Guide to Results-Oriented Project Planning and Monitoring

Contents

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.

Results framework and catalogue of indicators for the programme

Your results-oriented project planning
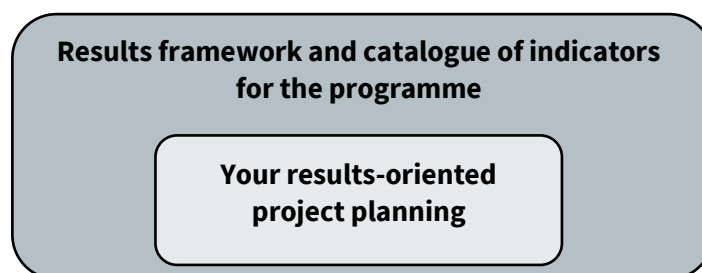
1.1 Levels of the results framework

The results framework comprises five result levels:

Input → Measure / activity → Output → Outcome → Impact
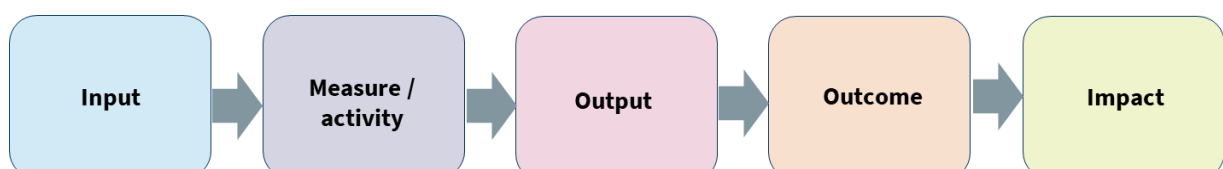
Longer-term effects (impacts)
The impacts describe the intended direct or indirect longer-term effects of a programme.

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/activities[1]. You are welcome to use an example of a completed project planning overview (in German) for guidance.
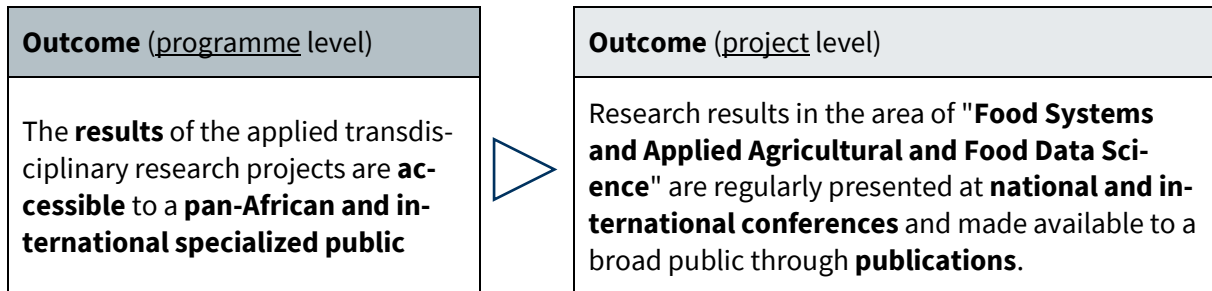
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[1] You do not need to specify any impacts for your project.

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.

Please proceed as follows when drawing up your results-oriented project plan:
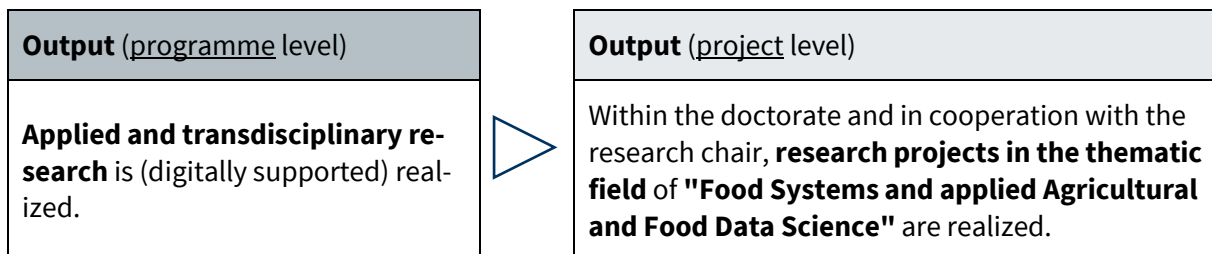
a) The first step is to define your **project objectives (outcomes).** You need to specify your intended project objectives based on the programme objectives (indicated in the results framework).

Example 1: Specifying the project objective (outcome)

Outcome (programme level)	**Outcome** (project level)
The **results** of the applied transdisciplinary research projects are **accessible** to a **pan-African and international specialized public**	Research results in the area of "**Food Systems and Applied Agricultural and Food Data Science**" are regularly presented at **national and international conferences** and made available to a broad public through **publications**.

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)

Output (programme level)	**Output** (project level)
Applied and transdisciplinary research is (digitally supported) realized.	Within the doctorate and in cooperation with the research chair, **research projects in the thematic field** of **"Food Systems and applied Agricultural and Food Data Science"** are realized.

c) In the third step, you should ideally determine only one **meaningful indicator** for each project-specific result (output) and objective (outcome), respectively. However, to be able to establish that an objective has been achieved, it may be necessary to specify more than one indicator (e.g. number of courses and number of participants).

- **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**:
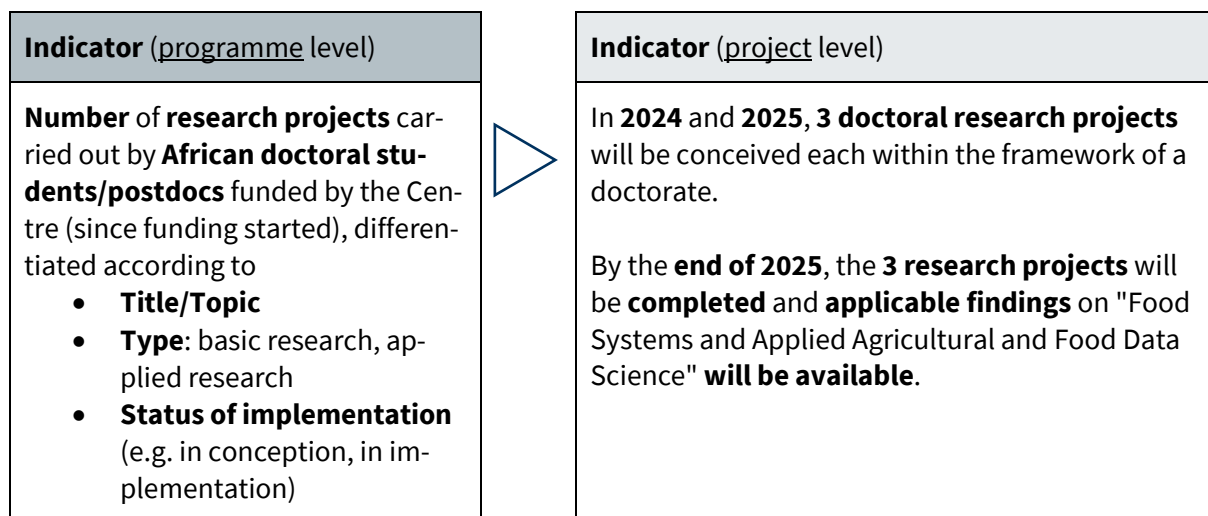
Specific: precise and unambiguous in terms of quality and quantity
                      (Who? What? How?)
Measurable: can be measured with reasonable effort and at reasonable cost
Attainable: Goals are realistically achievable within the specified parameters
Relevant: meaningful in terms of the intended 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 **results** of the applied transdisciplinary research projects are accessible to a **pan-African and international specialized public.**	The **results** of the research projects in the area of "Food Systems and Applied Agricultural and Food Data Science " are regularly made available to the pan-African and international public through **publication**.
Indicator (<u>programme</u> level)	**Indicator** (<u>project</u> level)
Number of publications of the Centre (without BMBF-funded research chair) (in the reporting year), differentiated by • **Author(s)** • **Type** of publication (e.g. article in peer-reviewed journal; contribution to scientific anthology, incl. conference proceedings)	**In 2024, 2 articles** will be submitted to **peer-reviewed journals.** **In 2025, 4 articles** will be submitted to **peer-reviewed journals.** Central findings from the research projects conducted at the research chair are edited in **at least 2 working papers per year** and made available on the DIGI-FACE platform.

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

Output (<u>programme</u> level)	**Output** (<u>project</u> level)
Applied and transdisciplinary research is (digitally supported) realized.	Within the framework of **doctorates and at the research chair**, **research projects** are carried **out in the thematic field of "Food Systems and Applied Agricultural and Food Data Science".**

Indicator (programme level)	Indicator (project level)
Number of **research projects** carried out by **African doctoral students/postdocs** funded by the Centre (since funding started), differentiated according to • **Title/Topic** • **Type**: basic research, applied research • **Status of implementation** (e.g. in conception, in implementation)	In **2024** and **2025**, **3 doctoral research projects** will be conceived each within the framework of a doctorate. By the **end of 2025**, the **3 research projects** will be **completed** and **applicable findings** on "Food Systems and Applied Agricultural and Food Data Science" **will be available**.

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).

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.

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 'Centre for Sustainable and Resilient Food Systems and Applied Agricultural and Food Data Science (Line C: Doctoral and post-doctoral funding for African PhD/Postdoc candidates)'

DAAD — Deutscher Akademischer Austauschdienst / German Academic Exchange Service

Input

Measure/activity

Output
(results, services, changes)

Outcome
(programme objectives, direct short-term and long-term effects)

Impact
(longer-term effects)

Input from the DAAD
(e.g. expenditure for staff, material and for funded individuals, covered by the grant)

Input from the higher education institutions
(grant recipients: e.g. own funds, scientific expertise, infrastructure and permanent staff)

Input from the partner higher education institutions
(by forwarding recipient, e.g. own funds, scientific expertise, infrastructure, and permanent staff)

Input from other partners
(e.g. own funds, scientific expertise) - e.g. NRF, DFG, World Bank, GIZ, Fraunhofer, SASSCAL, etc.

PhD scholarships for African doctoral candidates are awarded.

Postdoctoral scholarships and/or positions for African postdoctoral candidates are awarded.

Accompanying postdoctoral research projects as well as projects in the context of the training of the doctoral candidates are funded.

Working/strategy meetings are conducted.

Professionally qualified and methodologically competent (junior) scientists have conducted research projects and have obtained a PhD degree.

Applied and transdisciplinary research is (digitally supported) realized.

(Junior) scientists are (further) qualified in the field of applied and transdisciplinary research.

The (digital) supervision of doctoral and postdoctoral candidates at the participating partner universities and other universities in sub-Saharan Africa has been improved.

The results of the applied transdisciplinary research projects are accessible to a pan-African and international specialized public.

The programme contributes to enable the (further) trained persons to work in key academic and non-academic positions and as multipliers.

The programme contributes to a transfer of current research results to politics, business, civil society as well as academia and science.

The programme contributes to strengthen human and structural research capacities of the universities participating in the centre's network.

The programme contributes towards the competitiveness and sustainability of the Centres of African Excellence and actively supports relevant transfer cycles.

The programme contributes towards the implementation of the German government's guidelines regarding its Africa-related policies as well as the achievement of the SDGs.

The programme contributes towards the development of efficient, internationally networking as well as innovation- and research-oriented universities.

The programme contributes to strengthen applied/ practice-oriented, inter- and transdisciplinary international research collaboration.

The German version of this annex shall be legally binding.

4. Catalogue of indicators for the funding programme 'Centre for Sustainable and Resilient Food Systems and Applied Agricultural and Food Data Science (Line C: Doctoral and post-doctoral funding for African PhD/Postdoc candidates)'

The following **programme** **indicators** were set for the Subject-related University Partnerships programme, 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
PhD scholarships for African doctoral candidates are awarded.	**Documentation of the quality-based allocation of doctoral scholarships on the basis of the catalogue of criteria (in the reporting year)**
	Qualitative description of the selection process for allocation of doctoral scholarships (since funding started)
	Number of individuals funded (in the reporting year), differentiated by • Gender • Country of citizenship • Status: Doctoral students
Postdoctoral scholarships and/or positions for African postdoctoral candidates are awarded.	**Documentation of the quality-based allocation of postdoc positions on the basis of the catalogue of criteria (in the reporting year)**
	Qualitative description of the selection process for allocation of postdoc positions (since funding started).
	Number of individuals funded (in the reporting year), differentiated by • Gender • Country of citizenship • Status: Doctoral students
Accompanying post-doctoral research projects as well as projects in the context of the training of the doctoral candidates are funded.	**Number of small research projects carried out by (post-)doctoral students (in the reporting year), differentiated by** • Designation of the project • Home university • Department • Level (e.g., bachelor's degree, master's degree) • Status (doctoral student; postdoctoral researcher) • Amount of funds awarded

Measure/activity	Indicator
Working/strategy meetings are conducted.	**Number of working/strategy sessions held (in the reporting year) funded by the DAAD grant, differentiated by** • Title/Topic • Venue/Country • Duration in days • Involvement of non-university actors according to different sectors (e.g., science/research, business, civil society, public sector/politics)
	Number of participants in the working and strategy meetings financed by the DAAD grant (in the reporting year), differentiated by • Gender (m/f/d) • Origin (participants from host country, participants from other African countries, participants from countries outside Africa) • Type (internal, belonging to the project / external, not belonging to the project)
	Qualitative description of the central goals and results of the working/strategy meetings (in the reporting year)

Programme results (outputs) and associated programme indicators

Output	Indicator
Professionally qualified and methodologically competent (junior) scientists have conducted research projects and have obtained a PhD degree.	**Qualitative description of the thematic focus of the research work realised within the framework of the doctoral scholarships and by postdocs (since funding started)**
Applied and transdisciplinary research is (digitally supported) realized.	**Number of research projects of African doctoral candidates/postdocs realised at the Centre of Excellence with project funding (since funding started), differentiated by** • Title/ Topic • Type (basic research, applied research) • Status of implementation (e.g., in conception, in implementation) • Involved partners

Programme objectives (outcomes) and allocated programme indicators

Outcome	Indicator
(Junior) scientists are (further) qualified in the field of applied and transdisciplinary research.	**Qualitative description of the qualifications acquired by the (young) researchers in the area of application-oriented and transdisciplinary research (since funding started).**
The (digital) supervision of doctoral and postdoctoral candidates at the participating partner universities and other universities in sub-Saharan Africa has been improved.	**Newly introduced or revised standard procedures at the Centre for the quality assurance of the supervision of doctoral candidates and post-docs (since funding started), differentiated by** • Areas for which standard procedures for quality assurance have been introduced (e.g., competence of teaching staff or supervisors, didactic-methodical design of supervision, technical-content design of supervision measures, infrastructural equipment). • Newly developed or revised • Implementation status (e.g., conception/revision started, conception/revision completed)
	Qualitative description of the improvement in supervision services, particularly in the training of doctoral students and postdocs (also in relation to digitalisation) and naming of the other partner universities involved in sub-Saharan Africa (since funding started)
The results of the applied transdisciplinary research projects are accessible to a pan-African and international specialized public.	**Number of publications of the Centre of Excellence (excluding BMBF-funded research chair) (in the reporting year), differentiated by** • Author(s) • Title • Type of publication (e.g., article in peer-reviewed journal, contribution to scientific anthology, incl. conference proceedings, scientific monograph) • Originated in the context of a doctorate funded by the programme (yes/no) • Published in an open access medium (yes/no/planned)
	Number of active participations of the Centre of Excellence (without BMBF-funded research chair) in scientific conferences (in the reporting year).
	Number of scientific awards, prizes, etc. (excluding BMBF-funded research chair) (in the reporting year), differentiated by • Type/designation of the prize

Outcome	Indicator
	Qualitative description of the research projects realised with project funds from the Centre of Excellence (without BMBF-funded research chair), their social relevance (including application relevance and transdisciplinarity) and, if applicable, the digital instruments with whose support the research projects are or were realised (since funding started).