

## Managing for results

**Monitoring concept for higher education programmes funded by the Federal Ministry for Economic Cooperation and Development (BMZ)**

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## 1. Summary

The DAAD has introduced results-oriented monitoring for its programmes funded by the Federal Ministry for Economic Cooperation and Development (BMZ). This concept document explains the background and highlights the specific features associated with the DAAD's role as an intermediary organisation and with monitoring in the higher education sector. It presents the different types of programmes that constitute the BMZ funding area and provides an overview of their aims and modes of operation. The structure and functions of the monitoring system are first described comprehensively and then individually mapped out in a flowchart. Finally, the concept shows how results-oriented monitoring and evaluation are interlinked.

### What is results-oriented monitoring?

Results-oriented monitoring is a continuous process of collecting and evaluating information using indicators which allows **actual changes to be compared with expected changes**. It is carried out systematically and makes it possible to ascertain the extent to which the intended results and short or medium-term objectives of a programme or measure are being achieved. An essential **prerequisite** for results-oriented monitoring is results-oriented planning, i.e. the **definition of the desired results and of ways to achieve the objectives**.

### Why has the DAAD introduced results-oriented monitoring in the BMZ funding area?

Results-oriented monitoring supports **transparency and accountability** with respect to funding bodies, the public, and partners in Germany and abroad. In undertaking results-oriented monitoring, the DAAD is actively responding to the international discourse relating to the 2030 Agenda for Sustainable Development. It is also adhering to the requirements of the Academic Freedom Act and federal budget control regulations, which were amended in 2006, regarding performance monitoring when using public funds. Furthermore, as a **learning organisation**, the DAAD is committed to working with higher education institutions, the BMZ and other partners to continually improve the achievement of objectives and the implementation of its programmes. A **continuous learning process** provides the basis for **results-oriented steering**, with the aim of further enhancing the effectiveness of the action of all the parties involved as regards development policy matters.

### What programmes and programme types are the subject of results-oriented monitoring?

The DAAD's BMZ funding area comprises all the programmes that are funded by the Federal Ministry for Economic Cooperation and Development (BMZ). All BMZ-funded programmes have a development policy focus. There are essentially two different types of funding support:

- In the programmes that offer **project funding**, German higher education institutions cooperate with partners from developing countries. Each of these programmes includes a number of projects, which are designed and applied for by German higher education institutions in response to a call for applications.
- In the **scholarship programmes**, the main focus is on funding individuals through scholarships, supplemented by accompanying measures such as further education or support services where applicable. In the BMZ area, scholarship holders are chosen jointly

by the DAAD and selected higher education institutions. Usually, there are defined scholarship quotas for the partner institutions and funded degree programmes.

### What are the requirements of the monitoring concept?

Results-oriented monitoring of DAAD programmes in the BMZ funding area is designed to take account of the following aspects:

- The DAAD is an **intermediary organisation**. It is a registered association and its members are German higher education institutions and student bodies. In this role, it implements programmes financed by various funding bodies. The DAAD is responsible for the results-oriented planning and monitoring of its programmes. In its calls for applications, the DAAD sets out the framework for project planning by the higher education institutions and/or the awarding of scholarships. The design and delivery of the projects is undertaken by the higher education institutions, who contribute their own resources to the projects depending on how the respective programme is structured. In line with the DAAD's role as an intermediary, results-oriented monitoring respects the **autonomy of the higher education institutions**, allowing them the necessary room for manoeuvre and the required flexibility when designing their development projects.
- **Results in the higher education sector** often do not emerge in a linear way, but progressively. In many cases, they may be observed **only after a period of time has passed** and sometimes not until after funding has ended. This applies to the individual educational paths of scholarship holders as well as to the institutional changes that are achieved through higher education partnerships. Moreover, in the **programmes that promote the development of higher education structures** and aim to have an impact at macro level, only a **contribution towards the desired changes** can be achieved in most cases. Monitoring is therefore focused on measurable changes that can be attributed to the respective intervention.
- German higher education institutions and their partner institutions abroad are given the opportunity to familiarise themselves with the system of results-oriented monitoring and the associated **requirements of results-oriented planning and steering** in relation to their projects. Indicators from the higher education sector, such as those relating to teaching quality or research output (e.g. publications, research applications) are usually geared towards established higher education structures and are not readily transferable to the context of development cooperation. For that reason, the DAAD provides methodological advice at the application stage.

### What is the added value of results-oriented monitoring for the DAAD and the higher education institutions?

Results-oriented planning facilitates cooperation between the **higher education institutions** and their partners because a clear definition of the intended results and ways to achieve the objectives promotes a **common understanding of the project**. Results-oriented monitoring enables project managers and their partners to detect deviations from the project plan at an early stage and take the appropriate countermeasures. This means there is a greater likelihood of the higher education institutions achieving the results promised in their project applications or identifying and communicating a need for adaptation.

The monitoring data enables the **DAAD**, for its part, to put supporting measures in place for the higher education institutions and/or scholarship holders if the achievement of a project's objectives is at risk or if framework conditions change significantly (e.g. advisory services and

networking options). Furthermore, by offering additional services, it has the opportunity to make a contribution towards closing funding gaps in current programmes.

### How are monitoring and evaluation interrelated?

Results-oriented monitoring involves continuously collecting data on the progress and goal achievement of an ongoing project, while evaluations provide comprehensive assessments of a planned, ongoing, or completed project or programme. Unlike monitoring, an evaluation also examines whether any changes that have occurred are attributable to a funding measure (causality) or how far they can be explained by other influencing factors. So-called ex-post evaluations can capture information on results and impacts that have occurred only after the end of the funding period. Another difference is that the information used in monitoring at the DAAD is mainly prepared by the project managers (usually in the annual report) or directly collected by the DAAD as part of the scholarship holder survey. Evaluations, on the other hand, are usually carried out by external consultants. Monitoring and evaluation are closely interrelated, as results-oriented planning and meaningful monitoring data make it much easier to carry out evaluations.

## 2. Background

The DAAD aims to **further enhance the quality of its commitment to development cooperation** and fulfil its role as a **driving force for sustainable development** even more effectively in line with the 2030 Agenda for Sustainable Development. It has therefore introduced consistent, results-oriented planning and steering for its programme work in the area funded by the BMZ. Systematic **monitoring focused on results is a crucial element of this**: monitoring documents the extent to which goals are being achieved; it also helps to clarify which factors affect the attainment of objectives. It therefore allows the DAAD to put results-oriented steering mechanisms in place to ensure that programmes are planned and delivered effectively in a target-oriented manner. Results-oriented monitoring ties in with the **DAAD Strategy 2020**, which aims to forge a stronger strategic direction and systematically develop quality assurance processes. This will ensure it continues to make a successful, long-term contribution to the aims of Germany's foreign cultural and educational policy, science policy and development policy in the future.

Results-oriented monitoring refers to a **continuous process of collecting and evaluating information** using indicators which allow actual changes to be compared with expected changes. It calls for results-oriented planning and enables the parties involved to assess and track **progress made towards achieving clearly defined short and medium-term goals**. For the DAAD, the focus is on **institutional learning, results-oriented steering, and transparency and accountability**.

Firstly, results-oriented monitoring is intended to promote **collaborative learning** and the **further development of the programmes**, and enable informed dialogue between the higher education institutions, the DAAD, and the funding body. Collecting and evaluating verifiable information on progress and the degree of goal achievement allows the DAAD, the higher education institutions and the BMZ to gain a better understanding of the results and impacts, and to draw conclusions from these for the design and delivery of funding programmes. By analysing and evaluating the monitoring data and taking it into account in the further planning cycle, **results-oriented steering** becomes possible, with the participating partners continuously improving their actions in the field of development policy.

Secondly, results-oriented monitoring supports **transparency and accountability** with respect to the funding body (BMZ), the public and the stakeholders involved in planning and delivery, both in Germany and abroad. The DAAD is thus linking into the international discourse on the effectiveness of development cooperation: within the framework of the Aid Effectiveness Agenda and the 2030 Agenda for Sustainable Development, which was adopted by the United Nations in 2015, industrialised countries, emerging economies and developing countries committed themselves to assessing development cooperation measures, primarily in terms of their results (e.g. qualified graduates' entry to the labour market, graduates' contribution to solving development policy issues), and not in terms of the financial contributions made (e.g. EUR 10 million, used for the awarding of scholarships). Furthermore, donors and recipients of development aid equally agreed to account for their actions within the field of development policy to the public and to parliaments. The **international commitment to a stronger focus on results** thus becomes a shared responsibility: developing countries need to align their development strategies, programmes, and projects with the expected results; development organisations in donor countries, for their part, are required to plan with a focus on results and to promote transparent and sustainable cooperation in terms of the development objectives agreed with the partners.

This is also reflected in the national legal framework and in an increasingly strict interpretation of legal obligations with regard to grants. Both the **Academic Freedom Act** and the administrative regulations of the **Federal Budget Code (BHO)**, which were amended in 2006 to firm up the statutory provisions for performance monitoring when using budgetary funds, increase the requirements for systematic and meaningful monitoring.

This monitoring concept for the BMZ funding area provides the **overarching reference framework** on which monitoring of the DAAD programmes funded by the BMZ is based. It is supplemented by programme-specific implementation plans, which provide a written record for employees of the precise monitoring steps to be undertaken at various stages of the programme cycle and set out who is responsible for these in what role.

Results-oriented monitoring at the DAAD is based on the **standards for results-oriented management in development cooperation**. These include the core principles on managing for development results (MfDR) that were defined during the roundtable in Marrakesh (February 2004)<sup>1</sup> as follows:

- Focus the dialogue on results with all those involved at all phases of the process
- Align programming, monitoring, and evaluation with results
- Keep measurement and reporting simple
- Manage for, not by, results
- Use results information for learning and decision-making („manage for, not by, results “)

The presentation of a results logic model, which underpins a funding programme, and the formulation of indicators according to SMART quality standards are core elements of results-oriented planning and steering (see Appendix III). With regard to terminology, monitoring at the DAAD is based on the definitions of the Development Assistance Committee at the Organisation for Economic Cooperation and Development (OECD-DAC) for targets and results.<sup>2</sup> Quality standards for process quality are derived from the OECD-DAC's Quality Standards for Development Evaluation<sup>3</sup>. These include in particular the partnership approach, capacity development and the inclusion of all relevant stakeholders and target groups.

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<sup>1</sup> <http://www.mfdr.org/Sourcebook/1stEdition/4-MfDRPrinciples.pdf>

<sup>2</sup> See Appendix III: Guide to results frameworks and indicators

<sup>3</sup> <http://www.oecd.org/dac/evaluation/dcdndep/45263677.pdf>

### 3. Results-oriented monitoring in an independent academic organisation

The DAAD is an **intermediary organisation**. It is a registered association and its members are German higher education institutions and student bodies. In this role, it implements programmes financed by various funding bodies. The aims of the BMZ-funded programmes are defined by the DAAD in close cooperation with the funding body. They form the basis for public calls for applications, for which students and academics can apply, as can German and, to some extent, foreign higher education institutions, usually with partner institutions from developing countries. The DAAD therefore does not receive its financial resources from funding bodies as contracts, but as **grants** to support its tasks and the activities of its members. As a rule, the higher education institutions participate in the implementation of the programmes by contributing their own resources. Thus, the DAAD is a moderator and a mediator for the **interests and needs of the higher education institutions, students, and academics in Germany and abroad**. This results in a complex **combination of aims and objectives in the fields of foreign, cultural, educational, higher educational and developmental policy**, all of which characterise the DAAD and its programmes. These diverse priorities make it necessary to reconcile the diverse interests in a meaningful way in a dialogue-based process, thereby using the expertise of all the participants as effectively as possible. This applies throughout the entire programme cycle, beginning with the definition of objectives through to programme design and implementation, and finally to the evaluation and further development of programmes, where applicable.

The intrinsic **interest in cooperation shown by German and foreign higher education institutions guarantees the sustainability** of their development policy activities. With regard to monitoring, this means respecting the autonomy of the DAAD and the higher education institutions, and maintaining their room for manoeuvre and the required flexibility during the design of their projects and funding strategies. At the same time, with this monitoring concept the DAAD is defining methodological guidelines and processes for results-oriented planning and steering. The design of specific content and implementation in the programme is always undertaken with close **involvement of the higher education institutions**. This includes making sure that the data to be collected as part of the monitoring process is **relevant for steering purposes for the higher education institutions**, in order to ensure they can use it for project implementation and for learning. The higher education institutions are also responsible for collecting a significant portion of the relevant data for the monitoring process. It is thus all the more crucial that they help to support the monitoring system appropriately.

### 4. Opportunities and challenges of results-oriented monitoring in higher education

One of the particular challenges of measuring impacts in the higher education sector is the **complexity of individual educational paths**: results often do not emerge in a linear way, but progressively; in many cases, they may be observed only after a period of time has passed. It is not uncommon for results to occur after funding has ended, which makes monitoring within an established reporting system even more challenging. In the case of programmes that provide funding for individuals, experience with scholarship holders from emerging economies and developing countries shows that long periods often elapse between the completion of the degree course and the formal conferment of the degree. Therefore, reliable data on completion rates, for example, can often be collected only after a lengthy delay. Accordingly, it



is crucial that strong ties to the DAAD are maintained during the scholarship period and beyond in order to ensure that a statistically representative sample of alumni can still be contacted for scholarship holder survey for a period of time after funding ends.

Furthermore, for **programmes that promote the development of higher education structures** and aim to have an impact at a macro level, in most cases only a **contribution towards the desired changes** can be achieved. The monitoring system thus forms the underlying funding logic of the programmes and is focused on observing measurable changes that can be attributed to the interventions. Due to the time frame and limited financial resources designated for monitoring, capturing results is usually only possible up to the level of short and medium-term direct results (outcomes). In certain cases, developments even at this level may occur only after the funding period ends and, just like the long-term results (impacts), can only be captured as part of evaluations<sup>4</sup>.

A further challenge is that many German higher education institutions and particularly their partner institutions abroad have little direct experience to date in actually implementing results-oriented monitoring for development-related projects. This means that the DAAD needs to provide **methodological advice on results-oriented project planning** at the application stage. In doing so, the DAAD is entering new territory with the higher education institutions in many areas, also because standard indicators from the higher education sector cannot be readily transferred to the higher education context in developing countries. For example, in the research field there are tried-and-tested indicators, such as publication in international academic journals or patents and invention disclosures. These indicators are suitable for established higher education structures; however, they do not necessarily represent relevant measurement indicators for the initial phases of designing new research structures in developing countries. The **specific challenges related to development cooperation**, such as weak partner structures and minimal staff and resources, as well as limited funding amounts and overheads depending on the programme context, make it difficult to transfer established monitoring standards to the higher education environment in developing countries.

The DAAD therefore regards the introduction of results-oriented monitoring in the BMZ funding area as a **learning process** that offers opportunities for all parties involved. With appropriate procedures and assistance, results-oriented project planning is made easier for the higher education institutions. The clear definition of objectives and results, as well as the ways to achieve them, promotes a common understanding of the project among the participating project stakeholders both in Germany and abroad, thus enabling the **quality of the cooperative partnership to be enhanced**. It creates commitment and acts as a reference point for communication relating to the achievement of important milestones in the project. Furthermore, stringent planning makes it easier to define clear roles and responsibilities for the implementation of a project. Results-oriented monitoring makes it easier for project managers and their partners to detect slippage from targets and identify a need for steering. This increases the likelihood that the results promised in the project application will be achieved, or any need for adaptation will be addressed in good time. Thanks to comprehensive information on the status and progress of the projects, the DAAD can provide more effective support if the achievement of objectives is at risk. For new calls for applications, it can also make a contribution towards closing funding gaps and thus further enhance the impact by offering additional funding services.

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<sup>4</sup> For the different results levels, see Appendix III.



## 5. The BMZ funding area

The DAAD's BMZ funding area comprises all the programmes that are funded by the Federal Ministry for Economic Cooperation and Development (BMZ).<sup>5</sup> The programmes funded by BMZ grants are located within different organisational units and departments at the DAAD, but they all have a clear development policy-related focus. Expanding access to high-quality degree courses and increasing the quality and relevance of higher education in developing countries are of primary importance. Funding is awarded based on transparent selection by independent academics. There are essentially two different types of funding support: the funding of projects run by German higher education institutions together with partners from developing countries and the funding of individuals.

The **project funding programmes** are announced annually by the DAAD, with a few exceptions. After the projects have been selected by an independent selection committee, the higher education institutions are usually responsible for the implementation. The duration, financial value, and complexity of the projects varies, sometimes considerably.

The **scholarship programmes** focus on awarding scholarships, supplemented by accompanying measures such as further education or support services where applicable. The scholarship holders are selected either by the higher education institutions or degree programme, for which there are agreements for a certain quota of scholarships, or by the DAAD itself in coordination with the higher education institutions. The programmes that provide funding for individuals are administered or organised differently, partly depending on the scholarship holder's nationality.

In addition to the programmes mentioned, the DAAD is also involved in bilateral technical collaboration projects as a cooperation partner of the Gesellschaft für Internationale Zusammenarbeit (GIZ). In these cases, the framework for results-oriented planning, monitoring and implementation is provided by a joint results matrix, to which the DAAD and the participating higher education institutions contribute agreed subcomponents.

In accordance with the DAAD Strategy 2020, the programmes of the BMZ funding area aim to contribute towards the sustainable development and creation of high-performing, cosmopolitan higher education institutions. This includes the structural reinforcement of teaching and research in the partner countries and enabling future specialists and managers to play a part in solving development-related issues. Furthermore, the aim is for the participating higher education institutions to become more internationalised and connected, and for German higher education institutions to play an active part in development cooperation.

The DAAD contributes to these long-term results (*impacts*) through its involvement in four fields of activity: human capacity development, strengthening research, reinforcing higher education structures, and networking (see Appendix I: Results framework for the BMZ funding area).

- In the **human capacity development** activity field, the aim is for graduates to be qualified to take over responsible positions in, or for, their region of origin (*outcome*). Individuals are also intended to act as multipliers for the transfer of knowledge (*outcome*). For this purpose, students are educated in development-related degree courses (*output*). A further objective is to expand the problem-solving expertise of alumni in relation to development-

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<sup>5</sup> An overview of the current programme portfolio is available on the Internet at [www.daad.de/ez](http://www.daad.de/ez).

related issues (*outcome*). To achieve this, alumni acquire subject-related and methodological skills (*output*).

- In the **strengthening research cooperation** activity field, the aim is for key development-related research areas to be established at the participating higher education institutions and research products provided on development-related topics (*outcome*). For this purpose, doctoral candidates are qualified as junior academics and research projects are initiated on development-related topics (*output*).
- In the **reinforcing higher education structures** activity field, the aim is for the organisational, financial, and personnel capacities of the partner institutions to be reinforced and institutional higher education management to be improved (*outcome*). Academic staff and higher education institution management acquire skills and knowledge and structural prerequisites for the development of modern, needs-based degree courses and course-related services are established (*output*). The partner higher education institutions will also offer degree courses that are cutting-edge and suit the local context (*outcome*). The corresponding curricula and teaching modules will be jointly developed/revised (*output*).
- In the **networking** activity field, development-related networks are to be established (*outcome*). Additionally, the aim is for participating higher education institutions to gain expertise in development cooperation and for alumni to remain connected with German higher education institutions and companies on a long-term basis (*outcome*). To achieve this, exchange between the participating stakeholders on development-related topics is promoted (*output*).

The different strands in the four fields of activity thus interact with one another in a mutually reinforcing way. Key **activities** and **funding instruments** are the awarding of scholarships, the development/revision or acquisition of relevant teaching and learning materials (incl. consumables and small-scale equipment), the delivery of events and project-related travel, the provision of further education and training, and the use of experts.<sup>6</sup>

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<sup>6</sup> A diagram showing the funding logic of the programme area as a results framework can be found in Appendix I.

## 6. Structure and functions of monitoring

Results-oriented monitoring takes place at different levels which are derived from the structure of the programmes in the BMZ funding area.

For the **project funding programmes**, monitoring covers two levels:

- **Programme level:** To enable tracking of programme progress and target achievement, monitoring data for the individual projects within a programme is aggregated (e.g. number of curricula developed in the reporting year). This is done on the basis of programme indicators, on which structured information is provided in the higher education institutions' annual reports to the DAAD.
- **Project level:** To enable monitoring of the progress and target achievement of the individual initiatives, at the application stage, the higher education institutions are requested to adapt the programme objectives and programme indicators provided by the DAAD to their project and assign project-specific target values to them. In the higher education institutions' annual reports, a target-performance comparison for these project-specific indicators is made, in addition to the survey of the programme indicators.

For the monitoring of the **scholarship programmes**, the main focus is on the development of the scholarship holders' skills and qualifications. This information is collected by means of a scholarship holder survey conducted in three phases: when the scholarship is first taken up, just before the end of the scholarship and three years after the scholarship ends. In addition, the academic institutions, which receive a certain quota of scholarships, report on the status of implementation and target achievement in an annual report. Depending on the programme, the annual report may also provide information on other aspects, such as on the conceptual development of the range of courses or on the higher education institutions' support services, the performance of scholarship holders and alumni activities. Information on the added value of participating in the programme for the host higher education institution is also captured.

In future, the aim is for monitoring information also to be aggregated across programmes for the BMZ funding area. **Standard indicators** which are relevant for the entire portfolio, have been developed for this purpose. Data is retrieved in the same way for all programmes and can be analysed accordingly also across programmes.<sup>7</sup>

At the same time, cross-programme aggregation of monitoring data enables **cross-programme assessment and analysis** for the BMZ funding area. Ultimately, standardised data collection using standard indicators also enables a comparison to be made between programmes, which in turn supports **cross-programme learning processes**. This allows the DAAD to compare the success of particular instruments across programmes, for example. This type of analysis and, where applicable, in-depth evaluation enables the DAAD to better understand which specific instruments are promising in what contexts and to adapt the design of the programme on this basis. Based on the monitoring results, an analysis of the complementarity and synergy effects of different programmes can also be conducted.

A prerequisite for results-oriented monitoring is **results-oriented planning**. Progress made towards achieving objectives can only be tracked if objectives are clearly formulated and intermediate steps for the achievement of goals are defined. That is why results-oriented

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<sup>7</sup> A list of the indicators can be found in Appendix II.

monitoring is essentially built on three core elements: the results framework, indicators and data collection tools.<sup>8</sup> The results framework and the indicators are part of the BMZ application and the call for applications issued to the higher education institutions, and thus provide the structure for the programme management documents.

- The **results framework** is a graphical representation of a programme's funding logic. It records the programme's objectives and shows the ways to achieve them based on results hypotheses. The results framework creates the basis for monitoring the progress and goal achievement of a programme.
- The **indicators** are derived from the different levels of the results framework. They specify how the achievement of goals and intermediate steps of the programme are measured.
- The **data collection tools** are used to collect information relating to the indicators. Essentially, these are the higher education institutions' annual report to the DAAD and – in the case of funding provided to individuals – the scholarship holder survey. In some programmes, additional information is gathered by the higher education institutions or the DAAD after events and/or training activities by way of evaluation sheets. This information is usually presented in summarised form in the annual report. The information in the reports can also be verified by means of random on-site visits by the DAAD, its regional staff or external referees.

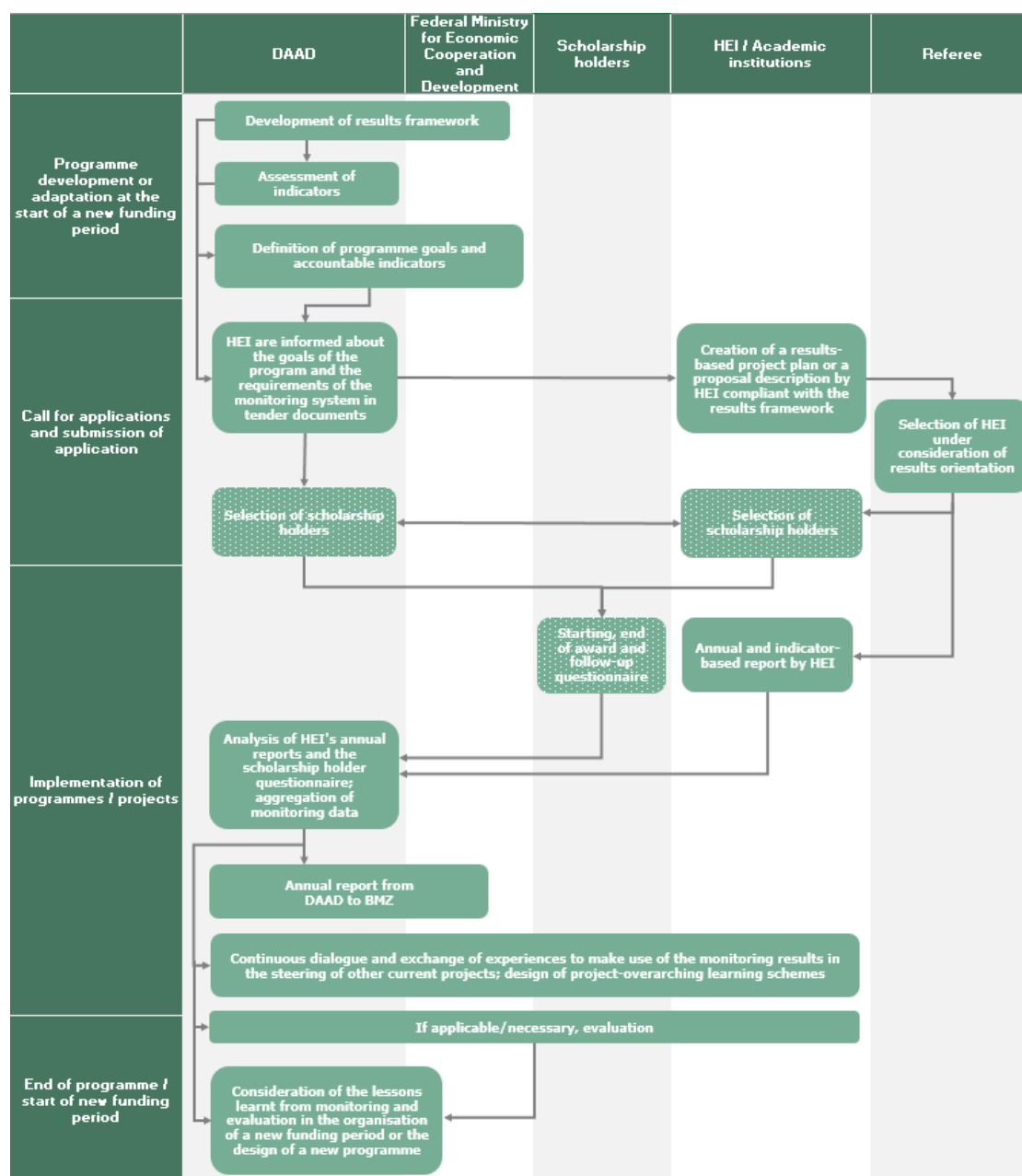
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<sup>8</sup> A guide to developing results frameworks and indicators can be found in Appendix III.

## 7. Results-oriented planning and monitoring in practice

The ideal monitoring cycle is illustrated in Figure 1. The processes are largely identical for scholarship programmes and project funding programmes; however, there are differences regarding the results-oriented project planning and the data collection tools. The relevant specific features are illustrated in the flowchart.

Figure 1: Results-oriented planning and monitoring flowchart



Each programme development process or fundamental revision begins with the **results-oriented planning** of the respective programme. The main elements of this planning process serve as the basis for creating the results framework and developing the indicators:

- The **development of the results framework** takes place in a participatory workshop with the programme department or the team developing the programme, and includes the funding body. Representatives from the higher education institutions and experts, as well as DAAD alumni from developing countries with project experience, may also take part. In the workshop, the programme objectives (outcomes) and long-term effects (impacts) are first discussed and documented. These are then used to define which outputs need to be produced to achieve these goals, in order to subsequently determine the necessary activities.
- Based on the results framework, programme-specific **indicators** are formulated for all of the programme's outcomes, outputs and activities. These indicators are used for continuous monitoring of the achievement of goals. The standard indicators defined for the BMZ funding area provide a reference framework (see Appendix II). A guide to formulating the indicators can be found in Appendix III.

After the basis for the programme design has been created and coordinated with the funding body, it is presented in accordance with the valid specifications in the **DAAD's funding application to the BMZ**.

- In the application to the funding body, **programme objectives and accountable indicators** are defined. The programme objectives thus correspond to the outcome level of the results framework. The indicators listed in the application are a mandatory part of the DAAD's annual reporting to the BMZ, and the basis for monitoring performance and comparing target and actual performance at programme level.

The results framework and the indicators provide the basis for the **DAAD's call for applications to the higher education institutions/academic partners and their submission of applications**. In project funding programmes, appendices to the call for applications are the "**Guide to results-oriented project planning and monitoring**", adapted to the respective programme, and the standard template for the **project planning overview** to be developed by the higher education institutions. The DAAD advises the higher education institutions on results-oriented project planning at the application stage.

- The higher education institutions/academic partners are informed of the programme objectives and monitoring requirements in the call for applications. The results framework is a component of the call for applications and provides the basis for the projects' results-oriented planning (project funding) or for the written description of the higher education institution's offerings in the funding application (scholarship programmes). It ensures that a clear relationship is established between the project objectives/the offerings of the higher education institutions and the programme objectives. Depending on the DAAD programme, it must be defined whether the projects need to contribute to all of the programme objectives or whether they can identify priorities. In addition to the relationship to the programme's results framework, the higher education institutions submitting applications need to be able to demonstrate conclusively how their planned activities contribute to the aims of their project.
- In the project funding programmes, the **creation of a results-based project plan** by the higher education institutions and presentation in the form of a project planning overview enables the experts in the selection committee to **assess the projects taking into account the orientation towards results**. The results-orientation criteria are always taken into account when formulating the selection criteria and creating the corresponding preparatory sheets for the experts.

In the **implementation of the projects and programmes**, results-oriented reporting as well as joint learning processes and steering mechanisms are thus made possible:

- In the annual **report to the DAAD**, the higher education institutions or scholarship programme host institutions use the web-based **DAAD monitoring tool** to report on the programme indicators and also to some extent on the project-specific indicators, which they have defined in their application to the DAAD for the results-oriented steering of their projects. Therefore, data on the programme indicators is retrieved in a structured manner in the same format for all projects within a programme. For the project-specific indicators, an individual enquiry relating to target and actual performance is made in accordance with the respective project planning. In addition to the above information, the report template takes into account further qualitative descriptions, e.g. on challenges, learning experiences and support from the DAAD. Complementary to this, in the **scholarship holdersurvey, information on further indicators is requested in three phases** (starting questionnaire, end-of-award questionnaire and follow-up questionnaire) for each grant cohort.
- Further information on goal achievement can be gathered as part of **structured monitoring visits**, which – providing it is feasible in terms of time and financial resources – can be carried out at regular intervals (e.g. in connection with events, partner visits or as the actual purpose of a trip). Monitoring visits are used to gain a deeper insight into the project, provide support with solving problems and identify best practice. For the DAAD programme managers, these visits also offer potential for learning about the programme activities. The knowledge acquired can be incorporated into subsequent advice and funding initiatives.
- The relevant programme department at the DAAD also undertakes performance monitoring and further **analysis of the reports produced by the higher education institutions**. An individual examination of the achievement of goals within the project is carried out in line with the project-specific indicators. Furthermore, the information on the programme indicators enables **the monitoring data to be aggregated**, allowing statements to be made on progress and the achievement of goals within the programme. This aggregation is largely done automatically by the DAAD monitoring tool, which prepares the information based on requirements. The **analysis of the scholarship holder survey** is likewise carried out using an IT-supported system annually for each grant cohort.
- The aggregated monitoring data relating to the selected programme indicators, which are an integral part of the BMZ application, is incorporated in the **DAAD's annual report to the BMZ**. In addition to the reporting on the agreed indicators, a qualitative assessment of goal achievement is also carried out for each programme objective.
- Furthermore, the analysis of the reports is used by the DAAD to conduct a **dialogue on monitoring results** and support learning processes at programme level and across programmes at the DAAD. This dialogue takes place at different levels:
  - within the DAAD
  - between the DAAD and the higher education institutions
  - between the DAAD and the BMZ

Exchange between the DAAD and the higher education institutions may also take place at an individual level, e.g. in steering meetings in which progress and the achievement of goals are discussed. Furthermore, the DAAD can initiate inter-university learning formats in which the aggregated data relating to the programme indicators is presented and factors influencing



goal achievement are jointly considered. The dialogue on monitoring results is also underpinned by reports on random monitoring visits.

The **use of findings from results-oriented monitoring** thus supports **learning processes** at project and programme level, as well as throughout the organisation at the DAAD.

- At **project level**, or at the level of the individual initiatives undertaken by the higher education institutions, analysis based on a target-performance comparison can be carried out to establish whether the planning was realistic and how far an adjustment to planning could improve the achievement of goals. This also includes a reflection on the challenges and success factors in particular.
- At **programme level**, the DAAD analyses which initiatives are achieving their self-defined goals and the potential success factors. This allows conclusions to be drawn about how planning was realistic or too ambitious, and whether there are areas of action, types of cooperation or regions in which goal achievement is weaker or stronger than in others. The DAAD can use these findings to provide even better advice on planning to future applicants and to support the higher education institutions and academic partners during implementation in a way that meets their needs as effectively as possible. When assessing the programme indicators, consideration is also given to how far the developments in the different activity areas of the respective programme meet the expectations of the DAAD, and whether setting different priorities during selection, a revision of the impact hypotheses, and/or targeted steering could have an influence on the achievement of objectives within the programme.
- **Throughout the DAAD**, an assessment of monitoring results across programmes is carried out at regular intervals. The programme managers of various programmes present the analysis of their monitoring results to each other. On this basis, experiences and suggestions on modes of operation for the programmes can be exchanged and synergies identified in order to enhance the achievement of goals.

Monitoring and, where applicable, evaluation also play a key role at the **end of a programme or prior to the start of a new funding phase**. For ongoing programmes, a fixed review period (e.g. every five years) is usually agreed:

- **Evaluations** may either be scheduled on a regular basis (e.g. halfway through the programme period or on completion of a funding phase) or prompted by a specific event (e.g. because the monitoring data gives cause for an external review of the programme).
- When preparing a new call for applications for a programme or when planning and developing new programmes, the **findings from the monitoring and evaluation process should be taken into account**. This calls for reflection both within the DAAD between the programme department and the department for development cooperation, as well as between the programme department and the BMZ.

## 8. Supporting evaluations with results-oriented planning and monitoring

Results-oriented monitoring is a **continuous process of collecting data and analysing indicators** which allows actual changes to be compared with intended changes. It communicates relevant information about the progress of a programme and the achievement of goals to the programme managers, based on specifically formulated short, medium and long-term goals. This information in turn provides the programme managers with a basis on which to make decisions regarding the necessity of adjusting the design of the programme in order to optimise the achievement of goals.

Results-oriented evaluations, on the other hand, are **assessments of a planned, ongoing or completed project or programme**, which are carried out to ascertain its relevance, effectiveness, efficiency, impacts and sustainability. In addition, the coherence, complementarity and coordination with other projects or programmes are often examined. Evaluations analyse implementation processes and focus on both the intended and the unintended results.

The added value of an evaluation is the analysis of the extent to which actual changes can be attributed to the programme and how far they can be explained by other influencing factors. Therefore, unlike results-oriented monitoring, evaluations can provide **proof of effectiveness**. This can be done by including control or comparison groups, for example. The factors influencing goal achievement can be examined in greater depth through on-site inspections in which various stakeholders are surveyed. Additionally, ex-post evaluations can be used to capture information on results that have occurred only after the end of the funding period (impact- and, if applicable, also outcome level). In the reports to the BMZ, the information from evaluations can supplement the data from results-oriented monitoring. Evaluations bring further added value by providing **independent perspectives**. In the DAAD's project funding programmes, the monitoring data is supplied by the project managers themselves, whereas evaluations are usually carried out by external consultants.

An evaluation can be scheduled on a regular basis (e.g. interim evaluations prior to the start of a new funding phase) or instigated based on monitoring information. Examples of possible reasons for instigating evaluations based on monitoring information are:

- *Indications that the achievement of goals is at risk*

If the reporting on the monitoring system indicators suggests that the achievement of one or more of the programme goals is at risk, a programme evaluation should be carried out to examine the reasons for this.

- *Goal attainment varies widely for different projects within a programme*

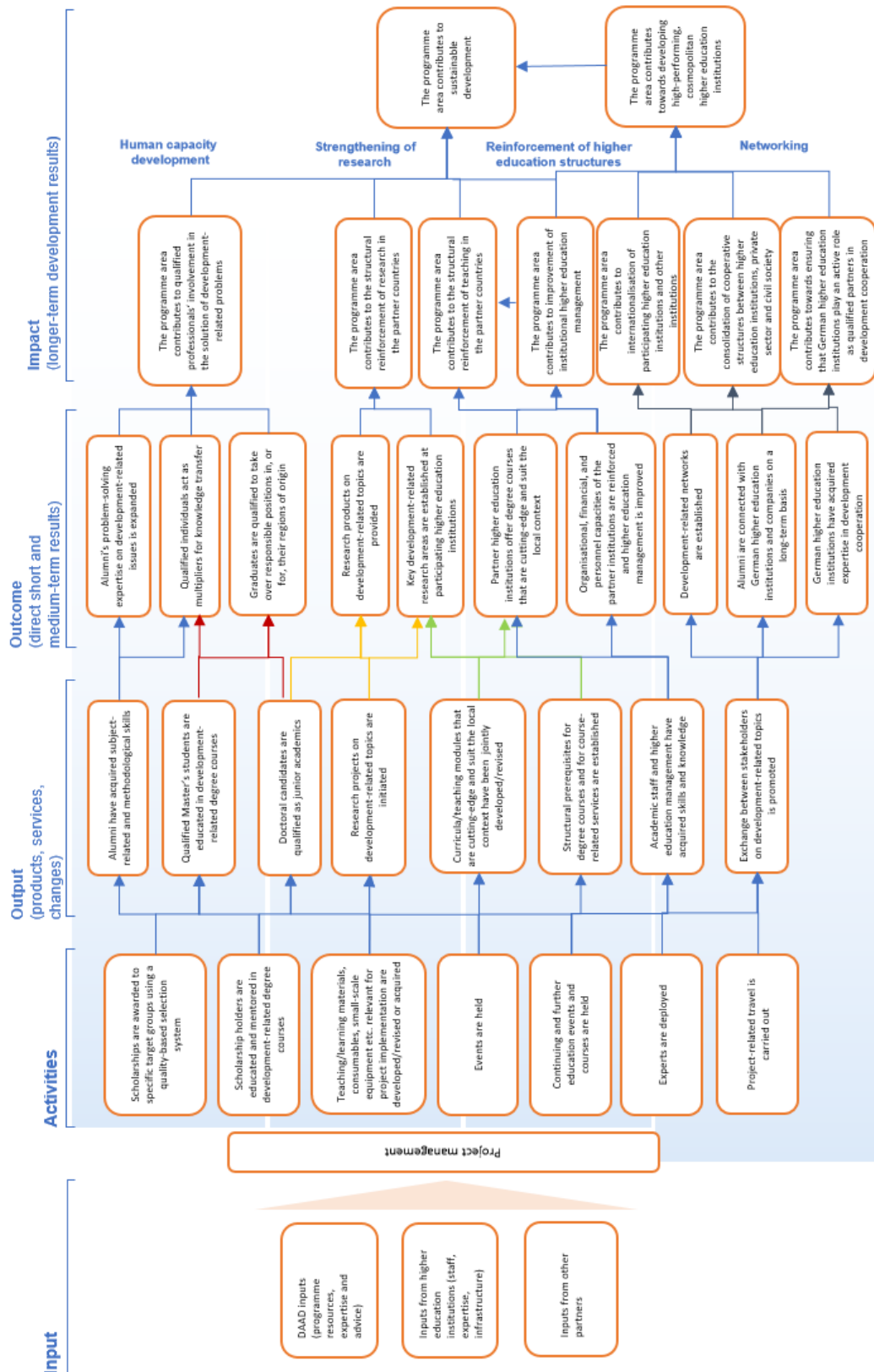
If monitoring reveals that goal achievement varies widely for different projects within a programme but the reporting or dialogue with DAAD programme managers does not show any reasonable grounds for this, an evaluation should be carried out. It can examine implementation processes and contextual factors in order to demonstrate recommendations for steering and improving the programme.

■ *Insufficient presentation of monitoring information in reports*

If a project's reporting on the monitoring system indicators is deemed incomplete by the programme managers and it is not possible to assess the progress of the project, further measures should be carried out to evaluate the project. If the reporting on several projects within a programme is deemed inadequate, a programme evaluation may deliver further information.

Monitoring and evaluation are closely interrelated, as results-oriented planning and meaningful monitoring data make it significantly easier to carry out evaluations. If monitoring produces reliable data at activity, output and outcome level, the effort and resources to generate knowledge during the evaluation are reduced. The evaluators can then concentrate on analysing and completing the available data.

## Appendix I: Results framework for projects and programmes in the BMZ funding area



## Appendix II: Overview of standard indicators for the BMZ funding area

This overview introduces standard indicators for the BMZ funding area for **inputs, activities, outputs** and **outcomes**.

Not every indicator is applied to collect data for all programmes in the same way. Degrees and differentiations within the indicators which, so far, have only been collected for distinctive programmes, but prospectively could be collected comprehensively, are marked **blue**. Information that is desired or essential to the annual reports of the higher education institutions but that does not directly concern monitoring or steering processes, is marked grey.

Standard indicator	Data collection	Reference to results framework
<b>Number of the DAAD-funded full-time equivalents, employed at each participating higher education institutions (in the reporting year), differentiated by</b> <ul style="list-style-type: none"> <li>▪ Field of activity (e.g. project coordination, scientific activities)</li> <li>▪ Type of academic staff (e.g. domestic assistants, staff abroad)</li> </ul>	Annual report	DAAD-funded academic staff within the higher education institutions
<b>Number of DAAD-supported events held (in reporting year), differentiated by</b> <ul style="list-style-type: none"> <li>▪ Title/topic</li> <li>▪ Place/country</li> <li>▪ Date (beginning)</li> <li>▪ Duration (in days)</li> <li>▪ Type (e.g. seminars, conferences, steering workshops)</li> <li>▪ <a href="#">Reference to the SDG</a></li> </ul>	Annual report	Events are held
<b>Number of participants in the events (in the reporting year), differentiated by</b> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ <a href="#">Nationality</a></li> </ul>	Annual report	Events are held
<b>Number of DAAD-supported continuing and further education events (in the reporting year), differentiated by</b> <ul style="list-style-type: none"> <li>▪ Title/topic</li> <li>▪ Place/country</li> <li>▪ Date (beginning)</li> <li>▪ Duration (in days)</li> <li>▪ Type (e.g. seminars, conferences, steering workshops)</li> <li>▪ Type of qualification (e.g. subject-specific, didactical)</li> <li>▪ <a href="#">Reference to the SDG</a></li> </ul>	Annual report	Continuing and further education events and courses are held
<b>Number of participants in the continuing and further education events (in the reporting year), differentiated by</b> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Trained lecturers</li> <li>▪ <a href="#">Nationality</a></li> <li>▪ <a href="#">More than one partner institution involved</a></li> <li>▪ Internal/External</li> </ul>	Annual report	Continuing and further education events and courses are held

Standard indicator	Data collection	Reference to results framework
<p><b>Number of funding activities for project-related travel (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type of funding (DAAD-key)</li> </ul>	Statistic of scholarship holders	Project-related travel is carried out
<p><b>Number of persons funded (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality (DAAD-key)</li> <li>▪ Destination country (DAAD-key)</li> <li>▪ Nationality (DAAD-key)</li> <li>▪ Status (DAAD-key)</li> <li>▪ Duration of funding: days, weeks, months</li> <li>▪ Subject area (DAAD-key)</li> <li>▪ Type of funding (DAAD-key)</li> <li>▪ New funding of further funding</li> </ul>	Statistic of scholarship holders	Project-related travel is carried out
<p><b>Number of newly developed or revised processes and structures at partner higher education institutions (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Brief description</li> <li>▪ Area (e.g. teaching, research, management, network)</li> <li>▪ Contribution towards improvement</li> </ul>	Annual report	Structural prerequisites for degree courses and for course-related services are established
<p><b>Number of newly developed, revised or newly introduced curricula (= entire study programmes), teaching modules and/or courses (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type (e.g. curriculum, teaching module, course)</li> <li>▪ Newly developed or revised</li> <li>▪ Level (e.g. Bachelor, Master, PhD)</li> <li>▪ Status</li> <li>▪ Involvement of external actors</li> <li>▪ Number of partner institutions involved in the developing process</li> </ul>	Annual report	Curricula/teaching modules that are cutting-edge and suit the local context have been jointly developed/revised
<p><b>Number of planned students/participants in study programmes as well as continuing and further education events that have been newly developed or revised supported by DAAD (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type (e.g. curriculum, teaching module, course)</li> <li>▪ Level (e.g. Bachelor, Master, PhD)</li> </ul>	Annual report	Partner higher education institutions offer degree courses that are cutting-edge and suit the local context
<p><b>Number of applicants for study programmes as well as continuing and further education events that have been newly developed or revised supported by DAAD (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type (e.g. curriculum, teaching module, course)</li> <li>▪ Level (e.g. Bachelor, Master, PhD)</li> </ul>	Annual report	Partner higher education institutions offer degree courses that are cutting-edge and suit the local context

Standard indicator	Data collection	Reference to results framework
<p><b>Number of students/participants in study programmes as well as continuing and further education events that have been newly developed or revised supported by DAAD (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type (e.g. curriculum, teaching module, course)</li> <li>▪ Level (e.g. Bachelor, Master, PhD)</li> </ul>	Annual report	Partner higher education institutions offer degree courses that are cutting-edge and suit the local context
<p><b>Number of teachers in study programmes as well as continuing and further education events that have been newly developed or revised supported by DAAD (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type (e.g. curriculum, teaching module, course)</li> <li>▪ Level (e.g. Bachelor, Master, PhD)</li> </ul>	Annual report	Partner higher education institutions offer degree courses that are cutting-edge and suit the local context
<p><b>Number of partner institutions using the study programmes as well as continuing and further education events that have been newly developed or revised supported by DAAD (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type (e.g. curriculum, teaching module, course)</li> <li>▪ Level (e.g. Bachelor, Master, PhD)</li> <li>▪ Name</li> <li>▪ Location of the institution</li> </ul>	Annual report	Partner higher education institutions offer degree courses that are cutting-edge and suit the local context
<p><b>Type of funded partnerships (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type of cooperation</li> <li>▪ Subject area (DAAD-key)</li> <li>▪ Regional focus (DAAD-key)</li> </ul>	Annual report	Development-related networks are established
<p><b>Number of active cooperation partners in the funded partnerships (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Name of the institution</li> <li>▪ Main office of the institution (DAAD-key)</li> <li>▪ Area (e.g. university, economy, civil society, politics)</li> <li>▪ Type</li> <li>▪ Development regarding the partnership</li> </ul>	Annual report	<p>Development-related networks are established</p> <p>Exchange between stakeholders on development-related topics is promoted</p>
<p><b>Number of subject-related networks in which the supported higher education institutions actively participate (since the beginning of funding), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Name of the network</li> <li>▪ Subject-related focus (DAAD-key)</li> <li>▪ Region-related focus (DAAD-key)</li> <li>▪ Involvement of non-university actors</li> <li>▪ Major function of the network</li> <li>▪ Value added to the partner institution</li> </ul>	Annual report	<p>Development-related networks are established</p> <p>Exchange between stakeholders on development-related topics is promoted</p>
<p><b>Number of research and consulting products developed by the participating higher education institutions in support of DAAD (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Title/topic</li> <li>▪ Type (e.g. project and research proposals)</li> <li>▪ Status</li> </ul>	Annual report	Research products on development-related topics are provided



Standard indicator	Data collection	Reference to results framework
<p><b>Number of publications developed supported by DAAD (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Type (e.g. scientific journals, reviews, newspapers)</li> <li>▪ Status</li> </ul>	Annual report, End-of-award questionnaire	Research products on development-related topics are provided
<p><b>Number of higher education institutions who, by participating in the programme, have acquired or improved expertise in development cooperation until the end of the project</b></p>	Annual report	German higher education institutions have acquired expertise in development cooperation
<p><b>Number of DAAD-scholarship holders (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Grant cohort</li> <li>▪ Degree pursued</li> <li>▪ Study progress</li> <li>▪ On schedule (yes, no)</li> <li>▪ All relevant academic achievements have been acquired (yes/no)</li> <li>▪ Assessment of credits</li> </ul>	Annual report, Overview lists held by the responsible sections	<p>Qualified Master's students are educated in development-related degree courses</p> <p>Doctoral candidates are qualified as junior academics</p>
<p><b>Number/ratio of DAAD-scholarship holders that have completed their studies (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Grant cohort</li> <li>▪ Degree pursued</li> <li>▪ Study progress</li> <li>▪ On schedule (yes, no)</li> <li>▪ <a href="#">Duration of studies</a></li> </ul>	Annual report	<p>Qualified Master's students are educated in development-related degree courses</p> <p>Doctoral candidates are qualified as junior academics</p>
<p><b>Number/ratio of DAAD-scholarship holders that have completed their studies (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Degree pursued</li> <li>▪ Date of prospective graduation</li> <li>▪ Grade</li> <li>▪ Self-assessment of performance</li> </ul>	End-of-award questionnaire	
<p><b>Ratio of graduates that, directly after completion of scholarship, evaluate the utility of their participation in the programmes as positive for their career (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Status (DAAD-key)</li> </ul>	End-of-award questionnaire	Graduates are qualified to take over responsible positions in, or for, their regions of origin

Standard indicator	Data collection	Reference to results framework
<p><b>Number of graduates who, as a result of their course of study, have newly acquired or improved their skills (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Status (DAAD-key)</li> <li>▪ Type of qualification (e.g. subject-related, didactical)</li> </ul>	End-of-award questionnaire annual report	Graduates are qualified to take over responsible positions in, or for, their regions of origin
<p><b>Number of graduates who, as a result of continuing and further education, have newly acquired or improved their skills (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Status (DAAD-key)</li> <li>▪ Type of qualification (e.g. subject-related, didactical)</li> </ul>	End-of-award questionnaire, annual report	Graduates are qualified to take over responsible positions in, or for, their regions of origin
<p><b>Ratio of graduates that intend to return to their country or region of origin within five years (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> </ul>	End- of-award and follow-up questionnaire	Graduates are qualified to take over responsible positions in, or for, their regions of origin
<p><b>Ratio of graduates that returned to their country of origin within three years (in the reporting year)</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Degree</li> </ul>	Follow-up questionnaire	Graduates are qualified to take over responsible positions in, or for, their regions of origin
<p><b>Ratio of graduates that, within three years after the completion of the scholarship, start to work in a position suitable to their education (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Degree</li> <li>▪ Type of employment</li> <li>▪ Sector of employment</li> </ul>	Follow-up questionnaire	Graduates are qualified to take over responsible positions in, or for, their regions of origin
<p><b>Ratio of graduates that, within three years after completion of the scholarship, are employed in a position that contributes to the development of their country or region of origin (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Degree</li> </ul>	Follow-up questionnaire	Graduates are qualified to take over responsible positions in, or for, their regions of origin
<p><b>Ratio of scholarship holders whose parents have maximally completed primary education (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Degree</li> </ul>	Starting and end-of-award questionnaire	The participation of women and underprivileged groups is reinforced

Standard indicator	Data collection	Reference to results framework
<p><b>Ratio of graduates who state to have acquired new expertise and new academic methods immediately after completion of the scholarship (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Degree</li> </ul>	End-of-award questionnaire	Graduates are qualified to take over responsible positions in, or for, their regions of origin
<p><b>Ratio of alumni and participants of DIES-events who state to have newly acquired or improved their skills as a result of continuing and further education (in the reporting year as well as since the beginning of funding)</b></p>	Annual report, evaluation sheets of participants	Alumni have acquired subject-related and methodological skills
<p><b>Ratio of alumni and participants of DIES-events who state directly after participation in the programme that they want to become active as a multiplier in the subject of the event (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Desired position as multiplier</li> </ul>	Annual report and evaluation sheets of participants	Qualified participants act as multipliers for knowledge transfer
<p><b>Ratio of scholarship holders who, within three years after participation in the programme, are active as multipliers of the subject of the event (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Possible position as multipliers</li> </ul>	Alumni ex-post questionnaire	Qualified participants act as multipliers for knowledge transfer
<p><b>Number of activities that were held by alumni within the first year after participation in the programme (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Activities (e.g. informal, events, projects)</li> </ul>	Alumni ex-post questionnaire	Qualified participants act as multipliers for knowledge transfer
<p><b>Ratio of graduates who state that, within three years after completion of the scholarship, they have passed on their knowledge/skills acquired during their studies (in Germany) in their present activity (in the reporting year), differentiated by</b></p> <ul style="list-style-type: none"> <li>▪ Gender</li> <li>▪ Nationality</li> <li>▪ Degree</li> <li>▪ Type of transfer</li> </ul>	Follow-up questionnaire	Qualified participants act as multipliers for knowledge transfer

## Appendix III: Guide to results frameworks and indicators

### 1. The function of results frameworks and indicators

A results framework is a core reference document for the results-oriented planning and steering of programmes and projects. Combined with indicators, it forms the basis for monitoring and evaluation.

- A results framework **demonstrates the funding logic** of a project or programme. It clarifies the relationships between the contributions of the various stakeholders, the activities, the intended short and medium-term results, and the medium and long-term objectives and impacts.
- **Indicators** are assigned to the activities, results and objectives described in the results framework. These indicators make the implemented activities and the intended **results and objectives measurable**.
- Results frameworks and indicators are the basis for the results-oriented planning and reporting and thus for a systematic **assessment of the extent to which objectives have been implemented and achieved** by means of a comparison between target and actual performance. They form the basis for the results-oriented management of a project or programme and its further development in dialogue between the partners involved.

### 2. Results framework

#### 2.1. Levels of the results framework

In a results framework, the higher-level development policy objectives (**impacts**) are formulated. The direct project/programme objectives (**outcomes**) should contribute towards achieving these impacts. The project/programme objectives are achieved when the results produced (**outputs**) are used by the target group. The results, in turn, are derived from the **activities and measures** of a project/programme, which are made possible through the use of resources (**inputs**).

BMZ and DAAD base their definition of the different impact levels on the OECD/DAC definitions<sup>9</sup>:

**Impacts:** Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Impacts are the intended higher-level development policy aims, towards which a contribution is to be made in the long term through a development intervention, e.g. a contribution towards the structural reinforcement of teaching at the partner higher education institutions or towards the internationalisation of the higher education institutions. The impacts observed at this level in turn contribute towards overarching objectives, such as the creation of outstanding, cosmopolitan higher education institutions, and towards sustainable development in general. Impacts are usually reviewed by means of evaluations (often ex-post), not as part of monitoring.

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<sup>9</sup> See OECD/DAC (2009): Glossary of Key Terms in Evaluation and Results Based Management. Available at: <http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf> [01/07/2016].

**Outcomes:** The likely or achieved short-term and medium-term effects of an intervention's outputs.

Outcomes are the intended effects that result from use of the outputs for the target group (= benefits for the target group). The programme objectives are formulated at this level. Outcomes are, for example, the use of newly developed study programmes at the partner higher education institutions which are cutting-edge and suit the local context, or established development-related, specialist networks between the participating higher education institutions and other institutions.

**Outputs:** The products, capital goods, and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.

Outputs are all the products, services and results developed and/or provided through an intervention, the use of which means the outcomes will be achieved. Outputs are, for example, jointly developed curricula or teaching modules compiled within projects, the creation of structural prerequisites for study programmes at the partner higher education institutions, or the expansion and consolidation of contacts. Outputs also include personal skills gained or knowledge transmitted.

**Activities:** Actions taken or work performed through which inputs, such as funds, [...] assistance and other types of resources are mobilised to produce specific outputs.

These include project-specific activities and measures, e.g. the organisation of events, further and continuing education activities, project-related travel and the development/revision or acquisition of teaching/learning materials and consumables.

**Inputs:** The financial, human and material resources used for the development intervention.

Inputs are all the material and non-material resources involved in a project, e.g. the financial and human resources supplied by the DAAD, the higher education institutions and other partners, where applicable, as well as specialist expertise and infrastructure.

## 2.2. Rules and notes on formulation

- All outputs, outcomes and impacts need to be formulated realistically and depict the desired consequences of the intervention.
- There needs to be an "if-then" relationship between each step in the results chain. This is visualised using an arrow.
- If necessary, outputs, outcomes, impacts etc. can be added, removed or reformulated.

In order to ensure uniformity in the presentation of results frameworks for different DAAD programmes, the following notes on formulation have been defined within the DAAD:

- At the **activities level**, **active formulations** should be used: "Events *are* organised" instead of "the organisation of events".
- At the **output and outcome level**, the **current state** should be described: "International cooperative partnerships *are* strengthened" instead of "international cooperative partnerships are being strengthened".

- At the **impact level**, it should always be “the programme is making a **contribution** to...”. The last impact level establishes a link to the DAAD Strategy 2020 and to the Sustainable Development Goals (SDG).
- Complete sentences should be used at all levels.

When developing programmes and creating a new results framework, existing results frameworks can be used as a model and elements of them partially or fully adopted.

### 3. Indicators

#### 3.1. Definition of an indicator

Indicators are assigned to the activities, outputs and outcomes listed in the results framework; they are used for specification and measurement. An indicator is a value that can be measured empirically, providing information about a construct that cannot be measured directly.

According to the OECD/DAC, an indicator is defined as follows<sup>10</sup>:

Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor.

#### 3.2. Types of indicators

- **Quantitative indicators** refer to comprehensible quantitative numerical values (e.g. amount, quantity). These can be used comparatively to measure changes.
- **Qualitative indicators** (also called descriptors) refer to verifiable quality characteristics, which can be used comparatively to observe changes. Information on how the changes manifest themselves is captured by qualitative assessments, evaluations and opinions.<sup>11</sup>

In addition to classifying the qualitative and quantitative aspects of indicators, it is possible to distinguish between various other types of indicators based on methodological or technical principles (data sources and data collection methods).

- **Subjective perception indicators** are used to collect data on subjective assessments, estimations and opinions. For example, subjective viewpoints are investigated using standardised surveys.
- **Objective indicators** are based on statistical data sources, from which data is collected externally or as part of a project or programme.

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<sup>10</sup> Cf. OECD/DAC (2009): Glossary of Key Terms in Evaluation and Results Based Management. Available online at: <http://www.oecd.org/dac/evaluation/dcdndep/43184177.pdf> [1.7.2016].

<sup>11</sup> Hunter, Sabine (Monitoring and Evaluation Unit, GIZ) (2014): Indikatoren. Eine Arbeitshilfe. Bonn and Eschborn: GIZ.

- **Proxy indicators** are used to measure a particular aspect indirectly in order to extrapolate information about a project's progress. They are used in contexts where the desired information cannot be collected directly and captured immediately.<sup>12</sup>

### 3.3. Quality criteria for indicators

The selection of conclusive indicators requires a number of minimum standards. Firstly, an indicator has to measure the actual issues it ultimately ought to measure (validity). Secondly, repeated tests and measurements should – given that the conditions remain the same – always lead to the same results (reliability). Aside of these methodological requirements the indicators also need to follow practical requirements. They should thus be chosen in consideration of the given circumstances, such as resources and capacities (practicability) on the one hand and acceptance of the people concerned on the other hand (acceptance). Meaningful indicators ought to define precise target values (benchmarks). These targets specify firstly, the measures which should be deployed and secondly the specific timeframe.

The so-called SMART rule can be helpful with the implementation of these requirements. It states that indicators should satisfy the following quality criteria:

<b>Specific:</b>	Precise and unambiguous in terms of quality and quantity (Who? What? How?)
<b>Measurable:</b>	Can be measured with reasonable effort and at reasonable cost
<b>Attainable:</b>	Objectives are realistically achievable within the specified parameters
<b>Relevant:</b>	Meaningful in terms of the intended changes
<b>Time-bound:</b>	Has a defined timeframe

Concrete examples for the formulation of project-specific indicators can be found in the *Guide to results-oriented project planning and monitoring* for the respective programme.

### Related links:

BMZ – Federal Ministry for Economic Cooperation and Development (2006):  
Evaluierungskriterien für die deutsche bilaterale Entwicklungszusammenarbeit.  
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<sup>12</sup> Ibid.



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