

Guide to Results-Oriented Project Planning and Monitoring

Contents

Introduction and overview	2
1. Results framework and catalogue of indicators as a basis for results-oriented project planning	2
1.1 Levels of the results framework	2
1.2 Catalogue of indicators	3
2. How do I plan my project in a results-oriented manner?	3
2.1 Completing the project planning overview	3
2.2 Completing the project description	6
3. Results framework for the funding programme ‘Subject-Related Partnerships with Institutions of Higher Education in Developing Countries’	6
4. Catalogue of indicators for the funding programme ‘Subject-related University Partnerships’	7

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.

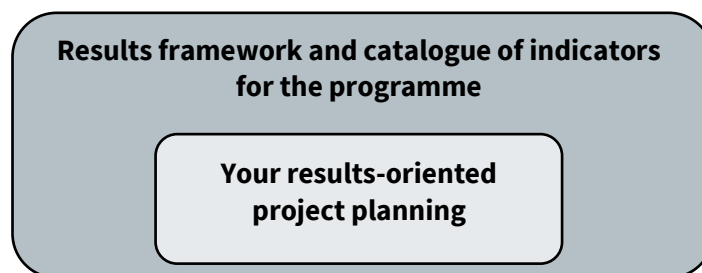
A short introduction with basic information about ROM is followed by a presentation of the most important steps that enable you to plan your project in a results-oriented manner. The results framework (in German: Wirkungsgefüge) and the catalogue of indicators for the funding programme serve as a basis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

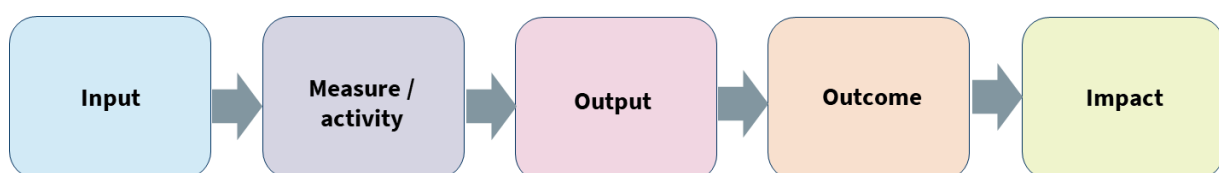
1. Results framework and catalogue of indicators as a basis for results-oriented project planning

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

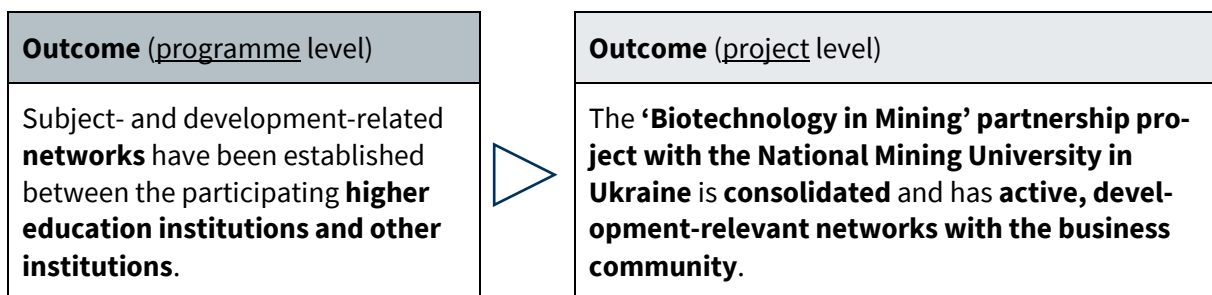
measures/activities¹. You are welcome to use an [example of the project planning overview](#) (in German) for guidance.

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.

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

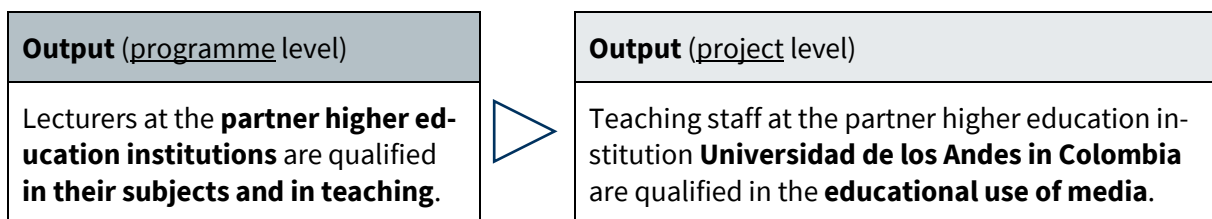
a) The first step is to define your **project objectives (outcomes)**. You need to specify your intended project objectives based on the programme objectives (indicated in the results framework).

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) The third step is to use the project plan to determine in each case 1 to 2 meaningful indicators for each project-specific output and/or outcome. 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.

¹ You do not need to specify any impacts for your 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**:

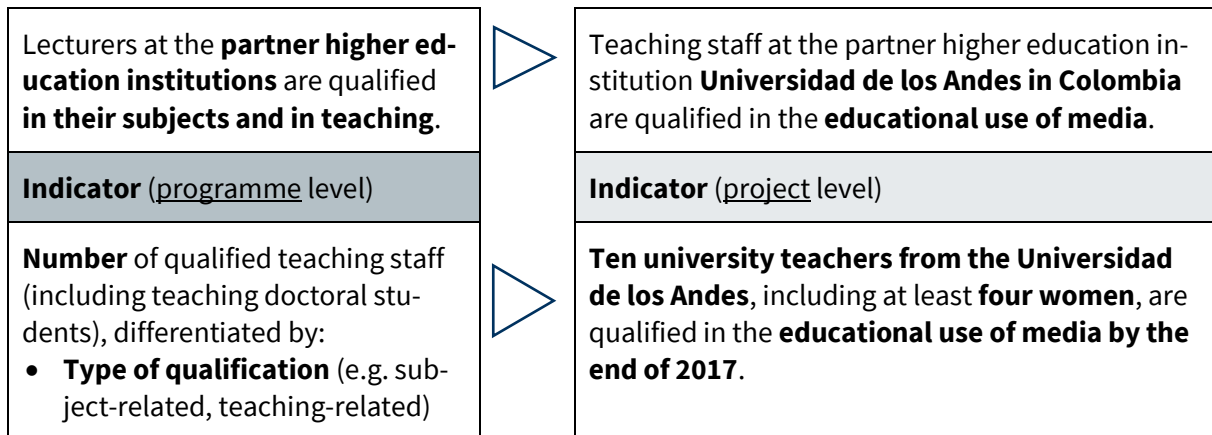
- Specific:** precise and unambiguous in terms of quality and quantity (Who? What? How?)
- Measurable:** can be measured with reasonable effort and at reasonable cost
- Attainable:** Goals are realistically achievable within the specified parameters
- Relevant:** meaningful in terms of the intended changes
- Time-Bound:** has a defined timeframe

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

Outcome (<u>programme level</u>)		Outcome (<u>project level</u>)
Subject- and development-related networks have been established between the participating higher education institutions and other institutions .	▶	The ‘Biotechnology in Mining’ partnership project with the National Mining University in Ukraine is consolidated and has active, development-relevant networks with the business community .
Indicator (<u>programme level</u>)		Indicator (<u>project level</u>)
Number of active cooperation partners in the funded partnerships, differentiated by <ul style="list-style-type: none"> • Name of the institution • Headquarters of the institution • Field (such as science/research, business, politics) • Type (as defined in the grant agreement, further partners) • Development of the partnership (for instance unchanged, consolidated) 	▶	The cooperation between TU Freiberg and the National Mining University in Ukraine is to be further consolidated until the end of 2018 . By the end of 2019, at least two regionally based businesses have joined the partnership project as active cooperation partners.

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

Output (<u>programme level</u>)	Output (<u>project level</u>)
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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 the project planning overview](#) (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

Results framework for the "SDG Partnerships" funding programme **You can find the [effect structure via this link.](#)**

3. Catalogue of indicators for the "SDG Partnerships" funding programme

The following programme indicators were set for the SDG 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
Teaching/learning materials, consumables, sundry small equipment, etc. relevant to project implementation are developed/revised and procured.	Expenditure of teaching/learning materials, consumables and minor equipment (in EUR, in the reporting year)
	Qualitative description of the most important teaching and learning materials, consumables and equipment and how they are of use to the project (in the reporting year)
Events are held	Number of events held (in the reporting year), differentiated by <ul style="list-style-type: none"> Title/topic Event location/country Duration (in days) Format (e.g. planning/management meetings, workshops, conferences)
	Number of people participating in the events (in the reporting year), differentiated by <ul style="list-style-type: none"> Gender
Further training and continuing education courses are held	Number of further training and continuing education courses conducted (in the reporting year), differentiated by <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)
	Number of participants in further training and continuing education (in the reporting year), differentiated by <ul style="list-style-type: none"> Gender
	Number of grants realised (in the reporting year)

<p>Project-related stays are carried out</p>	<p>Number of people supported (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Gender • Country of nationality • Status (e.g. BA/MA students, doctoral students, professors) • Type of funding (new/further funding) • Duration of support (days, weeks, months) • Subject group • Destination country (Germany, partner country) • Type of stay: (research, specialised course/workshop, internship, study, teaching)
<p>Target group-oriented public relations and marketing measures are realised</p>	<p>Number of public relations and marketing measures / activities (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Type of measure / activity, marketing channel (e.g. website, social media, flyers/posters, (press) articles, presentations/events, newsletter, other) • Target group (e.g. German teachers/universities, foreign teachers/universities, German students, foreign students, prospective students, practice partners)
	<p>Qualitative description of public relations and marketing measures/activities to increase the security of the projects (in the reporting year).</p>
<p>SDG-relevant research is being conducted</p>	<p>Number of research/consultancy products developed (since the start of funding), broken down by</p> <ul style="list-style-type: none"> • Title/Topic • Type (e.g. project and research proposals, public sector consulting (incl. policy advice), project and research proposals, public sector consulting (incl. policy advice), other) • Implementation status (in conception, Submitted, Application accepted / consultation commissioned, Rejected, In implementation, Completed, Other) • Type of research (applied research, basic research, other)

Field of action TEACHING

Programme results (outputs) and allocated programme indicators

Output	Indicator
Curricula / teaching modules related to the SDGs that correspond to the local context and the state of the art are jointly (further developed/improved)	<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) • Title/topic • New or revised • Level (e.g. bachelor's degree, master's degree) • Implementation status (conception phase started, available in draft form, agreed internally, trialled, offered, accredited, other) • Primary teaching/learning format (degree of digitalisation) (e.g. face-to-face teaching, blended learning, online teaching) • Inclusion of non-university stakeholders (e.g. science/research, business, n) • Number of partner institutions involved in the development <hr/> <p>Number of labour market-relevant (study-related) offers (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Title/Topic • Type (e.g. internships integrated into degree programmes, career centres, incubators, internship exchanges, ToT, other) • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other?)
Teaching staff at the partner higher education institutions are professionally and didactically qualified	<p>Number of qualified teaching staff (including teaching doctoral students) (in the reporting year), differentiated by</p> <ul style="list-style-type: none"> • Gender • Type of qualification (e.g. subject-based, didactic, interdisciplinary)
Structural prerequisites for courses of study have been established	<p>Number of newly created or improved processes and structures for the study programmes (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Name/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other)

	<ul style="list-style-type: none"> • Field (e.g. teaching, research, university management) • Implementation status • Contribution to improving the respective area
Non-university stakeholders are actively involved in the development of teaching and learning	<p>Number of non-university stakeholders actively involved in the <u>development of teaching (in the reporting year)</u>, broken down by</p> <ul style="list-style-type: none"> • Involvement of non-university stakeholders (science/research, business, civil society (e.g. NGOs), public sector/politics, no non-university stakeholders involved, other)
	<p>Number of additional contacts gained that support dissemination in the field of teaching (since the start of funding), broken down by</p> <ul style="list-style-type: none"> • University vs. non-university actors • Outreach (contact from the partner country or partner countries, contact from another partner country) • Area (science/research, business, civil society, public sector/politics, other)

Programme objectives (outcomes) and allocated programme indicators

Outcome	Indicator
The partner higher education institutions offer SDG-related study/qualification degree courses that suit the local context and reflect the latest developments in science	<p>Number of curricula, teaching modules, teaching events and other study offerings agreed on or already introduced and made available (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Type (e.g. curricula, teaching modules) • Title/topic • New or revised • Level (e.g. bachelor's degree, master's degree) • Implementation status (e.g. agreed, tested, offered) • Primary teaching/learning format (degree of digitalisation) (face-to-face teaching, blended learning, online teaching) • Inclusion of non-university stakeholders (e.g. business, politics) • Number of partner institutions using the study offerings
	<p>Number of planned study places for study offerings that have been revised or newly developed with the help of the programme (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Type (e.g. curricula, teaching modules)
	<p>Number of applicants for study offerings that have been revised or newly developed with the help of the programme (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Type (e.g. curricula, teaching modules)

	<p>Number of students in courses that were updated or newly developed with support from the programme (since funding started), differentiated by</p> <ul style="list-style-type: none"> • Type (e.g. curricula, teaching modules) Gender (m/f/d)
	<p>Number of teachers in courses of study that have been revised or newly developed with the help of the programme (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Type (e.g. curricula, teaching modules)
Procedures for transferring teaching programmes to other higher education institutions are established.	<p>Number of procedures established to transfer teaching programmes to other universities (since the start of funding), broken down by</p> <ul style="list-style-type: none"> • Title/Topic • Newly developed or revised (newly developed, revised) • Status of implementation (concept partially adopted / adapted, concept fully adopted, implementation initiated, implementation completed, other)
	<p>Number of partner institutions offering study programmes that have been revised or newly developed (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Type of partner (internal/external to the project) • Name • Location of the institution

Field of action RESEARCH

Output	Indicator
Scientists are trained in research methods	<p>Number of scientists who were trained in research methods (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Gender • Status (junior researcher, visiting researcher, other)

Output	Indicator
Scientists have realised research projects on topics relating to global contexts and challenges	<p>Number of research/consulting products realised (since the start of funding), broken down by</p> <ul style="list-style-type: none"> • Title/Topic • Type (project and research proposals, public sector consulting (incl. policy advice), other)) • Implementation status (in conception, submitted, application accepted / consultation commissioned, rejected, in implementation, completed, other) • SDG reference (yes/no) • Type of research (applied research, basic research, other)
Non-university stakeholders are involved in research activities	<p>Number of non-university stakeholders involved in research activities (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Area (science/research, business, civil society, public sector/politics, other)
	<p>Qualitative description of involvement in research (e.g. type of activity, topic, area, degree of institutionalisation) (in the reporting year)</p>
Structural conditions for research at the partner universities are improved	<p>Number of new or improved processes and structures for research at the partner universities (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area
Other (non-)university stakeholders are involved in the partnership	<p>Number of additional contacts who design, manage and/or carry out research activities with the participating universities (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Area (science/research, business, civil society, public sector/politics, other)
	<p>Number of additional contacts gained that support the dissemination of research results (since the start of funding), broken down by</p> <ul style="list-style-type: none"> • University vs. non-university actors • Outreach (contact from the partner country or partner countries, contact from another partner country) • Area (science/research, business, civil society, public sector/politics, other)
Procedures for the dissemination of knowledge and	<p>Number of newly created or improved procedures for the dissemination of knowledge and research results (since the start of funding), broken down by</p>

Output	Indicator
research results have been created	<ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area

Programme results (outputs) and assigned programme indicators

Output	Indicator
Scientists are trained in research methods	<p>Number of scientists who were trained in research methods (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Gender • Status (junior researcher, visiting researcher, other)
Scientists have realised research projects on topics relating to global contexts and challenges	<p>Number of research/consulting products realised (since the start of funding), broken down by</p> <ul style="list-style-type: none"> • Title/Topic • Type (project and research proposals, public sector consulting (incl. policy advice), other)) • Implementation status (in conception, submitted, application accepted / consultation commissioned, rejected, in implementation, completed, other) • SDG reference (yes/no) • Type of research (applied research, basic research, other)
Non-university stakeholders are involved in research activities	<p>Number of non-university stakeholders involved in research activities (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Area (science/research, business, civil society, public sector/politics, other)
	<p>Qualitative description of involvement in research (e.g. type of activity, topic, area, degree of institutionalisation) (in the reporting year)</p>
Structural conditions for research at the partner universities are improved	<p>Number of new or improved processes and structures for research at the partner universities (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area

Output	Indicator
Other (non-)university stakeholders are involved in the partnership	<p>Number of additional contacts who design, manage and/or carry out research activities with the participating universities (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Area (science/research, business, civil society, public sector/politics, other)
	<p>Number of additional contacts gained that support the dissemination of research results (since the start of funding), broken down by</p> <ul style="list-style-type: none"> • University vs. non-university actors • Outreach (contact from the partner country or partner countries, contact from another partner country) • Area (science/research, business, civil society, public sector/politics, other)
Procedures for the dissemination of knowledge and research results have been created	<p>Number of newly created or improved procedures for the dissemination of knowledge and research results (since the start of funding), broken down by</p> <ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area

Programme objectives (outcomes) and assigned programme indicators

Outcome	Indicator
Research findings on topics relating to global contexts and challenges are integrated into the teaching of the participating institutions	<p>Qualitative description of the curricula, teaching modules, courses or other study programmes developed, their relevance to development policy and the added value for the partner university or universities, as well as a description of the integration of the research results from the research projects into teaching (since the start of funding)</p>
	<p>Number of SDG-relevant publications realised through DAAD grants/funding (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Title/Topic • Type (article in peer-reviewed journal, contribution to scientific anthology, incl. conference proceedings, scientific monographs, project reports/technical reports/working papers (grey literature), encyclopaedia contributions/review articles, articles in newspapers/magazines/online publications, other) • Created as part of a doctorate funded by the programme (yes/no) • Published in an open access medium? (yes/no/planned)

Outcome	Indicator
	Number of Master's/Doctoral theses submitted or completed in the research focus area (since the start of funding), broken down by <ul style="list-style-type: none"> • (Working) title • Gender • Nationality (DAAD key) • Desired degree (Master, PhD, other) • Study progress (started studies, advanced studies, submitted thesis, received degree, cancelled studies)
	Amount of third-party funds raised for other projects in the context of the DAAD-funded project, in which topics relating to global contexts and challenges are addressed (in the reporting year)
	Number of active conference participations (in the reporting year)
	Number of scientific awards, prizes, etc. (in the reporting year), broken down by <ul style="list-style-type: none"> • Type/name of the prize
Procedures for the dissemination/transfer of research results and knowledge are established	Number of newly created or improved procedures for the dissemination of knowledge and research results (since the start of funding), broken down by <ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area

HIGHER EDUCATION MANAGEMENT field of action

Programme results (outputs) and assigned programme indicators

Output	Indicator
Administrative staff at the partner universities are (further) qualified	Number of qualified administrative staff (in the reporting year), broken down by <ul style="list-style-type: none"> • Gender • Type of qualification (technical, interdisciplinary, administrative, didactic)

Output	Indicator
Processes and structures for improved university management have been created	<p>Number of processes and structures newly created or improved at the partner universities to strengthen university management at the partner universities (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area
Processes and structures for communication and knowledge transfer to society are established	<p>Number of events organised for communication and knowledge transfer to society (in the reporting year)</p>
	<p>Number of participants in the events organised for communication and knowledge transfer to society (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Gender (m/f/d) • Internal/external university participants
	<p>Number of service/work units established at the partner universities for knowledge transfer (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Designation • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other)
	<p>Number of new contacts who design, manage and/or implement measures / activities for communication and knowledge transfer to society with the participating universities (in the reporting year), broken down by</p> <ul style="list-style-type: none"> • Area (science/research, business, civil society, public sector/politics, other)
	<p>Number of new or improved processes and structures created at the partner universities to strengthen communication and knowledge transfer to society (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area

Programme objectives (outcomes) and assigned programme indicators

Outcome	Indicator
<p>The organisational structures at the partner universities are strengthened/expanded/established</p>	<p>Number of processes and structures newly created or improved at the partner universities to strengthen university management at the partner universities (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area
<p>The central governance and management structures at the partner institutions have been improved</p>	<p>Number of processes and structures newly created or improved at the partner universities for strengthened governance and management structures at the partner universities (since the start of funding), differentiated by</p> <ul style="list-style-type: none"> • Designation/description • Status of implementation (conception started, conception completed, implementation initiated, implementation completed, other) • Contribution to the improvement of the respective area
<p>Procedures for implementing the third mission of the partner universities have been created in the area of university management</p>	<p>Qualitative description of the procedures created in the area of university management to implement the third mission of the partner universities (since the start of funding)</p>