

Guide to Results-Oriented Project Planning and Monitoring

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Introduction and overview

The DAAD relies on results-oriented monitoring (ROM) to ensure that the goals of funding programmes and projects are achieved. As a higher education institution applying for funding programmes with ROM, you need to outline the intended goals of your project and the ways in which these are to be achieved. Further information about ROM and its benefits for higher education institutions and the DAAD is provided in this [video](#) (in German).

When drawing up your project application, you should read this Guide to ROM before completing the project planning overview and the project description.

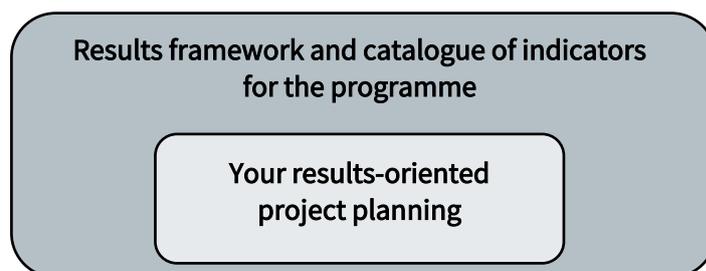
A short introduction with basic information about ROM is followed by a presentation of the most important steps that enable you to plan your project in a results-oriented manner. The results framework (in German: Wirkungsgefüge) and the catalogue of indicators for the funding programme serve as a basis for this. They can be found in the second part of this guide.

Please watch this [video](#) (in German) to learn more about applications with results-oriented project planning.

The answers to the most important questions about ROM can be found in our [FAQ on results-oriented monitoring](#) (in German).

1. Results framework and catalogue of indicators as a basis for results-oriented project planning

The funding programme's results framework (see 3) and the catalogue of indicators (see 4) form the basis for your results-oriented project planning. The purpose of a results framework is to **visualise the funding logic** of a programme and to present the goals the DAAD aims to achieve with the programme. The catalogue of indicators clarifies how the DAAD reviews the effectiveness of the programme.



1.1 Levels of the results framework

The results framework comprises five result levels:



Longer-term effects (impacts)

The impacts describe the intended direct or indirect longer-term effects of a programme.

Objectives (outcomes)

The short and medium-term effects (= programme objectives) the DAAD would like to achieve with its funding programme are defined on the outcome level. The programme objectives result from using the outputs and they contribute to achieving the impacts.

Results (outputs)

The intended results, services and changes (outputs) that result from the measures/activities and that are intermediate steps on the way towards reaching the programme objectives (outcomes) are outlined on the output level.

Measures/activities

The measures/activities as of the results framework correspond to the measures in a programme that are eligible for funding (see funding framework). The programme results (outputs) are achieved by performing the measures/activities.

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, the forwarding recipient and any additional parties.

1.2 Catalogue of indicators

The inputs, measures/activities, results (outputs) and short and medium-term effects or objectives (outcomes) listed in the results framework are assigned to programme indicators, which are listed in the catalogue of indicators (see 4). The DAAD reviews the effectiveness of its funding programmes by enquiring about the programme indicators in a structured manner in the annual substantive reports. The results also form the basis for the programme steering.

Note:

An indicator is a (quantitative or qualitative) variable or factor that constitutes a simple and reliable instrument for measuring and reflecting the changes achieved through the measure.

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

In **results-oriented project planning** you need to start with the intended project objectives (outcomes), then plan the corresponding project results (outputs) and finally the measures/activities.

2.1 Completing the project planning overview

You present your results-oriented project plan in the **project planning overview**. This tabular project planning summary illustrates the results logic of your project. It is important that you provide a **short and clear overview** by indicating specific project objectives (outcomes), project results (output) and measures/activities¹. You are welcome to use an [example of a completed project planning overview](#) (in German) for guidance.

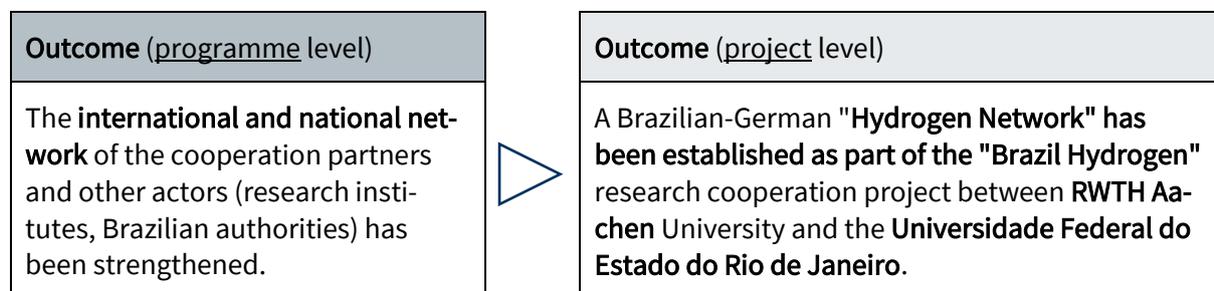
When planning your project, you are free to choose the wording for your results (outputs) and objectives (outcomes) and the ways in which you plan to achieve your goals. The project objectives must correspond to the programme objectives indicated in the results framework.

¹ You do not need to specify any impacts for your project.

Please proceed as follows when drawing up your results-oriented project plan:

a) The first step is to define your **project objectives (outcomes)**. You need to specify your intended project objectives based on the programme objectives (indicated in the results framework).

Example 1: Specifying the project objective (outcome)



b) The second step is to define your **project results (outputs)**. Intended outputs are visible and quantifiable. Based on the results (outputs) on the programme level you need to specify your intended project results (outputs) (e.g. which higher education institutions, which study programme, etc.).

Example 2: Specifying the project result (output)



c) In the third step, you should determine 1-2 meaningful indicators for each project specific output and outcome, respectively, based on the project's concept.

- **Specification:**
You may particularise programme indicators that apply to your project to match your purposes. You can also name your own indicators if needed.
Project indicators should only be specified for key aspects of the outputs and outcomes of the project.
- **Benchmarks:**
Specify for each indicator, how much should be deployed, implemented and achieved in the project within a specific time frame (**benchmarks**). This is vital to be able to check if objectives have been achieved. To determine benchmarks, you can refer to experience-based values from similar projects, references from your higher education institution or speak to partners and experts.

Please make sure that the indicators for your project fulfil the **SMART 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:** Goals are realistically achievable within the specified parameters

Relevant: meaningful in terms of the intended changes
Time-Bound: has a defined timeframe

Example 1: Specifying/benchmarking indicators for project objectives (outcomes)

Outcome (<u>programme</u> level)		Outcome (<u>project</u> level)
The international and national network of the cooperation partners and other actors (research institutes, Brazilian authorities) has been strengthened.	▷	A Brazilian-German " Hydrogen Network " has been established as part of the "Brazil Hydrogen" research cooperation project between RWTH Aachen University and the Universidade Federal do Estado do Rio de Janeiro .
Indicator (<u>programme</u> level)		Indicator (<u>project</u> level)
Number of networks newly established by participating universities with non-university actors (since the start of funding), differentiated by <ul style="list-style-type: none"> • Name of the Network • Number of network partners involved • Actors involved by field (e.g., science/research, economy/private sector, politics) • Network status (e.g., conception phase initiated, conception phase completed) 	▷	<p>By the end of 2023, the research cooperation project will have gained two more Brazilian research institutions, one more German research institution and Brazilian authorities as active network partners.</p> <p>In 2023, a network conference will be held in Brazil where partner universities will exchange views with stakeholders from science/research, economy/private sector and politics on the practical application of project research outputs.</p>

Example 2: Specifying/benchmarking indicators for project results (outputs)

Output (<u>programme</u> level)		Output (<u>project</u> level)
Brazilian and German students and/or scientists have realized their (postgraduate) studies, research and/or teaching stays .	▷	<p>German doctoral students have completed research stays at the Brazilian partner university.</p> <p>Brazilian Master's students have completed study stays at the German partner university.</p>
Indicator (<u>programme</u> level)		Indicator (<u>project</u> level)
Number of qualifications works realized as part of the project (since the start of funding), differentiated by <ul style="list-style-type: none"> • Home institution (German/Brazilian university) • Degree pursued (Master's, PhD) 	▷	<p>In 2023, two doctoral candidates from RWTH Aachen University completed a research stay at the Brazilian partner university.</p> <p>In 2023, 6 Master's students from the Brazilian partner university completed a study stay at RWTH Aachen.</p> <p>At least 50% of the sponsored Brazilian Master's students are women.</p>

d) The fourth step is to name the **information sources** and **methods** required for collecting the data for measuring the indicators. Please refer to the [Example of a project planning summary](#) (in German).

e) In the last column, state central assumptions and risks eventually. Keep your description concise. An exemplary assumption regarding the introduction of a new study programme would be that the partner university needs to fulfil the formal requirements for introducing a new master's programme, and that the approval of the relevant boards needs to be existent in due time. A corresponding risk would be that the decision processes within the partner university may be protracted and can hardly be influenced.

2.2 Completing the project description

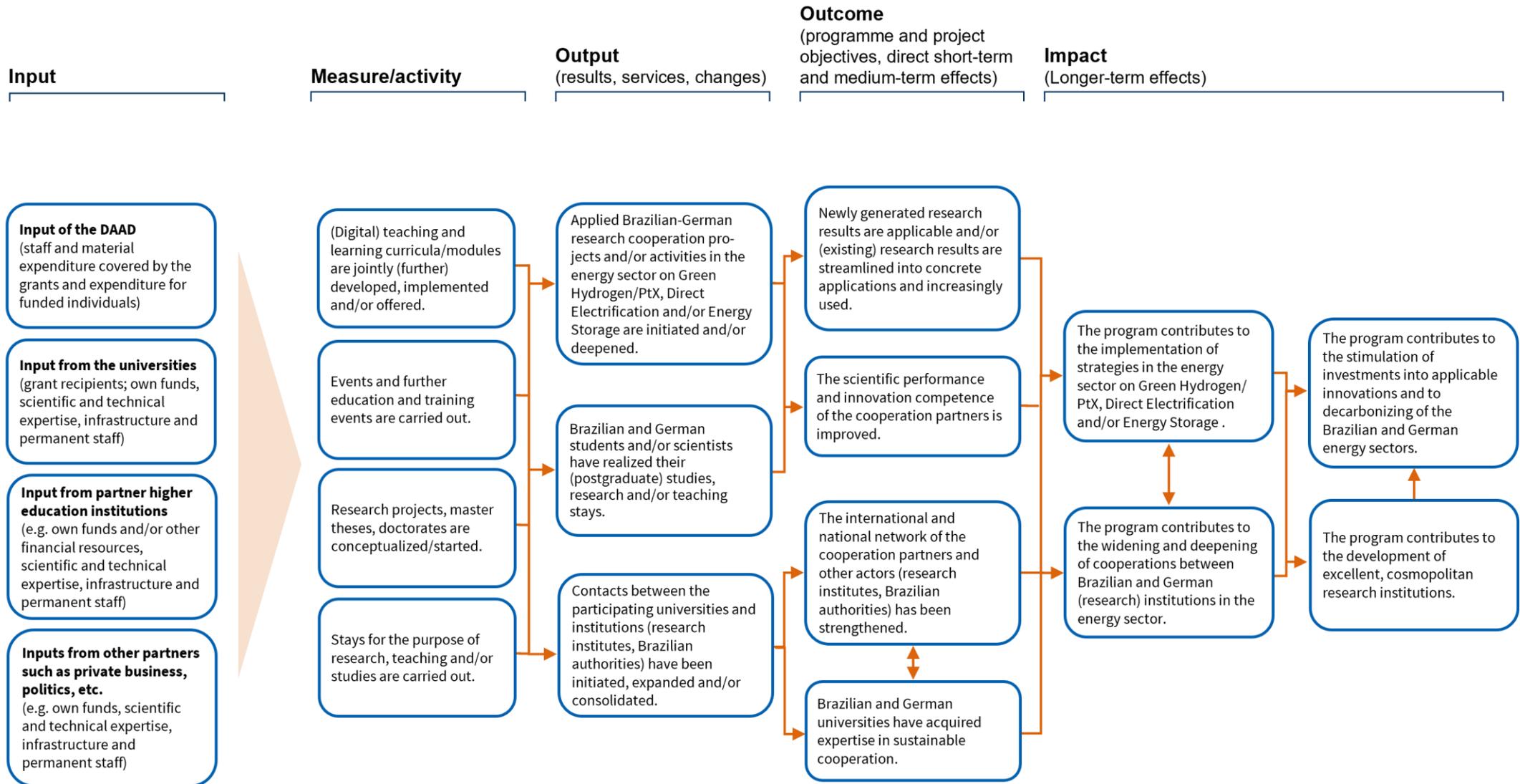
In the project description you need to outline your project with regard to its specialised content, as well as outlining the measures/activities in relation to your own project's objectives. You should take the results logic, programme objectives and selection criteria into account here. You also need to draw up a schedule for your project.

In the assessment of your project application, 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)
- ✓ The **project**-specific indicators meet the SMART criteria

3. Results framework for the funding programme 'German-Brazilian Research Cooperation in the Energy Sector – NoPa 2.0/Cooperation in the area of Green Hydrogen/PtX, Direct Electrification and Energy Storage'



4. Catalogue of indicators for the funding programme ‘German-Brazilian Research Cooperation in the Energy Sector – NoPa 2.0 / Cooperation in the area of Green Hydrogen/PtX, Direct Electrification and Energy Storage’

The following **programme indicators** were set for the programme German-Brazilian Research Cooperation in the Energy Sector, for which the DAAD requests data for the annual substantive reporting. This data supports the DAAD in its programme management and accountability.

Measures/activities and corresponding programme indicators

Measure/activity	Indicator
(Digital) teaching and learning curricula/modules are jointly (further) developed, implemented and/or offered.	Qualitative description of major (further) developed, implemented and/or offered teaching and learning materials and their use in the context of the project (in the reporting year)
Events and further education and training events are carried out.	Number of events held (in the reporting year), differentiated by <ul style="list-style-type: none"> • Title/topic • Place (country) • Duration (in days) • Type (e.g., workshops/seminars, symposia/conferences) • Digitalization (e.g., online, blended learning/hybrid) • Target group(s) (e.g., students at master’s level, PhD students) • Event for further education and training (yes/no) • Type of qualification (e.g., subject-specific, interdisciplinary)
	Number of participants at events held (in the reporting year), differentiated by <ul style="list-style-type: none"> • Gender • Trained lecturers • Origin (Brazil/Germany)
Research projects, master theses, doctorates are conceptualized/started.	Number of qualifications works conceptualized or started as part of the projects (since the beginning of funding), differentiated by <ul style="list-style-type: none"> • (Working)title • Gender • Home institution (German/Brazilian partner institution) • Grant pursued (e.g., master’s, PhD) • Study progress (studies initiated)

Measure/activity	Indicator
	<p>Number of conceptualized or started joint cooperation projects and/or activities (since the beginning of funding), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Thematic focus (e.g., direct electrification, green hydrogen/PtX) • Type of project (newly initiated project as part of cooperation; joint further development of an existing project) • Implementation status (conception phase initiated)
<p>Stays for the purpose of research, teaching and/or studies are carried out.</p>	<p>Number of persons funded (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Gender • Nationality • Status (e.g., students at master's level, PhD students) • Type of funding (e.g., research, studies) • Duration of funding • Subject group • Country of destination

Programme results (outputs) and allocated programme indicators

Output	Indicator
<p>Applied Brazilian-German research cooperation projects and/or activities in the energy sector on Green Hydrogen/PtX, Direct Electrification and/or Energy Storage are initiated and/or deepened.</p>	<p>Number of initiated and/or deepened joint cooperation projects and/or activities (since the beginning of funding), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Thematic focus (e.g., direct electrification, green hydrogen/PtX) • Type of project (newly initiated project as part of cooperation; joint further development of an existing project) • Implementation status (implementation initiated)
<p>Brazilian and German students and/or scientists have realized their (postgraduate) studies, research and/or teaching stays.</p>	<p>Number of qualifications works realized as part of the projects (since the beginning of funding), differentiated by</p> <ul style="list-style-type: none"> • (Working-)title • Gender • Home institution (German/Brazilian partner institution) • Grant pursued (e.g., master's, PhD) • Study progress (studies advanced)
	<p>Qualitative description of the findings and knowledge contributed by the German and Brazilian collaboration partners to the research projects or activities and to the teaching activities.</p>

Output	Indicator
<p>Contacts between the participating universities and institutions (research institutes, Brazilian authorities) have been initiated, expanded and/or consolidated.</p>	<p>Number of contacts initiated, expanded and/or consolidated in the context of the projects (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Area (e.g., university; non-university science/research) • Contact status (e.g., initial contacts, intensified/consolidated contacts, extended/additional contacts)

Programme objectives (outcomes) and allocated programme indicators

Outcome	Indicator
<p>Newly generated research results are applicable and/or (existing) research results are streamlined into concrete applications and increasingly used.</p>	<p>Number of realized joint cooperation projects and/or activities (since the beginning of funding), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Thematic focus (e.g., direct electrification, green hydrogen/PtX) • Type of project (newly initiated project as part of cooperation; joint further development of an existing project) • Implementation status (findings available, findings in implementation or application)
	<p>Qualitative description of newly developed research results and their potential applicability/benefits (since the beginning of funding)</p>
	<p>Qualitative description of the conversion of (existing) research results into concrete applications as well as their use and benefits (since the beginning of funding)</p>
<p>The scientific performance and innovation competence of the cooperation partners is improved.</p>	<p>Number of developed research and consultancy products (since the beginning of funding), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Type (e.g., project or research proposal) • Implementation status (e.g., conception phase, submitted)
	<p>Number of innovations developed (since the beginning of funding), differentiated by</p> <ul style="list-style-type: none"> • Name • Potential application areas (e.g., in the public sector, commercial use) • Implementation status (e.g., conception phase, in implementation)
	<p>Qualitative description of the subject-specific, methodological and/or practical or application-oriented skills/further qualifications acquired by students and (junior) scientists (in the reporting year)</p>

Outcome	Indicator
<p>The international and national network of the cooperation partners and other actors (research institutes, Brazilian authorities) has been strengthened.</p>	<p>Qualitative description of developments and, if necessary, changes in national and international cooperations within the framework of the project (e.g., recruiting of new partner institutions, withdrawal of formerly active partner institutions, strengthening of collaboration relationships) (in the reporting year).</p>
	<p>Number of networks newly established by participating universities with non-university Stakeholders (since the beginning of funding), differentiated by</p> <ul style="list-style-type: none"> • Name of the network • Number of network partners involved • Involved stakeholders by sectors (e.g., university; non-university science/research, economy/private sector) • Network status (e.g., conception phase initiated, conception completed)
	<p>Number of existing networks which the participating universities have expanded with non-university stakeholders (since the beginning of funding), differentiated by</p> <ul style="list-style-type: none"> • Name of the network • Number of network partners involved • Involved stakeholders by sectors (e.g., university; non-university science/research, economy/private sector) • Network status (e.g., establishment of new partnerships)
<p>Brazilian and German universities have acquired expertise in sustainable development cooperation.</p>	<p>Increase in expertise in development cooperation of German university's project team (since the beginning of funding).</p>
	<p>Qualitative description of the extent to which German and Brazilian universities are increasingly dealing with issues relating to sustainable development (e.g., via teaching courses, seminar papers, theses, through the dissemination of publications or within the context of the university strategy) and how the topic of sustainable development is being disseminated in universities (since the beginning of funding).</p>