectives (outcomes) you should specify all relevant details in the project objectives at project level (e.g. which higher education institutions, which course of study, etc.).

Example 1 Specifying the project objective (outcome)



b) The second step is to define your **project outputs**. Intended outputs are visible and quantifiable. Based on the outputs at the programme level you will then specify all relevant details in the outputs at the project level (e.g. which higher education institution, which course of study, etc.). The outputs result from the measures/activities and the outcome objectives should be reached through their use.

Example 2 Specifying the project output



What is the difference between outputs and outcomes?

The project outcomes describe the intended impact from using the outputs. For example, a curriculum must first be developed (output), before it can be provided and pursued by students (outcome).

c) In the third step, you must determine one meaningful **indicator** for each project-specific output or outcome. Ideally only one indicator should be specified for each desired output or project outcome. However, to record results and assess the achievement of objectives, it may be necessary to stipulate more than one indicator (e.g. number of classes and participants).

- **Specification:**
Use the programme indicators presented in Section 5, provided that these are relevant for your specific project plan and management. You may use the programme indicators for your project. These must be specified as project indicators in this case. You may also specify your own indicators, if the programme indicators do not allow for appropriate statements for your project.
- **Benchmarks:**
For each indicator, you have to specify how much should be deployed, implemented and achieved in the project within a specific time frame (**benchmarks**). These benchmarks are used to measure to what extent the objectives of the project and programme have been achieved. To do so, enter a specific value for your project regarding the ‘quantity’ of the programme indicator, and describe the time frame, e.g. 2 teaching modules should have been revised by the end of the third funding year. This helps with reviewing project progress and target achievement. The benchmarks should be determined based on your own experience, your higher education institution’s guidelines, experience values from similar projects, or discussions with partners and experts. Outline the indicators briefly but concisely. All indicators should meet the SMART standards (please refer to Section 2).

Do you also need to define project indicators for measures/activities?

No. The measures/activities are the eligible programme measures and they are therefore covered by the programme indicators.

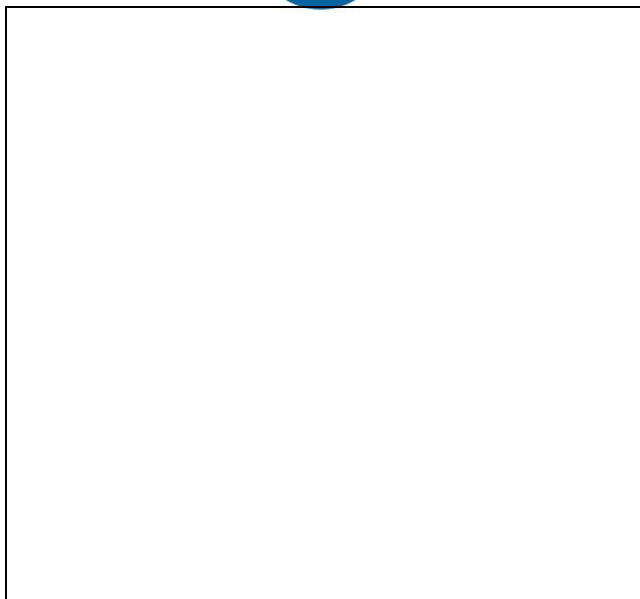
Example 1 Specification/benchmarks for indicators for project outcomes

Outcome (<u>programme level</u>)		Outcome (<u>project level</u>)
Students, early-career researchers and academics have gained further qualifications and intercultural skills through discipline-specific and methodological cooperation (taking gender equality into account).	▶	Students, early-career researchers and academics from the partner institutions A, B and C have gained further qualifications in Oriental studies as well as intercultural skills .
Indicator (<u>programme level</u>)		Indicator (<u>project level</u>)
Number of participants to complete continuing and further education measures (in the reporting year), differentiated by: <ul style="list-style-type: none"> • Gender • Type of qualification (e.g. discipline-specific, cross-disciplinary, didactic, methodological, intercultural) • Country of origin 	▶	5 students and 3 early-career researchers and academics from the partner universities A, B and C, at least 4 of whom are women , will have received further discipline-specific training in Oriental studies by the end of 2023 .

Example 2 Specification/benchmarks for indicators for project outputs

Output (<u>programme level</u>)		Output (<u>project level</u>)
Joint development of curricula/teaching modules/classes that suit the local context and reflect the state of the art in academia.	▶	A new master's degree curriculum on ' Disaster Risk Management ' is developed in partnership with institutions A, B and C.
Indicator (<u>programme level</u>)		Indicator (<u>project level</u>)
Number of newly developed or revised curricula, teaching modules, classes or other study offers (since funding started), differentiated by <ul style="list-style-type: none"> • Type (such as curricula, teaching modules) • Title/topic • New or revised • Level (e.g. bachelor's degree, master's degree) • Implementation status (e.g. coordinated internally) 	▶	For the 2023 winter semester , the new master's curriculum which was jointly developed by the three partner universities A, B and C on the topic of disaster risk management has been coordinated internally at the university as blended learning .

- at the university, tried and tested, offered)
- **Degree of digitisation** (e.g. in-person teaching, blended learning, online teaching)
 - **Involvement of non-university actors** (e.g. from science/research, business, civil society, public sector, no non-university actors)
 - **Number of partner institutions involved in the development**



d) In the fourth step, describe your **information sources and methods**. Be brief. A few examples could be existing accreditation, ECTS credit gained by the students while staying abroad, or coordinated concepts. Further options include participant lists from events or internal evaluations of classes and conferences.

Justified changes to the project plan are possible during the project in consultation with the DAAD. The programme indicators and the individual project indicators defined in your application form the frame of reference for the annual **report** submitted to the DAAD. This structured substantive report is submitted via a dedicated web-based monitoring tool. In addition to entering the quantitative indicators, there is also sufficient space for a qualitative description of your project results. The substantive report is part of the annual interim substantiation/evidence of use that must be submitted. It comprises the substantive report, numerical evidence (including a list of receipts) and any further documents that are listed in the grant agreement.

3.2 Completing the project description

The project description should provide for an outline of the project, the objectives and the time plan. Among other aspects, it should be prepared from the perspective of results-oriented project planning. With reference to the results logic, you should give an account of how the boxes of the project planning summary table are interconnected. The project description and the project planning summary table are interlinked. Please make sure to keep the project planning summary short and clear.

The results-oriented project plan is taken into account in **selection criterion 1** 'Relationship of the project to the programme objectives (as per the results framework) and results-oriented planning using indicators that meet the SMART criteria'.

Checklist regarding results-oriented project planning as a selection criterion:

- ✓ Clear relationship between the **project** objectives (outcomes) and the **project** results (outputs)
- ✓ Clear connection between the **project** and the **programme** objectives (outcomes) and the **programme** results (outputs)
- ✓ The project description clarifies comprehensively which measures/activities are to be realised over the course of time, and how these contribute to the **project**-specific results (outputs) and objectives (outcomes)
- ✓ **Project**-specific indicators have been developed based on the **programme**-specific indicators and in line with the SMART criteria



In the 'measures/activities' section, describe what the planned measures/activities entail along with their intended time frame.

Regarding the fundamentals and concepts used in ROM, please refer to Section 2 of this guide and to the [FAQ on results-oriented monitoring for project funding programmes](#). Here you will find important questions and answers and concise definitions of terms related to results-oriented monitoring.

4. Results framework for the ‘Higher Education Dialogue with the Muslim World’ programme

The results framework for the ‘Higher Education Dialogue with the Muslim World’ programme was developed by the DAAD. It forms the framework of reference specified for project funding in coordination with the funding body.

At the level of **impact**, the ‘Higher Education Dialogue with the Muslim World’ aims to make a long-term contribution to boosting intercultural dialogue among higher education institutions in Germany and the Muslim world. In addition to this, it contributes sustainably to improving the quality of research and teaching at the partner institutions and to establishing sustainable networks among higher education institutions and non-university actors in the target regions and in Germany. On a second impact level, the Higher Education Dialogue with the Muslim World therefore contributes to the development of high-performing cosmopolitan higher education institutions and to promoting dialogue and understanding between Germany and the Muslim world.

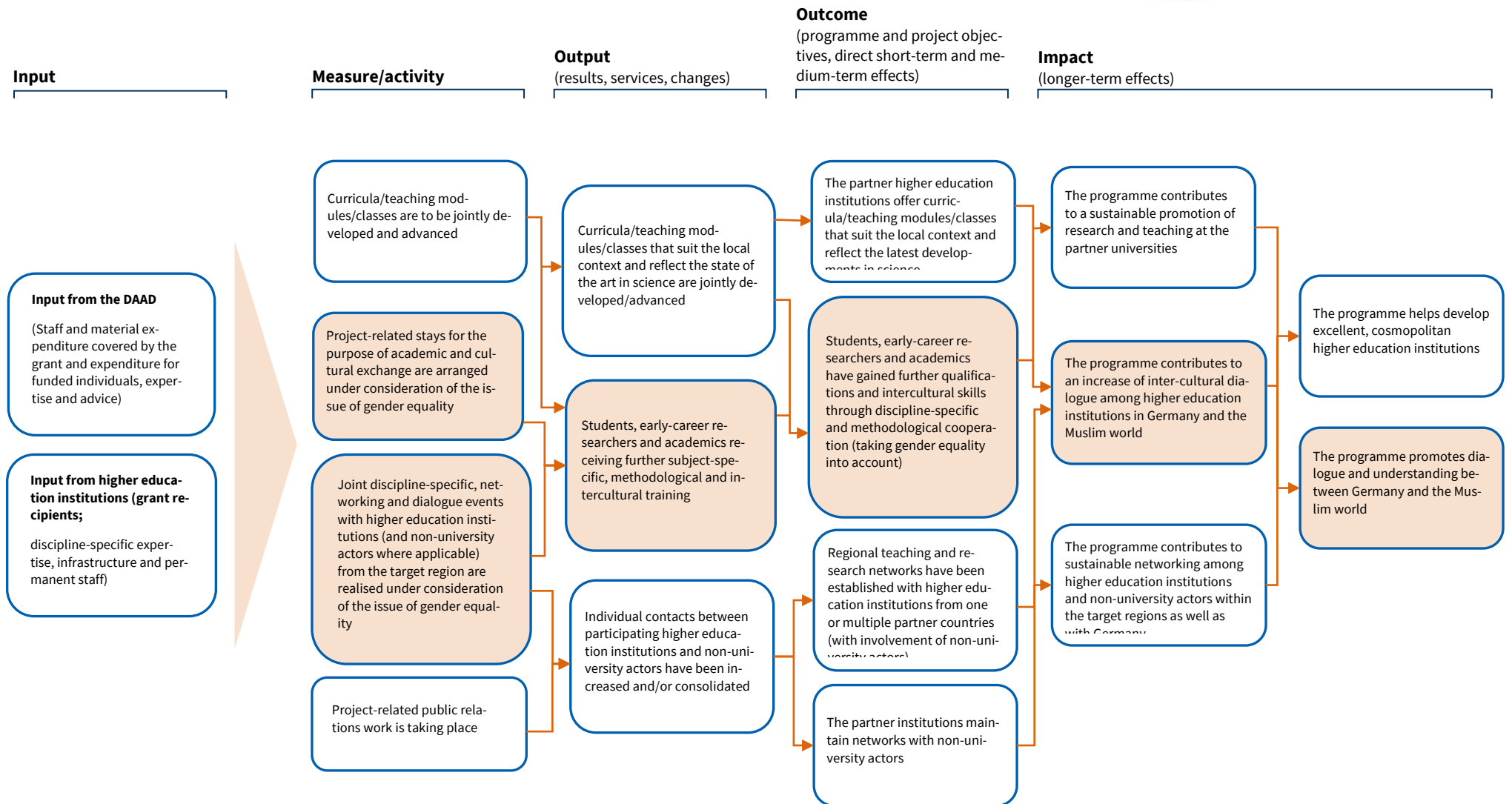
To contribute to the achievement of these long-term impacts, the programme pursues four **programme outcomes**:

1. The partner higher education institutions offer curricula/teaching modules/classes that suit the local context and reflect the state of the art in science.
2. Students, early-career researchers and academics have gained further qualifications and intercultural skills through discipline-specific and methodological cooperation (taking gender equality into account).
3. Regional teaching and research networks have been established among higher education institutions from one or multiple partner countries (with involvement of non-university actors).
4. The partner institutions maintain networks with non-university actors.

To achieve these objectives on the level of **outputs**, students, early-career researchers academics will receive further discipline-specific, methodological and inter-cultural training in the context of the projects of the ‘Higher Education Dialogue with the Muslim World’ programme. Curricula/teaching modules/classes that suit the local context and reflect the state of the art in academia will also be jointly developed or expanded. Planning also provides for individual contacts between participating higher education institutions and non-university actors to be increased and/or consolidated.

The participating higher education institutions and other institutions can implement various **measures/activities** to realise these **outputs**. Expenditure eligible for funding includes, for example, project-related stays for academic and cultural exchange or joint discipline-specific, networking and dialogue events with higher education institutions (and non-university actors where applicable) from the target regions, taking the issue of gender equality into account.

The stakeholders involved contribute **inputs** (see above) to implement university projects. On the part of the DAAD, this input is the grant, used to finance personnel expenditure, material expenditure, expenditure for funded individuals, expertise and consultants. On the part of the universities submitting the application and any additional partners, these inputs are the contributions of the grant recipient and project partners (discipline-specific expertise, infrastructure and permanent staff).



5. Indicators for the ‘Higher Education Dialogue with the Muslim World’ programme

The following **programme** indicators were set for the ‘Higher Education Dialogue with the Muslim World’ programme, for which the DAAD requests data in the context of the annual substantive reporting. This data helps the DAAD with programme management and accountability.

Measures/activities and allocated programme indicators

Measure/activity	Indicator
Curricula/teaching modules/classes are jointly developed/advanced	<p>Number of newly developed or revised curricula, teaching modules, classes or other study offers (since funding started), differentiated by</p> <ul style="list-style-type: none"> • Type (e.g. curricula, teaching modules, classes) • Title/topic • Newly developed or revised • Level (bachelor's degree, master's degree, PhD) • Implementation status (concept phase has begun) • Primary learning format (classroom teaching, blended learning, online teaching) • Involvement of non-university actors depending on the area (e.g. science/research, business, civil society, public sector, no non-university actors, other) • Number of partner institutions involved in the development
	<p>Qualitative description of the most important learning and teaching materials to be developed further and their benefits in the context of the project (since funding started)</p>
Project-related stays for the purpose of academic and cultural exchange are arranged under consideration of the issue of gender equality	<p>Number of funded individuals (in the reporting year) differentiated by:</p> <ul style="list-style-type: none"> • Gender • Country of citizenship • Sending country • Destination country • Status (e.g. bachelor's, master's, PhD, postdoc) • Duration of funding (days, weeks, months) • Subject group • Type of funding • Type of activity (e.g. study, research, discipline-specific course/workshop, internship, teaching) • Funding (new/continued funding)
	<p>Number of implemented funding streams (in the reporting year)</p>
Joint discipline-specific, networking and dialogue events with higher education institutions (and non-	<p>Number of discipline-specific, networking and dialogue events held (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Event location/country • Duration (in days)

<p>university actors where applicable) from the target regions are realised under consideration of the issue of gender equality</p>	<ul style="list-style-type: none"> • Format (e.g. workshops/seminars, symposia, conventions/conferences, spring/summer/autumn/winter schools, planning/management meetings, dialogue events, excursions/shadowing) • Degree of digitalisation (e.g. classroom teaching, blended learning, online teaching) • Educational (yes/no) • Type of qualification (e.g. technical, cross-disciplinary, teaching, administrative) • Target group(s) (e.g. students, early-career researchers (including doctoral candidates and postdocs), academics, lecturers)
	<p>Number of participants in discipline-specific, networking and dialogue events held (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Gender • Country of origin • Participants from more than two countries
<p>Project-related public relations work is taking place</p>	<p>Number of public relations and marketing activities (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Type of activity (website, social media, flyer/poster, (press) article, lecture/event, newsletter) • Target group (e.g. German teaching staff/higher education institutions, foreign teaching staff/higher education institutions, German students, foreign students, prospective students, professional partners)
	<p>Qualitative description of public relations work and marketing activities to increase the visibility of the projects (in the reporting year)</p>

Programme outputs and allocated programme indicators

Output	Indicator
<p>Curricula/teaching modules/classes that suit the local context and reflect the state of the art in science are jointly developed/advanced</p>	<p>Number of newly developed or revised curricula, teaching modules, classes or other study offers (since funding started), differentiated by type (e.g. curricula, teaching modules, classes)</p> <ul style="list-style-type: none"> • Type (e.g. curricula, teaching modules, classes) • Title/topic • New or revised • Level (e.g. bachelor's degree, master's degree, PhD) • Implementation status • Primary learning format (classroom teaching, blended learning, online teaching) • Involvement of non-university actors (e.g. from science/research, business, civil society, public sector) • Number of partner institutions involved in the development
	<p>Qualitative description of the curricula, teaching modules and teaching events developed as well as the value they have brought for the partner higher education institution or institutions involved (since the beginning of funding)</p>

<p>Students, early-career researchers and academics receiving further subject-specific, methodological and intercultural training</p>	<p>Number of further training and qualification events held, differentiated by</p> <ul style="list-style-type: none"> Type of qualification (e.g. discipline-specific, cross-disciplinary, didactic, methodological, intercultural)
<p>Individual contacts between participating higher education institutions and non-university actors have been increased and/or consolidated</p>	<p>Number of new active partners who design, manage and/or implement activities with the higher education institutions involved (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> Area (e.g. science/research, business, civil society, public sector/politics)
	<p>Number of consolidated contacts with existing partners (since funding started), differentiated by</p> <ul style="list-style-type: none"> Area (e.g. science/research, business, civil society, public sector/politics)

Programme outcomes and allocated programme indicators

Outcome	Indicator
<p>The partner higher education institutions offer curricula/teaching modules/classes that suit the local context and reflect the latest developments in science</p>	<p>Number of coordinated or introduced curricula, teaching modules, classes or other study offers (since funding started), differentiated by:</p> <ul style="list-style-type: none"> • Type (e.g. curricula, teaching modules, classes) • Title/topic • New or revised • Level (e.g. bachelor's degree, master's degree, PhD) • Implementation status • Primary learning format (classroom teaching, blended learning, online teaching) • Involvement of non-university actors (e.g. from the area of science/research, business, civil society (e.g. NGOs), public sector, no non-university actors) • Number of partner institutions involved in the development
<p>Students, early-career researchers and academics have gained further qualifications and intercultural skills through discipline-specific and methodological cooperation (taking gender equality into account).</p>	<p>Number of participants to complete continuing and further education measures (in the reporting year), differentiated by:</p> <ul style="list-style-type: none"> • Gender • Type of qualification (e.g. discipline-specific, cross-disciplinary, didactic, methodological, intercultural) • Country of origin
	<p>Qualitative description of the inter-cultural dimension of the discipline-specific and methodological cooperation</p>
<p>Regional teaching and research networks have been established among higher education institutions from one or multiple partner countries (with involvement of non-university actors)</p>	<p>Number of networks in which the higher education institutions that receive funding in the context of the DAAD programme are actively involved (since funding started), differentiated by</p> <ul style="list-style-type: none"> • Network name/designation • Specialist focus • Regional focus • Involvement of non-university actors (e.g. from the area of science/research, business, civil society (e.g. NGOs), public sector/politics, no involvement of non-university actors) • Added value for the project
	<p>Number of networks established/developed by the higher education institutions that receive funding in the context of the DAAD programme (since funding started), differentiated by</p> <ul style="list-style-type: none"> • Network name • Status (e.g. conception phase, concept completed, implementation started, implementation completed) • Partnership structure • Specialist focus

	<ul style="list-style-type: none"> • Regional focus • Involvement of non-university actors (e.g. from the area of science/research, business, civil society (e.g. NGOs), public sector/politics, no involvement of non-university actors) • Added value for the project
<p>The partner institutions maintain networks with non-university actors</p>	<p>Number of active non-university cooperation partners of the higher education institutions that receive funding in the context of the DAAD programme (since funding started), differentiated by:</p> <ul style="list-style-type: none"> • Name of the institution • Headquarters of the institution • Area (such as science/research, business, civil society (e.g. NGOs), public sector/politics) • Status of the partnership (e.g. specified in the grant agreement (with MoU), further partners (with MoU), further partners (without MoU)) • Development of the partnership (newly acquired, unchanged, consolidated, institutionalised, cooperation has ended)
	<p>Qualitative description of the development of and any changes to the cooperation in the context of the project in the reporting year (e.g. recruitment of new partner institutions, withdrawal of previously active partner institutions, strengthening of cooperation relationships)</p>