Mid-term Evaluation of the Program ‘Higher Education Excellence in Development Cooperation’ (exceed)
Foreword

Dear reader,

In this publication we present the results of the mid-term evaluation of the DAAD programme „Higher Education Excellence in Development Cooperation“ Exceed, funded by the Federal Ministry for Economic Cooperation and Development (BMZ).

In August 2012, DAAD commissioned Dr. Clemens Wollny and the Center for Quality Assurance and Development (ZQ) of the University of Mainz to evaluate Exceed. The overall goal of this scheduled evaluation was to analyze the programme’s performance as a whole, as well as the current development of each of the five Exceed projects (TU Brunswick, University of Hohenheim, University of Kassel, LMU Munich and Cologne University of Applied Sciences) as well as their networks of international partner universities in developing countries. The study has been focusing on the criteria for the evaluation of development cooperation programmes of the BMZ—relevance, effectiveness, efficiency, developmental impact, sustainability, coherence, complementarity and coordination.

Approved for a period of five years and funded by BMZ, Exceed is unique in DAAD’s portfolio as it applies and bundles our various instruments and substantial experience in supporting higher education cooperation with developing countries in order to contribute to the realization of the Millennium Development Goals. The objective of the programme is to join forces by building international and interdisciplinary networks to strengthen and develop Higher Education Institutions in aspects of education, research, consultancy and policy advice. Since 2009, five projects have been funded with a budget of up to one million euros each per year.

We are proud to announce that, in summary, the evaluation report presents a positive appraisal of the work of the projects. Exceed’s concept and its respective implementation are in accordance with the development goals of BMZ and it supports empowerment of the partner institutions in developing countries, especially by strengthening capacity building. Notably Exceed’s PHD-programmes have been regarded as a key factor in developing academic capacities in the partner countries.

I am particularly delighted with the fact that the programme’s approach of establishing globally interconnected centers of excellence focusing on development policy issues, has been called strategically necessary and relevant. Intensive cooperation between German HEIs and their partner universities in the developing countries ensures the programme’s success and the aspired developmental effect.

Nevertheless, since progress is always a goal to strive for, the evaluation provides us with a number of recommendations to further optimize Exceed. We accept the challenge of implementing these ideas from an outside perspective and see this as a chance to improve quality and efficacy of our programme in the future.

I kindly invite you to further explore the results and recommendations of the evaluation and wish you an interesting read.

Yours sincerely,

Dr. Dorothea Rüland
Secretary General of DAAD
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Acknowledgements

All reports and assessments have been presented to the best of our knowledge and the authors have adhered to standard methodology for participatory evaluations in context of development cooperation and scholarly work. This would not have been possible without the support of many persons working often beyond office hours. The authors would like to thank all contributing interview partners of academic institutions, of funding agencies, politicians and stakeholders in different functions in developing countries and in Germany. We thank all persons, who provided published and unpublished documents, presented their views and experiences from different perspectives, and addressed critical questions. We would like to thank for the open and frank discussions we could held with different groups as well as our evaluation team members, namely Professor Battis, Mrs. Grieb, Professor Kassem, Professor Mayer-Ahuja, Professor Waibel, and Professor Wycisk, and the support staff from the Centre for Quality Assurance and Development (ZQ) of the University of Mainz as well as the DAAD for their contributions and valuable comments on specific aspects presented in this report. Special thanks are given to the academic institutions in developing countries and in Germany for their hospitality, and the DAAD upon whose request this evaluation process was initiated. The evaluation was funded by the DAAD.

Clemens Wollny and Tanja Grendel

Contact:

Professor Dr. Clemens B.A. Wollny
E-Mail: clemenswollny@gmx.net

Professor Dr. Tanja Grendel
E-Mail: Tanja.Grendel@hs-rm.de
List of Abbreviations

BMF ............ Federal Ministry for Finance
BMZ ............ Federal Ministry for Economic Cooperation and Development
CIH ............ Center for International Health
CNRD ............ Center for Natural Resources Management
CUAS ............ University of Applied Sciences Cologne
DAAD ............ German Academic Exchange Service
DCs ............ Developing Countries
Exceed ............ Higher Education Excellence in Development Cooperation
FSC ............ Food Security Center
HEIs ............ Higher Education Institutions
ICDD ............ International Center for Decent Work
ILO ............ International Labor Organization
ITT ............ Institute for Technology and Resources Management in the Tropics and Subtropics (Cologne)
LAC ............ Latin America and the Caribbean
LDCs ............ Least Developed Countries
LMU ............ Ludwig-Maximilian Universität München
MENA ............ Middle East and Northern Africa
MDGs ............ Millennium Development Goals
NGOs ............ Non-Governmental Organizations
NRM ............ Natural Resources Management
OECD/DAC ............ Organisation for Economic Cooperation and Development/Development Assistance Committee
SADC ............ Southern African Development Community
SEA ............ Southeast Asia
SWM ............ Project Sustainable Water Management
TU BS ............ Technische Universität Braunschweig
UHOH ............ University of Hohenheim
UNEP ............ United Nations Environment Programme
WITS ............ University of Witswatersrand (Johannesburg)
The program ‘Higher Education Excellence in Development Cooperation’ (Exceed) has been carried out by the German Academic Exchange Service (DAAD) and funded by the Federal Ministry for Economic Cooperation and Development (BMZ) since 2009. The program was initially approved for a period of five years. The concept of the Exceed program foresees a mid-term evaluation covering a funding period of approximately three years. The results of the mid-term evaluation in regards to this program are presented in this report.

Exceed supports five higher education institutions in Germany (Technische Universität Braunschweig, the University of Hohenheim, the University of Kassel, Ludwig Maximilian Universität München, and the University of Applied Sciences Cologne; hereafter ‘HEIs’) and their partners in developing countries (DCs). The main objectives of the program are: (1) bring together working units in HEIs in Germany and DCs with a direct linkage to the Millennium Development Goals (MDGs); (2) deepen and expand education and research on issues of relevance regarding development cooperation policy in German HEIs and partner country HEIs; (3) increase the visibility of activities related to the MDGs in Germany and DCs; (4) establish competence centers for development cooperation that can serve as ‘beacons of excellence’ through conducting research that is internationally attractive and competitive; (5) strengthen North-South as well as South-South cooperation in higher education and research; and (6) expand policy analysis and consultancy on issues of development cooperation in DCs and Germany.

Each of the five Exceed centers focuses on different MDG-related topics and applies various DAAD instruments according to their needs within the project. The bundling of various DAAD instruments – such as short-term visiting professorships, study and research stays for individual scientists or groups of scientists, participation in postgraduate study programs, joint assignments for field research, student group exchanges and joint subject-related events, research expenses for scientists from DCs, and support for publications and event expenses – is a characteristic feature of Exceed.

With respect to project implementation, it is evident that all projects all projects had links with the majority of their partners prior to the commencement of Exceed but have established and strengthened networks ranging from 5 to 35 partners in DCs in the context of Exceed. One positive assessment with respect to ownership among partners is that all projects assigned selected partners with a regional coordinative role for their region. One main characteristic of the program is the comprehensive task and central coordinative role of project management through the coordinating German university. Stakeholders and partners are involved and participate at different levels with varying intensity in decision making and implementation of the project. The institutional integration of Exceed into the German project hosting universities varies from having well-integrated structures and processes – resulting, for example, in the provision of matching funds – to no evidence of organizational integration at all. From the DC partners’ perspective, Exceed is perceived as one project among others; there is little effort yet to institutionalize the projects as competence centers in DCs.

In general, PhD programs have a core function in four of the five projects and the awarding of PhD scholarship is of central importance throughout the program. The provision of grants to promote exchange and mobility of postgraduate students and professors mainly from South to North or South-South is one of the program’s main activities. This enables the networks to conduct relevant workshops, seminars and summer schools in DCs. The possibility of hosting guest chairs from the South, invited to the German universities, was used by all projects.

Overall, the Exceed program concept can be assessed positively. It helps bringing people together to initiate joint activities in the fields of development related study, teaching, and research. One major strength of the program is the variety of supported instruments as well as target groups. There is high flexibility for each project to receive adequate support for the development of sustainable cooperation.
Methodology

The purpose of the mid-term evaluation is to analyze the current development of the five Exceed centers as well as their networks of international partner universities in DCs. The implementation status of the envisaged measures was evaluated at the project level and is documented in five project reports, which were not published but made available to the projects and the BMZ. Based on the individual project assessment, conclusions are drawn in order to conduct a programmatic assessment. The evaluation follows the general principles for evaluations as defined by OECD/DAC: independence, credibility, participation, usability and transparency. According to these principles, the evaluation was to be carried out by a team of independent experts, involve various stakeholder perspectives – project managers, users/beneficiaries and partners in DCs –, and include information for interviewees on processes, instruments and results.

The BMZ criteria for evaluations – relevance, effectiveness, efficiency, developmental impact, sustainability, coherence, complementarity and coordination – comprise the basis for the evaluation. As such, the evaluation focusses on: Exceed project’s compliance with (relevant) BMZ policy goals/guidelines; the status of goal achievement and the identification of positive and negative factors for implementing measures (effectiveness); the assessment of cost/benefit ratios (efficiency); the identification of intended and unintended effects (developmental impact); opinions for the continuation of positive effects after expiration of DAAD funding (sustainability); and synergetic effects of further cooperation (coherence, complementarity and coordination). For each evaluation criterion, several questions were defined, serving as guidelines for the evaluation in this report. In its application for funding for the Exceed program from the BMZ, the DAAD specified five central indicators of goal achievement that would signal the program’s success. The central indicators are related to the effects of the program and are discussed in the section ‘effectiveness’ (2.2).

The evaluation design was based on the concept of an ‘informed peer review’. On the project level, the evaluation consisted of two main stages: (1) preparatory phase, which included an analysis of relevant documents and online-surveys, and (2) the conduction of site-visits. The analysis of documents and the online surveys were conducted before the site-visits and were used to emphasize relevant issues for the interviews in this context.

In the online surveys, both partner institutions in DCs and academic users (i.e., direct beneficiaries of Exceed funding) received different questionnaires. The survey period was scheduled from 8 October 2012 to 4 November 2012. During this period, project managers were requested to send two participation reminder e-mails to the main partners and users. After the deadline, partners who had not replied to the questionnaire were once again asked personally by their German partners in order to ensure the participation of all partners in the evaluation from 27 December 2012 until 15 January 2013. The response rate among the partners ranged from 37.5% to 100%. The response rate of users ranged from 19% to 54%.

Site-visits are at the core of the evaluation process. The evaluation team comprised of five independent experts, who visited all five Exceed project centers in Germany and conducted separate individual and group interviews with representatives from various status groups – master students, PhD candidates, lecturers, project coordinators and managers from Germany and abroad – in November and December 2012. In some cases, partners and users/beneficiaries from abroad were physically present at the interviews during site-visits; in other cases partners were involved via Skype or telephone interview. The additional visits of one exemplary DCs partner institution from each Exceed project were carried out in March 2013. Again, separate interview sessions were held with different status groups. The mission team considered participation by all partners and users from DCs in the evaluation process as highly important.
Results

The evaluation results are presented according to the BMZ criteria for evaluations. The criterion relevance differentiates between scientific relevance and relevance in development cooperation. Scientific relevance focuses on the relevance of the projects for the scientific discipline and the excellence of the scientists involved. Relevance in development cooperation deals with how development objectives and measures for the project comply with objectives and measures set out by BMZ.

Firstly, it should be mentioned that a fair rating regarding scientific relevance based on Exceed contributions is not feasible at this point of time since other projects in the field of development cooperation indicate that projects need to be of longer duration in order to show evidence.

During the mid-term evaluation, the core of the Exceed research activity is based on PhD projects. A major constraint pointed out by the projects in this context is that DAAD scholarships regularly have no research budget. However, the first reports presented at conferences indicate that the PhD topics are of high scientific relevance to the respective sector. With regard to the excellence of the researcher involved, it is concluded that the Exceed projects contribute to improving and strengthening the researchers’ profiles. For future development the intensification of publication activities and the preparation of research proposals is expected to increase.

Exceed’s relevance in the field of development cooperation has been shown to be very high and in most cases corresponds to the immediate or long-term needs of partners in DCs. It is important in this context that all projects foster an applied research approach, which is in general highly relevant in the field of development cooperation. The introduced PhD programs, in particular, including cooperative PhD programs, provide a suitable platform for capacity building in DCs. It is also important that the Exceed program supports knowledge transfer in the area of teaching and curriculum development. Owing to the short duration of the Exceed program, it is not yet possible to verify whether returning graduates have a ‘multiplier role’ at their home universities by disseminating their knowledge through teaching and supervision.

- In analyzing the Exceed projects scientific relevance, it can be summarized that projects require more time for improvement. Relevance can currently be confirmed with regard to PhD topics. Publication intensity and number of research proposals is expected to increase. At the time of mid-term evaluation, documentation of Exceed related publications was too limited to allow for a fair assessment resulting in a firm rating.

- Considering relevance to development cooperation, it can be stated that Exceed projects comply with the MDGs and BMZ development policy and specifically with the BMZ’s educational strategy. Project topics are relevant for development cooperation as well as initiatives for capacity building, especially of PhDs. The function of Exceed alumni as multipliers needs to be assessed in the future. Considering the basic conditions and limitations of the program, an overall rating of ‘very good’ is justified.

The criterion effectiveness concentrates on the achievement of envisaged goals of Exceed program, including the identification of positive and negative factors for goal achievement. Several guiding questions structure the analysis in this context.

One of the main questions is the extent to which the program contributes to establish subject-related focal points with regard to the MDGs. As shown by the projects implementation, they use the whole spectrum of Exceed instruments to establish focal points. It can generally be stated that the focus is on scholarships for postgraduate students from DCs studying in Germany or abroad. Whereas nearly all projects offer a PhD program, master programs are rare among the Exceed projects. Nevertheless, there is high demand for the development and support of master programs from the partners’ perspective in DCs. Regarding the PhD training, it has been shown that some projects foresee ‘sandwich-models’ of supervision. Considering the aspect of partner
ownership, we should mention that it are currently mostly German universities that are the institutions which award doctoral degrees/PhDs.

Funding for mobility and participation on summer schools, workshops and seminars build the core of the project activities for professors and staff. The main focus is on supporting knowledge transfer between experts from Germany and DCs. With regard to capacity building, the special offer of teacher trainings in a single project has to be pointed out. With regard to curriculum development, the implementation of a curriculum data base is considered as a valuable concept.

In regards to strengthening of academic structures by research activities, it can be concluded that the first few years the Exceed project has been used to initiate knowledge transfer and become informed about the partners’ research interests and activities. The setup of (joint) research projects is forthcoming. In the area of teaching and learning, the strengthening of academic structures, mainly in least developed countries (LDC), is of high priority. This translates to support in the area of improving master programs and teacher training which are urgently needed to strengthen DCs own capability for capacity building. In discussing the quality of PhDs projects, experts stated that the three-year duration is too short to complete a PhD thesis – especially when the preparation and realization of field work abroad is included.

The indicator establishment of competence centers in DCs along with sustainable operation is verified through comprehensive networks with variable numbers of network partners in DCs. In most cases, Exceed funding is just one (comparably small) funding source beside several others at the partner level. Exceed’s comprehensive and ambitious approach is not entirely visible for partners and users who benefit from single measures and instruments (e.g. funding for travel grants or scholarships). Positively rated can be the function of some partners as ‘regional partners’ who assume a coordinating role within their region; this model has to be understood as a first step for taking over responsibility. This scenario requires structures and processes, which rarely exist in DCs. The establishment of competence centers in DCs and their sustainable operation need some additional time for improvement and should be assessed at a later stage of the program.

There is insufficient evidence at this point in time to verify the indicator regarding the recognition of competence centers as think tanks and advisors in their fields of expertise. Currently, no regular or frequent requests for policy advice at the institutional level are evident. It may be a challenge in this context that policy advice is more often addressed to individual professors providing expert advice or offering consultancy. On the organizational level, it can be positively assessed that some of the networks include representatives from industry associations, trade unions or politicians, resulting in working linkages to policies.

The indicator regarding the stability of competence centers at an institutional level is rated as follows: The level of institutionalization among Exceed projects varies widely. The integration of the German coordinating units in their universities is high in most cases. However, in partner institutions Exceed often has the status of a project with funding for individuals and is rarely institutionalized at this point of time.

Whether the strengthening of networks has been realized or can be expected in the future can be answered as follows: the intensity of network exchanges differs between the projects according to the use of Exceed instruments. In general, the projects themselves formulate the need to improve the number of South-South-exchanges. The definition of regional centers as a good model for facilitating and promoting South-South exchange has to be pointed out.

A further question on project effectiveness relates to how Exceed projects or their measures can be ensured in the future. In this context it can be stated that the impacts of Exceed are hindered by the fact that funding for research is inadequately low, especially in fields which require substantial financial resources. In DCs, where the infrastructure for research is not advanced and transaction costs are high, this is an important factor for success. Furthermore, from the perspective of German centers and the partners, there is room for improvement with regard to the amount of scholarship payments, which, in their perception, do not accord to re-
regional standards. **Strengthening collaboration between the Exceed projects** to secure the transfer of knowledge and experiences was expected to be helpful for the program’s development.

- Exceed projects focus on the content level of their subject-related focal points as planned in the project proposals. In regards to the instruments, a clear focus of the Exceed projects is on scholarships for master students, scholarships and programs for PhDs and funding for exchanges and knowledge transfer among professors and staff. Additional measures which could strengthen Exceed’s effectiveness are master programs which are in demand in DCs. An assessment regarding the establishment of sustainable competence centers is not realistic due to the current inadequately low amount of funding at the individual partner level. Considering the programs’ duration, it is too early to find evidence for strengthened academic structures, mainly due to the large number of ongoing PhD projects. Also, the number of requests for policy advice has to be assessed at a later stage of the project. One important and positive point is that the evaluation could not identify any significant unintended positive or negative direct results or effects in any of the projects which may have occurred since the beginning of the project. **The overall programmatic rating is ‘good’ considering the given limitations of partner funding at the time of mid-term evaluation.**

The **efficiency** of the Exceed program is evaluated based on the relationship between resources used and results achieved. As an indicator, the assessment on adequacy of Exceed funding is considered. With regard to Exceed funding, some adoptions may help to better tailor the funding to program objectives and specific recommendations are given by the evaluation team. In general, the comprehensive catalogue of instruments matches well with program objectives. However, the management structures at the Exceed program level require adjustments in order to enable the strategic management of the projects by goals and indicators rather than the detailed administration of the various instruments.

- The management structures of the Exceed program may be better tailored to the program’s objectives.

The overall rating at the program level is ‘satisfactory’.

**For the evaluation of the developmental impact** of the Exceed program, preliminary results or indicative trends were analyzed. Based on the survey results, the partners expect positive effects in different fields through the network activities. The program is expected to indirectly contribute to development through present capacity building efforts and involvement of multipliers and stakeholders at a later stage.

- The first indicators for developmental impact can be seen at this stage of time. However, the projects need further time for improvement. **The assessment of the criteria ‘developmental impact’ is not possible for the mid-term evaluation.**

The **sustainability** of recognized results (effects) can be confirmed on the individual level of beneficiaries. Organizationally, the situation varies depending on the status of integration to the HEIs. There is no doubt that Exceed initiated projects will be sustained at a certain level of activities related to DCs. However, if developmental impact is expected through Exceed, significant funding is required for at least another five years beyond 2014.

- Initial indicators, especially on the individual level of beneficiaries, show sustainable effects. The sustainability on the institutional level may be different depending on the availability of funding. At the project level, the assessment regarding ‘sustainability’ is generally positive due to the significant role of the German coordinating centers.

**The criteria coherence, complementarity and coordination are used as an indicator for cooperation agreements with other programs and organizations.** The majority of project applications or acquisitions were submitted by the German coordination centers and Exceed project partners took the initiative in only a few cases. Regarding the policy level, it would be premature to state that policy making is influenced by expert advice or research results based on actual Exceed supported projects in most of the projects.
The projects are generally successful in cooperating with other organizations at different levels and for different purposes. Regarding Exceed’s cooperation with other programs, positive effects arising from collaboration can be expected. An overall rating of ‘good’ may be justified at the program level.

**Recommendations**

The formulation of recommendations for future development and improvement of Exceed program are central for the mid-term evaluation. In total 46, recommendations grouped at the strategic level, in terms of resources/funding, and regarding processes are given in the evaluation report.

At the **strategic level**, a stronger focus on LDCs is recommended to address the problem of capacity building, which requires allocation of resources for the instruments of training, teaching and exchange including support for alumni and postdocs. Immediate attention should be given to increase the number of publications in relevant journals in the respective fields and to improve visibility within the scientific community. As one of the evaluation’s central findings, the funding for research and infrastructure is seen as a factor for success; it would be helpful for DAAD to identify complementary programs in order to strengthen research; funding of research in the context of development cooperation and options for a more flexible approach should be discussed with the responsible ministries. This would add value to the program through combining development cooperation and research in addition to providing a long-term perspective for the program.

On the **level of processes**, the recommendations cover aspects of the design of the networks, especially the empowerment of partners through further decentralization, which requires a review and consolidation of the networks. In terms of the review of the networks, we recommend defining the term ‘partner’ more precisely in order to include mutual expectations and commitments. Institutional ownership must be ensured in all cases. In the long-run, policy should be solicited to provide the legal and administrative possibility and framework that an academic partner institution from DCs could host an Exceed project and fulfills the necessary coordinative global network function. Communication and cooperation within and between projects should be intensified, e.g. through electronic platforms. Regarding administration and finances, the funding organization needs to establish structures appropriate to project demands and specifically addressing budgeting, transferability and administration of expenditures. Monitoring and conducting a quality assessment of instruments and project output/outcomes in order to show evidence of successful activities should become a joint activity at the program level.

In conclusion, the Exceed program is in compliance with BMZ policy and should be supported in the long-term perspective under the condition of intensified empowerment of partners through the provision of adequate allocation of resources at the partner level in DCs. The establishment of functioning networks through regional centers of competence at the competitive academic level is considered as an effective and efficient strategy for finding development related solutions.

The central recommendations regarding funding are the extension of PhD scholarships under defined conditions of up to five years and considering comprehensive funding for research and structure as an additional instrument. An extension of the Exceed program would help to establish sustainable structures in partner countries in order to ensure that actual empowerment continues afterwards.
1. Introduction
This report addresses the mid-term evaluation of the Exceed Program; it consists of three main parts: an introductory one including general information on the Exceed program and a brief description of Exceed projects and explanations of the methodology used for the mid-term evaluation (chapter 1), evaluation results for the Exceed program (chapter 2), and recommendations for future development (chapter 3).

1.1 The Exceed Program

The program ‘Higher Education Excellence in Development Cooperation’ (Exceed) is being carried out by the German Academic Exchange Service (DAAD) and funded by the Federal Ministry for Economic Cooperation and Development (BMZ). The program supports five higher education institutions in Germany (namely the Technische Universität Braunschweig, the University of Hohenheim, the University of Kassel, the Ludwig Maximilian Universität München, and the University of Applied Sciences Cologne; hereafter ‘HEIs’) and their partners in developing countries (DCs). The main objectives of the program are:

- bringing together working units in HEIs in Germany and DCs with a direct linkage to the Millennium Development Goals (MDGs)
- deepening and expanding education and research on issues of relevance regarding development cooperation policy in German HEIs and partner country HEIs
- increasing the visibility of activities related to the MDGs in Germany and DCs
- establishing competence centers for development cooperation that can serve as “beacons of excellence” through conducting research that is internationally attractive and competitive
- strengthening North-South as well as South-South cooperation in higher education and research
- expanding policy analysis and consultancy on issues of development cooperation in DCs and Germany

Within this context, funding that ensures the mobility of individuals for the purposes of education, research and consulting, as well as funding to cover operating and coordination costs for the competence centres is provided. Support measures can be combined in a flexible manner by the HEIs according to their demands and needs. This is a characteristic feature of Exceed: the bundling of various DAAD instruments such as short-term visiting professorships, study and research stays for individual scientists or groups of scientists, participation in postgraduate study programs, joint assignments for field research, student group exchanges and joint subject-related events, research expenses for scientists from DCs, and support for publications and event expenses. With this unique ‘catalogue of instruments’, the Exceed Program fosters a demand driven approach.

Hence, Exceed provides HEIs in DCs and in Germany with the resources that allow them to link with one another and increase their contribution to reaching the MDGs. The overall objective of Exceed is to strengthen sustainable structures at partner institutions in DCs.

In summary, each of the five Exceed centres focuses on different MDG-related topics and applies the various DAAD instruments according to their needs within the project. The way that the five centres work is very diverse. In the following section, a brief description of the five projects is given according to the criteria of objectives, measures, and organisation. The main features are presented for comparison of the projects.

1.2 Exceed Projects

1.2.1 Project Sustainable Water Management (SWM), (German coordinating unit: Technische Universität Braunschweig (TU BS))

Objectives

The project SWM focuses its measures on MDG 7, “ensure environmental sustainability”, related to the realization of other sub-targets in this field – e.g., halving the number of people without access to potable water. The project’s activities are clustered into five topics:

1. see http://www.daad.de/entwicklung/Exceed/11572.en.html
2. See http://www.exceed.tu-braunschweig.de/
Characteristics of SWM Project

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<td>Links existing to partner institutions prior to Exceed</td>
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<td>Special remarks</td>
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1. Water and agriculture in arid and semi-arid regions
2. Water in the urban environment
3. Aquatic ecosystems
4. Water and health
5. Water in a global world

The project’s main activities include finding satisfactory solutions for sustainable water management, biotechnology and bioengineering, sanitary engineering, waste management, environmental chemistry and geo-ecology for partner countries.

The project objectives further comply with the BMZ’s educational strategy and aim at capacity building through the qualification of students and professionals in DCs and Germany and through international scientific exchanges. Another objective is embedding the principles of sustainable water management as a topic within the political agendas of DCs and industrialized countries. A global network has been envisaged in order to achieve these objectives. In the long run, it is planned for the program to be supported by all project partners, company funds, and foundations.

The SWM project offers the following measures to different user groups:

**Measures**

**Network**
The core of the project is to build a global network. In total, 35 partners collaborate directly with the SWM project. Five of them are established as so-called ‘satellite centers’ with responsibility for regional networks in Latin America, Sub-Saharan Africa, the Middle East, and Southeast Africa. Each satellite center has an overall planning amount of € 100,000 at its disposal and receives € 1,000 per month in general staff support as well.

**Students**
- ‘Sandwich Student’ Model for Master and PhD students (scholarships between two and eighteen months)
- Summer schools
- Thematic workshops
- Expert seminars
- Membership in the guest chair group
Professors/Staff

- Travel grants
- Summer schools
- Expert seminars
- Guest chair (includes heading a guest chair member group)

Transfer

- Curriculum database
- Policy advice

Organization

Regarding the institutional integration of the SWM project at the TU BS, the project forms part of an institute (the ‘Leichtweiss Institute’) without, however, being a center or institution of its own.

Currently there is no additional funding provided by TU BS for the project. The process of reviewing and redefining the university’s mission statement is still in progress. At the time of the mid-term evaluation, no strategic plans for the SWM project within the TU BS had been formulated.

With regard to office space, it should be mentioned that there is no possibility for placing project actors adjacent to one another locally. Furthermore, there is no routine support from the central administrative departments of the university, such as the international office.

The organizational structure of SWM comprises of a regular plenary meeting, a management board, a steering committee, an international advisory board, and a head office at TU BS.

A project chairman is responsible for strategy and a research coordinator is responsible for operations. The research coordinator is supported by a financial administrator (half-time position paid for by Exceed), and two assistants dealing with event organization (e.g., summer school, regional workshop), including visa issues.

There have been numerous staff changes since the program’s inception.

1.2.2 Food Security Center (FSC) (German coordinating unit: University of Hohenheim (UHOH))

Objectives

The FSC’s mission has been formulated as follows: “To provide innovative and effective scientific contributions to reduce hunger and achieve food security, contributing towards the progress of Millennium Developmental Goal 1, especially towards the eradication of hunger and malnutrition.” The target groups of the FSC are “people affected by hunger and/or malnutrition or people at risk of food insecurity, decision makers in development-oriented organizations involved in the formation and implementation of food and agricultural related development policies, and scientists and graduate students at partner Higher Education Institutes.”

The approach used by the FSC is multidisciplinary in nature, i.e. “teaching, conducting research and providing policy advice in cooperation with national and international development organizations and partner Higher Education Institutes in the developing world.” Research is provided on food availability, access to food, food use, food quality, food safety and food utilization, placing particular concern on gender equality, women’s rights and sustainability in agricultural production.

Based on the mission statement, the specified target groups, the approach taken, and the defined research topics, it follows that the FSC has an applied and a developmental focus.

The specific objectives of the FSC are stated as follows:

- To promote interdisciplinary teaching and training of PhD candidates and postdocs and strengthen MSc and PhD programs at partner HEIs in DCs.

- To facilitate demand-driven and impact-oriented research at the postgraduate level through empirical research projects in DCs and collaboration with

3 www.FSC.uni-hohenheim.de
CGIAR centers, development organizations, and local and national stakeholders.

- To strengthen capacity building through North-South, South-North and South-South academic exchange by providing visiting professorships, lectureships, PhD scholarships and sandwich PhD/postdoc scholarships.

- To support capacity strengthening at universities in DCs through regional networking, fostering institutional linkages at the global scale, and providing structural and personal support of selected postgraduate study programs.

- To provide knowledge transfer and brokerage by organizing international conferences annually and to support external conferences and expert meetings, organize lecture series for the broader public, establish a web domain and online discussion paper series, support publications and publication platforms, and offer policy advice and expert contacts.

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<td>Strategic partners with responsibility in partner regions</td>
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<tr>
<td>Special remarks</td>
<td>Existing networks located in DCs are considered as partners</td>
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<th>Offers</th>
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<tbody>
<tr>
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<tr>
<td>PhD program</td>
<td>Yes</td>
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<tr>
<td>Special remarks</td>
<td>– Sandwich model for MSc and PhD students (shortterm) – Guest chair group</td>
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<tr>
<td>Links existing to partner institutions prior to Exceed</td>
<td>Yes</td>
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<tr>
<td>Matching funds from the German coordinating unit</td>
<td>Yes</td>
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<tr>
<td>Special remarks</td>
<td>–</td>
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FSC offers the following measures to different user groups:

**Students**
- Grants for student participation at FSC summer schools
- Interdisciplinary PhD program ‘Global Food Security’ at UHOH supported by long-term scholarships
- Sandwich model for PhDs supported by short-term scholarships

**Network**
The FSC network consists of five partners in DCs. Most of them build on long-term UHOH partnerships. The partners strategically work as regional partners to foster the expansion of FSC in Africa, Asia and Latin America. Some of the partners are networks as well – based on the idea of strengthening existing development-oriented networks in the South rather than creating new networks from scratch.
Professors/Staff
– Summer schools
– Short courses (one week)
– Regional workshops (two days)
– Conferences
– Visiting professorships (guest chairs)
– Short-term visits for postdoctoral researchers

Organization
The FSC is supported by three faculties at UHOH: Natural Sciences, Agricultural Sciences and Socio-economic Sciences. Furthermore, the FCS collaborates with the Life Science Center, the Center for Gender and Nutrition and the Centre for Agriculture in the Tropics and Subtropics. Both the management and the advisory board of FSC are shared with the University’s Center for Agriculture in the Tropics and Subtropics of UHOH.

The organizational structure of FCS comprises of a board of directors, a directorate, an advisory board, and a management unit led by an executive manager.

The internal processes are managed by the executive manager and several persons responsible for project management. The executive manager is paid (100%) through Exceed funds. He is responsible for project management and is also an acknowledged expert in the field. The position, therefore, includes a mixture of management tasks as well as contributing expertise in his own subject matter to the teaching and research activities of FSC. Furthermore, there is a part-time (50%) administrative position for finances, which is funded by Exceed. There are several (student) assistants paid through Exceed funds and other sources. Two assistants provide support in the financial area: one for the scholarship application and selection process, and another for event management and public relations.

1.2.3 International Center for Development and Decent Work (ICDD), (German coordinating unit: University of Kassel)

Objectives
The ICDD focuses on MDG 1, “Eradicate Extreme Poverty and Hunger”, Target 1B: “Achieve full and productive employment and decent work for all, including women and young people”. The ICDD center at Kassel University affiliates researchers from social and natural (agricultural) sciences. It closely cooperates with the International Labor Organization (ILO) and a number of NGOs (e.g., Friedrich Ebert Foundation, Germany; Self-employed Women’s Association, India; etc.).

The specific objectives of ICDD are summarized as:
- Development of employment and income for the population according to the principles of ILO Conventions and the UN Global Compact (human rights, job standards, environmental commitment, reduction of corruption).
- Improvement in quality of work and quality of life in rural areas (especially remote areas).
- Empowerment of local actors through capacity development. ICDD’s thematic priorities concentrate on three research clusters:
  - Sustainable value creation for decent work
  - Instruments for promoting decent work
  - Strategies of empowerment for decent work.

Each research cluster comprises of a number of projects investigating various aspects of the topic from different disciplinary angles. The objectives and research cluster include issues and challenges in the agricultural sector and its specific subsectors, ranging from food production to rural development.

Measures

Network
The ICDD network consists of seven partners in DCs. The network follows the strategy of establishing regional ICDD centers on every continent in order to allow stronger partners to support weaker ones in the respective region. The University of Witwatersrand (WITS;
located in Johannesburg, South Africa) is the first example of such a foundation with a regional structure (focusing on Southern Africa). With reference to financial resources, each partner receives an annual lump sum of € 4,000 for their disposal. Furthermore, partners can apply for funding of up to € 20,000 for specific research projects within the three main research areas of ICDD.

Besides cooperation with partners in DCs, involvement of ILO in the network is a characteristic feature of ICDD’s profile, linking universities to the fields of application.

The ICDD offers the following measures to user groups:

**Students**
- Scholarships for master’s degree students
- Graduate School of Socio-Ecological Research for Development with PhD scholarships for three years
- Work and study short-term scholarships
- Master thesis research grants
- Field research scholarships
- Conferences and seminars
- Joint master double degree program ‘Labor Policy’ (in advanced planning stage)

**Alumni**
- Alumni Applied Research School
- Alumni Applied Summer School

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### Characteristics of ICDD

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<td><strong>Network</strong></td>
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<tr>
<td>Number of partners</td>
<td>7</td>
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</table>
| Ownership of partners | – Definition of strategic partners with responsibility in partner regions  
– Each partner receives an annual lump sum of € 4,000 for their disposal |
| Special remarks | Involvement of ILO in the network |
| **Offers** | |
| Master’s degree program | No |
| PhD program /Graduate School | Yes |
| Special remarks | – Joint master double degree program ‘Labor Policy’ in advanced planning stage with regional partner University of Witswatersrand (Johannesburg, South Africa)  
– Partners can apply for funding of up to € 20,000 for research projects  
– Special offer for alumni (research/summer school)  
– Web portal |
| **Organization** | |
| Institutional integration in German coordinating unit | Yes |
| Links existing to partner institutions prior to Exceed | Yes |
| Matching funds from the German coordinating unit | Yes |
| Special remarks | – High compliance with the universities mission statement  
– Management structure foresees no advisory board |
Professors/Staff
- Guest lectureships
- Guest chair “Ela Bhatt Visiting Professorship”
- Conferences and seminars

Transfer
- Decent Work Web Portal

Organization
ICDD was established as a cross-faculty, interdisciplinary competence center at Kassel University. It is a central academic institution (scientific center regulated by laws and regulations) embedded in the university structure. The management team consists of a director representing two faculties and management staff (executive manager, business manager and a secretary). The team is supported by a coordinator for the graduate school, a scientific coordinator, various administrators (responsible for publications and visiting scientists, finances, website, IT support) and five research assistants from the study and work scholarship program. Altogether, an equivalent of 2.75 positions (excluding the five students) are paid for by Exceed. Matching funds are provided by Kassel University amounting to €100,000 for equipment set-up, provision of office space (one floor with offices and a seminar room in a separate building), and two positions (50% each for the period of five years).

Strategic decisions of the ICDD are made by a steering committee, which the director of ICDD chairs. Along with the director, the vice director, two representatives from the Social Sciences Department as key partners, two representatives from the Department of Agriculture, one representative from the master programs in the network, one PhD student representative, one alumni representative, and one representative from the ILO (without voting rights) comprise the committee members. At the annual meeting of the steering committee, the international ICDD partners dispatch individual representatives for involvement in the decision-making processes. All decisions on the allocation of funds are jointly taken. The steering committee forms the academic board of the graduate school, selects PhD candidates, and awards ICDD scholarships. ICDD decided not to install an advisory board.

1.2.4 Center for International Health (CIH), (German coordinating unit: Ludwig-Maximilian Universität München (LMU))

Objectives
The CIH aims at integrating “teaching, research and consulting, as well as on the practical implementation of health-related topics in DC in order to achieve the MDGs”. The focus is on MDG 6 targeting to combat HIV/AIDS, malaria and other diseases in DCs and also MDG 8, which concerns criteria for developing a global partnership for development.

The main objectives of CIH are:
- Strengthening health care and research infrastructure and health care services in DCs.
- Training local staff and offering them a professional perspective for their future / increasing the number of well-trained health professionals in DCs.
- Improving working conditions and occupational health for workers in DCs.
- Building a framework for collaboration that allows for exchanges of ideas.

From an overall perspective, CIH wants to assist partner countries in becoming more independent and creating sustainable structures. The project aims at the empowerment of partners, enabling them to set up their own higher education and research agendas in collaboration with network partners. It is also intended to empower them to foster research activities and, furthermore, to turn research into actual policies that strengthen their influence on official DCs policies.

Measures

Network
The CIH global network consists of sixteen main partners. It is important to know that CIH defines ‘main partners’ as all persons who assume an active role. From a CIH perspective, the empowerment of people is an important prerequisite for institutional capacity build-

5 http://www.uni-kassel.de/einrichtungen/icdd/decent-work-
6 http://www.international-health.uni-muenchen.de/index.html
Characteristics of CIH

| Measures |  
|---|---|
| **Network** |  
| Number of partners | 16  
| Ownership of partners | Some partners have regional responsibility  
| Special remarks | Network consists of institutional and non-institutionalized partners |
| **Offers** |  
| Master’s degree program | Yes  
| PhD program /Graduate School | Yes  
| Special remarks |  
| – PhD program which is unique in awarding a PhD degree (and not the conventional German doctoral degree)  
| – Academic Teachers Training Courses are offered |
| **Organization** |  
| Institutional integration in German coordinating unit | Yes  
| Links existing to partner institutions prior to Exceed | Yes  
| Matching funds from the German coordinating unit | Yes  
| Special remarks |  
| – High compliance with the universities mission statement  
| – Operational management decentralized within chairs (professors) involved in CIH LMU  
| – No advisory board |

CIH offers the following measures to user groups:

**Students**
- Master’s degree program “Occupational Safety and Health” in Latin America (Chile, Bolivia, Brazil, and Peru)
- Master’s degree program “Integrated Clinical and Community Mental Health”
- PhD program “International Health”
- Scholarships for master and PhD students
- Summer schools

**Professors/Staff**
- Academic Teacher Training Courses
- Summer schools

The name CIH LMU is the generic title for the collaboration between four professors of the LMU Medical faculty representing the Department of Surgery, the Department of Pediatrics, the Institute for Occupational, Social and Environmental Medicine, and the Institute for Tropical Medicine, housing the CIH premises. Within CIH structures, content and regional responsibilities are clearly defined.

The organizational structure constitutes the CIH board, an extended board, a project coordinator at the central level, and additional coordinators for the four medical departments involved. The CIH board functions as an executive board. Members are the four LMU professors of the participating medical departments who (partly) share responsibilities in various areas such as ‘academic teacher training’, ‘graduate and undergraduate train-
ing’, and for the ‘PhD program International Health’, in addition to various countries and regions; partners are not represented on the board and there is no advisory board installed. The overall operational project coordination is managed by one coordinator (full time position, paid for by Exceed) and four project coordinators (half time positions, paid for by Exceed) – to decide on operational matters.

CIH receives departmental support from LMU at the central level: The clinic administration’s finance department, the international office, and the marketing department assist the project as central institutions.

At LMU, the development cooperation sector plays an important role for their internationalization strategy which aims especially at giving German students the opportunity to take on ‘global responsibility’. CIH is regarded as a ‘base station’ for such activities.

1.2.5 Center for Natural Resources Management (CNRD), (German coordinating unit: University of Applied Sciences Cologne (CUAS))

Objectives

The overall objective of the CNRD\(^7\) is to strengthen its role as a knowledge hub which focuses on MDG 7 regarding environmental sustainability. The measures aim at problem solving in natural resources management and have four thematic areas in teaching, research and training:

- Integrated water resources management
- Land use dynamics and biodiversity
- Energy efficiency and renewable resources
- Regional management and sustainable livelihoods of the poor.

Further cross-cutting themes are global change, governance, and resources economics. The specific objectives of CNRD are:

- Establish CNRD as an international knowledge hub related to natural resources management (NRM) and development.
- Build a ‘Virtual Knowledge Center’ to create access to learning material for all CNRD partners and support all activities with a comprehensive information and knowledge management system.
- Create a worldwide network of postgraduate courses related to NRM and development with an interdisciplinary and intercultural orientation.
- Exchange lecturers, attract top students, form young professionals with profound knowledge about NRM and MDG 7.
- Develop training capacities at selected partner institutions supported by key German and international institutions and create a network of training institutions in the target regions that offer capacity building measures at the regional level.
- Communicate research results effectively through appropriate conferences, workshops, and media events.

In the context of main competitive advantages, CNRD itself highlights the close cooperation with small and medium-sized enterprises, an integrative approach in relation to content, and the focus on applied research projects.

Measures

Network

The CNRD network consists of ten partner institutions. Target regions for cooperation are Southeast Asia (SEA), the Middle East and Northern Africa (MENA), Latin America and the Caribbean (LAC) as well as Southern Africa (Southern African Development Community – SADC). CNRD currently has one to three partner universities in each of these regions and one partner from each target region has a comprehensive function for cooperation in training and research and for the establishment of a regional knowledge and training center. To contribute to the objective of transferring know-how into practice and policy, CNRD maintains and establishes close cooperation with private sector partners from research agencies, NGO’s, and other partner universities.

CNRD offers the following measures to user groups:

Students

- One semester scholarships for exchange of master students

\(^7\) http://www.cnrd.info/index.php?home
— Joint student projects involving three to four partner universities (field work of approximately one week)
— PhD scholarships
— Summer schools

Professors/Staff
— Guest chair position (6-12 months)
— Lecturer exchange (North-South, South-North, South-South, 1-3 weeks for block teaching)
— Summer schools
— Research workshops
— Workshops for curriculum development and the development of postgraduate level modules/learning units

Alumni
— Summer schools

Transfer
— Virtual Knowledge Center
— E-Journal ‘Journal of Natural Resources and Development’ (JNRD)

Characteristics of CNRD

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<tr>
<td>Ownership of partners</td>
<td>Definition of strategic partners with responsibility</td>
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<tr>
<td>Special remarks</td>
<td>Close cooperation with private sector partners from research agencies, NGO’s, and several other partner universities</td>
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<th>Offers</th>
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<tbody>
<tr>
<td>Master’s degree program</td>
<td>No</td>
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<tr>
<td>PhD program /Graduate School</td>
<td>Yes (cooperative program)</td>
</tr>
</tbody>
</table>
| Special remarks | – A Virtual Knowledge Center  
– E-Journal ‘Journal of Natural Resources and Development’ (JNRD) |

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<tr>
<td>Matching funds from the German coordinating unit</td>
<td>Yes</td>
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<tr>
<td>Special remarks</td>
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CNRD Cologne is an institutional body of the University of Applied Sciences Cologne (CUAS). The Institute for Technology and Resources Management in the Tropics and Subtropics (ITT), a central scientific unit of CUAS was commissioned to implement CNRD. Due to the fact that ITT has a long tradition of cooperation with DCs, CNRD is seen as complementary for improving and strengthening ongoing activities. The ITT network and its thematic portfolio form the basis for CNRD. One (of the two persons who are each employed part-time) of the CNRD coordinators is paid for from the ITT budget.

The management of CNRD consists of the project leader, the advisory board, the general assembly of all partners, the budget commission, and a steering committee. The advisory board consists of five members (two permanent United Nations Environment Programme (UNEP) representatives and three rotating members from selected regions). The plenary (representatives of all partners) is the main decision-making body of CNRD; all decisions on financial and content issues are
made here. The final decision on allocation of resources, however, is made in the budget commission, which includes the project leader of CNRD, a representative from DCs and the current guest chair holder. On the operational level, five coordinators are responsible for various activities and tasks. All of them hold part-time positions; some of them are involved in further projects. Three coordinators are paid for by the Exceed budget; two are paid for by CUAS/ITT. There is also one part-time employee only responsible for administration and finances paid for by Exceed.

1.3 Background, Objectives and Design of the Mid-Term Evaluation

1.3.1 Background of the Mid-Term Evaluation

The Exceed program concept foresees a mid-term evaluation which covers a funding period of approximately three years. The results of the Exceed mid-term evaluation are presented in this report. The purpose of the mid-term evaluation is to analyze the current development of the five Exceed centres as well as their networks of international partner universities in DCs. The implementation status of the envisaged measures was evaluated at the project level and is documented in five project reports. Furthermore, careful examination of the outcomes and impacts of the specific Exceed projects not only offers insight into each individual project but is also relevant for assessing the impact of the Exceed program as a whole. Based on the individual project assessment, conclusions are drawn in order to conduct the assessment on the program level.

The evaluation pays special attention to recommendations for Exceed’s further implementation on the project and program levels. The present report focuses on the program level and is also expected to generate recommendations on general aspects of the initiatives in the field of development cooperation.

In terms of content, the BMZ criteria for evaluations – relevance, effectiveness, efficiency, developmental impact, sustainability, coherence, complementarity and coordination – are taken into consideration. As such, the evaluation focusses on: the Exceed project’s compliance with (relevant) BMZ policy goals/guidelines; the status of goal achievement and the identification of positive and negative factors for implementing measures (effectiveness); the assessment of cost/benefit ratios (efficiency); the identification of intended and unintended effects (developmental impact); opinions for the continuation of positive effects after expiration of DAAD funding (sustainability); and synergetic effects of further cooperation (coherence, complementarity and coordination).

1.3.2 Objectives of the Mid-Term Evaluation

The objectives of the Exceed program follow the BMZ criteria of relevance, effectiveness, efficiency, developmental impact, and coherence/complementarity/coordination. For each criterion, several questions can be defined, serving as guiding questions for the evaluation.

Relevance

- How can developmental relevance of the projects be secured and strengthened in the future?

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8 Project funding began in July 2009. The evaluation started in August 2012.


To what extent do the topics of the projects comply with the (sector) policies and strategies of partner countries and institutions?

How well do the objectives and measures of the projects comply with the German Government’s basic development policy orientation?

– To what extent does the development measure target poverty reduction and the MDGs?

– Which cross-cutting issues are relevant? Gender equality, participatory development and good governance, environmental protection and conservation of natural resources, crisis prevention?

– How well do the objectives and measures of the projects comply with the BMZ educational strategy?

To what degree are the topics relevant to the scientific disciplines? To what extent are participating partners characterized by academic excellence?

Effectiveness

What do projects contribute to establish subject-related focal points within universities with regard to MDGs in Germany and partner countries and how?

To what extent have the intended direct results (objectives) of the project’s measures been achieved (comparison of current situation with defined goals in the project proposal)? Which factors influence goal attainment? In its application for funding for the Exceed program with the BMZ, the DAAD specified five central indicators for goal achievement that would signal the program’s success. The central indicators are related to the effects of the program. For this reason, program indicators are discussed in the section ‘effectiveness’. The program indicators refer to assessments related to other evaluation criteria such as relevance, development impact or sustainability. The indicators are the following:

– Strengthening academic structures in DCs.
– Establishment of competence centres in DCs along with sustainable operation.
– The competence centres are recognized as think tanks and advisors in their fields of expertise.
– The competence centres are highly stable at an institutional level.
– Competence centres are publicly recognized and strengthen contributions made by HEIs to development cooperation and solutions to global problems.

Has a strengthening of networks been realized or can it be expected? (North-South, South-South, within a country)

How can the effectiveness of the Exceed program and its measures be ensured in the future?

Efficiency

Do the resources invested in projects correspond to the outputs and results achieved?

How can the relationship between use of resources and results be assessed? Are there any measures that have specific positive or negative effects on goal attainment?

Is the Exceed program’s list of measures adequate for the HEIs? To what extent does this aspect affect goal attainment? Are any measures lacking?

Are the project measures logically planned and goal oriented? Should the project be restructured?

Are the administrative processes efficient for the beneficiary and administrative staff of DAAD (with regard to national funding legislation)?

Developmental Impact

Which overarching effects on development can be expected? (Analysis of looming first effects; it is acknowledged that the first phase of the project is rather short and attributions are difficult to make after such a short period)

What contributions can the projects realistically make (in the future) to providing knowledge solutions to development problems?

Sustainability

To what degree are the achieved effects sustainable?

What is the expected sustainability of the recognized results on the individual, organizational and systemic levels?

Which steps have been taken to secure the sustainability of achieved results? Which factors foster and which hinder sustainability? To what extent are partners willing and able to sustain positive results without support?
Coherence, Complementarity and Coordination

Are there any cooperation agreements with other programs/actors (German bilateral development cooperation, international NGOs, multilateral organizations in DCs)? If yes, how do they relate to project and labor divisions and which synergy effects are achieved?

1.3.3 Design of Mid-Term Evaluation

The evaluation design was based on the concept of an ‘informed peer review’. When conducting the evaluation, a team of independent experts was commissioned by the DAAD. The head of the evaluation team, Professor Dr. Clemens Wollny, was selected via a public tender. Professor Wollny closely cooperates with the Center for Quality Assurance and Development (ZQ) at the Johannes-Gutenberg University of Mainz, which has since been responsible for analyses, compliance with methodological standards of evaluations in projects, and reporting. The team is complemented by experts directly contracted by the DAAD in the field of project management, administrative law (with special attention paid to the German funding law or ‘Zuwendungsrecht’), and project-specific subject matter.

As described above, the evaluation procedure considers both the project and program levels. The results at the project level are reflected at the program level.

At the project level, the evaluation consisted of two main stages: 1) preparatory phase, which included analysis of relevant documents and online-surveys, and 2) conduction of site-visits at the five project centers in Germany, and one exemplary development cooperation partner from each project.

1) Preparatory Phase

The document analysis formed the basis for the evaluation process, and the following sources were considered:

- proposals for Exceed projects, including the DAAD proposal to the BMZ and the five proposals made by the HEIs to DAAD,
- annual reports from Exceed projects submitted to the DAAD between 2009 and 2011,
- additional project-specific information on Exceed project activities (e.g. list of publications, master’s degree programs, handouts from workshops and training sessions),
- project profile11.

Document Analysis

The document analysis is used to systematically structure information and data with regard to information on the projects relevance, effectiveness, efficiency, developmental impact, coherence, complementarity and coordination, and adjustments at project level.

- According to the relevance criteria, the analysis is used to identify the projects development objectives (MDGs, BMZ educational strategy and development strategy objectives), and research topics. Furthermore, the quantity and quality of research output (number of joint proposals, number and quality of third-party funded projects, number and quality of publications, number of PhD supervisions) was used as a basis for evaluating the projects scientific relevance.

- For the evaluation of project’s effectiveness, the analysis refers to the envisaged project goals. The results are used to compare envisaged goals and project outcomes later on. It likewise helps to identify the effects on grouping HEI focal points with regard to MDGs, the number of joint (research) projects, the number of joint master and PhD theses, the effects on strengthening networks (the number North-South, South-South, intra-country exchanges), and the number of project users/beneficiaries (students, PhD candidates, professors/staff). Additionally, lessons learnt are documented as well.

- In order to gather information on a project’s efficiency, the analysis of documents and data is used to gain an overview of the use of resources and attained results.

- In assessing a project’s developmental impact, the analysis concentrates on the number and positioning of partners, and considers regional impact on

11 In addition to the above-mentioned documents, the project managers were asked to describe their project using a format developed by the evaluation team – a so-called project profile. The purpose was to provide a more systematic and clearly structured overview of the projects, see appendix 1, p. 53.
developmental issues and requests for policy consultancy.
– The criteria of coherence, complementarity and coordination are considered by identifying cooperation agreements with other programs/actors.
– Moreover, the analyses give hints as to any adjustments to Exceed project objectives during the project phase.

**Online Surveys**
Further sources of information during the preparatory phase included online surveys, which help to incorporate the perspectives of Exceed users/beneficiaries (students, PhDs, professors/staff), and Exceed partners in DCs into the evaluation. The surveys support the evaluation of information on project relevance, effectiveness, efficiency, developmental impact, and coherence, complementarity and coordination (see the questionnaires in appendix 2, p. 56).
– In terms of a project’s relevance, partners are asked to estimate the development and scientific relevance of the Exceed project.
– With regard to effectiveness, partners are asked about their motivation for cooperating with Exceed. They are also asked about expected effects on networks, development cooperation and education/research. Partners were requested to indicate their experiences within the network and the main benefits and difficulties in cooperation. In addition, user and partner surveys concentrated on questions concerning the administrative efforts and possible difficulties within Exceed projects.
– The evaluation of efficiency concentrates on questions concerning the administrative efforts and difficulties for users within the Exceed project. They were also asked about the adequacy of Exceed funding and – in the case of partners – the existence of additional funds used for the cooperation.
– In terms of developmental impact, partners were invited to estimate the relevance of the Exceed project for development cooperation in general; the relevance for achieving the MDGs, the relevance for the profile of their university, and the relevance in terms of needs in their particular region. Users are questioned about their motivation for participating in Exceed measures and about the conditions and personal benefits that would have been different without the Exceed project. Partners are also asked to assess the visibility of Exceed activities.
– With regard to sustainability, effects are considered at the individual and organizational levels. Users are questioned about their personal benefits from Exceed, particularly on their future career, on their current opinions about future cooperation, and factors which could prevent continued cooperation.
– Regarding the criteria coherence, complementarity and coordination, partners are questioned about other partners in development cooperation.

The analysis of documents, data and the online surveys were conducted before the site-visits took place and were used to emphasize relevant issues for the interviews in this context.

**2) Site-Visits**
Site-visits are at the core of the evaluation process. The evaluation team visited all five Exceed project centers in Germany and conducted individual and group interviews with representatives from various status groups – master’s degree students, PhD candidates, lecturers, project coordinators and managers from Germany and abroad – in 2012. In some cases, partners and users/beneficiaries from abroad were physically present at the interviews during the site-visits; in other cases, partners were involved via Skype or telephone interviews. The majority of coordinators from partners in DCs were interviewed during the site-visit (see template for site-visits in Germany in appendix 3, p. 67). In addition to the site-visits in Germany, a visit of one exemplary DCs partner from each Exceed project was conducted in March 2013 (see template for site-visits in DCs in appendix 4, p. 68 and template for data base appendix 5, p. 74).

Prior to the site visit, a preparatory internal workshop was conducted by the evaluation team. Here, results from the document and data analyses and from the online surveys were presented in order to define project-specific issues. The workshop was moderated by the head of the review group and a research associate from ZQ.

During the interviews, the experts had the opportunity to gain a deeper understanding of the BMZ criteria for
evaluations. Special attention was paid to the effectiveness, efficiency, sustainability and coherence, complementarity and coordination, and adjustments on the project level.

- According to project effectiveness, topics for discussion are the status of goal attainment and influencing factors.
- For judgments of project efficiency, the adequacy of Exceed funding was discussed as well as the adequacy of Exceed program measures for universities. A further topic was the analysis of the project’s organizational structure.
- To gain some insights into the sustainability of Exceed projects on an organizational level, compatibility with HEI strategies (e.g. consideration of DCs in the HEI’s internationalization strategy), and the integration in HEI structures (support for Exceed projects, access to HEI services and offers) were addressed in the interviews.
- The broad spectrum of interviewed groups allows for gaining information on the coherence, complementarity and coordination of cooperation from various perspectives.
- Additionally, adjustments to project level adaptations and challenges of project implementation were discussed in each case.

During the evaluation process, special attention was paid to the involvement of stakeholder perspectives. In particular, the participation of all partners and users from DCs was considered as extremely important by the mission team, and projects were instructed accordingly. The partner and users were encouraged to present their views, ideas and opinions through online-surveys and interviews or talks to the mission team during the site-visit in Germany as well as at the exemplary site-visit abroad.

### 1.3.4 Database of the Mid-term Evaluation

The database for the Exceed program evaluation is described next. With regard to the online surveys, the German project managers were asked to e-mail the link for the questionnaires of the services and programs on offer within the Exceed project to their main partners and users/beneficiaries (students, PhD candidates, and professors/staff who participated in Exceed funded activities).

The survey period was scheduled from 8 October 2012 to 4 November 2012. During this period, project managers were requested to send two participation reminder e-mails to the main partners and users. After the deadline, partners who had not replied to the questionnaire were once again asked personally by their German partners in order to ensure the participation of all partners in the evaluation from 27 December 2012 until 15 January 2013. Table 1 lists the response rates of the surveys.

The site-visits to the German coordinating units took place in November and December 2012. The evaluation team interviewed all status groups (students, PhDs, teachers and supervisors, projects managers and coordinators, partners and representatives of the German university management boards) who are involved or are interacting in the Exceed project. Interviews were conducted by status group in separate sessions to ensure independence and confidentiality.

For the purpose of obtaining an exemplary impression of situation perspectives for partner universities abroad, one partner in DCs for each Exceed project was visited abroad in March 2013. Again, separate interview sessions were held with different status groups.

In the following section, the evaluation results for the program level are described. Based on the projects assessment, conclusions are drawn in order to conduct the programmatic assessment. The report for the program level considers selected items of the surveys of partners and users/beneficiaries that were conducted as a part of the evaluation for the project level. Since the focus of the program evaluation is to gain an overall perspective, this report does not consider the differentiated ratings for each project but compares the averages of the ratings to obtain an overall assessment. Therefore, the results for partners and users are based on weighted means of the five participating universities to avoid that those universities with a higher number of partners or users are overrepresented in the analysis. Firstly, the arithmetic means for each of the universities are computed. Secondly, the general means are calcu-
lated, based on the arithmetic means of all five universities. Tables including the means and the standard deviation for all described items are presented in appendix 6, p. 78.

Table 1: Response Rates of Surveys

<table>
<thead>
<tr>
<th></th>
<th>SWM</th>
<th>FSC</th>
<th>ICDD</th>
<th>CIH</th>
<th>CNRD</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partner</td>
<td>80%</td>
<td>80%</td>
<td>100%</td>
<td>37.5%</td>
<td>70%</td>
</tr>
<tr>
<td></td>
<td>(N=35, n=28)</td>
<td>(N=5, n=4)</td>
<td>(N=7, n=7)</td>
<td>(N=16, n=6)</td>
<td>(N=10, n=7)</td>
</tr>
<tr>
<td>User</td>
<td>54%</td>
<td>20.2%</td>
<td>19%</td>
<td>34.6%</td>
<td>27.1%</td>
</tr>
<tr>
<td></td>
<td>(N=289, n=156)</td>
<td>(N=490, n=99)</td>
<td>(N=304, n=58)</td>
<td>(N=292, n=101)</td>
<td>(N=118, n=32)</td>
</tr>
</tbody>
</table>
2. Results of the Mid-term Evaluation
2.1 Relevance

The evaluation – with regard to the general relevance of the project – differentiates between scientific relevance and relevance in development cooperation. Scientific relevance focusses on the relevance of the project for the scientific discipline and the excellence of scientists involved. Relevance in development cooperation deals with how development objectives and measures for the project comply with objectives and measures set out by BMZ. Equally important is whether or not the scientific scope corresponds with the needs and demands of cooperating HEIs and their respective countries. How the Exceed programs developmental relevance can be guaranteed and improved in future must be assessed.

2.1.1 Scientific Relevance

In the following section, the scientific relevance of Exceed is analyzed according to the evaluation’s guiding questions. In a first step it was examined to what extent the topics are relevant to the scientific disciplines. As an indicator, the overall balance of the expert assessment of scientific relevance of Exceed projects is considered.

When analyzing scientific relevance of Exceed, it has to be pointed out positively that the topics of the Exceed projects follow an either inter-, multi- or trans-disciplinary approach in teaching, research and training. A typical example is Food Security, which includes the subjects of agriculture, food science, medical science, economics and social sciences. A similar situation is found in other Exceed project topics such as Decent Work or Natural Resources Management. Therefore, the scientific relevance and the scientific excellence (which are considered as inseparable) are per se difficult to judge within the disciplines. The projects recognize, at different intensity, that academic excellence can be achieved through disciplinary specialization and interdisciplinary cooperation. However, from the project perspective, it is a great challenge that multidisciplinary findings are much more difficult to publish due to lack of appropriate scientific journals, especially on an international and well-regarded academic level (see below).

Until now, the assessment of research quality based on peer-reviewed scientific publications has been very limited since Exceed-related publications are few or not yet available. This observation is not completely unexpected due to the time it takes to collect and analyze data, write it up for publication and then go through the peer-review and publication process. This applies to all coordinating German universities and their partners and was also verified during the exemplary site-visits abroad. The experts, therefore, base their assessment on research topics dealt with in PhD and MSc programs or by professors and researchers of the networking institutions. The topics are clearly oriented towards relevant topics in the respective DC’s.

A major constraint which should be mentioned in the context of scientific excellence is that regular DAAD PhD scholarships do not support a research budget. According to DAAD, there is a small research allowance of €460 per scholarship, which could be increased based on individual applications. Research equipment was provided to projects in the range of €20,000 per project per annum and upon request. PhD research projects, however, require a different level of funding, which may reach an average of €40,000 per PhD project in engineering in the context of development. Hence, research cost must be applied for on an individual level but in most cases research needs to be funded by other sources or must be connected to other ongoing research projects (see also 2.2).

- The first few reports presented at conferences and the PhD work of students supported by Exceed indicate that topics are of high scientific relevance to the respective sector. A fair rating regarding scientific relevance based on Exceed contributions is not feasible at this point of time.

One of the further guiding questions for the evaluation is to what extent participating partners are characterized by academic excellence. Indicators in this context are the overall balance of expert assessment of scientific excellence of Exceed projects (number and success of proposals, number and quality of third-party funded projects, number and quality of publications, and number of PhD projects).
The interviews with partners and the exemplary site-visit abroad showed that applicable expert knowledge is primarily expected from the German partner. From their perspective, the input of the German partners enhances scientific quality of the projects and through this adds value to the projects.

With regard to the content level, the wide range of mostly applied research topics and methodologies of the sectors related to MDGs reflect the varying backgrounds of candidates and researchers from DCs. The observations that can be drawn from the interviews of partners is that the partner institutions who are in line with the overall approach of the Exceed projects are sometimes more focused on the development aspect of the program and do not seem to exclusively prioritize the aspect of academic excellence. On this issue, reference is also made to the exemplary perspective of the site visits to partners abroad, which have established links mostly to non-academic institutions ranging from industrial enterprises to development oriented NGOs, trade unions and international organizations. In one case, for example, the Exceed project builds on other networks which take over coordinating functions in their respective regions. The direct assessment of the networks regarding the criterion of scientific relevance based on scientific work (publications, scientific conferences) at the time of the individual site visits is therefore not feasible. In this context, it should be mentioned that some networks submitted research projects for review, from which several were advanced to higher level or approved at the time of writing this report.

From the experts perspective, the demand on the Exceed program to be excellent in research and development cooperation is challenging. Both fields, research and development cooperation, are assessed by different criteria. PhD research is aimed to contribute to build academic excellence on the one hand. On the other hand, employment of PhD trained academics by DCs institutions counts as capacity building and has immediate and quantifiable effects. The potential impact on development depends on the content and the approach of the research activities.

The core of the Exceed research activity is based on PhD projects. All projects attempt to assure quality of the PhD work through supervision by professors from Germany and partner institutions and restrictive time management due to the limitations of the scholarships.

With regard to scientific excellence of Exceed partners, it can be concluded that the Exceed projects contribute to improving and strengthening scientific work through building academic competencies in DCs. The visibility of Exceed projects is expected to increase by an intensification of publication activities. In general, it is regarded as challenging that Exceed targets both excellence in research and excellence in development cooperation since both have to be assessed by different criteria. The following recommendations should be considered by the projects in this context:

1. Development of an individual publication plan from the beginning of the PhD proposal to ensure timely publication of results in relevant journals.
2. Increase the number of publications in relevant journals in the respective fields in order to increase visibility within the scientific community.

At the time of mid-term evaluation, documentation of Exceed related publications was too limited to allow a fair assessment resulting in a firm rating.

2.1.2 Relevance in Development Cooperation

The analyses of Exceeds relevance in the field of development cooperation considers the questions of to what extent the topics of projects comply with the (sector) policies and strategies of partner countries and institutions. Indicators in this context are the overall balance of expert assessment on the basis of project’s research subjects (PhD projects, research groups).

The overall focus of the Exceed supported instruments is on applied research with the aim of providing answers to scientific questions that are meaningful and address relevant development issues. An important prerequisite to ensure development relevance is the orientation of researchers to regional development needs and cooperation. Obviously, a high intensity of personal exchange and a clear definition of common objectives contribute
to strengthen the quality of the projects. The size of the respective network and the relationship of the partner institutions to sector policy making in the region or at national level are critical factors. Regarding the factor impact on policy making of Exceed, the role of an individual expert versus the institutional role has to be differentiated. As expected, researchers from German or partner institutions are asked for advice by their governmental or non-governmental organization at varying intensity, frequency and impact level. It is not possible to provide sufficient evidence that policy involvement can be attributed to Exceed at the stage of the mid-term evaluation.

Another important task is capacity building in DCs. All five projects regard their PhD programs or provision of PhD scholarships as a core measure for building human capacity in DCs. The evaluation team has noted high motivation and engagement by PhD applicants and students as well as their supervisors from Germany and / or from DCs. The experts conclude that introduced PhD programs, including cooperative PhD programs, provide a suitable platform for the education and training of participants from different backgrounds and various DCs. The PhD training and research is directly relevant to problems and challenges in DCs and accords to high standards with know-how from reputed German or partner universities in DCs.

A further point of consideration in the context of relevance in development cooperation is the level of involvement by projects in transferring know-how related to teaching and curriculum development. It is obvious that fostering individual capabilities among academics from DCs partner institutions was evident throughout the projects. However, as for DCs institutions, this point remains to be verified along with the multiplier role of course graduates in their universities and beyond.

From the partner’s perspective, it has to be stated clearly that the German contribution through Exceed plays quantitatively a niche role. However, it does play a complementary and qualitatively important role to other bilateral international projects at partner institutions.

- It is noteworthy that most Exceed activities have direct responses to the needs of DC partners.

For the future development of Exceed, the following aspects should be taken into consideration:

3. Development of a mechanism that fosters and strengthen the role of DCs institutions in the PhD selection decisions; this may have a positive impact on prioritizing research subjects according to local and regional needs and in ensuring commitment of DCs institutions in securing funding for the selected research topics (scrutinize the application in that respect).

4. Additionally, the role of partners in defining regional research topics needs to be enhanced in most projects.

5. Implementation of an e-forum in which specific needs, ideas and solutions can be expressed in a structured format. The forum should be moderated and operated at the Exceed program level (considering overarching themes and strategies of all participating networks).

6. LDCs have to be considered to a greater degree; in fact, though they have limited facilities they often have the highest need to build and retain human capacity.

The question of to what extent to which the objectives and measures of the projects comply with the German Government’s basic development policy orientation is considered next. Furthermore, we must clarify how the developmental relevance of the projects can be secured and strengthened in the future. Indicators are the overall balance of expert assessment on the basis of project research subjects (PhD projects, research groups) considering their compliance with the target poverty reduction and the MDGs, along with the objectives and measures of the BMZ educational strategy; Furthermore, the consideration of cross-cutting issues like gender equality, participatory development and good governance, environmental protection and conservation of natural resources, and crisis prevention) was assessed.

Regarding the target of poverty reduction and the contribution to MDGs, one must recognize the multi-dimensional problem linked to poverty and ecological issues. For example, looking at the numbers, the urgency of MDG 1 activities becomes apparent: one in
four people are affected by extreme poverty (1.4 billion people). 923 million people worldwide were undernourished in 2007, and about one third of the world’s population (mostly women and children) suffers from food insecurity and inadequate access to essential vitamins and minerals. The problem of extreme poverty is strongly caused by unemployment and poor working conditions. The Exceed program particularly focuses on MDG 1 and its sub-targets (e.g. Target 1B: Achieve full and productive employment and decent work for all, including women and young people). Projects with main focus on natural resources or water management are directly contributing to MDG 7 (Ensure environmental sustainability). Contributing to MDG 7 means, for example, education and research activities to deepen knowledge in the field of protection of environmental resources, reduction of a further biodiversity loss, improvement of access to safe drinking water and basic sanitation, as well as an improvement of living conditions in rural and urban areas. The key aspects of Exceed projects, which, for example, aim at the assurance of free access to water, and to raise awareness of overexploitation of resources by teaching how to reuse water are also closely relate to MDG 4 (reducing child mortality). The MDG 2 (achievement of universal primary education) and MDG 5 (improvement of maternal health) are closely related issues and are touched upon by specific research projects. Exceed project activities, which focus directly on the improvement of physical and mental health in DCs, are related to MDG 6 (combat HIV/AIDS, malaria and other diseases). The core measure of the Exceed program, the development of sustainable networks, contributes directly to MDG 8 (develop a global partnership for development). As a cross-cutting issue, MDG 3 (promote gender equality and empower women) is highly relevant in this context. Gender gaps in employment and general educational standards are still unchanged and reinforce impoverishment and continued lack of development in DCs. Some but not all projects explicitly acknowledge the special role of women in DCs.

BMZ development policy in general and BMZ’s educational strategy in particular is an important framework for the evaluation. The Exceed program addresses the BMZ development policies, number 9 (more climate protection) and number 3 (more ownership) specifically through several projects. Of the BMZ education strategies, number 5 (strengthen higher education and research instead of neglecting the talent available) is clearly carried out with regard to the development and promotion of PhD programs of different scope and research themes by all projects. Criteria number 4 (further expand vocational education and training) is indirectly fulfilled through capacity building in teaching and learning (following the multiplication effect of ‘training the trainers’). Exceed-supported projects consider criteria number 6 (replace outmoded concepts with innovative approaches in education) by addressing the development and implementation of e-learning platforms, e-libraries, e-journal PhD publications, and policy papers and briefs. Limitations are set by the financial and human capacity.

In conclusion, the developmental relevance regarding the content of Exceed-supported research and capacity building activities is without a doubt high and corresponds to the immediate as well as long-term needs of partners. This was also confirmed by the exemplary site visits. The activities are aiming to fulfill needs in DCs by teaching and training professionals who are competent in their field and able to find applicable solutions. All programs foster an applied research approach, which is of high and direct relevance to development problems. This is also contributed to the fact that Exceed builds on a proven record of cooperation between DCs and the coordinating units. A noteworthy observation is that the development of innovative and neglected disciplines or orphaned themes (for example mental health or occupational health, role of domestic workers, etc.) deserves high recognition.

On the whole, it can be stated that Exceed projects comply with the MDGs and the BMZ development policy, the BMZ’s educational strategy in particular. For future development, the following recommendation should be considered:

7. The cross-cutting issue of gender equality should be monitored more strongly; gender related activities should be documented by all projects in similar format.
The rating on the criteria relevance in development cooperation of the individual projects ranged from very good (four projects) to ‘satisfactory to good’ (one project). The developmental relevance of Exceed supported research themes and capacity building activities is very high, often innovative, broad, and corresponds to the needs of partners. The activities are fulfilling needs in DCs. Considering the basic conditions and limitations of the program, the overall rating of ‘very good’ is justified.

2.2 Effectiveness

The focus on questions of effectiveness concentrates on the achievement of envisaged goals of the Exceed program, including the identification of positive and negative factors for goal achievement. The question of the way in which Exceed contributes to a further concentration and implementation of research focuses concerning MDGs in Germany and DCs is raised. In addition, whether or not a strengthening of networks (North-South, South-South, within a country or region) has already been realized or if it can be expected in the future must be examined. Furthermore, how the effectiveness of Exceed and its measures can be sustained in the future must likewise be defined. In the following section, the aspects mentioned are considered in detail according to the leading questions of the evaluation.

One of the main questions of the Exceed program evaluation is in how far the program contributes to the establishment of subject-related focal points within universities with regard to MDGs in Germany and partner countries. In this context, the frequency and combination of utilized Exceed instruments is considered.

For various status groups (e.g., students, professors/staff) different instruments are offered in the context of Exceed programs. It should be noted that at the student level, only one project developed its own master’s degree programs in the context of Exceed. For the current projects, the focus is on scholarships in order to secure the education of students from DCs in Germany and in DCs. However, referring to the visits at the German coordinating units and the exemplary site-visits abroad, there is high demand for the development of master’s degree programs from the partners’ perspective in DCs. The situation for PhD students is different. Except for one project, all others offer a PhD program. Two out of the five Exceed projects offer ‘sandwich-models’ of supervision; mostly German universities are the institutions which award the doctoral degrees/PhDs.

For professors and staff, funding for mobility and participation in summer schools, workshops and seminars build the core of the project activities. According to this, the main focus is on supporting knowledge transfer between experts from Germany and DCs. Four out of the five projects also offer guest chairs which have identical objectives. The offering of Academic Teacher Training Courses in one project, which aims at capacity building of lecturers in DCs, is one positive aspect of note. Two projects address Exceed alumni (e.g., summer schools) as well.

Two projects initiated special web portals. In one case, a curriculum database was developed and in another case a portal dealing with subject-related matters for teaching and learning was established. One project has developed its own e-journal.

It is noticeable that policy advice is explicitly mentioned in only a single case; as shown during the evaluation of the Exceed projects, this task shows room for improvement in general (see also below).

- Overall it can be stated that Exceed projects focus on the content level of their subject-related focal points. On the level of instruments, a clear focus of the Exceed projects is on scholarships for master’s degree students, scholarships and programs for PhDs and funding for exchange and knowledge transfer of professors and staff in general. For the future development of Exceed program, some aspects should be considered:

8. The development of master’s degree programs at partner institutions abroad,
9. To continue working on fostering and strengthening partners responsibility in the context of PhD supervision and examination,
10. The extension of training and further education measures (e.g., for Exceed alumni) to strengthen capacity building in DCs,

11. Intensification of the development and usability of electronic platforms for project coordination throughout the respective network.

The question of to what extent the intended direct results (objectives) of the Exceed program have been achieved and which factors influence goal attainment is considered next. In the following section, each of the main targets (central indicators), as formulated in the DAAD proposal to BMZ (p. 8), is analyzed.

One target is strengthening academic structures (see also 2.1.1 and 2.4). As a source of information, the assessment on research output (number and success of proposals, number and quality of third-party funded projects, number and quality of publications, number of PhD projects) was used. Another source is the expert assessment on capacity building given during the evaluation on the project level.

A comprehensive evaluation on research output was given in chapter 2.1 which deals with the scientific relevance of Exceed. With regard to advice for strengthening academic structures by research activities, it can be concluded that the first few years of Exceed project’s duration were used to initiate knowledge transfer and to become informed about partner research interests and activities. The setup of (joint) research projects is forthcoming. As mentioned by several partners during the site-visits, there is a need for support in writing research proposals in DCs which can be given through bilateral communication as well as through workshops and seminars. Currently, it seems that the potential of the German coordination units and of some well-equipped partners is not being fully utilized. Cooperation between the German universities and their partners, but also among partners in DCs, is expected to have a higher impact on building competencies in the practical conduct of research, which all partners in DCs named as an urgent requirement during interviews. This is particularly true for the health and the water sector. Limiting factors are, among others, formal aspects such as the necessity for having a German medical license for skills training in the health sector in Germany, the availability of appropriate (and costly) infrastructure in engineering in DCs and limiting funds at the partner level to contract external experts for the duration of the projects.

In the area of teaching and learning, the strengthening of academic structures mainly in LDCs is of high priority. This translates to support in the area of improving master’s degree programs and teacher training, which are urgently needed in order to strengthen DCs’ own capability for capacity building. Discussing the quality of PhDs projects in the context of the evaluation on project level, experts stated that three-year duration is too short to complete a PhD thesis, especially when the preparation and realization of field work abroad in context of development is included.

Another aspect to be mentioned in the context of the strengthening of academic structures is that German Exceed partners pointed out that one advantage of Exceed compared to regular DAAD scholarship applications is that the selection of candidates is taking place within the Exceed centers. The autonomy in selecting candidates is rated positively. In a single case, the stronger involvement by partners was recommended by the evaluation team (see also 2.1.2).

- It can be stated that the first steps have been taken to strengthen academic structures by Exceed. For future development of the Exceed project, the following recommendations should be considered:

12. To support partners in writing (joint) research proposals through bilateral help or workshops and seminars,

13. To extend PhD scholarships under defined conditions for up to five years.

Furthermore, Exceed program targets the establishment of competence centers in DCs and their sustainable operation (see 2.2 and 2.5). Verifying indicators in this context include the number of operational partners and the intensity of partner relations (network activities, exchange of staff and students) and partner assessment of motivation for cooperation within the Exceed program, particularly expected effects on networks, development cooperation and education / research.
All Exceed projects have established comprehensive networks with variable numbers of network partners in DCs. As shown during the site-visits, the intensity of partner relations differs between partners of one project. Some partners function as ‘regional partners’ and have a coordinating role within their region; they hold strong contacts to the German coordinating unit. The correlation between number of network partners and intensity of communication is negative: In case of a high number of network partners, the intensity of communication seems to be lowered.

Considering the partner perceptions of the Exceed program, the evaluation of the project level revealed that, for some partners, Exceed is perceived more as a project rather than as a competence center in DCs. This statement can be explained by the funding situation: In most cases, Exceed funding is at the partner level with just one (comparably small) funding source among several others. Due to this, the comprehensive and ambitious approach of Exceed is not entirely visible for partners and users who benefit from single measures and instruments (e.g., funding for travel grants, scholarships).

The exemplary site visits have shown that the projects are highly efficient if the partners have the capacity to develop and institutionalize Exceed project structures and are successful in soliciting and acquiring activities, which are co-financed by the partners and third-parties. However, this scenario requires structures and processes, which rarely exist in LDCs.

- The establishment of competence centers in DCs and their sustainable operation need some more time for improvement and should be assessed at a later stage of the program. For the program’s future development, the following aspects are recommended:

14. Consolidation of networks and concentration on a lower number of partners which have to be able to apply the comprehensive package of Exceed instruments,

15. Support empowerment of network partners through further decentralization. There might be the need to review and consolidate the role of certain partners in the process in some existing networks,

16. Providing the legal and administrative possibility for a partner institution from DCs to host the project and fulfill the coordinative network function.

Another target of the Exceed program for the competence centers is to be publicly recognized and strengthen the contribution of HEIs to development cooperation and solutions to global problems (see 2.1.2 and 2.4). As an indicator, the partner assessment of visibility (in policy, the own university, for institutions in the field of development cooperation) was considered.

In the partners survey, the visibility of activities offered by the Exceed program in different sectors was rated. It should be noted that the visibility of activities was indicated by them on a scale of 1 (totally invisible) and 7 (fully visible). The means for visibility within the scientific community (mean 5.64), the visibility among the universities and research institutions (mean 5.97) and visibility among institutions in the area of development cooperation (mean 5.60) were at a reasonable level. Merely the visibility of activities offered by the Exceed program among policy makers and politicians differs from the other assessments regarding visibility and is rated at a lower level (mean 4.56) than the other sectors. The expert assessment on general visibility of Exceed projects during the evaluation was that the program needs more time for improvement.

- At the current status, the visibility of Exceed centers is given within the local environment of the projects. However, the competence centers in DCs need some more time to become publicly recognized by policy.

It is furthermore foreseen in the context of the Exceed program that the competence centers are accepted as think tanks and advisors in their fields of expertise (see also 2.1.2 and 2.4). An indicator is the number of requests for policy advice.

As shown by the evaluation on the project level, the current program period is rather short and attributions to the acceptance of the Exceed projects as think tanks are difficult to make after such a short period. Current-
ly, there is no evidence for requests for policy advice but it is probable that the projects need some more time for consolidation. On the organisational level, some of the networks include representatives from industry/ labour and politicians and have a strong linkage to policy makers. This is has been recognized and is rated positively.

The importance of projects in the field of policy advice need some more time for improvement and has to be assessed at a later stage of the project. The following recommendation should be considered:

17. Expanding the model of including representatives from industry, trade unions and politics into the networks in order to institutionalize a direct linkage to policy.

Exceed aims for competence centers which are highly stable at an institutional level (see also 2.2 and 2.5). Considered indicators in this context are the integration of Exceed projects within universities and the organizational model of network communication and coordination.

The status of integration of Exceed projects in universities differs. In the following section, the perspective of the German coordinating units and the partner site is considered. For the German coordinating units, it can be stated that some of them are highly integrated at the universities. This depends on several factors: Some fit very well with the mission statement of the HEI, some have a strong linkage to traditional institutes of the German HEI in the field of development cooperation. One benefit of high integration is the opportunity to make use of universities’ central student services, e.g., offers at the international offices like introductions to German culture, support in visa application processes and finding accommodations. The provision of matching funds for project organization and personal support in financial administration should also be mentioned.

The partner institutions in DCs do not generally have the status of a center. Only in a single case of the exemplary site-visit was the establishment of a competence center in a DC noted. Other partners only participate through grants for individuals or specific events on occasional. Exceed is seen as a project which is generally not well integrated within the university due to its short time frame and limited funding. As indicated by the site-visits abroad, the amount of funding in the context of Exceed is relatively low compared to other programs aiming at building capacity and achieving development impact in DCs. Another aspect that hinders the institutionalization of Exceed centers is the low intensity of strategic and operational planning due to the uncertainty of programs duration and the level of funding.

The level of institutionalization of Exceed projects varies. The integration of the German coordinating units in their universities is mostly high. In DCs, Exceed often has the status of a project with funding for individuals and is, in most cases, not well integrated at the university. For its future development, the following remarks should be considered:

18. Further integration of German coordinating units in the universities and utilization of universities’ central student services for international students,

19. Strategic decision on the program duration (DAAD, BMZ) to ensure planning security for Exceed partners.

Another task is to assess if a strengthening of networks (North-South, South-South, within a country) has been realized or can be expected. Indicators are the strengths of network relationships, the number of partners and the intensity of partner relations (network activities, exchange of staff and students).

The intensity of network exchanges differs among projects according to the use of Exceed instruments. In general, the project itself formulates the need to improve the number of South-South-exchanges. As a good model in this context, the definition of regional centers has to be mentioned. The numbers of exchanges funded by Exceed scholarships and travel grants are shown in tables 2 to 4.12

The tables present the mobility of postgraduate students and researchers between the South-North, North-South and South-South. The figures show that as early as

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12 The basis builds the data given for the project evaluation.
the second year of the project (2010), the numbers reached a considerable level, which peaked in 2011. Mobility was mainly observed in the category of South-North in all groups. South-South exchange of students is still very limited, probably indicating limitations regarding capacity and attractiveness of partner institutions. The relatively high number of professors/staff in the category South-South is mainly attributed to short-term workshops or summer schools, which were organized in or by partner institutions. In 2012, the figures show a decreasing trend indicating looming discussions and problems regarding financing PhD scholarships beyond 2013.

With regard to the network organization, it can be stated that all projects foresee the integration of partners in strategic decision making processes. On the operational level – e.g., the selection of scholars – partners are not involved in some cases. Most of the projects have not developed a strategy and clear regulations on how to solve possible disagreements within the network.

Through the Exceed program, various exchanges were realized. In particular, the increase of the number of South-South-exchanges need some more time for consolidation. Further recommendation should be considered in this context:

20. The organizational charts of the projects should consider the development of a strategy to solve possible disagreements (conflict resolution procedures) within the network.

The question as to how the effectiveness of the Exceed program and its measures can be ensured in the future has to be addressed. Indicators are general positive and negative factors on project goal attainment and the integration of Exceed projects at universities, the organization of network communication and cooperation, and the main benefits and difficulties in cooperation.

As shown by the evaluations on project level, there is some evidence that the number of network partners and the kind of offered instruments influence the volume of administrative work. Hence, it has to be considered that a high number of network partners need adequate coordinating capacities. Also, an increasing number of short-term scholarships increases the number of exchanges and requires almost the same administrative effort in each individual case.

Considering funding through Exceed, it is clear that funding for research is inadequately low in fields which require substantial financial resources (e.g., engineering, testing of technical solutions, etc.). There is even a partial lack of research support, which, for example, affects PhD projects in DCs. Here, where the infrastructure for research is not advanced and transaction costs are high, this is an important factor for success. Additional funding for research funding for PhDs was acquired in some projects.

### Table 2: South-North Exchanges:
Number of individuals from DCs visiting Germany (funded by scholarships and travel grants)

<table>
<thead>
<tr>
<th></th>
<th>Master Students</th>
<th>PhD Students</th>
<th>Professors/Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>9</td>
<td>6</td>
<td>19</td>
</tr>
<tr>
<td>2010</td>
<td>37</td>
<td>51</td>
<td>40</td>
</tr>
<tr>
<td>2011</td>
<td>38</td>
<td>46</td>
<td>95</td>
</tr>
<tr>
<td>2012</td>
<td>18</td>
<td>39</td>
<td>53</td>
</tr>
</tbody>
</table>

### Table 3: North-South Network Exchanges:
Number of individuals from Germany visiting DCs (funded by scholarships and travel grants)

<table>
<thead>
<tr>
<th></th>
<th>Master Students</th>
<th>PhD Students</th>
<th>Professors/Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td></td>
<td></td>
<td>21</td>
</tr>
<tr>
<td>2010</td>
<td>11</td>
<td>3</td>
<td>22</td>
</tr>
<tr>
<td>2011</td>
<td>9</td>
<td>1</td>
<td>72</td>
</tr>
<tr>
<td>2012</td>
<td>3</td>
<td>1</td>
<td>27</td>
</tr>
</tbody>
</table>

### Table 4: South-South Network Exchanges:
Number of individuals from DCs visiting DCs (funded by scholarships and travel grants)

<table>
<thead>
<tr>
<th></th>
<th>Master Students</th>
<th>PhD Students</th>
<th>Professors/Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td></td>
<td></td>
<td>9</td>
</tr>
<tr>
<td>2010</td>
<td>8</td>
<td>10</td>
<td>67</td>
</tr>
<tr>
<td>2011</td>
<td>14</td>
<td>5</td>
<td>71</td>
</tr>
<tr>
<td>2012</td>
<td>11</td>
<td>7</td>
<td>48</td>
</tr>
</tbody>
</table>
A further point of critique from the German center’s perspective mentioned during the site-visits in the context of financial matters was that the amount of scholarship payments is too limited; that the respective financial allowances should be adequate depending on regional standards was also brought up. The current regulations are partly seen as misbalanced, especially in case of South America.

From the students’ perspective, it was criticized that the monthly allowance has been reduced by half during research stays abroad, which makes it hard to deal with fixed costs in Germany (e.g., rent, contributions for insurance, etc.). From the partner’s perspective, it was generally criticized that for PhD students, DAAD regulations on scholarships are not flexible enough, which in turn reduces efficient use of the students’ capacity in implementing development related field work.

With regard to general project management, project monitoring shows room for improvement at the project level. Specific details are given in the individual reports. At the program level, the coordination and facilitation of exchange of monitoring tools and results may assist the projects in becoming more effective.

Another finding was that, on the program level, very little collaboration between the Exceed projects currently takes place. In very few cases were initial contacts or joined project activities noted by the expert team. The Exceed project representatives may consider contributing to improving coordination at the policy level and aiming to achieve synergistic effects by combining strategically research and development oriented programs. This strategy, which should be supported by DAAD, should also consider developing multilateral sources of funding.

21. For the projects conceptualization, the number of partners and the design of measures should take the resources for administrative work into consideration,

22. Funding for research and infrastructure is seen as a factor of success; it would be helpful for DAAD to identify complementary programs to strengthen the area of research; funding of research in the context of development cooperation and options for a more flexible approach should be discussed with the responsible ministries,

23. Scholarship amounts should consider regional standards; the issue needs to be discussed with responsible ministries in the donor country,

24. From the experts’ perspective, it would be desirable to have joint regular meetings of all Exceed partners in Germany. This could be useful for sharing experiences and strengthening the position of DCs in the German higher education sector in general.

Regarding the criteria of effectiveness, it is important to state that the evaluation could not identify any significant unintended positive or negative direct results or effects in any of the projects which may have occurred since the beginning of the project. The overall rating at program level is ‘good’ considering the given limitations of partner funding at the time of mid-term evaluation.

2.3 Efficiency

The Exceed program’s efficiency is evaluated based on the relationship between resources used and results achieved. Special focus is placed on the analysis of positive and negative effects related to goal accomplishment and the adequacy or lack of measures for the HEI. Likewise important is program efficiency and the efficiency of administrative processes for the beneficiary and DAAD administrative staff (with regard to national funding legislation).

One of the evaluation’s guiding questions concerns the relationship between use of resources and results achieved. Whether or not each of the measures have positive or negative effects on goal attainment has to be assessed. An assessment of the adequacy of Exceed funding was considered as an indicator.

With regard to Exceed funding in particular, the 20% quota set by BMZ for the staff budget was discussed
with project managers during the interviews. From the perspective of the German coordinating units, this amount is very low in relation to the quantity of administrative tasks for Exceed coordination and the personnel capacity reaches its limits at times, especially in case of a high number of network partners and exchanges (see also 2.2).

In a few cases, partners also criticized the fact that funds for high-level experts from the North (e.g., for guest chairs in DCs) are lacking. Extending the program to provide long-term funding (e.g., 12 months) for experts from the North to assist institutions in DCs, especially LDCs, would require a strategic decision by DAAD/BMZ.

The amount of funds for conferences was also discussed and often considered to be insufficient. Some partners complained that personal travel costs for participants were not fully covered or reimbursed in some cases. In other cases, certain items were paid but not reimbursed when not listed in the original budget. Though the amounts were usually very small, the fact that they had to be carried by individuals resulted in negative impressions. In particular, more flexibility is required regarding the various partner countries.

- Some adaptations may help to better tailor Exceed funding to program objectives:
  25. The 20% quota set for the staff budget should to be discussed,
  26. Funding for conferences should be given in lump sums.
  27. Further optional possibilities should be provided, specifically long-term funding for experts from the North in assisting partner institutions in DCs; adequate information about funding should be communicated to partner in DCs.

Another question focuses on the adequacy of Exceed instruments for the HEIs. The extent to which these affect goal attainment and whether any measures were lacking were assessed. The assessment on the adequacy of Exceed instruments may be used as an indicator in this context.

The use of Exceed instruments was described in 2.2. It can generally be stated that the comprehensive catalogue suits the program objectives well.

The evaluation also focuses on the question of whether program measures are logically planned and goal oriented or if they need restructuring. The assessment of the adequacy of project management structures is regarded and serves as an indicator.

When considering the management structures in Exceed, the specific structure of the program itself has to be considered: Exceed is a comprehensive program that combines several conventional DAAD instruments into one, resulting in an innovative approach from DAAD’s perspective. However, in Exceed the instruments are administered and monitored as individual measures and Exceed is not fully implemented as a comprehensive program; the valuable strategic conceptual approach if Exceed is not fully implemented at the operational level due to the administrative routines currently in place. This causes inefficiency and poor working relations between project recipients and the Exceed program-level administration of the funding organization. Furthermore, this is the first large-scale co-operation between BMZ and DAAD, so regulations must be negotiated during the implementation of the program.

The duration of the Exceed program is rather short. Hence, there are some aspects which should be implemented on a routine base.

- The following recommendation can be given:
  28. DAAD needs to establish structures appropriate to project demands. On account of this, a workshop with the expert from the evaluation team who is responsible for administrative law is strongly recommended.

The question of whether the administrative processes are efficient for the beneficiaries and administrative staff of DAAD (with regard to national funding legislation) is analyzed next. The assessment of adequacy of administrative processes is considered as an indicator.

From the perspectives of DAAD beneficiaries and staff, the program’s administration shows some room for im-
The given set of regulations is considered highly complicated, and described as a mixture of regulations from different institutions (BMZ, DAAD). As made evident during the site-visits, the administrative effort required in Exceed is rated as very high by the individual projects. The DAAD system of documentation lists (Beleglistensystem) is criticized as being much too detailed and labor-intensive, and the final analysis is criticized as inefficient. In terms of collaboration between DAAD and individual projects, a detailed cross-checking process for proof of expenditure (Verwendungschnachweise) is said to be ineffective. Furthermore, some timing requirements are criticized: the gap between the budget year and the budget systems of the universities and the DAAD, and the two-month period to draw funds are judged as inefficient.

Finally, it is important to mention that all projects described the administrative effort for Exceed as high. Only for cases in which the central administrative unit of the university was involved, the administrative burden on the project management was eased.

The following recommendations can be given:

29. Develop DAAD’s own assessment principles and guidelines for granting assistance in cooperation with the relevant ministries and develop agreement upon these with the Federal Ministry of Finance (BMF)¹³,

30. Avoid double and triple checks and support the implementation of a system of sample checks,

31. Harmonization of the university and DAAD budget systems (DAAD),

32. Revise the two-month accounting period,

33. Develop long-term financial plans according to the program/project phase,

34. Grant amounts should be regionally adjusted and offered on a lump-sum basis.

The following recommendations can be given:

35. Follow-up and negotiate the application of the Freedom of Science Act with AA/BMF,

36. Agree to apply and implement the principles of the Freedom of Science Act with BMZ and ensure its implementation at the operational level. This would include clear goal-oriented financial planning; a simplification of cost lines through the provision of lump sums in the three main categories of personnel, operational funds, and grants (scholarships). Decision making on the use of project funds should be done within the project and not by DAAD. The adequate use of funds (proof of expenditure - “Verwendungsnachweis”) will be reviewed by DAAD through random checks (“Kursorische Prüfung”),

37. Change from ‘Fehlbedarfsfinanzierung’ (shortage financing) to ‘Vollfinanzierung’ (‘full financing’),

38. Management response workshops on project level should be conducted by DAAD during the current Exceed program phase.

The assessment regarding ‘efficiency’ results in ratings ranging from ‘very good’ to ‘satisfactory’ at the project level. The rating considers limitations and program preconditions. The overall rating at the program level is ‘satisfactory’, mainly due to the administrative issues observed during the mid-term evaluation period. If the above recommendations can be implemented as suggested, the assessment can be expected become more positive at a forthcoming evaluation.

¹³ Here it will be possible to use the scope now also granted to DAAD by the Freedom of Science Act (Wissenschaftsfreiheitsgesetz) regarding global budgeting, restriction of the ‘Besserstellungsverbot’ (prohibition on offering different payment levels to holders of positions in the same salary category), and carrying out construction projects.

¹⁴ An internal workshop was conducted at the DAAD offices in Bonn on 12 September 2013.
2.4 Developmental Impact

For the evaluation of the developmental impact of the Exceed program, preliminary results and indicative trends were analyzed. The expected contribution from the program for the (future) provision of expertise and for the resolution of development problems has to be assessed.

One of the evaluations guiding questions deals with the overarching development effects which can be expected. The analysis concentrates on looming first effects since it is acknowledged that the first phase of the project is rather short. Indicators include views and assessment of partners on visibility (in policy, at the university, for institutions in the field of development cooperation).

It must be pointed out that impact on regional development cannot be assessed at this point of time due to its attribution gap. One source for the evaluation of developmental impact of the Exceed program activities are the views of partners. During the partner survey, they were asked about the expected results of the participation in the Exceed program. The relevant question set is subdivided in three thematic blocks, “expected effects on network”, “expected development related effects” and “expected results in the field of education and research”. All items are scaled from 1 “no effects expected at all” to 7 “significant effects expected”. The results for the expected “effects on network” show that the respondents hold high expectations for the effects resulting from the Exceed project in general. Especially for “establishing and increasing networks and cooperation” (North-South as well as South-South), the partners’ expectations run high (means from 6.17 to 6.49). Even the lowest rated item in this block, “improving accessibility to other funding organizations”, has a mean of almost 6 (5.86).

The results concerning “development related effects” and “effects in the field of education” follow the same pattern as the items for “expected effects on networks”, respondents show high expectations for cooperation within the Exceed project (means ranging from 5.71 to 6.37). Within the expected “development related effects”, the highest rated items are “Capacity building to contribute to the development of our region” (mean of 6.37), “Gain of knowledge to solve problems of our region” (mean 6.33) and “Creating critical mass of competencies and measures to solve problems of our region” (mean 6.31). Concerning “effects in the field of education and research”, the partners showed the highest expectations on “Strengthening our institutional profile” (mean 6.37) and “Enhancement of the visibility of the services and programs offered by our university or research institution” (mean 6.30). On the whole, the partners expect positive effects in various fields through the network activities.

The interviews and exemplary partner site-visits confirmed that there is a direct impact on capacity building, especially on the PhD level (see 2.1.2); even so, the number of available scholarships seems to be low. From a partner perspective, it was emphasized that selection criteria of PhDs should address the need to develop a new generation of experts to mitigate development challenges (ranging from issues such as racial divisions of the society to sustainable water management). In order to achieve measurable development impact, the present Exceed project partners, to whom regional coordinative functions were assigned, must be considerably strengthened (see 3.2).

Currently, LDCs are only indirectly benefiting from the Exceed program through partner institutions, which function as regional hubs (see 2.1.2). Awareness of Exceed project topics is raised in donor countries through conferences and public relations work (e.g., press releases, events).

- For a comprehensible assessment of the developmental impact through Exceed program effects in the future, the following recommendation is given:

39. The DAAD should improve the monitoring structures for the Exceed program. This includes reviewing the quality of all existing instruments and the implementation of a monitoring system that focuses on project outputs and outcomes and thereby enable the demonstration of the results and impacts of successful activities.

Another focus of the Exceed evaluation is on questioning the contributions the project can realistically make (in the future) to providing knowledge solutions to development prob-
lems. As an indicator, the number of requests for policy advice was used.

At partner level, a highly variable pattern of involvement in policy analysis and advisory services was observed. In some DCs, the professors of the partner institutions were frequently on demand and asked for policy advice, whereas in other countries, researchers in the higher education sector were not well connected to policy debates. It is not yet clear, however, to what extent development organizations will demand experts that are trained in a multi-disciplinary field for positions that are influential in designing policies and strategies. A demand analysis has not been presented to the evaluation team by any of the projects. There is a general assumption that there is, in fact, such a market for their graduates. It is recognized that a project itself may not have the resources to conduct a systematic demand analysis for all the disciplines within the respective fields.

There are some specific cases of immediate impact of few scholars representing Exceed projects on policy making at the partner level, mainly through direct cooperation with international organizations (e.g., ILO). In most project scenarios, the impact on policy can be indirectly expected through publications and awareness rising effects of high level international conferences (e.g., FSC ‘Hidden Hunger Congress 2013’).

- The projects create awareness of their complex thematic issues through dissemination of results to policy makers and the general public by attracting opinion leaders and leading mass media. An assessment of the ongoing measure on capacity building, namely PhD graduates, is not yet possible. Visibility measure should require higher attention than at present. Visibility at the level of policy making and politics was rated relatively low. Specific developmental impact, which could be directly related to the Exceed program, cannot be assessed due to the attribution gap between outcomes and impact at this point of time. However, Exceed activities are well suited to the overall development strategy of the partner institutions and sector policies of DCs from a qualitative point of view. It can be expected that the program will indirectly contribute to development through present capacity building efforts and involvement of multipliers and stakeholders at a later stage. One recommendation can be given for future development:

40. Solicit for funding in order to conduct a demand analysis for postgraduates at the PhD level in the area of the Exceed program, preferably on a regional level and through the strategic partners. A specific focus should be given to the dimension of policy analysis and policy making.

The assessment of the criteria ‘developmental impact’ shows that the projects are in compliance with BMZ development and education policy at the project level. Due to the attribution gap between results and impact at a general stage of the project, the evaluation cannot show direct evidence of developmental impact and a fair assessment is not possible at the mid-term evaluation; it would be premature. Under the assumption of long-term support (at least another project phase of five years) of the Exceed program and increased funding at the partner level, the assessment regarding development impact could result in a positive rating in a future summative evaluation.

2.5 Sustainability

The evaluation concentrates on the sustainability of the effects achieved. Whether the recognized results at the individual and organizational / systemic levels are expected to be sustainable are assessed. Moreover, the steps that have to be taken to guarantee the sustainability of results achieved are also considered. There is a focus on the factors that foster and hinder sustainability. Also, the extent to which partners are willing to and whether or not they have the capacity to sustain the measures and results without any further support is regarded.

One of the evaluation’s guiding questions pertains to the expected sustainability of the recognized results at the individual and organizational / systemic level. Indicators used in this context are career plans of users, compatibility with HEI strategies (e.g., consideration of DCs in an internationalization strategy), integration in HEI structures (support
for Exceed projects, access to services and offers of HEI), and intensity of network cooperation.

In order to estimate the expected sustainability at an individual level, the survey of users provides some insight. This includes a question concerning the professional career plans of the respondents. The collected data show that the users of the Exceed program are planning their professional careers in the academic field (mean 5.91), in their home country (mean 5.86), in the field of development cooperation (mean 5.79) or in the thematic area of the Exceed program (mean 5.71). The high value for the statement regarding a career planned in the home country is important for the expectation of sustainable effects of Exceed instruments in development cooperation. Comparing the means of the items concerning the question of the kind of employment environment that the responding users are planning their future in, the results show that most would favor to work in the public sector (mean 5.34). The options “working in the private sector” (mean 4.26) and “starting their own business” (mean 3.21) were rated on a, relatively, lower level. The survey results indicate that users will reinforce the relevance of the Exceed supported topics through their career and, secondly, that the brain drain effect appears not to be a critical issue in this regard.

On an organisational level, the expected sustainability of Exceed supported networks is based on integration in partner institutions. For the German coordinating units, the compliance with the internationalization strategies seems to be crucial. Some of the German universities apparently were reviewing their general strategy and referring to the on-going process during the evaluation. The partners, and in some more detail the leaders of the HEIs, have presented strategies and clear ideas on the sustainability of Exceed under defined and required conditions during the site-visits abroad. However, in the opinion of all German and partner university leaders, the Exceed timeframe of five years is too short to operationalize and implement the strategies and ideas, e.g., to establish a centre of excellence in the university itself, or to reach a high level of visibility outside of the university in Germany and in DCs.

Currently, the sustainability of recognized results can be confirmed at the individual level of beneficiaries. At the organizational level, the situation varies depending on the status of integration to the HEIs (see 2.2). The following recommendations should be considered for future development:

41. Intensification of in-house lobbying and additional substantial efforts for long-term external funding through acquisition of third-party funds in all networks.

The guiding question considered next asked about the steps that have been taken in order to secure the sustainability of achieved results and which factors foster and which hinder sustainability. Additionally, the extent to which partners are willing and able to sustain positive results without support was also considered. Indicators considered in this context are partner estimations of future cooperation and the overall balance of the expert assessment.

The evaluation has shown that the acquisition of new projects through joint and collaborative project proposals are a strong signal for sustainable networking prospects but range widely among projects. However, the partners in DCs would like to receive support in acquiring further funding (see 2.2). The development of truly interdisciplinary projects, however, will take more time than anticipated.

Another source for the evaluation on sustainability is, again, the survey of partners. Asked for their opinion on a possible continuation of the cooperation within the Exceed program, the partners tend strongly towards a continuation without any major difference among the five networks. They all tend towards a continuation of the program (mean 6.26). Concerning the future cooperation of the project partners, questions were asked regarding “factors or issues which could prevent the continuation of the cooperation”. The means for all the issues and factors are comparatively low (means range from 3.04 to 4.78). Merely the lack of provision of third party funding should be mentioned (mean 4.78) as a factor which could prevent a further cooperation. It should be noted that the standard deviations for the items concerning “factors or issues which could prevent the continuation of the cooperation” are relatively high, indicating a relatively high variation among and within networks.

The evaluation experts presume that work on the topics of the five German coordinating units will most likely
be sustained at a certain level without any further fund-
ing through the Exceed program beyond 2014. Howev-
er, if Exceed funding were terminated, the availability of
scholarships and, consequently, the continuation of the
PhD program would be threatened. Furthermore, the
funding of the executive management positions and the
support given to partners is essential to coordinate the
networks as long as the partners do not have sufficient
coordinative capacity.

The exemplary site-visits in DCs have shown that due to
the often high national reputation of partner universi-
ties it will be essential for future development that re-
search activities are focused and based on an interdisci-
plinary and joint cooperative approach. This will increase
the regional visibility as well as the impact on govern-
mental developing strategies.

In order to sustain the networks, PhD graduates should
be interested in joining the respective network and ex-
press their wish to utilize their academic skills both for
their academic career and in order to effect changes in
policy making. The intensive involvement of alumni
should serve as an indicator of a sustained thematic net-
work. The evaluation has shown that such models of
establishing sustainable networks are developing at dif-
fering intensity and levels for establishing a productive
network. In the long term, this might also contribute to
institution building on a transnational scale with the in-
volvement of currently weaker partners (mainly in
LDC), who still need substantial support regarding ca-
pacity building.

Mobility depends directly on available funding. There is
consensus among the expert team that without further
(external) funding, new partnerships will expire, as will
the South-South-cooperation. Further technical support
is needed for the sustainability of electronic platforms.
Electronic platform systems also need staff at the part-
ner universities responsible for administration. In or-
der to strengthen the status of such platforms, peers
recommend using the system for project coordination.
Through strategic alliances, equipment and knowledge
could be utilized throughout the network.

The exemplary site-visits have shown that partners
would generally be willing to sustain Exceed supported
programs and activities, if other external funding is
made available. A specific and quantifiable assessment,
however, is not possible at the time of the mid-term
evaluation due to the fact that the added value of Exceed
is often very difficult to measure in regard of sustaina-
ble development. In most cases, however, the realistic
assessment is that the program will remain heavily de-
pendent on third party funding as it is not expected that
the partners in DCs will find direct (core) funding for
the collaboration. However, there is a promising poten-
tial for further third party funding (e.g., developmental
agencies, NGOs, private sector), particularly with the
development of research capacities in DCs. Due the
limited scope of the project from a partner perspective,
there is no strategy of how to cope with a situation if, for
example, PhD scholarships and other support measures
are no longer offered by the Exceed program (see above).
All projects discuss and mention strategies and actions
regarding sustainability of the center or network. How-
ever, a project-specific exit strategy including an opera-
tional plan was not yet developed by any of the projects
at the time of the mid-term evaluation.

- There is no doubt that Exceed initiated projects will
be sustained at a certain level. However, if develop-
mental impact is expected significantly through
Exceed, funding is required for approximately
another five years, beyond 2014. For future develop-
ment, the following recommendations can be given:

42. Monitoring of the capability of networks to apply
for and to acquire complementary funding by the
projects,

43. Regarding the review of the networks, it is recom-
mended to define the term ‘partner’ precisely in
order to include mutual expectations and commit-
ments. Institutional ownership must be ensured,

44. An extension of the Exceed program would help to
establish sustainable structures in partner coun-
tries in order to ensure that actual empowerment
continues afterwards. There are large variations in
capacity among and within the Exceed networks
requiring a thorough analysis of each network.

At the project level, the assessment regarding ‘sus-
tainability’ is generally positive due to the significant
role of the German coordinating centers. The thematic
centres will be sustained in certain ways. Considering the entire network and the establishment of competence centers at the partner level, the prospects were less optimistic at the time of the mid-term evaluation due to present network structures, level of empowerment, funding situation and institutional ownership.

2.6 Coherence, Complementarity and Coordination

Another aspect of the evaluation is whether or not cooperation with other program actors (German bilateral development cooperation, international and multinational organizations, NGOs, etc.) takes place.

The respective guiding question for the evaluation is if there are any cooperation agreements with other programs/actors and, if yes, how they relate to project and labor divisions and which synergy effects are achieved. As indicators in this context, cooperation agreements with other programs/actors, partner information on additional funding sources, and additive or synergetic effects through cooperation with other organizations are considered.

All projects are aware and realize that Exceed requires cooperation with other programs and actors in order to achieve its ambitious goals. As described above (section 2.1.1 and 2.2), the funding situation regarding research, mainly PhD related research projects, remains critical throughout all projects. The partners expressed the need for support to write proposals in interviews and during exemplary site-visits.

The German coordinating units were successful at initializing links to national partner organizations ranging including industry, research organizations (DFG), academically oriented alliances and even international organizations. The number of successful applications related to Exceed, however is low and varies among projects. The majority of project applications or acquisitions were submitted by the German coordination centers and Exceed project partners took initiative in only a few cases. Regarding the policy level, it would be premature to state that policy making is influenced by expert advice or research results based on current Exceed supported projects. The partners tend to utilize Exceed project support to cooperate with local or regional initiatives. In several projects, research could possibly be strengthened by identifying trans-regional themes and by linking with on-going national or regional development programs.

- Regarding Exceed’s cooperation with other programs, it can be stated that positive effects from collaboration are expected by experts. The following recommendations could be helpful in this context:

45. Soliciting better flexibility and cooperation from the German ministries involved in DCs in the sectors of higher education, science and technology.

46. Development of solution-oriented research programs through thematic alliances with strong partners in DCs.

The assessment regarding ‘coherence, complementarity and coordination’ can be summarized by concluding that projects are generally successful in cooperating with other organizations at different levels and for different purposes. An overall rating of ‘good’ is being justified at the program level.
3. Recommendations
Central for the mid-term evaluation is the formulation of recommendations for future development and improvement of the Exceed program. The analysis of Exceed in accordance with the BMZ criteria for evaluations given above includes several recommendations. Chapter 3 reflects these, grouped by the following categories:

- Recommendations on a strategic level,
- Recommendations in terms of resources/funding, and
- Recommendations in terms of processes.

The numbering accords with the labeling defined in chapter 2 to make it easier to reconstruct the recommendations in the context they were given.

**Strategic Level**

*On the strategic level, some recommendations are given in order to increase the developmental relevance of Exceed:*

(6) LDCs have to be considered to a greater extent; in fact, though they have limited facilities, they often have the highest need to build and retain human capacity (DAAD),

*Furthermore*

(7) the cross-cutting issue of gender equality should be monitored more strongly; gender-related activities should be documented by all projects in similar format (Projects, DAAD).

In terms of the list of instruments offered by Exceed, some additional ones are recommended:

(8) The (further) development of master’s degree programs at partner institutions abroad (Projects, DAAD),

(10) Extension of trainings and further education measures (e.g., for Exceed alumni) to strengthen capacity building in DCs (Projects, DAAD),

(27) Further optional possibilities should be provided, specifically long-term funding for experts from the North in assisting partner institutions in DCs; adequate information about funding should be communicated to partner in DCs (Projects, DAAD).

For the improvement of the scientific relevance of Exceed program, the following recommendations should be considered:

(2) Increase the number of publications in relevant journals in the respective fields in order to increase visibility within the scientific community (Projects).

As a central finding of the evaluation:

(22) Funding for research and infrastructure is seen as a factor of success. It would be helpful for DAAD to identify complementary programs to strengthen the area of research. Funding of research in the context of development cooperation and options for a more flexible approach should be discussed with the responsible ministries (DAAD, BMZ, AA, BMF).

For the further development of the program, it is important to increase planning security for the projects. Due to this, it is important to make a

(19) Strategic decision on the program duration to ensure planning security for Exceed partners (BMZ, DAAD).

**Resources/Funding**

With regard to resources, the following recommendations are given:

(25) The 20% quota set for the staff budget needs to be discussed (BMZ, DAAD),

(23) Scholarship amounts should consider regional standards; the issue needs to be discussed with responsible ministries in the donor country (AA, BMZ, DAAD),

(13) Extension of PhD scholarships under defined conditions for up to five years (BMZ, DAAD),

(36) Agree to apply and implement the principles of the Freedom of Science Act with BMZ and ensure its implementation at the operational level. This would include clear goal-oriented financial planning; a simplification of cost lines through the provision of lump sums in the three main categories of personnel, operational funds, and
grants (scholarships). Decision making on the use of project funds should be done within the project and not by DAAD. The adequate use of funds (proof of expenditure - “Verwendungsnachweis”) will be reviewed by DAAD through random checks (“kursorische Prüfung”; DAAD, Projects).

(40) Solicit for funding in order to conduct a demand analysis for postgraduates at the PhD level in the area of the Exceed program, preferably on a regional level and through the strategic partners. A specific focus should be given to the dimension of policy analysis and policy making.

Processes

In regards to processes, some recommendations are given for improving the organization and management of the Exceed program. Some advice focuses on the design of the networks, especially the empowerment of partners:

(4) The role of partners in defining regional research needs to be enhanced in most projects (Projects).

(15) Support for empowerment of network partners through further decentralization is recommended. There might be the need to review and consolidate the role of certain partners in the process in some existing networks (Projects).

It was recommended to

(16) Provide the legal and administrative possibility for a partner institution from DCs to host the project and fulfill the coordinative network function (BMZ, DAAD).

Another critical aspect was the number of network partners:

(21) For the project conceptualization, the number of partners and the design of measures should take resources for administrative work into consideration (Projects, DAAD).

(17) Expanding the model of including representatives from industry, trade unions and politics into the networks in order to institutionalize a direct linkage to policy (Projects).

(39) Improve the monitoring structures for the Exceed program. This includes reviewing the quality of all existing instruments and the implementation of a monitoring system that focuses on project outputs and outcomes and thereby enable the demonstration of the results and impacts of successful activities (DAAD).

(14) Consolidate networks and concentrate on a lower number of partners which should be able to apply the comprehensive package of Exceed instruments (Projects).

Further recommendations can be sorted in the category of communication and cooperation between partners. Recommended was the

(5) Implementation of an e-forum in which specific needs, ideas and solutions can be expressed in a structured format. The forum should be moderated and operated at the Exceed program level (overarching themes and strategies of all participating networks; Projects),

(11) Intensification of the development and usability of electronic platforms for project coordination throughout the respective network (Projects),

(20) The organizational charts of the projects should consider the development of a strategy to solve possible disagreements (conflict resolution procedures) within the network (Projects).

(24) Implementation of joint regular meetings of all Exceed partners in Germany. This could be useful for sharing experiences and strengthening the position of DC’s in the German higher education sector in general (Projects, DAAD).

Considering the area of administration and finances, the following recommendations can be given:

(28) Establishment of structures appropriate to project demands. On account of this, a workshop with the expert from the evaluation team responsible for administrative law is recommended (DAAD).

(29) Development of DAAD’s own assessment principles and guidelines on granting assistance together with the relevant ministries and agreement upon these with the Federal Ministry of Finance (DAAD, BMF).
The following aspects were discussed in some more detail during the evaluation:

(26) Funding for conferences should be given as lump sums (DAAD),
(30) Avoid double and triple checks and support the implementation of a system of sample checks (DAAD),
(31) Harmonization of the university and DAAD budget systems (DAAD),
(32) Revise the two-month accounting period (DAAD),
(33) Develop long-term financial plans according to the program/project phase (DAAD, Projects),
(34) Grant amounts should be regionally adjusted and offered on a lump-sum basis (DAAD).

With regard to the organization of Exceed projects within their HEIs, the following aspects could be useful for further development:

(18) Further integration of German coordinating units in the universities and utilization of universities’ central student services for international students (Projects),
(37) Change from ‘Fehlbedarfsfinanzierung’ (shortage financing) to ‘Vollfinanzierung’ (‘full financing’),
(41) Intensification of in-house lobbying and additional substantial efforts for long-term external funding through acquisition of third-party funds in all networks (Projects),
(42) Monitoring of the capability of networks to apply for and to acquire complementary funding by the projects (Projects),
(43) Regarding the review of the networks, it is recommended to define the term ‘partner’ precisely in order to include mutual expectations and commitments. Institutional ownership must be ensured (Projects),
(44) An extension of the Exceed program would help to establish sustainable structures in partner countries in order to ensure that actual empowerment continues afterwards. There are large variations in capacity among and within the

Exceed networks requiring a thorough analysis of each network (Projects),

(45) Soliciting better flexibility and cooperation from the German ministries involved in DCs in the sectors of higher education, science and technology (Projects),
(46) Development of solution-oriented research programs through thematic alliances with strong partners in DCs (Projects).

Also considered was the area of quality assurance. Recommendations given in this context are:

(35) Follow-up and negotiate the application of the Freedom of Science Act with AA/BMF (DAAD),
(38) At the project level, it is urgently recommended that management response workshops be conducted by DAAD during the current Exceed program phase (DAAD, Projects).

In order to consolidate the research orientation of Exceed, some recommendations can be given on the process level:

(1) Development of an individual publication plan from the beginning of the PhD proposal to ensure timely publication of results in relevant journals (Projects),
(3) Development of a mechanism that fosters the role of DC institutions in the PhD selection decisions; this may have a positive impact on prioritizing research subjects according to local and regional needs and in ensuring commitment of DC institutions in securing funding for the selected research topics (scrutinize the application in that respect; Projects),
(9) The strengthening of partners’ responsibility in the context of PhD supervision and examination (Partners),
(12) To support partners in writing (joint) research proposals through bilateral help or workshops and seminars (Projects),
4. Appendix
Project Profile

Why a project profile?
A systematic overview of the projects assists the reviewing team to identify the key points and issues in an aggregated format. It will serve as base information on the actual project status and, therefore, help to prepare the site-visits later during this winter-semester. We highly appreciate, if you could please complete the profile following the structure and format as given below by 17th of September (date of workshop in Bonn). If this not feasible we would need your report by end of September as the latest (Deadline for submission September 30, 2012).

How to structure the project profile
Please differentiate between the level of the entire project and the level of subprojects/activities and provide information on strategic goals/main objectives and implementation.

1. At the level of strategic goals/objectives the focus should be on:
   - Development Goals
   - Specific development measures and activities (e.g., PhD - or Master programs, Guest Chairs; Outreach Programs, etc.),

2. At the implementation level information on
   - Structures (responsibilities, resources, e.g. personnel capacity for management and its source of funding (institution or project), personnel capacity for management at strategic partner level and source of funding, etc.)
   - Processes (communication, cooperation and adjustments since start of the project at project and partner level, etc.)
   - Results (quantitative indicators, e.g. user numbers; qualitative indicators, e.g. policy changes, etc.)

3. Additional information on Project Management
   - Please provide an actual organigram of the project and, if available at partner level
   - Do have specific knowledge or comments on project management by partners?

The following table should be used. An example for a single activity "Postgraduate Program" is provided.
<table>
<thead>
<tr>
<th>Strategic goals/objectives</th>
<th>Implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project level: &lt;Name of Project&gt;</td>
<td></td>
</tr>
<tr>
<td>Development Goals/ Specific development measures (MDG etc.)</td>
<td>Measures/Activities (e.g., study programs; training or outreach programs, etc.)</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Level of specific "subprojects" or measures (one example is provided)

- **Target MDG 7A**: Integrate principles of sustainable development...and reverse the loss of environmental losses
  - Development of a Post-graduate Program „XY“
  -  

- **Target MDG 7B**: Reduce biodiversity loss...
  -  

¹ include information by gender, where appropriate (e.g., students, scientists, household heads in field projects, etc.)
Prof. Wollny  
Higher Education Consultant

Please use the above table as a blueprint to structure your information.
We also would need a self-assessment on what you consider as your three strongest points or three weakest points, respectively (please refer to the project profile):

<table>
<thead>
<tr>
<th>Strongest points</th>
<th>Weakest points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>1.</td>
</tr>
<tr>
<td>2.</td>
<td>2.</td>
</tr>
<tr>
<td>3.</td>
<td>3.</td>
</tr>
</tbody>
</table>

Please add comments, explanatory text or provide further information (be brief!), which you consider as critical or important for the evaluation process.
All data and information provided should refer to verifiable documents or validated sources of information.
If you have any questions please do not hesitate to contact us:

Prof. Dr. Clemens Wollny  
clemenswollny@gmx.net

Dr. Tanja Grendel  
tanja.grendel@zq.uni-mainz.de

Thank you so much for your cooperation!
Evaluation of the “Higher Education Excellence in Development Cooperation - Exceed” program

Online Survey

Version 24th September 2012

Questionnaire Project Partners

- The survey intends to evaluate the following aspects:
  - Motivation to participate in the exceed program;
  - Assessment of the thematic relevance of the specific project;
  - Assessment of the basic conditions;
  - Expected and realized effects of the cooperation.

  Duration of the on-line survey: four weeks (until the end of October 2012)
  Language: English only
  Technical implementation through evasys software; one survey for each project (n = 5)

Introduction and Background

Dear project partners,

Within the program ’Higher Education Excellence in Development Cooperation - Exceed’ you are cooperating with a German university or research institution aiming to have a hand in the development of your region. Recently the DAAD commissioned a team of experts with the evaluation of the implementation status of the program. One important goal of the evaluation is the development of recommendations for ’Exceed’ and also forthcoming programs in the field of development cooperation. This can only be achieved through your support. We would highly appreciate if you share your experiences and ideas with us. All information and data will be treated confidentially. Results will be used for the evaluation of the Exceed program only.

Thank you very much for your support.

If you have any questions please do not hesitate to contact us:

Prof. Dr. Clemens Wollay

Dr. Tanja Grendel
Motivation for participation and focus of the project

Firstly, we are interested to understand your motivation for the cooperation within the ‘Exceed’ program.

➢ Why did you decide to participate in the ‘Exceed’ program? Please indicate on a scale from 1 (“does not apply at all”) to 7 (“applies fully”) to which extent the following expectations were important or not important to you.

  o Strengthening our institutional profile
  o Bringing together working units with a linkage to the MDGs
  o Positive experiences with our partners in the past
  o Quality improvement of the services and programs offered by our university or research institution
  o Strengthening international contacts of our university or research institution
  o Enhancement of the visibility of the services and programs offered by our university or research institution
  o Provision of financial resources to improve services and programs offered by our university or the research institution
  o Contribution to the development of our region
  o Improving knowledge for policy advice
  o Others: .................

➢ Which services and programs are parts of your cooperation? Please indicate all services and programs which apply and indicate where they are offered. (“offered in our country”, “offered in Germany”, “offered in other countries” and “there is no offer”)

  o Student exchange (Master and Bachelor)
  o Exchange of PhD students
  o Exchange of lecturers and researchers (postdoc and professors)
  o Joint curricula or modules of curricula
  o Joint e-learning programs
  o Master programs with joint degrees or double degrees
  o Workshops and conferences
  o Summer schools
  o Field trips
  o Scholarships for Master students
  o Scholarships for PhDs
  o Research projects
  o Outreach projects
  o Advisory services
Prof. Wollny
Higher Education Consultant

- Public relations
- Others: ...................

➢ Do you recommend further services or programs which should be supported in future?
  - No
  - Yes: ........................................(please provide up to three examples)

➢ Please assess the relevance of the services or programs offered presently considering the following dimensions. (1 "does not apply at all" to 7 "applies fully").
  - Scientific relevance
  - Relevance for development cooperation
  - Relevance for reaching the MDGs
  - Relevance for the profile of our university or research institution
  - Relevance for the needs of our region

Frame conditions
The following questions refer to the basic conditions of cooperation.

➢ Which additional funds apart from "exceed" do you use to support measures and activities which are offered by your project within the framework of cooperation? (Please indicate all measures and activities which apply).
  - We do not use additional funds. → FILTER: NEXT QUESTION
  - Basic funding of our university or research organisation
  - Third party funding
  - Public funds provided by the state
  - Others: ..............................(open category)

➢ Please provide your critical opinion on the level of funding to cover the costs of cooperation. Do you think the funding provided by "Exceed" is adequate? (1 "not adequate at all" to 7 "fully appropriate" and "funds are not available").
  - Personnel expenditures
  - Financing of equipment and program specific operations
  - Financing of grants and scholarships

➢ In which area(s) would you appreciate additional financial support?
  .....................................................
  (open category)
Communication and Cooperation

The following questions refer to your experiences in cooperating with the partners under the framework of the ‘Exceed’ program.

➤ How would you describe your cooperation within the ‘Exceed’ program in regard to the following aspects (1 “does not apply at all” to 7 “applies fully”)?
   o Decisions are made jointly based on equal rights
   o Exchange regarding concept related issues is intensive
   o Agreements are binding to all partners
   o The services or programs of our partners are transparent
   o The criteria of our partners for the approval of scholarships are transparent
   o The interests of our university or research institution are considered
   o Problems of our region are considered

➤ How do you rate the administrative efforts within your cooperation? (1 “it requires no administrative effort” to 7 “it requires extremely high administrative efforts”)
   o Coordination processes between partners
   o Reporting of services and programs
   o Accounting and financial reporting
   o Others: ...................(open category)

➤ In which area do you see the main difficulty of the cooperation?
   .......................................................... (open category)

➤ In which area do you see the main asset of the cooperation?
   .......................................................... (open category)

➤ Do you cooperate with further partner institutions in the field of development cooperation?
   o No
   o Yes (please add up to three main partner institutions)
     1.................
     2.................
     3.................

Preliminary or expected results

The next questions relate to preliminary or expected results within the scope of your cooperation.

➤ Which effects on your network do you expect through the cooperation in the context of the ‘Exceed’ program? (1 “no effects expected at all” to 7 “significant effects expected”)

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Prof. Wollny
Higher Education Consultant

- Increasing the number of south-south cooperation
- Increasing the number of north-south cooperation
- Establishing long-term and sustainable south-south relationships
- Establishing long-term and sustainable north-south relationships
- Improving accessibility to other funding organizations

➤ Which development related effects do you expect through the ‘exceed’ program? (1 “no effects expected at all” to 7 “significant effects expected”).
- Capacity building to contribute to the development of our region
- Gain of knowledge to solve problems of our region
- Creating critical mass of competencies and measures to solve problems of our region
- Expanding advisory services on issues in development cooperation for local authorities
- Expanding advisory services on issues in development cooperation for public authorities
- Others: …………………………… (open category)

➤ Which effects on the field of education and research do you expect through the ‘exceed’ program? (1 “no effects expected at all” to 7 “significant effects expected”)
- Strengthening our institutional profile
- Quality improvement of the services and programs offered by our university or research institution
- Enhancement of the visibility of the services and programs offered by our university or research institution
- Others: ……………………

➤ How would you rate the visibility of activities offered by the ‘exceed’ program in different sectors (1 “totally invisible” to 7 “fully visible”)?
- Scientific community
- Policy makers and politicians
- Our university or research institution
- Institutions in the area of development cooperation

➤ What is your current opinion on future cooperation after completion of the present phase of the ‘Exceed’ program? Please indicate your level of confidence (on a scale from 1 “very uncertain” to 7 “cooperation will definitely be sustained”).
Which factors or issues could prevent the continuation of the cooperation from your point of view? Please indicate to what extent the following factors or issues apply (1 “does not apply at all” to 7 “fully applicable”):

- Lack of support by our university or research institution
- Lack of interest by cooperation partner(s)
- Lack of support by policy decision makers
- Lack of provision of third party funding
- Others:...................... (open category)

Concluding we would like to know the three major strengths and the three major weaknesses of the ‘Exceed’ program from your point of view.

- Please list the three major strengths
  1...........................................
  2...........................................
  3...........................................

- Please list the three major weaknesses
  1...........................................
  2...........................................
  3...........................................

Now we would like to give you the opportunity to give us some ideas for a possible continuation of the ‘Exceed’ program.
............. (open category)

Socio-demographic data

Finally we would like to ask you about your country of employment.

- Which is your country of employment?
  (please provide your country)

In case of any further questions we would like to contact you again. We would be grateful if you provide the name of your institution and your personal name in the following fields. Of course these information are voluntarily and will be treated confidentially.

- Name of institution (open category)
- Personal name (open category)

Thank you very much for your support!
Evaluation of the *Exceed* program

**Online Survey**

*Version 24th September 2012*

**Questionnaire Users (students, PhD candidates, visiting lecturers)**

- The survey intends to evaluate the following aspects:
  - Motivation to participate in the *exceed* program;
  - Assessment of the thematic relevance of the specific project;
  - Assessment of the basic conditions;
  - Expected and realized effects of the cooperation and project level.

Duration of the on-line survey: four weeks (until the end of October 2012)
Language: English only

Technical implementation through *evasys software*: one survey for each project

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**Introduction and Background**

*Dear students and colleagues,*

*You are participating in an educational program or student/working exchange within the program ‘Higher Education Excellence in Development Cooperation - Exceed’. Recently the DAAD commissioned a team of experts with the evaluation of the implementation status of the program. One important goal of the evaluation is the development of recommendations for ‘Exceed’ and also forthcoming programs. This can only be achieved through your support. We would highly appreciate if you share your experience and ideas with us. All information and data will be treated confidentially. Results will be used for the evaluation of the Exceed program only.*

*Thank you very much for your support.*

*If you have any questions please do not hesitate to contact us:*

*Prof. Dr. Clemens Wollny*

*Dr. Tanja Grendel*

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**Motivation for participation**
Firstly, we are interested in your motivation for participation in the ‘Exceed’ program.

- Why did you decide to participate in the ‘Exceed’ program? Please indicate on a scale from 1 (“does not apply at all”) to 7 (“applies fully”) to which extent the following expectations were important or not important for you.
  - Development of a new thematic area or field
  - Deepening my area of interest
  - Facilitating contacts to colleagues/professors at other universities or research institutions
  - Chance to obtain a travel grant or scholarship
  - Experience of working and living in another country
  - Acquiring a joint or double degree
  - High quality of education
  - Improving my career profile
  - Supporting development cooperation
  - Others: ..................

- Which services and programs do you or did you use within the framework of the ‘Exceed’ program? (Please indicate all services and programs which apply).
  - Exchange program for students
  - Exchange program for PhD students
  - Exchange program for lecturers
  - Exchange program for scientists
  - Joint curricula or modules of curricula
  - Master programs with joint degrees or double degrees
  - Scholarship
  - E-learning programs
  - Workshop, conference
  - Summer school
  - Field trip
  - Research project
  - Outreach projects
  - Others: ..................

- Can you recommend any other services and programs, which should be supported in future?
  - No
  - Yes: .........................(please provide up to three examples)
Basic conditions and process

The following questions refer to your experiences with administrative processes in the context of the ‘Exceed’ program. The questions below differentiate between the preparation of a working or study visit abroad and the application process for a scholarship.

➢ How would you describe the administrative efforts in preparing a working or study visit abroad within the framework of ‘exceed’? (1 “no effort at all” to 7 “extremely high effort”)
   o I have no experiences with that. → Filter
   o Process of coordination at my university or research institution
   o Process of coordination with partner university or research institution abroad
   o Other:..........................................................(open category)

➢ In which area do you see the greatest difficulty in preparing a working or study visit abroad? Please provide in brief:
   .......................................................... .......................................................... ................ (open category)

➢ How would you describe the administrative efforts in receiving a scholarship within the framework of ‘Exceed’? (1 “no effort at all” to 7 “extremely high effort”)
   o I have no experiences in that. → Filter
   o Process of coordination at my university or research institution
   o Process of coordination with partner university or research institution abroad
   o Completion of application documents
   o Other:..........................................................(open category)

➢ How would you evaluate the following statements? Please indicate on a scale from 1 “does not apply at all”) to 7 (“applies fully and without any doubt”)
   o The application process took too much time
   o The requirements for the application were transparent
   o The criteria of the selection process were transparent
   o The financing of grants and scholarships is adequate

   o In which area do you see the greatest difficulty in receiving a scholarship within the framework of ‘exceed’? Please provide in brief:
     .......................................................... .......................................................... ................ (open category)
The next questions refer to benefits from participation in the ‘exceed’ program.

- What would have been different without the ‘Exceed’ program? Please indicate to what extent you would agree with the following statements. (1 “does not apply at all” to 7 “applies fully”)
  - Without ‘exceed’…
    - I would deal with other thematic areas
    - I would not have been able to realize a study, teaching or research visit abroad
    - Others (open category)

- In which areas did you benefit from ‘Exceed’ services and programs? (1 “does not apply at all” to 7 “applies fully”)
  - Personal growth and development
  - Gain in expertise
  - Social networking
  - Professional networking
  - Others: ……………………………

- In the following, we list some statements related to your future professional career. Please indicate to what extent you would agree. (1 “does not apply at all” to 7 “applies fully” or “I don’t know”)
  - I plan my professional career…
    - … in my home country
    - … abroad
    - … in another developing country
    - … in the thematic area of the ‘exceed’ program
    - … in the academic field
    - … in the public sector
    - … in the private sector
    - … by starting my own business
    - … in the field of development cooperation

- Concluding we would like to know the three major strengths and the three major weaknesses of the ‘Exceed’ program from your point of view.
  - Please list the three major strengths
    1……………………………………
    2……………………………………
    3……………………………………
Please list the three major weaknesses
1. ........................................
2. ........................................
3. ........................................

Socio-demographic data

Finally we would like to ask you to provide us with general information for statistical purposes.

➢ In which country is your university or research institution located?
  ○ Country: ......................................................

➢ Did you complete a study, teaching or research visit abroad within the framework of the ‘exceed’ program?
  ○ Yes, I did.
  ○ No, I did not.
  ○ I was planning to but could not realize it yet.
    (If yes filter to next question)

‘Yes’ leads to the following question:

➢ Which country did you visit?
  ○ Country...

➢ How long did you stay?
  ○ Number of days...
  ○ Number of weeks...
  ○ Number of months...

Thank you very much for your support!
Begehungen

Intention:

Der Vorbereitung der Gutachter auf die Begehungen dienen jeweils Workshops. In diesem Zusammenhang werden die Projekte präsentiert und Ergebnisse von im Vorfeld durch Prof. Dr. Clemens Wolfny und Dr. Tanja Grendel (ZQ) durchgeführten Analysen und Befragungen vorgestellt. Anschließend werden Fragestellungen für die Gespräche i.R. der Begehung formuliert und Zuständigkeiten definiert.


Vorbereitung Tag 1, 20xx

| 14:00-18:00 Uhr | Workshop zur Vorbereitung der Begehung |
| 18:00-19:00 Uhr | Begrüßung der Gutachter durch Projektverantwortliche und Gelegenheit der Rückfrage sowie der Bitte um Nachreichung von Informationen |
| ab 19:00 Uhr | Abendessen der Gutachtergruppe |

Begehung Tag 2, 20xx

| Gespräche mit Nutzern des Projekts |
| 09:00-10:00 Uhr | Studierende aus Partnerländern und aus Deutschland |
| 10:15-11:15 Uhr | PhDs aus Partnerländern und aus Deutschland |
| 11:30-12:30 Uhr | Gastwissenschaftler (Incomings sowie ehemalige Outgoings) |

| Mittagsimbiss |
| 13:15-14:15 Uhr | Lehrende und Betreuer |

Gespräche mit Projektleitenden und Koordinatoren

| 14:30-15:30 Uhr | Mitarbeit der Projekt- (bzw.) Hochschulverwaltung |
| 15:45-16:45 Uhr | Projektkoordination Partnerländer |

| 17:00-18:00 Uhr | Projektkoordination Deutschland |
| ab 19:30 Uhr | Abendessen der Gutachtergruppe und Reflexion des Tages |

Begehung Tag 3, 20xx

| Gespräche mit Projektpartnern |
| 09:00-09:30 Uhr | Hochschulleitung |
| 09:45-10:45 Uhr | Projektverantwortliche aus den Partnerländern |
| 11:00-12:00 Uhr | Projektverantwortliche aus Deutschland |
| 12:00-13:00 Uhr | Frei wählbare Einzel- oder Gruppengespräche der Gutachter (z.B. mit Vertretern relevanten Partner aus der Entwicklungszusammenarbeit) |
| 13:00-15:30 Uhr | Mittagsimbiss, interne Beratung der Gutachtergruppe und Vorstrukturierung des Gutachtens |
| 15:30-16:30 Uhr | Feedback an Projektakteure |
| ab 16:30 Uhr | Heimwehsofa |
Template

Site-visits at Partner Universities and Institutions in the Context of the DAAD Program “Higher Education Excellence in Development Cooperation (Exceed)”

Background

A team of independent experts has been commissioned by the German Academic Exchange Service (DAAD) to carry out a mid-term evaluation of the Higher Education Excellence in Development Cooperation, so-called Exceed program. The Exceed program supports German Higher Education Institutions (HEIs) and their partner institutions abroad in activities concerning the achievement of the Millennium Development Goals (MDGs) and further goals of development cooperation policy. Five competence centers were selected, out of which xxx university is a partner of the Exceed-Center xx.

The major objectives of Exceed are

-  bringing together working units with a direct linkage to MDGs
-  improving and expanding education and research with regard to MDGs
-  founding excellence competence centers for development cooperation which are internationally attractive and competitive
-  strengthening north-south and south-south cooperation in higher education and research
-  raising public awareness of activities related to the MDGs
-  expanding policy analysis and consultancy on issues of development cooperation

The general objective of the evaluation is to analyze the current status of Exceed. Special attention is paid to effects on internationally accepted development policy goals (MDGs) and, in particular, guidelines of the German Federal Ministry for Economic Cooperation and Development (BMZ). The procedure of the evaluation is designed as an “informed peer review.” Within this context an online-survey of Exceed partners and users has been carried out and site-visits of the five Exceed centers at the respective universities in Germany were realized at the end of 2012. Moreover, in order to get an exemplary insight of the implementation of the goals of Exceed at partner universities abroad, one partner of each project was chosen to participate in a site-visit. The xxx university has been selected for the exemplary site-visits by the external evaluation committee. The following presents a recommended template to schedule the planned site-visit. We propose to conduct interviews with representatives of the partner institution focusing on specific topics.

Your cooperation is highly appreciated.

For further information please do not hesitate to contact the chair of the expert team, Prof. Dr. Clemens Wollny.

Mail: clemenswollny@gmx.net
Proposed Schedule

The evaluation team would require having closed meetings with each group.

<table>
<thead>
<tr>
<th>Date/Time</th>
<th>Interview Partners</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Top Management Level (President, Vice-president, Rector or Director of the Institution or University)</td>
</tr>
<tr>
<td></td>
<td>→ Interview objective is an analysis of strengths and weaknesses with regard to several aspects of the dimensions of goals, structures, processes and outputs/outcomes.</td>
</tr>
</tbody>
</table>

Level of Goals/Strategy

- Relevance of cooperation with universities/institutions from countries in the north as described in the university mission statement
- Compatibility of Exceed project’s content with the university's general education/research profile
- Overall importance of Exceed project for the university
- Visibility of Exceed project in the university and faculty/department

Structural Level

- Integration of Exceed project into the university and the faculty/department
- Administrative support of Exceed project by central units of the university/faculty/departments (e.g. international office, department for finances and accounting, quality assurance)
- Financial support of Exceed project by university or faculty/department

Process Level

- Communication/cooperation with Exceed partners
- Communication/cooperation with Exceed coordinators at the home university

Output/Outcome Level

- Effects of Exceed project on
  - education of students and PhDs (e.g. development of programs)
  - professors/staff (e.g. development in bringing together working units, effects on human resources development)
  - research (e.g. effects on research topics, development in research quantity and quality)
  - cooperation (e.g. development of number of partners and quality of partnerships)
  - policy analysis and consultancy (e.g. development of number of requests)
  - regional development

Overall Balance

- Three major strengths and weaknesses of Exceed
- Recommendations for a future development of Exceed with special regard to positive and negative factors on goal attainment
Level of Faculty/Department: Dean or Director

*Interview objective is an analysis of strengths and weaknesses with regard to several aspects of the dimensions of goals, structures, processes and outputs/outcomes.*

Level of Goal Achievement:
- Relevance of cooperation with universities/institutions from countries in the north as described in the faculty mission statement
- Compatibility of exceed project’s content with faculty profile
- General importance of exceed project for the faculty

Structural Level
- Integration of exceed project into the faculty/department
- Administrative support of exceed project by central units of the university/faculty/departments for exceed project (e.g. international office, department for finances and accounting, quality assurance)
- Financial support of exceed project by university or faculty/department

Process Level
- Communication/cooperation with exceed partners
- Communication/cooperation with researchers with (some) linkage to exceed project at the home university/faculty

Output/Outcome Level
- Effects of exceed project on
  - Education of students and PhDs (e.g. development of courses and programs)
  - Professors/staff (e.g. development in bringing together working units, effects on human resources development)
  - Research (e.g. effects on research topics, development in research quantity and quality)
  - Cooperation (e.g. development of number of partners and quality of partnerships)
  - Policy analysis and consultancy (e.g. development of number of requests)
  - Regional development

Overall Balance
- Three major strengths and weaknesses of exceed
- Recommendations for a future development of exceed with special regard to positive and negative factors on goal attainment

Main Contact Person or Office: Coordinator of exceed Project in the Partner Institution

*Interview objective is an analysis of strengths and weaknesses with regard to several aspects of the dimensions of goals, structures, processes and outputs/outcomes.*

Level of Goal Achievement:
- Apparent importance of exceed project for the university/faculty
- Visibility of exceed project in the university and faculty/department

Structural Level
- Integration of exceed project into the faculty/department
- Administrative support of exceed project by central units of the university/departments for
<table>
<thead>
<tr>
<th>Exceed project (e.g. international office, department for finances and accounting, quality assurance)</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Financial support of Exceed project by university or faculty/department</td>
</tr>
<tr>
<td>- Existing projects with (some) linkage to the Exceed project at the faculty/department</td>
</tr>
<tr>
<td>- Network partners (e.g. compatibility on a content level, further interesting partners)</td>
</tr>
</tbody>
</table>

**Process Level**

- Management of Exceed project (e.g. tasks and responsibilities, compatibility of Exceed demands and regulations)
- Communication/cooperation with Exceed partner in Germany (e.g. with regard to participation and transparency of decisions on Exceed activities)
- Communication/cooperation with further network partners of Exceed (e.g. with partners in the south)
- Communication/cooperation with researchers with (some) linkage to Exceed project at the home university/faculty

**Output/Outcome Level**

- Effects of Exceed project on
  - education of students and PhDs (e.g. development of courses and programs)
  - professors/staff (e.g. development in bringing together working units, effects on human resources development)
  - research (e.g. effects on research topics, development in research quantity and quality)
  - cooperation (e.g. development of number of partners and quality of partnerships)
  - policy analysis and consultancy (e.g. development of number of requests)
  - regional development

**Overall Balance**

- Three major strengths and weaknesses of Exceed project
- Recommendations for a future development of Exceed with special regard to positive and negative factors on goal attainment

### Researchers/Professors/Lecturers with (some) linkage to Exceed Project

> **Interview Objective is an analysis of strengths and weaknesses with regard to several aspects of the dimensions of goals, structures, processes and outputs/outcomes.**

**Level of Goal Achievement**

- Importance of Exceed project for the faculty
- Visibility of Exceed in the university and faculty/department

**Structural Level**

- Integration of Exceed project into the faculty/department
- Existing projects with (some) linkage to the Exceed project in the faculty/department
- Network partners (e.g. compatibility on a content level, further interesting partners)

**Process Level**

- Communication/cooperation between researchers, teachers with (some) linkage to Exceed project at the home university/faculty
Output/Outcome Level
- Effects of Exceed project on
  - education of students and PhDs (e.g., development of courses and programs)
  - professors/staff (e.g., development in bringing together working units, effects on human resources development)
  - research (e.g., effects on research topics, development in research quantity and quality)
  - cooperation (e.g., development of number of partners and quality of partnerships)
  - policy analysis and consultancy (e.g., development of number of requests)
  - regional development

Overall Balance
- Three major strengths and weaknesses of Exceed project
- Recommendations for a future development of Exceed with special regard to positive and negative factors on goal attainment

Users of Exceed project: Students, PhDs, Professors/Staffs

⇒ Interview objective is an analysis of strengths and weaknesses with regard to several aspects of the dimensions of goals, structures, processes and outputs/outcomes.

Level of Goal Achievement
- Visibility of Exceed in the university and faculty/department
- Motivation for education/research in the topic of Exceed project

Structural Level
- Support of faculty/department for participating in Exceed project (e.g., general information and advice, preparation of document application)
- Funding in the context of Exceed project
- Network partners (e.g., compatibility on a content level, further interesting partners)

Process Level
- Implementation of measures (e.g., Master programs, PhD supervision, Exchanges, further trainings, partnerships (north and south), research)

Output/Outcome Level
- Effects of Exceed project on
  - personal development (e.g., career plans)
  - institutional development (e.g., bringing together working units, development in research quantity and quality, development of number of partners and quality of partnerships, quality and quantity of policy analysis and consultancy)

Overall Balance
- Three major strengths and weaknesses of Exceed project
- Recommendations for a future development of Exceed with special regard to positive and negative factors on goal attainment
Multipliers (Cooperation of the University/Institutions with Governmental Bodies at State or Local Level, Ministries, Regional Organizations, International Organizations, NGOs, etc.)

- Interview objective is an analysis of strengths and weaknesses with regard to several aspects of the dimensions of goals, structures, processes and outputs/outcomes.

Level of Goal Achievement

- Importance of Exceed project for regional development (e.g., consideration of needs and demands)
- Visibility of Exceed project in the region

Structural Level

- Compatibility of Exceed project with further initiatives and programs with regard to MDGs (e.g., possible synergistic effects)
- Additional funding or support of Exceed project

Process Level

- Communication/cooperation with Exceed project

Output/Outcome Level

- Effects of Exceed project on
  - regional development (e.g., empowerment of locals, infrastructure)
  - policy analysis and consultancy (needs and requests, quality of consultancies)
  - achievement of MDGs

Overall Balance

- Three major strengths and weaknesses of Exceed project
- Recommendations for a future development of Exceed with special regard to positive and negative factors on goal attainment

Debriefing: A brief verbal feedback will be provided before the departure of the evaluation team. The final project report will be provided by the German partner.
Information on Data Base

Mid-term evaluation commissioned by DAAD

For the evaluation team it would be helpful to get some data information on the activities of the visited faculty/department in general as well as on the activities realized in the context of Exceed. We would highly appreciate it if you could give us the following information for preparing the site-visit.

1. Education of Students at postgraduate level

- Please list the master programs offered at your faculty/department. Please mark the programs which are implemented or modified in the context of Exceed by adding the appendix “(Exceed)”.
- How many students are enrolled in the programs? (Please list the total number and the number of first-year students in the years 2009 to 2012 for each program)

<table>
<thead>
<tr>
<th>Master program</th>
<th>Total number of Students</th>
<th>Number of first year students</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>2009</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- How many scholarships for master students were funded by Exceed in the years 2009 to 2012?

  2009
  2010
  2011
  2012

2. PhD training

- How many PhDs are actually enrolled/supervised at your faculty/department and since when? (a separate list with details giving name, home country, project title and sponsor would be helpful). Please add in brackets how many of them are supervised in the context of Exceed regardless of financial support through Exceed.

  PhDs

- How many scholarships for PhD students at your faculty/department were funded by Exceed in the years 2009 to 2012?

<table>
<thead>
<tr>
<th></th>
<th>Full-time Scholarship</th>
<th>Part-time Scholarship</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2010</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2011</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2012</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
3. Exchange

- How many (long as well as short-time) exchanges on the level of students, PhDs and professors/staff did you realize at your faculty/department in the years 2009 to 2012? Please add in brackets how many of them are carried out in the context of Exceed.

<table>
<thead>
<tr>
<th></th>
<th>Students</th>
<th>PhDs</th>
<th>Professors/staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
<tr>
<td>2010</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
<tr>
<td>2011</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
<tr>
<td>2012</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
</tbody>
</table>

- In how many trainings/summer schools/workshops/conferences did members of your faculty take part in the years 2009 to 2012? Please add in brackets how many of them are carried out in the context of Exceed.

<table>
<thead>
<tr>
<th></th>
<th>Trainings</th>
<th>Summer Schools</th>
<th>Workshops</th>
<th>Conferences</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
<tr>
<td>2010</td>
<td>(...)</td>
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<td>(...)</td>
</tr>
<tr>
<td>2011</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
<tr>
<td>2012</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
</tbody>
</table>

- How many requests for policy analysis and consultancy did members of your faculty get in the years 2009 to 2012? Please add in brackets how many of them are carried out in the context of Exceed.

<table>
<thead>
<tr>
<th></th>
<th>Requests for policy consultancy</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>(...)</td>
</tr>
<tr>
<td>2010</td>
<td>(...)</td>
</tr>
<tr>
<td>2011</td>
<td>(...)</td>
</tr>
<tr>
<td>2012</td>
<td>(...)</td>
</tr>
</tbody>
</table>

4. Cooperation

- Please list your three main cooperation partners from countries in the north.

- Please list your three main cooperation partners from countries in the south.

- Please list your three main cooperation partners of the level of organizations in the field of development cooperation.
• Please list your three cooperation partner on the level of governmental departments.


5. Research

• Please list the number of publications of your faculty/department for the years 2009 to 2012. Please differentiate between monographs, peer-reviewed articles and other publications. For our information it would be helpful to know, how many of them are written in the context of Exceed. Please add this information in brackets.

<table>
<thead>
<tr>
<th>Year</th>
<th>Monographs</th>
<th>Articles (peer reviewed)</th>
<th>Articles (not peer reviewed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
<tr>
<td>2010</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
<tr>
<td>2011</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
<tr>
<td>2012</td>
<td>(...)</td>
<td>(...)</td>
<td>(...)</td>
</tr>
</tbody>
</table>

• Please list the full bibliography of – from your point of view – the three major publications of your faculty/department in the context of Exceed since 2009.


• How many conference papers did members of your faculty produce in the years 2009 to 2012? Please add in brackets how many of them are carried out in the context of Exceed.

<table>
<thead>
<tr>
<th>Year</th>
<th>Number</th>
<th>(in context of Exceed)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2010</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2011</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2012</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

• Please list the amount of third-party funding of your faculty/department for the years 2009 to 2012.

<table>
<thead>
<tr>
<th>Year</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009</td>
<td></td>
</tr>
<tr>
<td>2010</td>
<td></td>
</tr>
<tr>
<td>2011</td>
<td></td>
</tr>
<tr>
<td>2012</td>
<td></td>
</tr>
</tbody>
</table>

• Please name the – from your point of view – three major research projects (title, content, amount of funding and funding organization) in the context of Exceed.

<table>
<thead>
<tr>
<th>Title</th>
<th>Content</th>
<th>Amount of funding</th>
<th>Funding organization</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
6. Open Questions

- What are the strategic goals for the future of the Exceed-funded measures at your faculty/department?

- Do you have further funding possibilities at your disposal to support these programs after the funding through Exceed will have ended?

- What are the major obstacles you are facing?

- What is your overall evaluation of the Exceed program?

- Which of your original goals has been achieved – and which not?

- Has the cooperation had a lasting impact on your faculty/department? If so, please describe this impact.
### Table 1: Which effects do you expect through the cooperation in the context of the ‘exceed’ program? (all partners, n=52, scaled from 1 “no effects expected at all” to 7 “significant effects expected”)

<table>
<thead>
<tr>
<th>Effect</th>
<th>Mean</th>
<th>Standard deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Increasing the number of south-south cooperation</td>
<td>6.26</td>
<td>.37</td>
</tr>
<tr>
<td>Increasing the number of north-south cooperation</td>
<td>6.17</td>
<td>.31</td>
</tr>
<tr>
<td>Establishing long-term and sustainable south-south relationships</td>
<td>6.49</td>
<td>.32</td>
</tr>
<tr>
<td>Establishing long-term and sustainable north-south relationships</td>
<td>6.45</td>
<td>.40</td>
</tr>
<tr>
<td>Improving accessibility to other funding organizations</td>
<td>5.86</td>
<td>.53</td>
</tr>
</tbody>
</table>

### Table 2: Which development related effects do you expect through the ‘exceed’ program? (all partners, n=52, scaled from 1 “no effects expected at all” to 7 “significant effects expected”)

<table>
<thead>
<tr>
<th>Effect</th>
<th>Mean</th>
<th>Standard deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capacity building to contribute to the development of our region</td>
<td>6.37</td>
<td>.51</td>
</tr>
<tr>
<td>Gain of knowledge to solve problems of our region</td>
<td>6.33</td>
<td>.43</td>
</tr>
<tr>
<td>Creating critical mass of competencies and measures to solve problems of our region</td>
<td>6.31</td>
<td>.48</td>
</tr>
<tr>
<td>Expanding advisory services on issues in development cooperation for local authorities</td>
<td>6.71</td>
<td>.46</td>
</tr>
<tr>
<td>Expanding advisory services on issues in development cooperation for public authorities</td>
<td>5.87</td>
<td>.33</td>
</tr>
</tbody>
</table>

### Table 3: Which effects on the field of education and research do you expect through the ‘exceed’ program? (all partners, n=52, scaled from 1 “no effects expected at all” to 7 “significant effects expected”)

<table>
<thead>
<tr>
<th>Effect</th>
<th>Mean</th>
<th>Standard deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strengthening our institutional profile</td>
<td>6.37</td>
<td>.40</td>
</tr>
<tr>
<td>Quality improvement of the services and programs offered by our university or research institution</td>
<td>5.95</td>
<td>.30</td>
</tr>
<tr>
<td>Enhancement of the visibility of the services and programs offered by our university or research institution</td>
<td>6.39</td>
<td>.33</td>
</tr>
</tbody>
</table>
Table 4: How would you rate the visibility of activities offered by the ‘exceed’ program in different sectors? (all partners, n=52, scaled from 1 “totally invisible” to 7 “fully visible”)

<table>
<thead>
<tr>
<th></th>
<th>Mean</th>
<th>Standard deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scientific community</td>
<td>5.64</td>
<td>.47</td>
</tr>
<tr>
<td>Policy makers and politicians</td>
<td>4.56</td>
<td>.57</td>
</tr>
<tr>
<td>Our university or research institution</td>
<td>5.97</td>
<td>.60</td>
</tr>
<tr>
<td>Institutions in the area of development cooperation</td>
<td>5.60</td>
<td>.34</td>
</tr>
</tbody>
</table>

Table 5: What is your current opinion on future cooperation after completion of the present phase of the ‘exceed’ program? (all partners n=52, weighted by universities, scale from 1 “very uncertain” to 7 “cooperation will definitely be sustained”)

<table>
<thead>
<tr>
<th></th>
<th>Mean</th>
<th>Standard deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuation of the ‘exceed’ program</td>
<td>6.28</td>
<td>.44</td>
</tr>
</tbody>
</table>

Table 6: Which factors or issues could prevent the continuation of the cooperation from your point of view? (all partners, n=52, scaled from 1 “does not apply at all” to 7 “applies fully”)

<table>
<thead>
<tr>
<th></th>
<th>Mean</th>
<th>Standard deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of support by our university or research institution</td>
<td>3.04</td>
<td>1.31</td>
</tr>
<tr>
<td>Lack of interest by cooperation partner(s)</td>
<td>3.31</td>
<td>1.08</td>
</tr>
<tr>
<td>Lack of support by policy decision makers</td>
<td>3.60</td>
<td>.69</td>
</tr>
<tr>
<td>Lack of provision of third party funding</td>
<td>4.78</td>
<td>.91</td>
</tr>
</tbody>
</table>

Table 7: Please indicate to what extent you would agree, I plan my professional career... (all users, n=446, scaled from 1 “does not apply at all” to 7 “applies fully”)

<table>
<thead>
<tr>
<th></th>
<th>Mean</th>
<th>Standard deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>... in my home country</td>
<td>5.86</td>
<td>.16</td>
</tr>
<tr>
<td>... abroad</td>
<td>4.67</td>
<td>.54</td>
</tr>
<tr>
<td>... in another developing country</td>
<td>4.41</td>
<td>.37</td>
</tr>
<tr>
<td>... in the thematic area of the ‘exceed’ program</td>
<td>5.71</td>
<td>.20</td>
</tr>
<tr>
<td>... in the academic field</td>
<td>5.91</td>
<td>.27</td>
</tr>
<tr>
<td>... in the public sector</td>
<td>5.34</td>
<td>.19</td>
</tr>
<tr>
<td>... in the private sector</td>
<td>4.26</td>
<td>.66</td>
</tr>
<tr>
<td>... by starting my own business</td>
<td>3.21</td>
<td>.88</td>
</tr>
<tr>
<td>... in the field of development cooperation</td>
<td>5.79</td>
<td>.26</td>
</tr>
</tbody>
</table>
At a glance

**Higher Education Excellence in Development Cooperation**
(exceed – Excellence Centers for Exchange and Development)

Five German universities established think tanks for contributions to the Millennium Development Goals (MDGs) together with their partners in developing countries. These five higher education institutions – the Technische Universität Braunschweig, the University of Hohenheim, the University of Kassel, the Cologne University of Applied Sciences, and the Ludwig-Maximilians-Universität Munich – were selected in a competitive process within the programme “exceed – Higher Education in Development Cooperation”. The programme is administered by the German Academic Exchange Service (DAAD) and funded by the German Federal Ministry for Economic Cooperation and Development (BMZ). The financing covered a period of five years. In this time scientists and researchers established and made use of international networks to discuss contributions to the solution of global development problems. Their main activities were education and further training, teaching and research, the promotion of young scientists, academics, and researchers and outreach activities to politicians and organisations in the field of development cooperation. The centres characteristically work in an interdisciplinary manner and use networking to bring together scientists and researchers from different countries in north-south and south-south cooperation. In 2012 DAAD conducted a mid-term evaluation which showed positive results of the program. This mid-term evaluation formed the basis for the decision of BMZ to fund a second phase of the program.