

Guide to Results-Oriented Project Planning and Monitoring

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



Contents

1. Why do we use results-oriented monitoring (ROM)?	2
2. Requirements for results-oriented project planning	3
2.1 The structure of results-oriented project planning	3
2.2 The levels of the results framework	4
2.3 The programme and project indicators	5
3. How do I plan my project in a results-oriented manner?	6
3.1 Complete the project planning overview	6
3.2 Complete the project description	9
4. Results framework for the 'Programme name' programme	10
5. Indicators for the 'Programme name' programme	12

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 (Chapter 1), followed by step by step instructions for your results-oriented project planning (Chapters 2 and 3) that forms the basis of your application. Results framework and indicators for the programme are illustrated in the final part (Chapters 4 and 5).

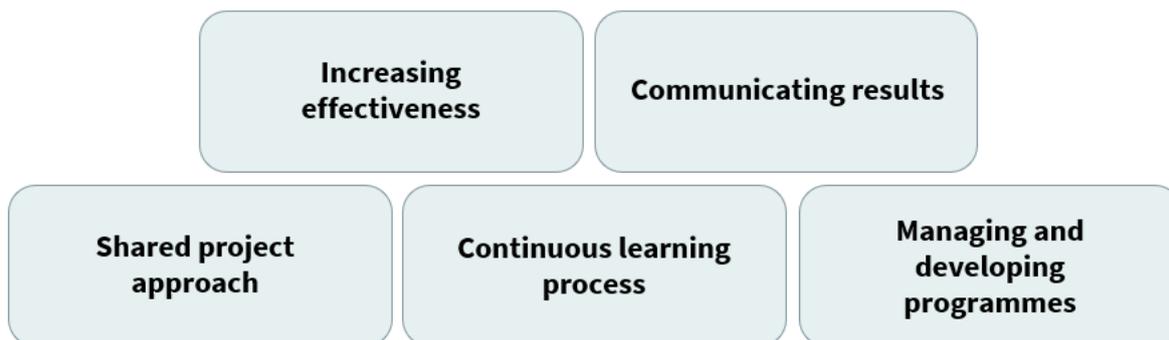
1. Why do we use results-oriented monitoring (ROM)?

As an organisation that is committed to continuous learning, the DAAD is 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 programme 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.
- ✓ By using specific indicators to define when your projects' goals are achieved, you can identify challenges early on and use your limited resources in a targeted manner. As such, a continuous learning process is possible.

- ✓ 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.

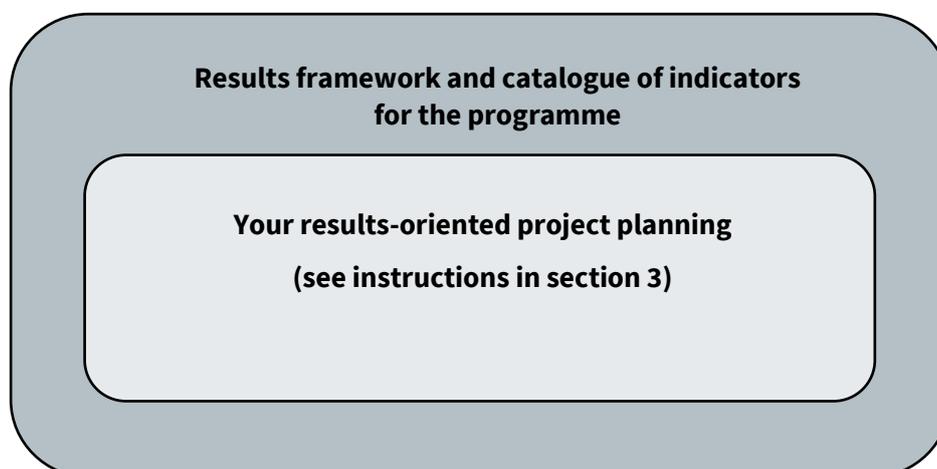


Results-oriented monitoring also supports transparency and accountability with respect to funding bodies, the public, and partners in Germany and abroad. The DAAD uses ROM to create a basis for control of success.

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 Chapter 4 and the catalogue of indicators in Chapter 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 levels of results: 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

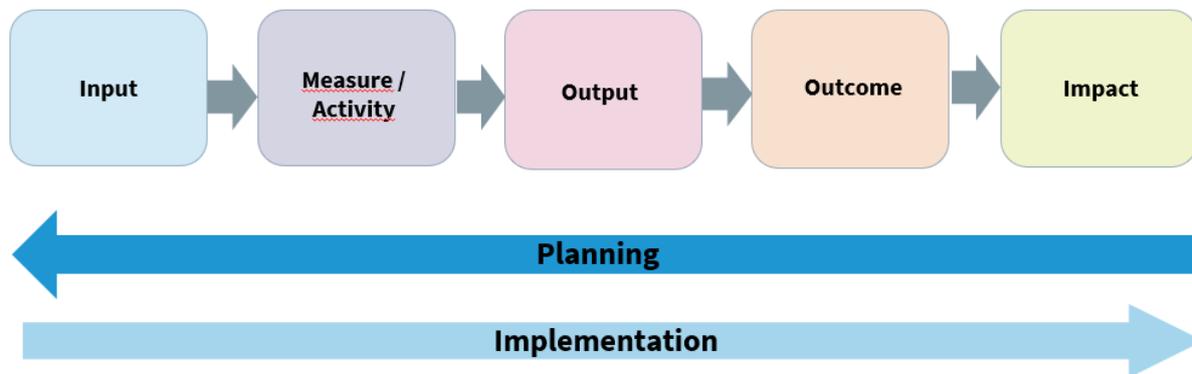
The levels of measures/activities, programme results (outputs) and programme objectives (outcomes) that you must specify in the project planning summary (please refer to the instructions in Chapter 3) are particularly relevant to results-oriented project planning.

Important note:

The programme's results framework allows for individual projects to focus on different aspects. A project does not necessarily need to contribute to all programme objectives (outcomes). However, it is essential that [*insert programme objective(s)*] is/are addressed.

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 **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

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].

additional second level of overarching objectives (impacts), such as ‘establishing high-performing cosmopolitan universities’.

Programme/project objectives (outcomes)

The programme/project objectives (**outcomes**) contribute to achieving the **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.

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 Chapter 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 overview

The first step of your results-oriented project planning is to complete the **project planning overview** 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 overview but in the project description (see Chapter 3.2 ‘Completing the project description’ below).

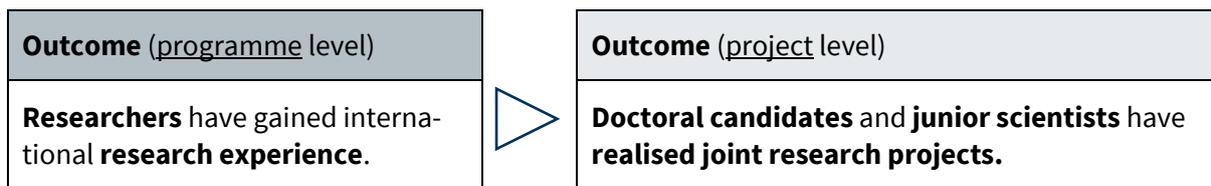
It is important that you provide a brief and clear account in the project planning overview, to allow for your project to be understood at a glance during the selection process. You do not need to develop a results framework or catalogue of indicators for your project. The essence of both documents should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

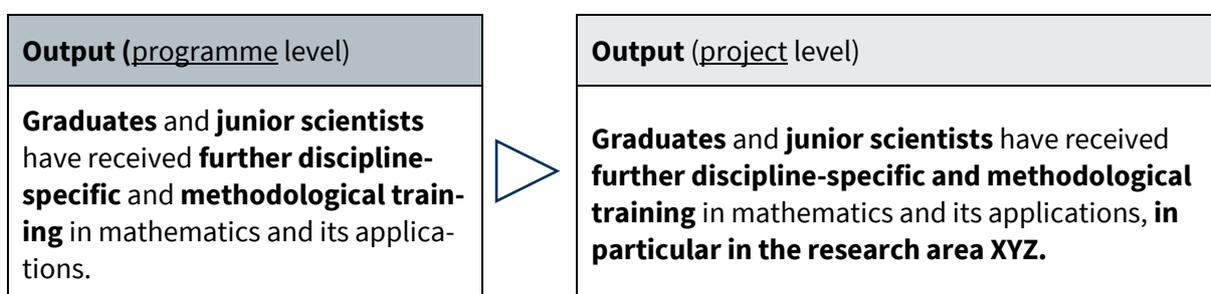
² cf OECD/DAC (2009): Glossary of Key Terms in Evaluation and Results Based Management. Available online at: <http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf> [20/07/2016].

Example 1 Specifying the project objective (outcome)



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

Example 2 Specifying the project result (output)



What is the difference between outputs and outcomes?

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

c) In the third step, you must determine one meaningful **indicator** for each project-specific result (output) or objective (outcome). Ideally only one indicator should be specified for each desired result (output) or project objective (outcome). However, to record results and make statements regarding the achievement of objectives, it can 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 you 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 Chapter 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 objectives (outcomes)

Outcome (<u>programme</u> level)		Outcome (<u>project</u> level)
Researchers have gained international research experience .	▷	Doctoral candidates and junior scientists have realised joint research projects .
Indicator (<u>programme</u> level)		Indicator (<u>project</u> level)
Number of research projects realised (since funding started), differentiated by <ul style="list-style-type: none"> • Title/topic • Implementation status • More than one foreign partner institution is involved (yes/no) 	▷	3 research projects on the topics XYZ will be completed in cooperation with partner institution A by the end of 2027

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

Output (<u>programme</u> level)		Output (<u>project</u> level)
Graduates and junior scientists have received further discipline-specific and methodological training in mathematics and its applications.	▷	Graduates and junior scientists have received further discipline-specific and methodological training in mathematics and its applications, in particular in the research area XYZ .
Indicator (<u>programme</u> level)		Indicator (<u>project</u> level)
Number of participants at continuing and further education events realised in the context of the cooperation (in the reporting year), differentiated by <ul style="list-style-type: none"> • Topic of the respective continuing and further education measure • Gender 	▷	10 master students and 2 doctoral candidates of the AIMS Centre Senegal , 3 master students of the AIMS Centre Rwanda and 2 doctoral candidates from the German partner institution , including at least 3 women , will have taken part in the further education measures XYZ at the AIMS Centre Rwanda by the end of 2027.

- **Country of origin**
- **More than one foreign partner institution is involved (yes/no)**
- **Institution**
- **Status (master students, doctoral candidates, postdocs)**

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 and your own evaluations of teaching events 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 web-based monitoring tool which has been developed specifically for this purpose. 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 Complete the project description

The project description should provide for an outline of the project, the objectives and the time plan. One of the ways of doing this is based on results-oriented project planning. With reference to the results logic, you should give an account of how the boxes of the project planning overview table are interconnected. The project description and the project planning overview table are interlinked. Please make sure to keep the project planning overview 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, refer to Section 2 of this guide.

4. Results framework for the ‘Programme name’ programme

The results framework for the Subject-related University Partnerships programme was developed by the DAAD. It forms the frame of reference agreed on with the sponsor for funding individual projects.

At the **impact level**, the Subject-based University Partnerships programme aims to foster sustainable development and promote high-performing, open-minded institutions of higher education in Germany and the partner countries. To achieve this, the structure of teaching at the partner higher education institutions is to be improved and existing collaborative structures between the participating higher education institutions are to be consolidated. The programme also aims to encourage German higher education institutions to become qualified partners in collaborative development work and assist them with their internationalisation strategies.

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

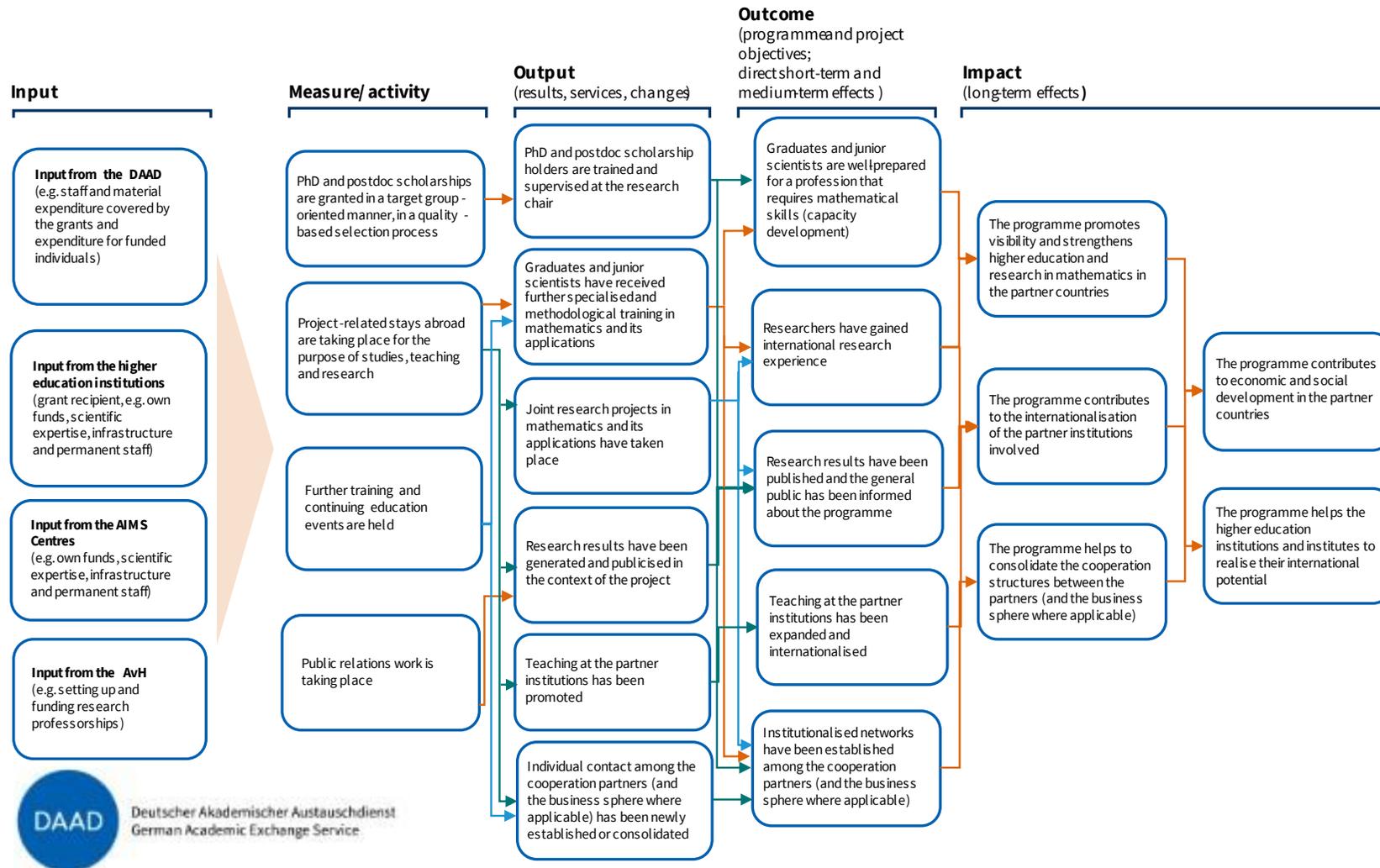
1. At the partner higher education institutions, **study programmes** are offered that suit the local context and meet the latest academic and scientific standards. The aim is for these to elicit the broadest possible demand at the partner higher education institutions, and that this demand can be measured by the number of the programme’s applicants, students and teachers.
2. By participating in the programme, German universities aim to acquire expertise in **development cooperation** so that they can contribute as development cooperation partners in the long term. This should encourage universities to introduce more development-relevant topics into their lectures, publications and seminar papers.
3. The aim is also to establish **networks** with development-relevant subject and geographical focuses between the participating universities and institutions, and that these networks should feature North-South, South-South or North-South-South partnership structures.

To achieve this, at the **output level** of projects in the Subject-based University Partnerships programme, development-relevant curricula and/or teaching modules shall be collaboratively developed that are appropriate to the local context and meet the latest academic and scientific standards. Furthermore, teaching staff at the partner higher education institutions are to be qualified in terms of subjects and didactics, and the structural conditions required for the introduction of study programmes are to be set up at the partner higher education institutions. Individual contacts between the participating higher education institutions and other institutions are to be extended and consolidated to establish developmentally relevant networks.

To realise these results (outputs), the universities and higher education institutions involved can implement various **measures/activities**. Eligible expenses include expenditure on further training and continuing education, workshops, project-related stays and the development/revision and procurement of teaching/learning materials, consumables and sundry small equipment (for details of funding, see Annex - Funding framework).

The stakeholders involved contribute **inputs** (see above) to implement university projects. From the point of view of the DAAD, this means the grant (which is used to finance personnel expenditure, material expenditure, expenditure for funded individuals); for the universities submitting the application and any other partners, it means the beneficiaries’ and project partners’ own contributions (such as technical expertise and infrastructure).

Results framework for the programme line: Higher Education cooperation with the African Institutes for Mathematical Sciences (AIMS)



5. Indicators for the programme ‘Higher Education Cooperation with the African Institutes for Mathematical Sciences (AIMS)’

The following **programme** indicators were set for the ‘Higher Education Cooperation with the African Institutes for Mathematical Sciences (AIMS)’ programme of Subject-related University Partnerships, 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
PhD and postdoc scholarships are granted in a target group-oriented manner, in a quality-based selection process	Qualitative description of the selection process for awarding scholarships (in the reporting year)
Project-related stays abroad are taking place for the purpose of studies, teaching and research	<p>Number of people funded in the context of the cooperation (in the reporting year), differentiated by³</p> <ul style="list-style-type: none"> • Gender • Posting country (DAAD key) • Country of nationality (DAAD key) • Destination country (DAAD key) • Status (PhD/postdoc) • Duration of funding • Type of funding
Further training and continuing education courses are held	<p>Number of continuing and further education events realised in the context of the cooperation (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Event location/country • Duration (in days) • Format (e.g. seminars, summer schools, field trips) • Type of qualification (e.g. subject-based, didactic, interdisciplinary (e.g. methodological), administrative) • Target group (e.g. master students, doctoral candidates, postdocs, experts, professors, administrative staff) • Degree of digitisation (e.g. classroom teaching, blended learning, online event)

³ This indicator includes those supported at the AvH chairs and at the German universities

Public relations work is taking place	<p>Channels used for public relations work (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Type <ul style="list-style-type: none"> - Website - Social media - Posters/printed matter - Newsletter - Others • Target group <ul style="list-style-type: none"> - German lecturers/universities - Foreign lecturers/universities - German students - Foreign students - Prospective students - Practice partners
	<p>Qualitative description of the scope of public relations (including links to the channels used for public relations work)(in the reporting year).</p>

Programme results (outputs) and allocated programme indicators

Output	Indicator
PhD and postdoc scholarship holders are trained and supervised at the research chair	<p>Number of DAAD scholarship holders at the AvH chairs (in the reporting year), differentiated by⁴</p> <ul style="list-style-type: none"> • Gender • Posting country (DAAD key) • Country of nationality (DAAD key) • Destination country (DAAD key) • Status (PhD/postdoc) • Duration of funding • Was the obtained MA degree recognised at the start of the scholarship period? • Standard period of study of the PhD programme • Excepted completion date of the PhD programme
	<p>Qualitative description of research activities and supervision of scholarship holders (in the reporting year).</p>
Graduates and junior scientists have received further specialised and methodolog-	<p>Number of participants at continuing and further education events realised in context of the cooperation (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Topic of the respective continuing and further education measure • Gender

⁴ Differentiations highlighted in gray are only relevant for the outcome level.

<p>ical training in mathematics and its applications</p>	<ul style="list-style-type: none"> • Country of origin (participants from Germany/participants from the partner countries) • More than one foreign partner institution is involved (yes/no) • Institution • Status (master students, doctoral candidates, postdocs) <p>Number of continuing and further education events attended with the support from the DAAD (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Provider name • Duration (in days) • Participants (from the project) • Type of qualification (e.g. discipline-specific, interdisciplinary (e.g. methodological), administrative)
<p>Joint research projects have taken place in the field of mathematics and its applications</p>	<p>Qualitative description of the research projects (in the reporting year).</p> <p>Number of research projects realised (since funding started), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Type of application (e.g. Project applications, research applications) • Implementation status • More than one foreign partner institution is involved (yes/no)
<p>Research results have been generated and publicised in the context of the project</p>	<p>Number of publications published in the context of DAAD funding (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Implementation status • Type (e.g. peer-reviewed specialist journals, non-peer-reviewed specialist journals, conference volumes, academic monographs, academic anthologies, reviews, project reports/technical reports/working papers (grey literature)) • Published in an open access medium? (yes/no/planned) • Is the publication the result of a doctorate funded via the programme (yes/no)
<p>Teaching at the partner institution has been promoted</p>	<p>Number of courses taught in the context of the cooperation (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Event location/country • Duration (in days) • Target group (master students, doctoral candidates, postdocs, teaching staff, administrative staff)

	<p>Number of participants in courses taught in the context of the cooperation (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Gender • Country of origin - Participants from Germany - Participants from the partner countries
<p>Individual contact among the cooperation partners (and the business sphere where applicable) has been newly established or consolidated</p>	<p>Number of consolidated contacts with existing partners (since funding started), differentiated by</p> <ul style="list-style-type: none"> • Status (researcher, higher education teachers, professors, entrepreneurs, others) • Field (science/research, business, other) • Institution • Value added to the project (free text, up to 300 characters)
	<p>Number of newly established contacts for collaboration (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Status (researchers, higher education teachers, professors, entrepreneurs, others) • Field (science/research, business, other)

Programme objectives (outcomes) and allocated programme indicators

Outcome	Indicator
<p>Graduates and junior scientists are well-prepared for a profession the requires mathematical skills (capacity development)</p>	<p>Description and assessment of research activities of funded junior scientists (since funding started).</p>
	<p>Number of DAAD scholarship holders at the AVH chairs (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Gender • Posting country (DAAD key) • Country of nationality (DAAD key) • Destination country (DAAD key) • Status (PhD/postdoc) • Duration of funding • Was the obtained MA degree recognised at the start of the scholarship period? • Standard period of study of the PhD programme • Expected completion date of the PhD programme
<p>Researchers have gained international research experience</p>	<p>Number of research projects realised (since funding started), differentiated by</p> <ul style="list-style-type: none"> • Title/topic • Realisation status <ul style="list-style-type: none"> - In concept - Submitted - Accepted - Rejected - In progress - Completed - Others • More than one foreign partner institution is involved (yes/no)
<p>Research results have been published and the general public has been informed about the programme</p>	<p>Number of publications published in the context of DAAD funding (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Implementation status Type (e.g. peer-reviewed specialist journals, non-peer-reviewed specialist journals, conference volumes, academic monographs, academic anthologies, reviews, project reports/technical reports/working papers (grey literature), encyclopaedia entries/review articles, articles in newspapers/journals/online publications) • Published in an open access medium? (yes/no/planned) • Is the publication the result of a doctorate funded via the programme (yes/no)
	<p>Number of talks as part of specialist congresses/conferences (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Name of the speaker

	<ul style="list-style-type: none"> • Name of the specialist congress or conference • Location/country (DAAD/key) • Title of the talk • Status of participants (doctoral candidates, researchers, higher education teachers, professors) • Institution • Type of contribution (presentation, workshop, participant of a panel discussion)
<p>Teaching at the partner institutions has been expanded and internationalised</p>	<p>Qualitative description of the improvement and internationalisation of teaching at the partner institution (since funding started)</p>
<p>Institutionalised networks have been established among the cooperation partners (and the business sphere where applicable)</p>	<p>Number of active cooperation partners in the funded partnerships and the AIMS network (since funding started), differentiated by</p> <ul style="list-style-type: none"> • Name of the institution • Location of the institution (DAAD key) • Type of cooperation (e.g. set out in the grant agreement (with MoU, additional partners with/without MoU) • Field (e.g. science/research, business) • Development of the partnership (new partner, unchanged, institutionalised, cooperation has ended)