

Chapter 5 Proposals

Chapter 5: Proposals on evaluation methods for development studies

5-1 Making a clear distinction between evaluations of past studies and newly formulated ones

To review evaluation methods for development studies, a clear distinction must first be made between the evaluation designs used for studies already implemented and those for new studies. The most conspicuous difference is likely that evaluation plans were not prepared at the preliminary stage for older studies, but can be prepared in advance for newer studies.

5-1-1 Evaluations of studies already implemented

Since the studies under evaluation are relatively old, no ex-post evaluation plans or monitoring plans are typically available prior to full-scale studies. Therefore, no consistent evaluation criteria for preliminary through ex-post evaluations exist. This situation applies to almost all the development studies already implemented. Even if preliminary evaluation plans are developed now, ex-post evaluations would be conducted no sooner than, say, ten years after study completion.

Under these circumstances, for the time being, ex-post evaluations are to be conducted on the development studies that had no preliminary evaluation plans. It is thus necessary, at the time of evaluation, to collect sufficient past information to understand the original plans as accurately as possible. Specifically, when evaluations are conducted in accordance with a logical PDM structure, as in this evaluation study, the evaluation PDM should be compiled based on the relevant past materials. It thus requires that information retained in documents be reflected in the PDM as much as possible. Important information sources include not only documented reports of full-scale studies, but also preliminary study reports compiled before the full-scale studies.

In particular, it is important to distinguish which factors were internalized in studies and which were not, by confirming what was included in the original scope of the preliminary study report.

By so doing, it is possible to locate problems, if any.

Suppose a project plan formulated during a development study is cancelled due to environmental problems at the implementation stage. If the scope of the study includes (i.e., internalizes) the implementation of an environmental assessment, the full-scale study should most probably be regarded insufficient. However, for a study implemented over 20 years ago when environmental concerns were not regarded as important as today, and in which the study's scope did not include an environmental assessment, the full-scale study should be regarded as having no problem.

5-1-2 Evaluation of newly formulated studies

For studies scheduled to be implemented in the future, evaluation plans can be reviewed at

the study's preparatory stage. As in this evaluation study in which a PDM is formulated for evaluation purposes, a PDM must be prepared as a baseline after implementation of the preliminary study and before the full-scale study. By doing so, a foundation is created for preparing the PDM before implementation of both the final and ex-post evaluations, thus clarifying the originally expected outcome and project objectives of the full-scale study.

In addition to positioning the PDM properly, it is desirable to clarify (study-results) utilization targets from the very beginning, in order to specify how the development study should be utilized after implementation. This will clarify the directions the target study was intended to follow after implementation of the ex-post evaluation, as in this evaluation study.

5-2 Review of evaluation methods for newly formulated studies

5-2-1 Reviewing consistent evaluation methods from the preliminary to the ex-post-facto stages

As stated earlier, for evaluation of newly formulated studies, consistent evaluation methods from the study's preliminary to ex-post stages are indispensable. Evaluations using PDM prepared at the preliminary stage, as in this case, are an option to ensure a consistent evaluation covering both preliminary to ex-post stages. Another option is the establishment of utilization targets in the preliminary evaluation sheets¹. In any event, it is essential to specify carefully how to formulate and position (who, when, how, etc.) both the PDM and the preliminary evaluation sheets at each stage of the development study (preliminary stage, full-scale study stage, final stage, and utilization stage after completion, etc.).

5-2-2 Necessity of reviewing evaluation approaches depending on cooperation formats

In parallel with the establishment of these consistent evaluation methods for the preliminary to the ex-post-fact stages, more flexible approaches will be required to meet the growing diversification in cooperation formats used for development studies. To classify these formats, two approaches can be used: formats(e.g., M/P, F/S D/D, including pilot studies) and areas (e.g., agriculture, forestry, and fishery) In addition, it is recommended that these categories be further subdivided into groups and evaluation approaches on each reviewed. In terms of formats, for example, master plans will be categorized into two types: policy-supporting types, for formulating development strategies in specific areas; and plan-formulation types for long- and short-term plans designed to implement projects. As for area categories, in the case of agriculture for example, supplies can be classified into irrigation type or farming-village-development type, etc.

¹ The "preliminary evaluation sheet" is a table compiled on the preliminary stage (prior to implementation of the full-scale study in the case of a development study) and designed to indicate achievement targets to be realized by the case. Regarded as a baseline, this sheet presupposes subsequent verification of the achievements.

5-3 Establishment of evaluation implementation system

To establish evaluation methods for future development studies, it will be necessary not only to review methods per se but also to consider how to establish a system for conducting these evaluations.

As this evaluation study covers development studies implemented in the 1980s, and for which evaluation plans had not been established in advance, background information (such as the reasons for the development studies) had to be collected in an ex-post manner from limited information sources. Tremendous amounts of work were required to collect reliable data. To rectify these situations and improve the feasibility and quality of evaluations, several points must be noted:

First, to ensure highly-reliable evaluations based on unbiased information, not only must preliminary evaluation plans be prepared, but systems must be put into place to obtain information required for evaluations over the entire study process, from the initial request for a development study to completion of the full-scale study.

“For example, for any development study, the period from acceptance of the initial request to implementation of the preliminary study involve documents² containing historical background and arrangements relating to any full-scale study, including the background to the request for the development study and the study’s scope, etc. By ensuring that the necessary information can be easily accessible during the evaluation period, it becomes possible to define why the study was originally requested, and what was included in the full-scale study after official arrangements were completed between governments.

Second, even if a system enabling easy access of information is established, it will be useless without necessary information. There fore relevant documents should include as much necessary information for evaluation as possible from the very beginning.

Among the information regarded as necessary for evaluation, the most useful one is what was originally expected from the full-scale study, that is the study objectives. Such information can provide a perspective enabling subsequent evaluation of the study’s utilization levels.

Utilization objectives provide important information not only for conducting evaluations but also for implementing development studies. Clarifying utilization objectives in advance makes it possible to derive more feasible proposals from full-scale studies, and to improve utilization levels of study results. As a result, such efforts can be expected to improve effectiveness for development studies overall.

² TOR attached to a request form, documents used for evaluation of the project plan, and documents arranged before the dispatch of the preliminary-study team, etc.