Participatory Evaluation and International Cooperation

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This report is based on the discussion and findings of the Study Committee on Participatory Evaluation organized by the Japan International Cooperation Agency (JICA). The views expressed in the report are those of the members of the Study Committee and do not necessarily reflect those of JICA.

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Foreword

In recent years, the participatory approach has attracted growing attention in the field of development aid. For example, in December 1989, the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) issued its "Policy Statement on Development Cooperation in the 1990s," which cited participatory development as the foremost issue of the 1990s. DAC also stresses the importance of developing countries' ownership of cooperation and of participatory and sustainable development processes in its policy paper "Shaping the 21st Century: The Contribution of Development Cooperation," adopted in May 1996.

Under these circumstances, a concept is emerging that developing countries should be involved as leading participants not solely in implementation but also in the entire series of project activities, which range from planning through to monitoring and evaluation. Project stakeholders of developing countries are expected to raise their sense of ownership by improving their implementation management capacity throughout this process.

As for the theory of evaluation, since the 1980s it has been proposed that stakeholders should improve their evaluation capacity through participation in evaluation, and that such involvement should in turn increase their ownership of cooperation. This is why more donors, including the United Nations Development Programme (UNDP), are attempting to incorporate the participatory approach into their evaluation schemes.

Based on the above, we conducted this research to study ways in which the Japan International Cooperation Agency (JICA) could utilize participatory evaluation in its project activities. This research defined participatory evaluation as "evaluation conducted by a wide range of stakeholders, including final beneficiaries. Thus stakeholders participate in the design of evaluation plans; the provision, gathering and analysis of information; the revision of initial project plans; and other project activities." It also cited the following four objectives of participatory evaluation: (i) building of management capacity, (ii) development of ownership, (iii) promotion of effective feedback, and (iv) improvement of accountability. Building management capacity is an objective unique to participatory evaluation that has not been recognized in conventional evaluation. Further-

more, another salient feature of participatory evaluation is that it attaches importance to feedback and accountability not only to donors but also to beneficiaries and aid recipients.

Issues and considerations clarified in this research include the following: (i) clarification of the relationship between participatory development and participatory evaluation, (ii) continuous participation from ex-ante evaluation to ex-post evaluation, (iii) expansion and clarification of the targets of evaluation, (iv) nurturing of facilitators, (v) promotion of understanding of the participatory approach, (vi) establishment of methods for feedback, (vii) improvement of evaluation systems, (viii) balance with evaluation conducted by outsiders, and (ix) budgetary constraints. If we pursue improvement of management capacity and promotion of ownership as the purposes of aid, employing the participatory approach only at the evaluation stage is not sufficient. In order to achieve such purposes, participation must be pursued throughout the aid process: from preliminary surveys to ex-post evaluations. In other words, participatory evaluation should be incorporated as an activity of projects themselves.

In conducting this research and preparing this report, we established a study committee consisting of researchers from universities and research institutions, staff members and associate specialists of relevant departments in JICA, and consultants. We express our heartfelt appreciation to all those who contributed to this research.

I would feel amply rewarded if this report aids the utilization of participatory evaluation in cooperation projects, and if it contributes to better quality in international cooperation overall.

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Outline of This Research

1. Background

In December 1989, the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) issued its "Policy Statement on Development Cooperation in the 1990s", which cited participatory development as the foremost issue of the 1990s. DAC also proclaimed its focus on ownership and the participatory sustainable development process of developing countries in its policy paper "Shaping the 21st Century: the Contribution of Development Cooperation" (commonly known as the DAC New Development Strategy) adopted in May 1996. Meanwhile, also from the viewpoint of improvement in efficiency and effectiveness in project management, emphasis is being placed on the participatory approach since this approach is deemed an operation method that enables local people to manage resources more efficiently in a sustainable manner.

Under these circumstances, a concept is surfacing that developing countries should be actively involved as leading participants not solely in implementation but also in the entire series of activities, which range from planning through to monitoring/evaluation. Participatory development and participatory monitoring/evaluation are not independent from each other. Rather, participatory planning, implementation, and monitoring/evaluation can be understood as a series of activities where stakeholders in developing countries plan their own activities and implement, as well as review and examine such activities, then carry out improvement measures. Through this series of activities, stakeholders of the implementing institution in developing countries increase their awareness of ownership and improve their management ability. The theory of evaluation advocated since the 1980s claims that stakeholders enhance their evaluation ability by participating in evaluation and thereby increase ownership. Some aid agencies, such as the United Nations Development Programme (UNDP), have begun to adopt participatory monitoring/evaluation.

However, in many aid agencies including JICA, actual implementation lags far behind while the importance of participatory monitoring/evaluation is recognized.

In such circumstances, we made it a theme of this research how JICA should implement participatory monitoring/evaluation. As we recognize the importance of consistency in ex-ante evaluation through ex-post evaluation, we call all evaluation conducted in participatory manner "participatory evaluation."

2. Purpose and Questions of This Research

This research aims to provide practical suggestions concerning the method of implementation of participatory evaluation by focusing on how such evaluation should be conducted at aid agencies. To this end, we try to answer the following questions in this research.

1) What is participatory evaluation? How is it perceived and defined in evaluation theory and aid agencies? Based on these considerations, how should JICA view participatory evaluation?
2) What is the difference between participatory evaluation and conventional evaluation? In implementing evaluation in the future, how should conventional evaluation and participatory evaluation be combined and implemented?
3) What are the key issues to be considered when actually implementing participatory evaluation?

3. Method of Research

In this research, basic literature and resources on websites were reviewed. In addition, a model participatory evaluation was also conducted in Thailand. In analyzing cases of participatory evaluation at JICA, JICA staff, consultants and other personnel who had been actually involved in such evaluation were interviewed.

In conducting this research, a study committee was established, groups in charge were assigned, and studies by the groups were undertaken respectively. At the same time, the committee held total of 10 sessions of discussions based on presentations from the groups. This research report was compiled based on the reports written by the groups in charge.

4. Framework of Report

In Chapter 1 “What is Participatory Evaluation?”, the question of why participatory evaluation is in need is examined. At the same time, the perception of participatory evaluation in evaluation theory and other institutions is summarized, and the question of what is participatory evaluation and what are the important points in such evaluation are studied.

In Chapter 2 “Present Status and Issues of Participatory Evaluation at JICA”, the present status of evaluation at JICA is reviewed from a “participatory” standpoint in examining key issues. In addition, the present status and issues of participatory development and participatory evaluation at JICA were analyzed based on the results of the questionnaire survey on participatory evaluation for JICA staff and consultants.

In Chapter 3 “Introduction of Participatory Evaluation into JICA”, the question of how to introduce such evaluation into JICA and the direction and issues of such introduction were studied.

5. Organization for this Research and Authors

In conducting this research, a study committee consisting of the following advisors and task force members was organized to conduct studies and to prepare this report.

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Chapter 1

What is Participatory Evaluation?

1.1 For better evaluation

In Japan's ODA, evaluation activities have been practiced, and an evaluation system is also under development. Under the harsh financial conditions in recent times, there are vehement calls for a transition from a quantitative expansion of ODA to an improvement in the quality of ODA. Therefore, the importance of evaluation as a means to realize more effective aid is increasing. Such importance of evaluation is stressed particularly from the perspective of project improvement and accountability.

With respect to the evaluation conducted by the Japan International Cooperation Agency (JICA) in the past, JICA, the project implementer, acted as the evaluator in most cases. Such evaluation was not satisfactory from the standpoint of both project improvement and accountability. For this reason, various initiatives are currently being taken to improve evaluation. One major move to improve evaluation is reinforcing third party evaluation in enhancing accountability. However, evaluation by third party alone is inadequate. Important as it is to ensure evaluation results be fed back to the project for improvement, there are many cases stakeholders won't accept evaluation results, in particular, if they are negative ones. Therefore, the participation of stakeholders in evaluation activities, such as analyzing problems and considering measures would be effective for making good use of evaluation findings for the improvement of projects and sustaining the development of projects. Through this process, stakeholders will build capacity and skills to undertake evaluation and solve problems, and also heighten their ownership. Thus, effective project improvement can be found in combination of participatory evaluation in which stakeholders evaluate their own activities and evaluation by third party experts to heighten accountability.

The questionnaire survey conducted in August 2000 on JICA staff and consultants showed that the majority thought that participatory evaluation should be implemented (the results of the questionnaire survey will be examined in Chapter 2). Some of the reasons included the following: "the social impact of the project would be clear"; "participatory evaluation would heighten a sense of ownership on the part of beneficiaries"; "beneficiaries would understand the project

Table 1.1 Comparison of Evaluation

Effects of evaluation	Third-party evaluation ←	Conventional evaluation →	Participatory evaluation
Building management capacity	×	△	◎
Promotion of ownership	×	△	◎
Effective feedback	△	△	○
Ensuring accountability	◎	△	○

and more readily accept it"; and "sustainability would improve". Nevertheless, many replied they had little experience in participatory evaluation, and they thought that it would not be easy to conduct such evaluation. The reasons cited for such difficulty included the following: "shortage of time and funds for such evaluation"; "unestablished methodology"; "difficulty of setting evaluation criteria" and "the lack of flexibility in the current types of cooperation". As a result, the questionnaire revealed that participatory evaluation is desired with all difficulties of implementation.

Based on these circumstances, this report examines what "participatory evaluation" is and proposes measures for implementing participatory evaluation in JICA.

1.2 What is participatory evaluation?

1.2.1 Concept and objectives of participatory evaluation

"Participatory evaluation" does not have a fixed definition yet. Therefore, there is a need for JICA as one implementing institution to consider implementable "participatory evaluation" based on a solid understanding on the current condition of Japan's ODA and JICA's project operation system while referring to other donors' standpoints.

A common understanding shared among major donors is that participatory evaluation is 1) evaluation to be conducted jointly by various stakeholders, including the local beneficiaries, 2) evaluation in which a wide array of stakehold-

ers actively participate in all processes from evaluation planning to information gathering and analysis, action planning for improvement and execution.[1] However, the scope of stakeholders and the extent of participation vary depending on the aid agency and the project.

Meanwhile, as will be discussed later in "1.3.4 Moves toward reform of Japan's

[1] The main conceptual understanding of participatory evaluation is as shown below.

UNDP:	Participatory evaluation is people centered: project stakeholders and beneficiaries are the key actors of the evaluation process and not the mere target of the evaluation.
USAID:	Participatory evaluation provides the opportunities of the active involvement in the evaluation process for those with a stake in the program: providers, partners, customers (beneficiaries) and any other interested parties. Participation typically takes place in all phases of the evaluation: planning and designing of the evaluation; gathering and analyzing the relevant data; identifying the evaluation findings, conclusions, and recommendation; disseminating results; and preparing an action plan to improve program performance.
World Bank:	Participatory monitoring/evaluation is a joint task process where stakeholders of various levels jointly evaluate the project and implement the necessary revision measures. In this collaborative resolution of problems, men and women of communities, NGOs and other mediating organizations, private corporations involved in the project, and government employees of all levels are invited to participate. In addition to beneficiary analyses and questionnaire surveys to communities, local stakeholders are invited to point out problems and gather and analyze information in making proposals for revision.
Jackson:	Participatory evaluation is a process of self-assessment, collective knowledge production, and cooperative action in which the stakeholders in a development intervention participate substantively in the identification of the evaluation issues, the design of the evaluation, the collection and analysis of data, and the action taken as a result of the evaluation findings. By participating in this process, the stakeholders also build their own capacity and skills to undertake research and evaluation in other areas and to promote other forms of participatory development. Participatory evaluation seeks to give preferential treatment to the voices and decisions of the least powerful and most affected stakeholders - the local beneficiaries of the intervention. This approach to evaluation employs a wide range of data collection and analysis techniques, both qualitative and quantitative, involving fieldwork, workshops, and movement building.

Source: UNDP (1997), USAID (1996), World Bank (Website of the Office of Evaluation Department), Jackson (1998)

ODA evaluation", reform of ODA evaluation is currently under national-level discussion. Major points stressed in the national-level study are (i) the enhancement of evaluation criteria and viewpoints, including the clarification of the impact on beneficiaries, (ii) the importance of consistent evaluation from ex-ante to ex-post stages, (iii) the necessity of program-level evaluation beyond the project, and (iv) the consolidation of the feedback system. Furthermore, in the context of community participation projects the significance of evaluating their process and changes in social relations brought through the project as well as the outputs itself have also been recognized. Yet another aspect we need to recognize is that participants are expected to build capacity to evaluate and manage projects through participation.

Based on such discussion, JICA considers participatory evaluation as follows:

Participatory evaluation is evaluation conducted by a wide range of stakeholders, including final beneficiaries. Therefore, the stakeholders participate in designing evaluation plans; the provision, gathering and analysis of information; and the revision of the initial project plan. "Evaluation" mentioned herein includes ex-ante evaluation, monitoring, terminal evaluation and ex-post evaluation.

The objectives of participatory evaluation (that is to say, the impact expected as a result of the implementation of participatory evaluation) are;

1) **Building management capacity,**
2) **Promoting ownership,**
3) **Enhancing effective feedback, and**
4) **Advancing accountability**

(Management capacity will be discussed in detail in 1.4). The aim of each objective is outlined in Table 1.2. Among these objectives, 1) and 2) describe the impact on participants themselves through the process of participation in evaluation while 3) and 4) describe the effects gained through participatory evaluation.

The most difference between conventional and participatory evaluation in terms of the objective is that the former emphasizes evaluation results while the

Table 1.2 Objectives of Participatory Evaluation

Objective	Description of Objectives
Building management capacity	• Improving evaluation capacity (problem-comprehending ability and problem-solving ability) through participation in evaluation • Improving organizational management and administrative capacity through acquisition of knowledge and information for improving project • Strengthening ties with relevant institutions through joint participation in evaluation
Promoting ownership	• Enhancing ownership of stakeholders through participation in evaluation • Improving sustainability through promotion of ownership
Enhancing effective feedback	(To aid implementing side) • Formulation and revision of appropriate plan that reflects the opinions of a wide range of stakeholders • Lessons to other projects (To aid-recipient) • Promotion of swift feedback of evaluation results through participation in evaluation • Ensuring access to information on projects • Utilization of evaluation results by stakeholders
Advancing accountability[2]	(To both aid implementing side and aid-recipient) • Understanding diverse needs and intentions of stakeholders • Understanding factors producing needs • Multifaceted understanding of impact • Improvement in credibility of evaluation results

[2] Although there is the notion that evaluation by a third party constitutes an objective evaluation, this is not necessarily the case. Objectivity increases by reflecting a wide range of stakeholders' views. Shimazu provides important viewpoint on what consists of objective evaluation. "It is not necessarily true that if a third party conducts a logical and scientific analysis, the analysis is 'objective'. The reason is that if a third party conducts an analysis by bringing in external values, the analysis merely becomes a "subjective analysis" by a third party. On the other hand, even in the case of self-rating, the analysis would be an independent "objective analysis" if the self can be put in relative terms. "Subject" and "third party" and "subjectivity" and "objectivity" should be viewed as an issue on another level." (Shimazu (2000)).

latter stresses its process. This difference comes from the fact that conventional evaluation tends to use evaluation results for determining necessity of the next phase of the project while participatory evaluation tends to promote ownership and build management capacity.

Although feedback and accountability are the objectives of both types of evaluations, a significant difference is to whom the feedback and accountability are intended. While conventional evaluations tend to place emphasis on aid agencies and people as taxpayers of donor countries, participatory evaluations focus on aid-recipient countries including beneficiaries an intended target for feedback and accountability. Likewise, conventional evaluations use the feedback of evaluation results for improvement of projects in most cases, while participatory evaluations aim to utilize the evaluation results for the next action by sharing the results among participants.

These expected effects of participatory evaluation will not be obtained automatically if such evaluation is carried out. Certain preconditions and careful preparation are required in order to make participatory evaluation be effective.

Considerations for implementation of participatory evaluation are 1) the method of selecting stakeholders and the leverage of participants can distort the conclusion, 2) when a highly specialized perspective is required, such evaluation should be carried out by experts, and 3) preparation and implementation take much time. Also, implementers should make the participants identify their own needs and problems, the ways for the solution, then let them carry out what need to be done for the solution, rather than just listen to the demands of participants.

1.2.2 Difference between participatory evaluation and conventional evaluation

The difference between participatory evaluation and conventional evaluation lies not only in their objective but also in other factors, such as the range of evaluators and evaluation participants, evaluation criteria, and evaluation method. Table 1.3 compares participatory evaluation with conventional evaluation.

1.3 Background of participatory evaluation

Participatory evaluation has been introduced in development aid only in recent years. Such trend can be attributed to development and widespread practice of

the theory of "participatory development" and "evaluation". "Participatory evaluation" emerged as a point of contact between these two trends. In order to understand the concept of participatory evaluation more profoundly, we will review evolution of "participatory development" and "evaluation in development assistance" in this section.

1.3.1 Evolution of participatory development

The theory and the practice of participatory development have evolved amid worldwide trends of changes in the development approach and the shift to democratization and a market economy. In such trend, "participation" came to draw much attention as a central issue. The other factor behind the rise of participatory development is that experience in the field of development cooperation indicated that the participatory approach would be an effective approach for improving the efficiency and effectiveness of project management. These trends inevitably gave rise to the concept that the participatory approach should be taken not only in project implementation but also in monitoring/evaluation.

Mainstream development theory from the 1950s through the 1960s was the modernization approach, which claims that the achievement of economic growth leads to the development of an entire nation. This approach views values of local people including traditional culture as impediments that delay development. It also regards the poor as people who should be led to "modernization" through pressure from outside and above.

In the 1970s, however, the need to take into account distribution and social aspects was recognized, which led to the introduction of the comprehensive development of rural community and the basic human needs approach based on human resource development. In such developments, for the purpose of sustainable operation and management of the development projects, it became necessary to have beneficiaries' participation in the planning and implementation. This recognition emerged as the concept of "community participation". However, initial "community participation" consisted for the most part of mobilizing people for implementing individual projects. In other words, people were deemed as an input factor.

In the 1980s, the absolute number of poor people in the world grew and concerns about the deterioration of environment on a global scale mounted. As a result, the public advocated the fulfillment of basic human needs based on the

Table 1.3 Comparison of Conventional Evaluation and Participatory Evaluation

	Conventional evaluation by aid agencies	Participatory evaluation
Evaluation objective	• Ensuring accountability to fund provider • Gaining useful lessons and knowledge for project improvement • Acquiring knowledge and information required for the aid agencies' decision on whether to continue project • Contribution of knowledge in each field	• Building management capacity • Promoting ownership • Enhancing effective feedback to both aid implementing side and aid recipient side • Advancing accountability to both aid implementing side and aid recipient side
Impact of evaluation	Emphasis on evaluation findings	Impacts are intended to deliver not only through evaluation findings but also through participation process
Means delivering impact	• Evaluation report • Evaluation report meeting • Presentation on website • Database of evaluation results	In addition to the items listed in the left column, • workshop • dialog • interview
Main persons/ institutions subject to evaluation	• Citizens (taxpayer) • Aid agencies • Project-implementing institutions	• Project staff • Project participants (beneficiaries)
Time of implementation of evaluation	Primarily at termination of project or post-project. Ex-ante and mid-term evaluations are also conducted.	Period during which project is implemented from the time of ex-ante evaluation to completion. When project is continued even after cooperation, ex-post evaluation may be conducted.
Evaluation period	Evaluation is conducted during designated period.	Evaluation is implemented continuously as part of activities.

Evaluator	An evaluation team is formed by experts in each field including evaluation. An evaluation team dispatched from aid agencies implement evaluation. Neutrality and independence are sought.	Project staff and beneficiaries are the evaluator. Outsiders act as facilitator. Emphasis is given to internal and self-assessment of project.
Evaluation results	Depends on judgment of evaluator	Emphasis is placed on consensus among stakeholders.
Range of evaluation participants	Limited to a narrow range, within the evaluation team consisting of aid agencies, competent authorities of host country, etc.	Although the range of participants varies depending on the objective of evaluation, participation of a wide range of stakeholders, including beneficiaries, is encouraged.
Evaluation criteria	Targets and indicators established in advance by aid agencies and evaluators. Evaluation is conducted under limited criteria.	Evaluation criteria are established jointly by evaluation participants. New evaluation criteria may be added during the course of evaluation.
Evaluation method	• External evaluator decides method in line with evaluation details specified by aid agencies. • Quantitative method is frequently used. • Time is taken to analyze results after field study, then results are presented.	• Determined by participants according to circumstances • Qualitative method is primarily used (together with quantitative method) in endeavoring to grasp whole picture. • Adoption of method that does not take time in analysis and presentation of results
Considerations for evaluation	• Emphasis is given to evaluation of “outcome” brought by project. • Importance is attached to fairness and scientific objectivity of evaluation.	• Emphasis is placed on analysis of “process” producing “outcome”. • Emphasis is placed on process of participation and consensus building. • Emphasis is given to feedback of evaluation results to evaluation participants.
Provider of evaluation funds	Aid agencies which are the provider of project funds provide evaluation funds.	Funds are sought from various sources, such as funds on hand, NGOs, aid agencies, etc.

Source: Prepared based on Miyoshi (2001), Jackson (1998), Kerkhart (2000), etc.

concept of "sustainable development", the pursuit of social fairness and the ensuring of citizens' participation in political decision-making. Along with this from the perspective of realizing sustainable development, there was a growing realization that it is vital for the government of developing countries and beneficiaries themselves to participate in development from their own initiative. The idea that "participatory development" is also necessary has become widespread. "Participation" was gradually viewed in a larger context, originating from community participation in individual projects and encompassing the reduction of poverty and the development of the private sector and civil society through development, economic, social and political activities of a country.

Side by side with such evolvement in views, methods of participatory survey and research such as Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA), which intend to incorporate local people's perspective and develop such perspectives into action, have come to be utilized widely. Furthermore, there is a concern that outsiders would use local residents only as a source of information by employing such tools. From such concern, Participatory Learning and Action (PLA) drew much attention between the late 1980s and the 1990s[4]. PLA seeks to "learn with people", in other words, it "supports the process of empowerment by facilitating people to build their confidence through trial and error, which enable them to solve their own problems[3]".

In December 1989, DAC announced "Policy Statement on Development Cooperation in the 1990s". In this statement DAC cited participatory development as the highest priority in development assistance in the 1990s. It claims that stimulating people's productive energy, encouraging broader participation of all the people in the production process, and distributing profits more equitably must become central elements of development strategy and development aid (the underlined portion indicates the author's remark). In "Shaping the 21st century: the Contribution of Development Cooperation" (commonly called the DAC new development strategy) adopted in May 1996 as well, DAC stressed the ownership of developing countries and the participatory sustainable development process. Aid agencies have yet to reach a consensus on the concept and

[3] Katsuma, Y (2000)

[4] Although it was in the late 1980s that the concept of PLA became widely known, the implementation of PLA had taken place in the early 1980s.

definition of participatory development. Nevertheless, it is becoming a dominant way of thinking that development should not be called participatory in the true sense unless stakeholders can participate in a manner in which they can exercise influence over decision making and management.

Furthermore, the participatory approach is attracting attention also from the perspective of improving the efficiency and effectiveness of project management. As a reluctant attitude toward provision of the fund, so called "aid fatigue," has been observed primarily in Europe and the United States, each donor has come to stress the effectiveness and efficiency in implementation of development aid. Moreover, as low administrative capacity of developing countries has become apparent, the operation and management of resources by local people is drawing attention as a more efficient and sustainable operation method. In such context, an aspect deemed as effective "means" of provision of project has come to be emphasized.

Yet, although understanding of the concept of participatory development was advanced among many aid agencies in the 1990s, actual practice has been lagging behind as the pace of introduction is very slow.

1.3.2 Japan's initiatives in participatory development

As a basic philosophy of aid, Japan has long stressed the importance of developing countries' own initiatives, i.e. "self-help efforts". The charter of Japan's official development assistance (ODA) clearly states that Japan attaches its central importance to the support for the self-help efforts of developing countries towards economic take-off. Such Japan's policy is also reflected in the DAC new development strategy. This policy was upheld in the "Medium-term policy on ODA" announced in August 1999. Self-help efforts, own initiatives of developing countries and community participation are reiterated throughout the Medium-term policy.

Recognition for "participatory development" is growing in JICA as well. Various efforts for incorporation of participatory approach have been made. They include considering environmental impact and WID at the stage of preliminary studies, introducing investigation by local people on cooperation of community forestry and organizing local residents at the implementation stage in establishing agricultural irrigation facilities. In 1995, the aid study committee established in JICA compiled the report on "Participatory Development and Good

Governance". The report clarified the concept of "participatory development", and proposed its interpretation for the Japanese aid and concrete application. On the implementation front, the Project Cycle Management (PCM) method was systematically introduced in 1992, and participation mainly in the planning stage is being undertaken (the present status, issues and limits of the utilization of the PCM method will be discussed in Chapter 2). In recent years, participatory poverty reduction projects have been implemented, and "Community Empowerment Program" and "JICA Partnership Program for NGOs, Local Governments and Institutes" have also been carried out through cooperation with NGOs.

1.3.3 Trend of evaluation in development assistance

In the field of development aid, the United States and international financial institutions highly influenced by the Unites States had been conducting evaluation activities since the 1950s, which was followed by the other aid agencies in the late 1970s.

In 1991, the DAC evaluation task group announced the "Principles for evaluation of development assistance" (the so-called "DAC evaluation principle"). This is evaluation of development assistance on which international consensus has been obtained. Its definition is as follows:

> *"An evaluation is an assessment, as systematic and objective as possible, of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors."*
>
> OECD (1991) p.5

As this definition placed emphasis on the accountability of evaluation and the feedback of evaluation results, the evaluation of each aid agencies has been attaching special importance to accountability and feedback.

Meanwhile, since 1980s, participatory evaluation has been debated not only in the field of development assistance but also in society at large. In recent

debates participatory evaluation has been compared with conventional evaluation which stresses the impact on stakeholders through the results of evaluation, and is developing into an evaluation concept that influences stakeholders through not only the results of evaluation but also the process of evaluation [5]. In evaluation theory, participatory evaluation is viewed as a new type of evaluation aiming at the self-reliance of citizens, unlike the objectives of conventional evaluation namely ensuring accountability, management support and knowledge contribution [6] in each specialty [7].

Such conceptual approach to participatory evaluation influences the evaluation of development assistance. Some institutions began to recognize the importance of not only evaluation aimed at achieving accountability and feedback but also participatory evaluation aimed at empowering participants through the process and strengthening the ownership of the project staff and beneficiaries. Nevertheless the number of cases that aid agencies actually carried out participatory evaluation still remains very few, while the majority of (carried out) evaluations are conventional ones stressing accountability and feedback.

1.3.4 Moves toward reform of Japan's ODA evaluation

"The Council on ODA Reforms for the 21st Century", a consultative body to the Minister of Foreign Affairs consisting of members from academia, business community, the media, NGO members, etc. was established for the purpose of reforming ODA, and released the final report in January 1998. The report pointed out that the evaluation system needs to be improved in order to implement ODA of higher quality. Such improvement would entail the diversification and integration of evaluation perspectives and the reinforcement of feedback of evaluation results.

The ODA Evaluation Reviewing Panel was established as an advisory body to the director-general of the Economic Cooperation Bureau of the Ministry of Foreign Affairs. Following the report by the Council on ODA Reforms, the Re-

[5] Kerkhart, K (2000)

[6] Evaluation guidelines of DAC and other aid agencies cited ensuring accountability and leaning for the improvement of project operations as the evaluation objectives. Although four objectives are mentioned in the Ministry of Foreign Affairs' report on the reform of the "ODA evaluation system" (2000), the objectives primarily come down to the aforementioned two objectives.

[7] Yamatani, K (2000)

viewing Panel established the Evaluation Working Group under itself for the purpose of comprehensively discussing ODA evaluation and making concrete proposals concerning ODA evaluation issues. In March 2000, the Reviewing Panel compiled the study outcome in "the Report on Reform of Japan's ODA Evaluation System". The report recommends 1) improvement and reinforcement of evaluation methods, 2) expansion of evaluation criteria and perspectives (especially the clarification of the impact on beneficiaries), 3) consolidation of the evaluation result feedback system, 4) continuous evaluation before and after the project, and 5) implementation of evaluation at not only the project level but also the program and policy levels. Prompted by these proposals, JICA, too, is currently undertaking a study on the feedback of the evaluation results and ex-ante evaluation.

Nonetheless, while "the Report on Reform of Japan's ODA Evaluation System" points out the necessity for clarifying the impact on beneficiaries as an expansion of evaluation criteria and perspectives, it hardly recognizes the necessity of building ability of participants and promoting the ownership of project staff and beneficiaries as a purpose of participatory evaluation.

1.3.5 Necessity for participatory evaluation in development assistance

As the practice of participatory development advances, the ownership of developing countries and the empowerment of people have become highlighted. To achieve these two objectives, i.e. promoting ownership and empowerment, stakeholders on the side of developing countries should participate not just in implementation but in monitoring/evaluation on their own initiative. Participatory development and participatory monitoring/evaluation are not independent from each other. Participatory planning, implementation, monitoring/evaluation can be viewed as a series of activities in that beneficiaries plan, implement and review their own activities and implement improvement measures. Through the series of activities, stakeholders of implementing institution in developing countries increase their sense of project ownership and build their management capacity. In the theory of evaluation, it has been advocated since the 1980s that capacity building and strengthening ownership are achieved through participating in evaluation.

In projects supporting self-reliance (through capacity building of administra-

tion and local community organization), "experience and process", which consist of what has been learned from the failure and success of activities, are important. Such learned experience and process need to be recorded and evaluated. Evaluation of such process is possible in conventional evaluation through information collection utilizing various records and interviews. However, it is vitally important to make the implementing institutions and stakeholders of developing countries themselves review the process of trial and error and learn from such review in the participatory evaluation. The participatory evaluation is important in that it is able to enhance such learning by handing the initiative of evaluation activities over to them.

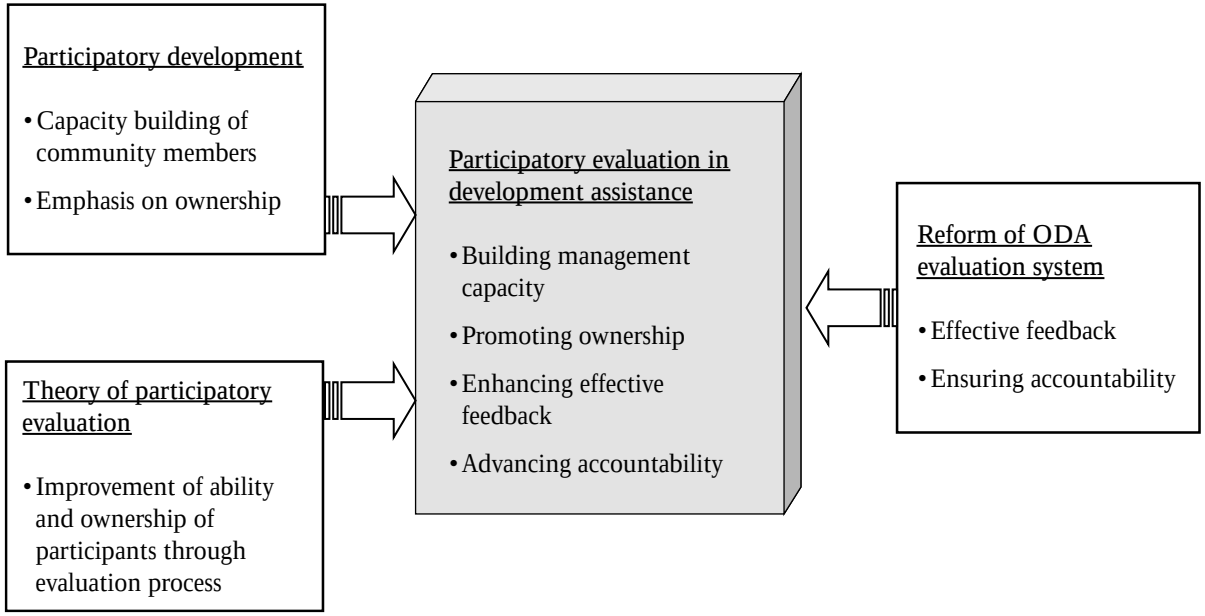
Another crucial importance of participatory evaluation is in "realization" through the process of activities building individual capability, and self-evaluation on changes in social relations. Such self-evaluation is an effective means of evaluating "unquantifiable" aspects, such as the improvement in people's ability[8]. Self-evaluation covers information that can be gathered through interviews conducted in conventional evaluation by third party evaluators. However, participatory evaluation enables implementing institutions of developing countries and stakeholders themselves to evaluate invisible achievements of participants and organizations. Particularly in community participation projects, it is essential for community members to conduct evaluation by themselves, since its objective stresses initiatives of members of community/community organization and the acquisition of the ability to improve living through activities.

Further, from the perspectives of ensuring feed back and accountability, participatory evaluation is useful as well. In participatory evaluation multifaceted evaluation is conducted through wide range of stakeholders and accountability to beneficiaries of developing countries is enhanced. Therefore it contributes to ODA evaluation reform efforts in terms of expansion of evaluation criteria and perspectives and clarification of the impact on local beneficiaries.

Thus, participatory evaluation in development assistance is indispensable for the objectives of participatory development, namely building people's ability and promotion of ownership.

[8] Although self-evaluation tends to become subjective, it can be crosschecked by many participants and stakeholders.

Figure 1.1 Participatory Evaluation in Development Assistance



1.4 Necessity to nurture management capacity

Participatory evaluation should be implemented not only with the aim of improving evaluation itself but also for contributing to improvement of the act and practice of development. Therefore, it should be regarded as a part of the project cycle that follows (or comes before) planning and implementation in practicing participatory development.

What then is participatory development and what is its aim?

Here, we clarify in what aspects participation of wide range of stakeholders including final beneficiaries in various process of development is desired. Such participation is being sought in following aspects:

1) identifying the (varying) needs of various groups in society and organizations and optimizing project plans by understanding the interests among groups,
2) making final beneficiaries aware of the project and promoting social preparations by ensuring the participation of final beneficiaries especially from the initial stage of the project cycle as well as for ensuring beneficiaries' own initiative in the project. At the same time,
3) ensuring such participation provides good opportunities for nurturing the competence (changing the social relations with other entities related to development (i.e., government, market, regional groups, etc.) in gaining access to various resources and to the acquisition, management and disposal of information required for self-development as well as in building relations with others and in accumulating operational experience in resource utilization) required for the development and improvement of the regions and organizations to which the beneficiaries belong through their participation in the development process.

In other words, it can be said that these three aspects entail:

1) properly understanding the needs and promoting the (fair) distribution of benefits,
2) ensuring ownership and promoting social preparations, and
3) nurturing the management capacity required for development.

The consolidation of these aspects (expected to be achieved by the participatory development method) will lead to greater sustainability of development. Furthermore, beneficiaries are expected to continue self-reliant development. "Management capacity" mentioned here refers to the ability of beneficiaries who are

expected to play a main role in development to manage (to their greater advantage) relations established with other entities (especially, the government, market, regional groups, etc.) in society for the purpose of acquiring resources and information required for development.

In order to realize the objective of such participatory development, it is inadequate to simply invite beneficiaries and other concerned parties and listen to their voices at each stage of the project cycle in making them "participate". Particularly with regard to the nurturing of management capacity, political and economic power relation among various social groups (such as gender inequality and economic classes) in a region may be requested to change depending on the circumstances (furthermore, this would make it possible to hope for change in the resource distribution structure). For this reason, it is necessary to carefully "control" participation based on the analysis of social relations in the concerned society.

Not so many projects currently undertaken by JICA incorporate the nurturing of management capacity as projects' purposes at the planning stage. Nevertheless, since more projects that consider local residents as direct target for assistance or as final beneficiaries will increase in the future, it will therefore be necessary for JICA to meet such demand. In consideration of such prospects, it would be essential to 1) rethink the concept of participatory development (within JICA), 2) re-examine the significance of participatory development, which had not been fully recognized in the past in the planning and evaluation phases, and 3) take initiatives.

1.5 Scope of participants and participation

"Participatory evaluation" may take various forms depending on the objective of and constraint on evaluation. In this section, conceivable forms of participation will be discussed based on the objectives of and constraints on evaluation.

1.5.1 Stakeholders[9]

Stakeholders are defined as "organizations and individuals who have an interest

[9] Here examples envision projects. However, it is necessary to consider programs as the first part of projects.

in projects". This interest consists of both positive and negative aspects. Depending on the nature of the project and social, economic and political circumstances in which a project is placed, stakeholders comprise various individuals and organizations. Stakeholders vary according to the project. Examples of stakeholders are presented in Figure 1.2 and Table 1.4.

In the case of community development, the government (central and local), local residents, the market (international, central, local), intermediary organizations and institutions (NGOs, cooperatives, institutional funds, etc.) are particularly important stakeholders. In analyzing stakeholders, you should take into account what role these stakeholders play in arranging so that local residents can obtain and operate the necessary resources (forest, land, water, roads, health and medicine) as well as what is the relationship among these stakeholders.

1.5.2 Scope of participation

Although the participation of a wide range of stakeholders is sought, this does not imply that all stakeholders uniformly participate in the evaluation process. There should not be undue compulsion on stakeholders to participate, since the greater the extent of participation, the more time will be required and the heavier burden will be placed on the participants. Therefore, the scope of participants and in what and to what extent each individual is to participate should be considered according to objectives of evaluation.

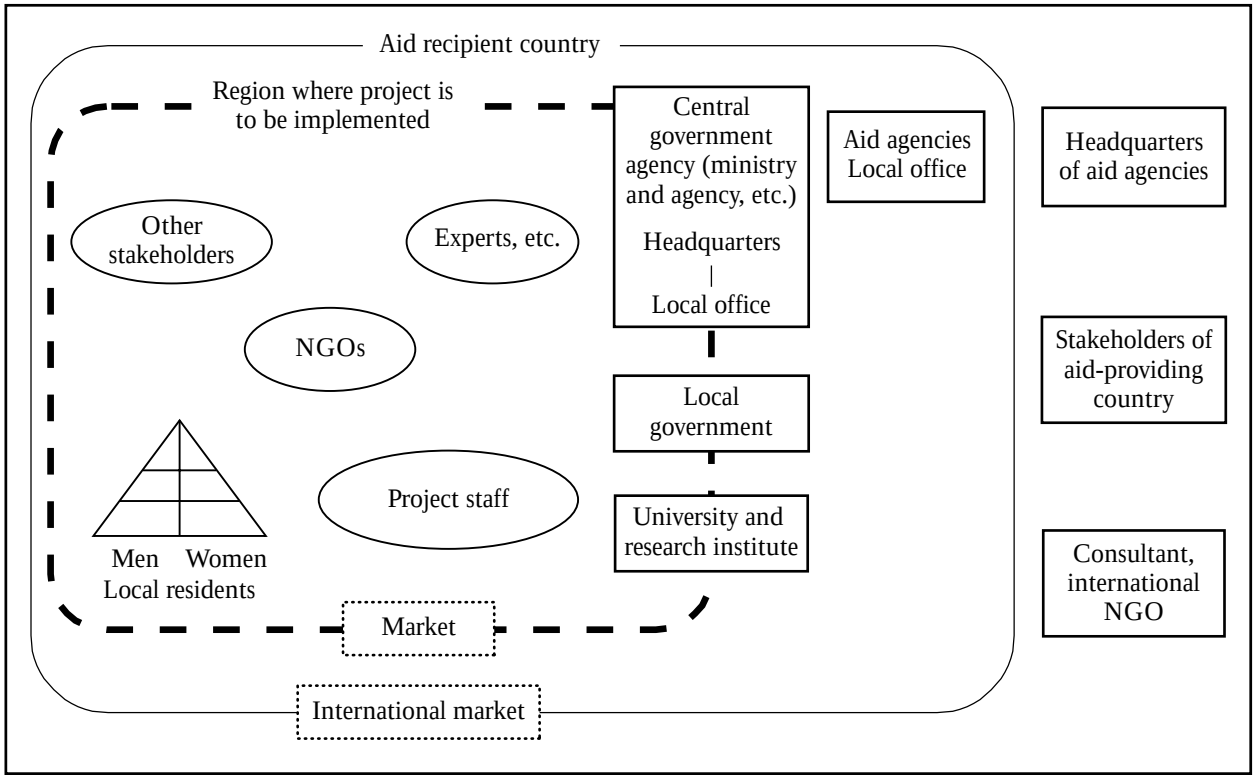
Participatory evaluation can be classified into the three categories described below in accordance with the objective of such evaluation and the scope of participants[10].

1) Approach emphasizing all stakeholders' participation

In this approach, the scope of participants covers all stakeholders including project insiders and outsiders, i.e. groups directly and indirectly involved in the project and groups that are directly and indirectly affected by the project. This approach is taken when consensus building among all stakeholders and the reinforcement of cooperative relations are sought as an objective of evaluation.

[10] Estrella, M., and Gaventa, J. (1998) P.20

Figure 1.2 Stakeholders (Community Development Project is assumed)



Source: Based on materials of JICA IFIC (2000)

Table 1.4 Stakeholders

Local people	Local residents in regions where projects are implemented. People are not identical but vary according to gender, social class, relationship with the project, etc.
Project staff	Stakeholders of aid implementing institutions who bear central responsibility in the implementation and daily management of projects. Responsible personnel and counterparts of implementing institutions.
Local government	Local governments and each department. Social workers, etc. Implementing institutions in some cases.
Central government	Host institutions in aid-receiving countries and headquarters and local offices of ministries and agencies involved in the project. Implementing institutions in some cases.
Universities and research institutes	Organizations providing expertise and services pertaining to development. Implementing institutions in some cases.
NGOs	Organizations providing expertise and services pertaining to development in the concerned regions. Implementing institutions in some cases.
Other stakeholders	People and groups that are not responsible for project management in the concerned regions but have an impact on the project or are affected by the project. Resident organizations, influential persons, private corporations, etc.
Experts, etc.	Experts dispatched by aid agencies. Members of volunteers, consultants, etc.
Aid agencies	Headquarters and local offices of aid agencies.
Stakeholders of aid-providing countries	Relevant government agencies and project-supporting organizations and persons of aid-providing countries (domestic steering committee, expert-dispatching institutions, etc.).
Consultants, international NGOs	Organizations and persons who provide services as consultants hired by the headquarters of aid agencies.

* Beneficiaries (direct and indirect beneficiaries) vary according to the project. Direct beneficiaries consist of counterparts of project-type technical cooperation, for instance. Final beneficiaries comprise target groups, end users, etc.

Source: Based on materials of JICA IFIC (2000)

Table 1.5 Extent and Method of Participation in Participatory Evaluation

Extent of participation	Method of participation
Low ↓	Provide information by responding to questionnaires and interviews.
	Participate in information gathering task required for monitoring/evaluation.
	Analyze and study gathered information.
	Design evaluation plan and evaluation questions.
	Draw up project plan and revision plan based on evaluation results.
High	Conduct independent project operation by making use of knowledge and experience gained from evaluation.

2) Approach in which only project insiders participate

Beneficiaries directly influenced by the project and persons directly involved in the planning and implementation of the project participate. The evaluation results are used mainly within the project. This approach is taken when we want to emphasize capacity and organization building for development through a bottom-up approach centering on beneficiaries.

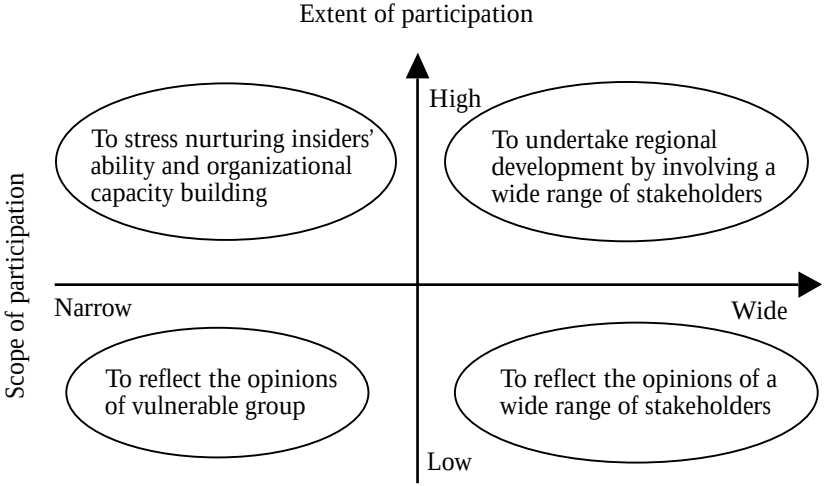
3) Approach emphasizing the participation of vulnerable groups

This approach is related to the one described in 2). Its salient feature is that it aims to reflect the voices of vulnerable groups (who are the most powerless, unnoticeable and whose voices are small, such as extremely poor people, women, children and disabled) rather than to build up organization. It is employed in the case where there is a need to reflect differences in viewpoints arising from gender and to give consideration to the groups whose needs hardly receive attention under normal approaches or where such groups are the target of the project.

1.5.3 What to participate in and how to participate?

Table 1.5 specifically describes the extent and methods of participation while Table 1.6 lists the differences in evaluation according to the extent of participation of beneficiaries. The extent of participation is largely classified into three levels: (1) provide information as required, (2) provide labor force for gathering

Figure 1.3 Scope and Extent of Participation



information and other tasks, and (3) decide on the evaluation questions, analyze the results, and study and implement solutions. The extent of participation of stakeholders changes according to the objective of evaluation rather than having all stakeholders participate in evaluation in the same manner. It is desirable for the organizations and persons who actually carry out project activities (local residents in the case of community participation) to undertake the level (3) "decide on the evaluation questions, analyze the results, and study and implement solutions" for which the extent of participation is the highest.

It should be noted here that a low extent of participation does not imply low significance. Even when one participates only by providing information, for instance, it has enormous significance if the opinions of a wide range of stakeholders can be reflected in the evaluation results and in the preparation and revision of plans. This form of participation proves effective especially when the opinions of the socially weak (the extremely poor, women, children, the handicapped, etc.) are to be reflected. The scope and extent of participation should be determined according to the objective of evaluation. An example is presented in Figure 1.3.

Table 1.6 Differences in Evaluation According to the Extent of Participation of Beneficiaries

	Extent of participation of beneficiaries		
	Low (conventional evaluation)	Medium	High
Evaluation initiator	Compulsory evaluation conducted primarily by aid agencies and external evaluators for the formulation of program. Meets the needs of organization. Beneficiaries are subject to evaluation and do not conduct evaluation.	External evaluators support a part of evaluation task of beneficiaries.	Beneficiaries jointly evaluate, review and reflect on the approach of the project, either jointly with external facilitators or individually.
Purpose	To justify or continue the provision of funds. To ensure accountability.	To get insight into development activities from the perspective of beneficiaries. To clarify the needs and concerns of beneficiaries.	To promote self-reliant development by securing the participation of beneficiaries in the evaluation planning phase. To develop appropriate and effective decision-making based on the views, opinions, and proposals of beneficiaries. To increase ownership and responsibility for success - failure of development interventions.
Those who determine evaluation framework / items	Determined by the responsible personnel of aid agencies and by third-party individuals distances from the project site.	Although beneficiaries and external evaluators conduct debates in various phases of evaluation, external evaluators determine in general.	Beneficiaries, external facilitators and by the group that is most affected the project determines the framework and items.

Research method	Statistical analysis and various quantitative methods are used based on fixed investigation design.	Although qualitative methods are preferred, quantitative methods are also used. Open-ended interview with focus on the process. A method that gives voice to voiceless.	Although highly interactive qualitative methods are used, this does not mean that quantitative methods are ignored. The research process itself is the output. Innovativeness and creativity are encouraged in line with the context of evaluation.
Role of external evaluators	External evaluators take the initiative in evaluation design and prepare the questionnaire and survey without input from the evaluated entities. Their position is neutral and distant.	External evaluators work together with beneficiaries in various phases. Impart evaluation skills as a partner of beneficiaries. Take joint leadership in evaluation.	External evaluators become facilitators, motivating and giving confidence to beneficiaries in acting as collaborators. They allow beneficiaries to take leadership.
Outcome and impact of evaluation	Reports and publications are circulated in house. Findings are rarely circulated among beneficiaries. Findings are reflected in the plan with almost no input from beneficiaries.	Although information is gathered jointly, participation in analysis is limited. The views of beneficiaries are reflected in the next plan. The experiences of beneficiaries are understood more profoundly. Mutual understanding increases.	Beneficiaries participate in information analysis. Beneficiaries will be able to conduct decision-making more appropriately by participating in evaluation. Findings become property of the beneficiary community itself.

Source: Prepared based on UNDP (1997)

Chapter 2

Present Status and Issues of Participatory Evaluation at JICA

2.1 Present status of evaluation and "participatory approach" in JICA

2.1.1 Outline of evaluation at JICA

In order to understand the present status of evaluation at JICA, types, system and actual implementation are briefly reviewed in this section.

At present the main types of evaluation at JICA consist of the following.

(1) Ex-ante evaluation

Ex-ante evaluations are conducted in the planning formulation stage with the aim of examining and scrutinizing the project activities, the relevance of cooperation and the expected effects. The department of JICA in charge of a particular project implements the evaluation. [11]

(2) Mid-term evaluation

Mid-term evaluations are conducted in half-way point of the cooperation period with the aim of determining if the initial plan needs to be changed by confirming the status of progress and the needs of the recipient country. The department of JICA in charge of a particular project implements the evaluation.

(3) Terminal evaluation

Terminal evaluation are conducted at the end of cooperation with the aim of determining if the project can be terminated or further cooperation and other follow-up initiatives are needed. Such determination is based on an examination of the initial target achievement, the efficiency of implementation, and the out-

[11] Until recently, ex-ante evaluations were performed as part of preliminary studies. Although their connection with terminal evaluation was hardly recognized, the need for an consistent evaluation system through all stages was recognized. As a result, attempts are being made to prepare indices used to grasp the impact of the project in terminal and ex-post evaluations during ex-ante evaluations.

look for the future sustainability of the project. In most cases the department in charge of a project implements the evaluation, but in some cases the overseas office of JICA carries it out employing local consultants, in collaboration with implementing institution of the recipient country.

(4) Ex-post evaluation

Ex-post evaluations are carried out after the end of cooperation for which a certain period has elapsed since their completion. In this evaluation, the recipient country mainly examines efficiency, relevance and sustainability of the project through all phases of the project. It is conducted for the purpose of learning lessons and receiving suggestions that contribute to the effectiveness and efficiency of project operation in the future. In most cases the office of evaluation and post project monitoring of the planning and evaluation department of JICA implement the evaluation, but in some cases the overseas office of JICA carries it out employing local consultants.

Further, in "grass-roots monitoring," the effects of projects and their contribution are monitored by local NGOs and local experts from the standpoint of local community.

Terminal evaluation are performed for all technical cooperation projects. In addition, mid-term evaluations are conducted whenever the need arises. At present, an evaluation system is under development for grant aid, training projects and development studies. Terminal evaluation have no cases yet for "the Community Empowerment Program," a new way of cooperation which has recently started, and for "JICA Partnership Program for NGOs, Local Government and Institutions."

2.1.2 Present status of utilization of participatory approach in evaluations by JICA

JICA has been systematically pursuing the introduction of Project Cycle Management (PCM) with emphasis on project-type technical cooperation since FY1994. PCM is a method of participatory planning (PP) and monitoring/ evaluation centering on the Project Design Matrix (PDM). It is the most widely used participatory method at JICA. The results of the questionnaire survey conducted for JICA staff in August 2000 showed that most of the experience in

Figure 2.1 PDM and Flow of its Logic

Project name (including country name): Period:

Concerned region: Target group: Preparation date:

Project summary	Indices	Means of obtaining index data	Assumptions
Overall Goal			
Project purposes			
Outputs			
Activities	Inputs		Preconditions

Source: Based on FASID (1999) p.42

training of participatory methods are participation in PCM training. Therefore, as we take an overview of the present status of utilization of participatory approach, we first look at the concept of PCM method and its utilization in JICA.

(1) Framework of PCM

PCM is a method of managing and controlling the cycle of projects, such as planning, implementation and evaluation by means of PDM. In PDM, the components of the project, namely "goal", "activities", "inputs" and "assumptions", are arranged in a manner to indicate a series of linkage (Figure 2.1). This logic is a major characteristic of PCM.

PCM comprises participatory planning and monitoring/evaluation methods centered on PDM in each stage of the project cycle.

1) Participatory planning

In PCM, stakeholders (local competent authorities, beneficiaries, implementing institutions, investigation teams, etc.) hold workshops to draw up plans. In this sense, planning formulation by PCM is called a participatory planning method. The participatory planning method consists of the four stages of analysis (participant analysis, problem analysis, objective analysis and project selection), the planning stage of PDM and activities plan chart. Normally, stakeholders are

gathered to hold a workshop for preparing PDM, and a detailed activity chart is prepared by the project team.

2) Monitoring/evaluation by PCM

"Monitoring" mentioned in PCM is defined as "checking the progress of the project as to whether it is implemented as planned and revising the contents of the plan whenever the need arises". Meanwhile, "evaluation" is defined as "investigating projects that have already been completed or are being implemented from the standpoint of the evaluation criteria[12] to elicit suggestions concerning the future development of the project and lessons for other projects"[13].

Basically, since monitoring aims at comprehending the progress of the plan, project insiders who are familiar with the project carry it out. On the other hand, outsiders perform evaluation since the effects of the project should be objectively assessed.

Monitoring/evaluation is conducted based on PDM from five different standpoints: efficiency, effectiveness, impact, relevance and sustainability. In order to evaluate impact and sustainability, cross-sectional perspective is required as well. Figure 2.2 shows this concept.

(2) Utilization of PCM and participatory evaluation at JICA

This section describes the present status of utilization of PCM in project-type technical cooperation, for which the utilization of PCM is the most advanced in JICA, and the degree of "participation" in such PCM.

As mentioned earlier, in PCM, participant analysis, problem analysis, objective analysis, project selection and PDM preparation are carried out through workshops by stakeholders. In JICA, "stakeholders" are assumed to include local competent authorities, beneficiaries, implementing institutions, and project investigation team members. However, before holding a workshop at the project site, Japanese stakeholders (JICA sections in charge, international cooperation experts, officers of related government agencies, experts with field experience,

[12] Evaluation criteria refer to (1) efficiency, (2) effectiveness, (3) impact, (4) relevance and (5) sustainability which were cited as items to be evaluated in "Principles for Evaluation of Development Assistance" adopted by DAC in 1991.

[13] FASID (2000)

Figure 2.2 PCM Evaluation Model

Cross-sectional standpoint	Policy aspects				
	Technological aspects				
	Environment aspects				
	Socio-cultural aspects				
	Institutional and management aspects				
	Economic and financial aspects				
	Efficiency	Effectiveness	Impact	Relevance	Sustainability
Overall goal			●	●	●
Project purposes		●	●	●	●
Outputs	●	●		●	●
Inputs	●				●

Source: Based on FASID (2000) p.20

etc.) conduct mini-workshops to perform PCM analysis. In reality, participant analysis, problem analysis, objective analysis, project selection and PDM preparation are not actually carried out in workshops at the project site. Rather, in many cases, consultations are held with local stakeholders, consisting primarily of implementing institutions, based on a blueprint drawn up in advance by Japanese stakeholders to obtain the consent of local stakeholders.

In monitoring, the investigation team dispatched from Japan, the implementing institutions of the recipient, and the project team (Japanese experts and counterparts) jointly hold workshops to review PDM, prepare and revise the action plan and fiscal year plan. The participation of beneficiaries is not particularly assumed here. In fact, there are few cases where beneficiaries participate in monitoring on their own initiative. Even when they do participate, such participation is for the most part limited to the provision of information.

Even in terminal evaluation not much importance is attached to the participation of beneficiaries. In PCM, third-party experts basically perform evaluation since objectivity is stressed. While outsiders draw evaluation design, study and analyze, beneficiaries and other project stakeholders are regarded as information providers. Terminal evaluations are performed six months before the end of cooperation. They are carried out jointly by the Japanese evaluation team (JICA

staff, employees of related government agencies, members of domestic steering committees, consultants, etc.) and the evaluation team of the recipient (responsible staff and expert staff of implementing institutions, representatives of assistance liaison institutions, etc.). The representative of final beneficiaries is not included in the evaluation team. The Japanese evaluation team conducts preliminary studies in advance and obtains the consent of stakeholders concerning the study items and details of suggestions. Although information gathering and analysis are jointly carried out by the evaluation team of both sides in principle, the extent of participation of the recipient side varies from case to case. The main study methods include questionnaire surveys and individual/group interviews of experts and counterparts, the gathering and analysis of existing materials and documents, the inspection of facilities and activities, and presentations by experts and counterparts. In the case that opinions of final beneficiaries are considered important and when there is enough time in the study schedule, information from final beneficiaries may be gathered through questionnaire surveys and individual/group interviews. The Japanese evaluation team prepares a draft of the evaluation report and presents it to, and consults with, the recipient team. Both evaluation teams hold discussions about the evaluation. Although experts and counterparts may express their opinions as observers, they do not have any decision-making authority. The evaluation report is prepared in English or in the local language of the country in which the project is implemented. It is signed by mutual consent of the two countries.

It can be concluded that current evaluations at the completion for project-type technical cooperation are led by Japan and are constituted a limited "participatory" evaluation.

2.1.3 Issue of evaluation in JICA and participatory evaluation

(1) Issues of PCM and participatory evaluation

As mentioned above, PCM evaluation practiced for monitoring/evaluation of JICA's project-type technical cooperation contains problems with the methodology itself and with the implementation method individually adopted by each department and in each project. Therefore, rather than functioning as a participatory evaluation, PCM evaluates the activities and outputs of projects specified

in PDM conducted by conventional third party evaluation.

Therefore, monitoring is supposed to be carried out by insiders of project implementing institutions. Here, "insiders" are not assumed to include beneficiaries. Also, as terminal and ex-post evaluations should be conducted from an objective standpoint, they are normally performed by third-party evaluators. In PCM evaluation, therefore, beneficiaries are asked about their opinion concerning the evaluation criteria when the need arises, but they are regarded as information providers. The idea was never suggested that implementing institutions and beneficiaries should be involved in evaluation design and the compilation of the evaluation results.

Nevertheless, PCM is not the only tool for implementing planning and monitoring/evaluation. It should be combined with other methods as needed. In fact, PCM is being used in such a way. To implement participatory evaluation, it is desirable to make use of PCM frameworks by using PDM as evaluation criteria while encouraging a wide range of stakeholders including final beneficiaries to participate in each stage of the planning and monitoring/evaluation. Involving beneficiaries and implementing institutions in evaluation at each stage will hopefully enable them to conduct evaluation activities by themselves.

Another issue is that there are few personnel who can appropriately use PCM in the planning stage. For instance, problem analysis for PCM is performed through analysis of causal relation between cause and effect. But in reality, various factors are involved complexly. In many cases, factor A brings about result B and B aggravates A in a vicious circle. Unless there is a moderator who can make appropriate decisions, confusion will arise when complex problems that are actually occurring are placed into a problem tree.

PCM is basically designed for "projects" (activities carried out to achieve specified goals within limited time, personnel and budget)[14]. Based on the vertical logic of PDM, the conditions for activities to achieve outputs and conditions for outputs to achieve the project purposes are included in the design as "Important Assumptions". Although projects are supposed not to control such important assumptions, there are cases where conditions affecting the success or failure of the project, called "Killer Assumptions", are set as important assumptions. Killer

[14] Recently, attempts are being made to utilize PCM not only in project management and control but also in programs and country-specific project implementation plans.

Assumptions should be incorporated into the project as activities, or the project design should be changed to prevent the project from being adversely affected. In many cases, however, Killer Assumptions are not handled properly. The reason is that it is unknown what would happen in reality and there are logical limits to PCM, making the setting of such conditions itself unfeasible. Nevertheless, in many instances, even assumptions that can be handled are not handled properly. This is partly due to the fact that the assumption cannot be checked by fully experienced and knowledgeable moderators and personnel in charge.

As mentioned above, planning by PDM itself has problems, and PCM can not be used as a basis for appropriate evaluation in some cases. Improving the quality of plans is also vital for evaluation. Deliberate planning is essential especially when one attempts to conduct participatory evaluation.

In the light of promoting ownership and sustainability, it has been increasingly claimed that stakeholders including beneficiaries should consistently participate in the project cycle from project planning stage to implementation and evaluation stage. JICA is also being called on to make further use of the participatory approach in various stages in order to encourage stakeholders to take an initiative.

(2) Expansion of qualitative evaluation

JICA performs evaluation based on the DAC evaluation criteria which are adopted in PCM monitoring/evaluation. Among the five criteria, experts and stakeholders are paying particular attention to “effectiveness” which examines to what degree the indices of goals and outputs set in PDM have been achieved. In order to enhance accountability to the citizens of Japan, it is becoming increasingly necessary to clearly indicate the outputs of cooperation and to set quantitative indices “that can be measured”. Under such circumstances, the number of training courses and trainees, which can be readily expressed in values, the types of manuals and textbooks and the number of copies distributed, which are visible, tend to be adopted as indices. Given the policy of placing emphasis on outputs, projects tend to consist of activities that readily produce results. On the other hand, measuring improvements of the problem-solving ability and management ability of the government and community organizations is difficult. Since results of capacity building efforts are not easily produced in a short period, such initiatives may be omitted in the planning stage.

For more effective cooperation, there is a growing need to cover "improvement of the problem-solving ability of institutions and individuals". Accordingly, in the planning stage it is essential to consider both quantitative evaluation indices (e.g. increase in crop production) that cover results and qualitative evaluation indices (e.g. improvement of agricultural management ability, farmer's knowledge, technical capacity and attitude) that cover competence and experience. At present, JICA is undertaking a study of consistent project evaluation indices that are consistent from the ex-ante to the ex-post stages. While there are debates on indices that measure the effects as quantitatively as possible and on the method of acquiring indices, JICA has to study qualitative evaluation indices and methods more specifically.

Even if an attempt is made to perform participatory evaluation, only the aforesaid quantitative evaluation will be given emphasis if the staff of implementing institutions of recipient countries have biased opinions toward "emphasis on outputs". It is therefore necessary for both JICA and developing countries side to discuss how to set well-balanced evaluation indices.

(3) Necessity to build management capacity

Technical cooperation projects were originally implemented based on the assumption that "problems would be solved" by "providing materials and equipment that are in shortage" and by "educating technicians who are in shortage". It presupposes that implementing institutions of recipient countries do not have technology and facilities but have a certain level of management capacity, human resources and funds. Problems are solved by this approach in some cases, but there are more cases where problems will not be adequately solved by this approach alone. This is giving rise to a general awareness of the importance to "nurture the problem-solving ability for organizational management and project continuation as well as the ability to solve shortage of facility and technical problems". It is vital to build such problem-solving ability (management capacity) in the government, the private sector and community organizations in rural area. As reiterated, the experiences and competence gained through cooperation activities and their process itself must be given emphasis as an object of evaluation in the same manner as concrete outputs. It would be effective not only to make such management ability an object of evaluation, but also to build such capacity through the process of stakeholders' participation in evaluation activities on their

own initiative.

(4) For program evaluation

Conventional cooperation (project-type technical cooperation, development studies, grant aid, training, and dispatch of experts) had deemed a single project had its own goal individually. With the growing attention on the importance of the country-specific approach and program approach in recent years, it has become increasingly necessary for these projects to organically display effects. To evaluate the effect of a program as a whole, the standpoint of the implementing institutions and beneficiaries is important as well as that of Japanese side that involve many departments.

In third party evaluation, the opinions of stakeholders can be collected by interviews. Nevertheless, it would be desirable to incorporate participatory evaluation which allows implementing institutions and beneficiaries to participate in the process of compiling the interview results and summarizing them into evaluation results as well as allows them to acquire management capacity and feedback by implementing evaluation activities on their own initiatives.

(5) Participatory evaluation as part of activities

There is currently an increasing trend to adopt the participatory approach in the project planning stage. The amount of time spent on planning is also on the increase. Still, time-consuming activities, such as understanding the present conditions and needs of stakeholders and beneficiaries through participatory analysis, and workshops are being conducted only in limited cases. Even if workshops are held, participants are limited to experts and direct counterparts in some instances. The participation of a broad range of stakeholders in the planning stage must be promoted to a greater extent. As for participatory evaluation as well as monitoring/evaluation themselves, debates on the methodology and specifics have just started. Although several years have passed since PCM was introduced, less time was spent on monitoring/evaluation than on planning even in PCM. Furthermore, generally speaking, there is a tendency to dread evaluation because it is regarded as an activity that “points out failures” through the assessment of activity results rather than as “an activity that learns from failures”. For this reason, it is also conceivable that passable evaluation has been put up with.

Planning and evaluation are opposite sides of the same coin. We need a

system under which an appropriate monitoring/evaluation mechanism is incorporated in the plan from the planning stage and results of monitoring/evaluation are utilized in the subsequent planning and activities. In participatory evaluation, a great deal of time is required for the formulation of evaluation plans involving stakeholders as well as for the interview of many stakeholders, the preparation and implementation of workshops. Still, since such process allows both JICA and implementing institutions of developing countries to consider jointly how projects are conducted, it is crucial to deem evaluation activities as essential activities in the project as part of technical cooperation.

2.2 Observations based on questionnaire survey

2.2.1 Purpose

A questionnaire survey was conducted on JICA staff and consultants for the purpose of gathering basic information on the present status and issues of participatory development and participatory evaluation at JICA. It also aims to collect basic information for considering the possible forms of participatory evaluation that JICA can adapt and the ways to overcome issues.

2.2.2 Method of questionnaire survey

The survey was conducted to find out how participatory evaluation is actually performed and what the issues of such evaluation are rather than to seek statistical significance. Specifically, a total of 70 sets of questionnaire survey were distributed to a total of 14 sections—five sets each to four regional offices, five departments in charge of project-type technical cooperation, three departments in charge of development studies, the Grant Aid Management Department, and the Secretariat of Japan Overseas Cooperation Volunteers. 48 sets were collected (response rate of 69%). The questionnaire consists of four parts. Part I "Attitude Survey Concerning 'Participatory Development' and 'Participatory Evaluation'" and Part II "Issues of Evaluation at JICA" are targeted at all departments subject to the survey. Meanwhile, Part III "Present Status and Issues of 'Participatory Project' Implementation at JICA" and Part IV "Present Status and Issues of 'Participatory Evaluation' at JICA" cover five departments in charge of project-type technical cooperation, three departments in charge of development studies, and

the Grant Aid Management Department which are thought to have implemented numerous participatory projects and participatory evaluations in JICA. We therefore asked persons who have implemented participatory projects and participatory evaluations to respond to the survey to the best of their ability.

The questionnaire survey on consultants was sent to 162 consulting companies registered in "Project Administration" by JICA's consultant registration and to 12 individual consultants. 83 sets were collected (response rate of 48%). The survey comprised four parts. Part I "Track Record in Evaluation Work and Participatory Evaluation Work by Consulting Companies", Part II "Issues of Evaluation in JICA Projects", and Part III "Attitude toward Participatory Evaluation and Applicability to JICA Projects" are aimed at all consultants while Part IV "Examples of Participatory Evaluation Work" are targeted at consultants with experience in participatory evaluation.

2.2.3 Results of questionnaire survey[15]

(1) Attitude of JICA staff and consultants regarding "participatory development" and "participatory evaluation"

Regarding project implementation, the vast majority of JICA staff who responded to the survey (94%) hold the view that participatory projects should be increased in JICA activities. Participatory projects are expected to ultimately improve the quality of projects and contribute to nurturing the ownership and their maintenance and management ability (Table 2.3 p.52). It is believed that activities for which participatory projects can be readily implemented in JICA include "Community Empowerment Program" and "JICA Partnership Program for NGOs, Local Government and Institutes" (67% each), "project-type technical cooperation" (63%) and "overseas cooperation volunteers" (52%). On the other hand, activities for which participatory projects cannot be readily implemented consist of "grant aid" (10%) and "dispatch of individual experts" (15%). Meanwhile, the types of projects for which the implementation of participatory evaluation would be advisable are thought to consist of "community participatory projects" (54%), "dissemination-type projects" (35%) and "necessary for all projects" (35%).

[15] It is very likely that the respondents of this survey consist mostly of persons who feel a need for participatory evaluation. For this reason, the responses do not simply indicate the overall tendencies of JICA and consultants.

Notwithstanding that majority of JICA staff acknowledge needs of participatory projects, most of JICA staff (73%) think it would be difficult to increase them. The main reasons are (1) there is not enough time and funds for preliminary studies, (2) there is a shortage of human resources, and (3) JICA activities lack flexibility (Table 2.4 p.52). The concern of JICA staff indicates that JICA activities should be re-examined if JICA promotes participatory projects.

With regard to evaluation, the majority of JICA staff (83%) thinks "participatory evaluation should be increased". The reasons cited (Table 2.5 p.53) include "the social effects will become clear" (52%), "will lead to enhancing beneficiaries' sense of ownership" (52%), "sustainability will improve" (45%), "the negative impact of the project can be grasped" (43%), and "the detailed conditions of beneficiaries can be reflected" (43%). In the questionnaire survey on consultants, 99% responded that "participatory evaluation is needed in JICA activities". The reasons cited mostly include "the detailed conditions of beneficiaries can be grasped" (66%), "beneficiaries will understand and accept the activities more readily" (62%), and "the social effect of the activities will become clear" (56%) (Table 2.6 p.53). However, 65% also responded that "it is difficult to implement participatory evaluation at JICA". The main reasons are "there is not enough time to spend on studies", "there is a shortage of funds", "a methodology has yet to be established", "it is extremely difficult to set evaluation criteria", and "the current scheme is not flexible enough" (Table 2.7 p.54). As in the case of JICA staff, the majority of consultants are seeking flexibility in JICA activities.

As for related training, less than half of JICA staff (46%) have received training in "participatory development" and "participatory evaluation". Most of such training comprises PCM training, seminars and other programs implemented separately. If the participatory approach is to be promoted, more opportunities for learning related theories and practice should be provided to JICA staff.

Consultants responded that if participatory evaluation projects will increase at JICA, their companies would "engage in" participatory evaluation work (45%) and "engage in (such projects) if the conditions are suitable" (45%). Here "conditions" refer to "the period and details of study are quite flexible" (35%), "human resources can be secured" (24%), and "there is enough time" (21%).

As the foregoing indicates, a high percentage of JICA staff and consultants feel that participatory evaluation is needed. At the same time, a large percentage holds the view that there are obstacles to its implementation.

(2) Issues of evaluation at JICA

JICA staff who responded to the survey cited the following as current issues concerning overall evaluation conducted by JICA: "lacks objectivity" (58%), "evaluation is not consistent from the ex-ante to the ex-post stages" (46%), "JICA staff lack knowledge and experience (40%), and "evaluation cannot be adequately performed due to time and budgetary constraints" (33%) (Table 2.8 p.54). Meanwhile, the opinions of consultants primarily include "an evaluation method has yet to be established" (46%), "time and budgetary constraints" (37%), and "it is difficult to write about problems and failures" (33%) (Table 2.9 p.55).

In response to the question of how to feed back the evaluation results within JICA, opinions such as "arrangement and establishment of database of information (evaluation results)" (29%) and "cooperation with other departments" (17%), were cited.

As for a means of feedback, consultants expressed various opinions, such as "disclosure of evaluation results (transparency of evaluation: disclosure of evaluation method, check list, evaluation scores)", and "establishment of feedback system".

(3) Present status and issues of participatory development at JICA

In the questionnaire survey, JICA staff replied that a total of 16 projects—10 cases of project-type technical cooperation, five cases of development studies and one case of grant aid—were "participatory projects". Meanwhile, a look at "who participated in what" in the project formation stage (12 effective respondents) reveals that most of the beneficiaries "are informed about the project" (8 responses) and participate in "the provision of information" (10 responses). This is followed by "provision of labor" (6 responses) (Table 2.1 p.46). Also, in some cases, beneficiaries participate in "the preparation of plans" (5 responses) and "decision-making" (5 responses). On the other hand, in most cases, non-beneficiaries other than beneficiaries do not participate in these activities. Meanwhile, in many cases, counterparts participate in almost all processes (excluding "provisions of funds and materials"). In many cases, Japanese experts and consultants participate in "the analysis of information" (12 responses) and "preparation of plan" (12 responses). There are many cases where JICA staff participate in all processes (excluding "provision of labor" (3 responses)). In many cases, stakeholders of domestic steering committees also participate in "the analysis of infor-

Table 2.1 Extent of Participation [Project Formation Stage]

Number of responses ●=12-10, ◎=9-7, ○=6-4, △=3-1, ×=0

	Beneficiaries	Non- beneficiaries	Counterparts	Responsible personnel of implementing institutions	Recipient government	Japanese experts and consultants	JICA	Stakeholders of domestic steering committees	Relevant Japanese government agencies	Others
Informed about the project	◎	△	●	●	●	●	●	◎	○	△
Provision of labor	○	×	◎	○	△	○	△	△	△	△
Provision of funds and materials	○	×	△	○	△	×	◎	×	×	×
Provision and gathering of information	●	○	●	◎	◎	○	○	○	△	×
Analysis and study of information	△	×	●	○	○	●	◎	◎	△	△
Designing plan	○	×	●	◎	◎	●	●	◎	○	△
Decision-making	○	×	●	●	○	◎	●	○	△	△
Other activities	×	×	×	×	×	×	×	△	×	×

Number of respondents: 12

mation" (7 responses) and "planning formulation" (8 responses). The responses of Japan's relevant government agencies reveal that many of them "are informed about the project" (6 responses) and participate in "planning formulation" (6 responses).

As for participation in decision-making, counterparts (12 responses) make up the largest group, followed by JICA staff (10 responses) and Japanese experts and consultants (7 responses).

In the project formation stage, counterparts and JICA staff participate in decision-making in many cases, and in this sense, they are very influential. Meanwhile, in five cases beneficiaries participate in decision-making. This shows that bottom-up projects are implemented to some extent. While relevant Japanese government agencies participate in planning formulation (6 responses), they rarely participate in decision-making (2 responses).

If there are plans to make the participatory approach more widespread in the future, it would be necessary to promote active participation of beneficiaries from the project formation stage.

An examination of "who participated in what" in the project implementation stage reveals that in many cases beneficiaries participate in "the provision of labor" (10 responses), "the provision of funds and materials" (8 responses) and "the provision and gathering of information" (11 responses). Meanwhile, there are six cases of participation in "the analysis of information" and five cases of participation in "the revision of plan" (Table 2.2 p.48). There are almost no cases where non-beneficiaries participate in these activities. By contrast, in most cases counterparts participate in all processes, except "the provision of funds and materials (2 responses)". Many Japanese experts and consultants participate in "the provision of information" (9 responses), "the analysis of information" (10 responses), "the revision of plan" (8 responses), and "project operation" (8 responses). JICA staff, on the other hand, participate in all processes (excluding "provision of labor" (4 responses)). Counterparts make up the largest group (9 responses) who participate in "project operation", followed by JICA staff (8 responses) and Japanese experts and consultants (8 responses).

In the implementation stage, the types of stakeholders tend to increase in number compared to the project formation stage. Nonetheless, "the provision of funds and materials" is limited to JICA (11 responses) and to beneficiaries (8 responses). Also in the implementation stage, the extent of participation of stake-

Table 2.2 Extent of Participation [Implementation Stage]

Number of responses ●=12-10, ◎=9-7, ○=6-4, △=3-1, ×=0

	Beneficiaries	Non- beneficiaries	Counterparts	Responsible personnel of implementing institutions	Recipient government	Japanese experts and consultants	JICA	Stakeholders of domestic steering committees	Relevant Japanese government agencies	Others
Provision of labor	●	×	◎	△	△	◎	○	△	△	△
Provision of funds and materials	◎	×	△	△	○	△	●	×	×	×
Provision and gathering of information	●	△	●	◎	△	◎	○	△	△	△
Analysis and study of information	○	×	●	○	△	●	◎	○	△	△
Revision of plan	○	×	◎	○	○	◎	◎	○	△	△
Project operation	○	×	◎	○	△	◎	◎	○	△	△
Other activities	×	×	×	×	×	×	×	×	×	×

Number of respondents: 16

holders of domestic steering committees is, on the whole, slightly less than that in the project formation stage. The extent of participation is substantially lower for relevant Japanese government agencies. This suggests that the roles are shifting to counterparts and the project site.

Out of a total of 16 responses, the number of staff who responded "the extent of participation of beneficiaries was appropriate" in participation projects stood at seven. Five thought it was "inappropriate" (four were unclear). The reasons for thinking that the extent of participation is inappropriate include "the counterparts and experts lack knowledge concerning participation" (3 responses) and "excessively heightened local residents' expectations" (1 response).

JICA staff were also asked to freely point out what is the key to the success of "participatory projects". They expressed various opinions, such as "the extent to which appropriate information can be provided to beneficiaries" (3 responses), "thoroughly implement participation led by local residents" (3 responses), and "flexible plan" (2 responses; other than these, there are many similar responses).

(4) Present status and issues of participatory evaluation at JICA

There were five projects for which JICA staff replied "performed evaluation using the participatory approach". All of these were project-type technical cooperation. Out of these projects, mid-term evaluation was conducted for two projects while terminal evaluation was performed for three projects. However, in response to "how did beneficiaries participate in evaluation", they answered "responded to questionnaire survey or interview", "participation in group discussion", and "voted for what they desire".

Regarding the purpose of conducting participatory evaluation, four responded "to grasp the impact of the project". This was the most frequent response. As for the evaluation criteria adopted, "DAC evaluation criteria" were mentioned in four responses.

"Persons who participated in evaluation" comprised beneficiaries (3 responses), counterparts (4 responses), JICA experts (3 responses), JICA staff in charge (2 responses), stakeholders of domestic steering committees (3 responses), and Japanese consultants (2 responses). Those who established the evaluation framework and items consisted of JICA staff (2 responses) and consultants (3 responses).

The method of gathering information (multiple replies) consisted of "literature review" (5 responses), "survey by interview" (4 responses), "debates among a

small number of people" (3 responses), "questionnaire" (2 responses), "observation and visit" (3 responses), "PCM and other workshops" (2 responses), and "RRA or PRA studies" (1 response), among other responses.

Two responses mentioned that participatory evaluation was helpful in achieving the objectives of evaluation while three responses mentioned that it was helpful but had problem. The problems cited included "evaluation design was limited (evaluation plan was not successfully drawn up) because preliminary data were unavailable" (1 response), "local participation was inadequate due to a shortage of personnel (the number of local participants was fewer than expected)" (2 responses), "real intentions were not revealed" (2 responses), "was not useful for the effect of 'improvement of quality'" (1 response), "although the participatory approach was taken, in reality the Japanese side took the initiative" (1 response), and "the evaluation results were not adequately fed back to the recipient" (1 response).

In the questionnaire survey on consultants, 27 projects were cited as examples of participation evaluation project. Of this, 21 were JICA projects (11 cases of terminal evaluation, six cases of mid-term evaluation, and four cases of ex-post evaluation).

As for the objective of participatory evaluation, the responses most frequently given were "comprehending the impact" (19 responses) and "confirmation of progress and performance of project" (19 responses).

Regarding the perspective of evaluation, "evaluation criteria" (22 responses), "opinions of beneficiaries" (16 responses), and "opinions of counterparts and stakeholders" (14 responses) were cited.

In response to who "participated in the evaluation", "responsible personnel of implementing institutions" (20 responses), "counterparts" (19 responses), "consultants" (19 responses), "personnel in charge at order" (15 responses), "beneficiaries" (13 responses), and "JICA experts" (12 responses) were mentioned. Beneficiaries participate in "the analysis of information" as well was cited in six responses and participate in "drawing up plan based on evaluation results" was mentioned in five responses.

Meanwhile the method of gathering information is similar to the responses given by JICA staff, and methods cited were "literature review" (varies according to type of literature), "survey by interview" (27 responses), "questionnaire" (19 responses), "debates among a small number of people" (14 responses), "general

observation" (16 responses), "observation of participation" (11 responses), "PCM workshops" (12 responses) and "RRA or PRA" (2 responses).

"In consideration of the objectives of evaluation, the level and contents of such participation of beneficiaries were satisfactory" was cited in 10 responses, while "cannot be satisfied" was mentioned in five responses. The main reasons for dissatisfaction were "a lack of knowledge and skills concerning participation" and "more time and funds than expected were spent". "The time for implementing participatory evaluation" was "adequate" in seven responses and "inadequate" in 16 responses.

As for "issues in participatory evaluation", JICA staff primarily cited "thorough implementation of baseline studies", "clarification of evaluation objectives", "careful establishment of evaluation indices", "improvement of interview skills," and "implementation of daily monitoring", among other things.

Consultants, on the other hand, mentioned the following difficulties in implementation: "difficult to build consensus among stakeholders", "evaluation design was limited because base-line data were unavailable," and "impact was not grasped".

Although JICA is aware that participatory projects should be increased, owing to limited resources, such as time and funds, there are few cases where projects actually apply the participatory approach.

As mentioned in Chapter 1, participatory evaluation does not resolve all issues in evaluation. For further extension of participatory evaluation, JICA needs to identify fields and conditions under which participatory evaluation functions effectively so to conduct it efficiently in highly effective fields.

Table 2.3 Reasons to Increase Participatory Projects (JICA staff)

• Beneficiaries' sense of ownership would be enhanced more readily.	70.8
• Detailed conditions of beneficiaries, such as needs, culture and appropriate technologies, can be reflected in the project plan.	58.3
• Sustainability of projects will improve.	54.2
• Beneficiaries can accept projects more readily.	52.1
• Management and maintenance ability of beneficiaries will improve.	50
• Planning ability of beneficiaries will improve.	37.5
• A wide range of information can be obtained.	25
• Benefits of projects can be fairly distributed with greater ease.	18.75
• Other reasons	8.3

Multiple replies were given; numerical value shows the percentage of the particular response against the valid response

Table 2.4 Reasons for Difficulty in Implementing Participatory Projects (JICA staff)

Not enough time and money are spent on preliminary studies.	43.8
A shortage of personnel who have knowledge and skills in participatory development	35.4
Current scheme is not flexible enough.	29.2
Number of years set for current projects is inadequate.	22.9
Method of participatory development has yet to be established.	22.9
Not enough authority is delegated to project site.	12.5
Relevant government agencies do not have adequate understanding of participatory projects.	12.5
Other reasons	12.5

Multiple replies were given; numerical value shows the percentage of the particular response against the valid response

Table 2.5 Reasons Why Participatory Evaluation is Needed in JICA Projects (JICA staff)

Social effects of projects will become clear.	52.4
Will lead to promoting ownership toward projects and to consolidating organization.	52.4
Can reflect detailed conditions of beneficiaries.	42.5
Sustainability of projects will improve.	45.2
Can grasp negative impact.	42.9
Beneficiaries can understand projects and accept them more readily.	38.1
Management and maintenance ability will improve.	38.1
Accountability will improve.	26.2
Planning ability of beneficiaries will improve.	19
Can obtain a wide range of information.	14.3
Can distribute benefits of projects fairly.	9.5
Other reasons	9.5

Multiple replies were given; numerical value shows the percentage of the particular response against the valid response

Table 2.6 Reasons Why Participatory Evaluation is Needed in JICA Projects (consultants)

Can reflect detailed conditions of beneficiaries.	65.8
Beneficiaries can understand project and accept it more readily.	62.0
Social effects of projects will become clear	55.7
Will lead to promoting ownership to projects and to consolidating organization.	49.4
Can grasp negative impact of projects.	46.8
Sustainability of projects will improve.	44.3
Accountability will improve.	44.3
Can obtain information widely.	36.7
Management and maintenance ability of beneficiaries will improve.	30.4
Planning ability of beneficiaries will improve.	19.0
Cost effectiveness will rise as a result of utilization of local personnel.	19.0
Can distribute benefits of projects fairly.	13.9
Other reasons	12.7

Multiple replies were given; numerical value shows the percentage of the particular response against the valid response

Table 2.7 Reasons for Difficulty in Implementing Participatory Evaluation at JICA (consultants)

Not enough time is spent on studies.	49.2
Not enough money is spent on studies.	37.7
(It is) extremely difficult to set evaluation items.	32.8
Methodology has yet to be established.	32.8
Current scheme is not flexible enough.	31.1
There is a shortage of knowledgeable and skilled staff.	26.2
Not enough authority is delegated to project site.	23.0
Other reasons	18.0
Clients do not have adequate understanding of participatory evaluation.	16.4
(It is) difficult to gain understanding from the standpoint of accountability.	9.8

Multiple replies were given; numerical value shows the percentage of the particular response against the valid response

Table 2.8 Issues of Evaluation at JICA (JICA staff)

	Especially an issue	Issue
Lacks objectivity.	56.3	2.1
Knowledge and experience concerning evaluation are inadequate.	41.7	10.4
Evaluation is not consistent from ex-ante to mid-term and ex-post stages.	37.5	8.3
Staff do not have enough knowledge and experience.	33.3	6.3
Evaluation cannot be performed satisfactorily due to constraints.	22.9	10.4
Lacks or not enough social analysis/consideration.	16.7	4.2
Other reasons:	16.7	4.2
Intentions of local residents are not understood.	18.8	0
Evaluation manual does not exist or cannot be used because it is not suited to present conditions.	16.7	2.1
System for checking evaluation plan is inadequate.	16.7	0
There are schemes for which evaluation is not performed.	12.5	0

Multiple replies were given; numerical value shows the percentage of the particular response against the valid response

Table 2.9 Issues of Evaluation at JICA (consultants)

Evaluation method has yet to be established.	46.3
Evaluation cannot be performed satisfactorily due to constraints.	36.6
It is difficult to write about problems and failures.	32.9
Lacks personnel with the knowledge and experience to satisfactorily perform evaluation.	30.5
JICA does not have consistent evaluation system (from ex-ante to mid-term and ex-post stages).	29.3
Since preliminary data are not available, evaluation design cannot be carried out adequately.	26.8
Do not know how to measure social effects.	20.7
Method of finding out the intentions of beneficiaries does not exist or is inadequate.	19.5
The implementing party and the evaluator are the same.	17.1
Other reasons	15.9
Evaluation manual does not exist or cannot be used as it is unsuited to present conditions.	13.4
There is no problem.	3.7

Multiple replies were given; numerical value shows the percentage of the particular response against the valid response

Chapter 3
Introduction of Participatory Evaluation into JICA

Basically it is desirable to implement evaluation with the participation of stakeholders in all cases. However, the scope and extent of participation vary according to the purposes and types of projects. For example, the range of participants and the methods of participation for community participation projects naturally differ from those for the center based projects[16] handling mainly technology transfer. In the case of community participation projects, the local residents as beneficiaries and a wide range of stakeholders should participate in all phases of planning, monitoring/evaluation on their own initiative. Here, participatory evaluation is incorporated into project activities and deemed a part of them. In the case of center based projects primarily featuring technology transfer, on the other hand, the main participants comprise implementing institutions of the recipient country, and final beneficiaries are providers of information for confirming the impact of activities rather than the main participants. The scope of participants and the method of participation should, therefore, be considered in accordance with the nature of the project as they vary according to the purpose and type of project as mentioned above.

As discussed in 1.4, beneficiaries will not be able to acquire the ability to obtain resources and information required for development without the management capacity to build relations with the government, market and relevant institutions in the region and to use such relations in line with their own objectives. However, this management capacity has not been regarded a clear object of evaluation so far. Furthermore, the functions of the government (example: XX state does not change its policies), the functions of the market (example: XX product sells well in the market), the structure and functions of organizations (example: XX association continues activities), and the stabilization of personnel of organizations and local residents (example: engineers who transferred technol-

[16] "Center based project" is a project which is literally based at designated facilities such as a training center as a base of technology transfer. Experts are dispatched to the center and transfer their technologies to their counterparts at the center. This type of projects is mainly composed of JICA's cooperation.

ogy continue working on the site) tended to be treated as “important assumption” in PDM, although in some cases, these factors substantially affect the effectiveness of the project. In many of the conventional projects, only technology transfer was regarded as a target of the project, and diffusion and organization building were not always enhanced adequately. Participatory evaluation ought to be a chance (opportunity) for reexamining above mentioned elements previously considered as important assumption through a comprehensive evaluation from the perspectives of a wide range of stakeholders. Through various perspectives we should reexamine to what extent such elements should have been consistent into the project and what kind of strategies should be taken in the future.

Furthermore, although conventional evaluation places emphasis on the evaluation of output, participatory evaluation focuses on reviewing the process leading up to such output. With respect to evaluation items as well, evaluation criteria concerning the process is vital. Also, needless to say, the items that should be evaluated and the focus of evaluation change according to the time of evaluation (before, during implementation of, at the end of, and after the project).

This chapter deals with how to introduce participatory evaluation into JICA and what are the points to be considered and the issues to be coped with based on these considerations.

3.1 Relationship between participatory evaluation and third party evaluation

The salient point in introducing participatory evaluation into JICA is not to implement all evaluations by participatory evaluation, but to consider an appropriate evaluation technique according to the purpose of projects.

As mentioned earlier, the benefit of participatory evaluation is that it can comprehend the situation from a multifaceted perspective by reflecting the voices of a wide range of stakeholders. Management capacity of participants is improved through participation in its evaluation process, which will lead to promoting ownership. The evaluation results delivered by stakeholders themselves is readily reflected in subsequent activities. Therefore, participatory evaluation is highly effective for the feedback as well.

Needless to say, however, in some aspects evaluation by outsiders is also necessary. For example, when highly specialized knowledge is required, evaluation by experts is needed. Moreover, for aid agencies, accountability is very impor-

tant, and in terms of accountability, participatory evaluation alone is insufficient.

Table 3.1 describes how to combine participatory evaluation and third party evaluation. It is crucial to carefully plan the position of evaluators, the establishment of the scope of evaluation participants and evaluation criteria, and the selection of the evaluation method in line with the evaluation objective and then implement the evaluation.

3.2 Basic perception of participatory evaluation in JICA

It is inadequate to merely apply identical guidelines in introducing participatory evaluation. The question of who participates by what method and what to evaluate needs to be determined for each project. To clarify the basic position, a proposal for the introduction of participatory evaluation in JICA is described in Table 3.2. Although specific evaluation criteria should be established according to the project, it is important to establish such criteria by taking into account who is subject to evaluation (example: beneficiaries, implementing institutions, relevant institutions) and what aspect is evaluated (example: accessible resources, management ability, morale).

3.3 Participatory evaluation in each phase of the project

In Chapter 1, “building management capacity”, “promoting ownership”, “enhancing effective feedback” and “advancing accountability” were cited as the four objectives of participatory evaluation. Although these four objectives are included in all evaluations, the first two are given greater emphasis in participatory evaluation. As mentioned earlier, in participatory evaluation, it is vital to not only conduct evaluation in a participatory manner but also improve management capacity through the evaluation process to foster ownership.

For the improvement of management capacity and fostering of ownership, participatory evaluation should be incorporated from the planning phase, but not from the project implementation phase. And furthermore, participatory evaluation should desirably be given a place in broader context of participatory

Table 3.1 Combination of Participatory Evaluation and Third Party Evaluation

	Summary	Advantages	Considerations
Mainly third-party evaluation	The headquarters of aid implementing institutions takes the initiative in conducting evaluation that partially incorporates the participatory approach.	In general, third party evaluation is said to be objective. By incorporating a participatory method in such evaluation, the voices of beneficiaries and stakeholders can be reflected in the evaluation results. Accountability will therefore be higher than that for third party evaluation alone. Moreover, this method can be introduced even in projects where the implementation of participatory evaluation has not been envisioned initially.	Beneficiaries and stakeholders of the recipient countries act primarily as providers of information rather than as main evaluators. Therefore, it is unlikely to lead to capacity building and promotion of ownership.
Mainly participatory evaluation	Participatory evaluation is incorporated into project activities. The project site takes the lead in evaluation and reports the evaluation results to the headquarters.	Through the evaluation, capacity building and promotion of ownership can be expected, and the evaluation results will be used in subsequent activities.	Since evaluation results tend to be biased, attention needs to be paid to accountability. Moreover, it is necessary to incorporate participatory evaluation from the beginning of project planning.
Two-step evaluation	Participatory evaluation is implemented under the leadership of the project site while the evaluation team dispatched by the headquarters conducts evaluation.	Through the evaluation, capacity building and promotion of ownership can be expected, and the evaluation results will more likely be reflected in subsequent activities. At the same time, accountability will increase compared to the case where only participatory evaluation is implemented.	Participatory evaluation needs to be incorporated from the beginning of project planning.

Table 3.2 Proposal for Introduction of Participatory Evaluation at JICA

Objectives of participatory evaluation	• Building management capacity • Promoting ownership (independence) • Enhancing effective feedback • Advancing accountability
Time of implementation	It is desirable to implement participatory evaluation through all phases, such as ex-ante evaluation, monitoring, terminal evaluation, and ex-post evaluation. In the case of terminal evaluation and ex-post evaluation, evaluation is carried out by bearing in mind the next step.
Example of participants (the participation of all of these participants is not always necessary; rather participants are selected according to the objective)	A wide range of stakeholders, including project beneficiaries (target group) and final beneficiaries, participate as much as possible. Stakeholders may consist of the following. Since beneficiaries vary from case to case, they will be considered for each project. <Recipient country> • Local residents • Project staff (counterparts, responsible persons of implementing institutions, etc.) • Local government and central government agencies involved in the project • Entities which receive some impact from the project or produce an impact • Persons who can provide knowledge and services (experts, consultants) <Japan> • Experts of the concerned project, etc. • Aid implementing institution (JICA) • Project-related government agencies, expert-dispatching institutions, domestic steering committees, etc. • Persons who can provide knowledge and services (experts, consultants)
What to participate in	Participation as much as possible in all evaluation tasks (preparation of evaluation plan; provision, gathering and analysis of information, revision of initial project plan; etc.)
Evaluation criteria *	In participatory evaluation, it is vital that stakeholders reflect on their own activities and understand the output and problems in obtaining consensus and drawing up subsequent action plans. Evaluation participants ought to select evaluation criteria on their own.
Example of research method	Questionnaire survey, interview, workshop, PRA and other participatory methods, document review

* Examples of evaluation criteria in Table 3.2.

<Efficiency>
- Whether management and operation is conducted properly; if not, what are the causes and what solutions can be implemented.
- Whether there are more cost effective and faster means.

<Effectiveness>
- To what degree have the project purposes been achieved (in particular, when building capacity is set as a purpose, changes in values, organizational structure and functions are also evaluated).
- If the project purposes have not been achieved, what are the causes and what solutions can be implemented.

<Impact>
- Expected or unexpected changes in organizational structure and functions as a result of the project.
- Whether a network with related organizations has been established and consolidated; if a network has not been established adequately, what are the causes and what solutions can be implemented.
- Has the negotiation ability of target group and implementing institution for acquiring the necessary resources improved?
- What kind of capacity has been built in what way.
- Expected or unexpected changes in values and action as a result of the project.
- What are the advantages/disadvantages of participating in project activities.
- If there is a negative impact, what is its cause and what solutions are conceivable.
- Are benefits distributed fairly?
- What difference exists between persons covered by the project and persons not covered by the project.

<Relevance>
- Whether the characteristics (structure and functions) and abilities (system of operation and management of resources, personnel and facilities) of organizations subject to cooperation (government, profit-making, nonprofit-making, resident organizations) are understood, and whether appropriate cooperation plans are devised in line with such organizational abilities in conducting activities.
- Whether the impact on mutual relations between individuals (users, members of community, households), project-implementing institutions and society (market, government) is planned.
- Whether due consideration is given to the understanding of needs, social analysis and regional characteristics at the time of project formation.
- Whether the project purposes and overall goals meet the needs of beneficiaries.

Examples of evaluation criteria in Table 3.2. (Continued)

- Whether the coordination of goals of activities and important assumption is appropriate.

<Sustainability>
- Whether communication in the organization is adequate.
- Whether members have full confidence in the organization leader.
- Whether the personnel, organization and funds required for the continuation of operations have been secured; if there is a shortage of such resources, what are the causes and what solutions are conceivable.
- Whether the necessary relations have been established with outside organizations for securing resources and services.
- Whether the abilities of persons nurtured through the project are being utilized and established in the organization/community.
- Whether democratic decision-making is systematized.
- What is the extent of participation of stakeholders, including beneficiaries, in the decision-making process.
- How is monitoring conducted.
- Whether the monitoring results are used in the revision of plan.
- Whether the measures for conveying, sharing and feeding back information are adequate.
- Whether the decided matters are properly carried out.
- Whether the problem-solving ability is adequate and whether experiences in conflict management have been accumulated.
- Whether stakeholders adequately understand the objectives of the project.
- Whether the motivation and morale of stakeholders, such as counterparts and beneficiaries, are sufficient.
- Whether knowledge and awareness concerning the roles and functions are high.
- To what extent do stakeholders, including beneficiaries, participate in project activities and maintenance control activities.
- How are the related policies of government affecting the project.

<Other>
- Whether activities are carried out at the appropriate time in a well-balanced manner.
- Whether there are more efficient research methods (eg. utilization of local consultants and students).
- Whatever stakeholders participate as much as possible in all evaluation tasks (preparation of evaluation plan; provision, gathering and analysis of information, revision of initial project plan; etc.).

development. However, incorporating participatory evaluation in mid-term or termination evaluation is not impossible. Even if participatory elements are introduced in the middle of the project not in a full-scale manner, it will enable the participatory evaluation to occupy a major position in the project thereby enhancing the sustainability of the project.

Bearing in mind these perspectives, the priorities of participatory evaluation in each phase of the project will be examined below. Following this, the issue of how participatory evaluation should be implemented in each phase of the project will be studied.

3.3.1 Priorities of participatory evaluation in each stage

First, the priorities of participatory evaluation at each stage of evaluation will be studied. Needless to say, the focus of participatory evaluation varies depending on the time of evaluation. In the ex-ante phase, it is necessary to analyze stakeholders and comprehend the needs and the factors producing such needs. A project plan should be designed based on these analyses on stakeholders and needs.

During the project implementation, it is vital to scrutinize how the project is being implemented, what impact is being produced, and if there are problems, what are causes and how they should be dealt with for revising the plan. In this case, emphasis is given not to the evaluation of the results but to evaluation of that process.

Terminal evaluation involves decision making on the termination or continuation of the project. The degree of achievement of the goal is a key factor for determination. For this reason, focuses are necessarily placed on how the project has been implemented, what outputs have been produced, and if problems exist, what are their causes and how they should be dealt with in thinking about the next plan and activities after the completion of the project.

In ex-post evaluation, the evaluation criteria include whether the activities have been sustained after the completion of the project, how the transferred technology has been spread, and what is the relevance of the project itself based on such results. In the ex-post phase, therefore, it is essential to examine the impact of the output and sustainability and link these efforts with future activities.

Meanwhile, building management capacity and promoting ownership should be achieved through evaluation activities and project activities through all phases

of the project.

The time and priorities of evaluation are summarized in Table 3.3 and Table 3.4. Table 3.3 shows viewpoint of participatory evaluation for each objectives in each phase of project cycle, while Table 3.4 compares participatory evaluation with DAC evaluation criteria in each phase.

In the following sections, we will discuss how participatory evaluation should be implemented in each phase of the project, and how it should be introduced in projects in the case that participatory evaluation is not envisaged in the initial plan.

3.3.2 Preliminary studies phase

(1) Basic understanding

In the preliminary studies phase, the understanding of the stakeholders and the people concerned is crucial. As mentioned in 1.5.1, stakeholders are defined as "organizations and individuals who have an interest in projects". This interest consists of both positive and negative aspects. While some organizations and individuals will benefit from the implementation of projects, some will not receive any benefit or receive negative benefit. For example, if a hydroelectric dam is constructed at the upper stream, the number of people who can have access to electricity will increase. On the other hand, the water level in the downstream region will decrease, thereby causing some farmers to lose their water supply. Likewise, if income is raised and the poor are empowered by poverty reduction measures in a certain village, the elite of that village may lose their authority or vested rights and interests.

As long as projects constitute an act of development, they invariably have an impact on the existing social system. And as long as such impact arises, stakeholders will exist. An important element of participatory evaluation is the coordination of the concerned parties, i.e., the process of consensus building.

(2) Concrete steps

1) Analysis in Japan

At the stage of project formation or preliminary studies, Stakeholder and Trade-Off Analysis (hereinafter "STOA") is performed.

STOA can be conducted efficiently by holding workshops participated by

Table 3.3 Significance of Participatory Evaluation in Each Phase

Objective of evaluation	Time of evaluation			
	Before project	During implementation	Completion of project	Post-project
Building management capacity	Improvement of problem-comprehending ability and problem-solving ability through participation in evaluation →			
Promoting ownership	Promoting ownership through participation in evaluation →			
Enhancing effective feedback	• Study of feasibility and direction of project based on needs of stakeholders, priority of the needs, and their background	• Consideration of lessons for improvement and management of project activities • Revision of project plan by stakeholders	• Formulation of future action plan by stakeholders • Lessons to other similar projects • Collection of information for evaluating the relevance of the program and strategy • Helpful suggestions and lessons at the time of follow-up or continuation of project	• Formulation of future action plan by stakeholders • Lessons to other similar projects • Procurement of information for evaluating the relevance of the program and strategy
Advancing accountability	• Stakeholders analysis • Understanding of needs, priority of the needs, and their background • Understanding of impact expected as a result of project implementation	• Multifaceted understanding of circumstances of project implementation and their impact and cause • Examination of process of project activities	• Multifaceted understanding of project outputs, achievement of project objectives and their impact and cause • Examination of process of project activities	• Understanding of detailed outcome, sustainability and their impact and cause

Table 3.4 Participatory Evaluation and DAC Evaluation Criteria

Phase	Priority of evaluation	DAC evaluation criteria					Relationship between priority of evaluation and DAC evaluation criteria
		Efficiency	Effectiveness	Impact	Relevance	Sustainability	
Before project	Present status	(○)	(○)	(○)	(●)	(○)	Understands the present status and forecasts the evaluation criteria (especially relevance).
During implementation	Process	◎	◎	◎	◎	(○)	Broadly covers the evaluation criteria.
Completion of project	Output	◎	●	◎	●	◎	Covers the evaluation criteria but places greatest emphasis on effectiveness and on relevance.
Post-project	Impact	○	○	●	○	●	Covers the evaluation criteria but places greatest emphasis on impact and on sustainability.

●: Place greatest emphasis, ◎: Place emphasis, ○: Subject to evaluation, ( ) indicates forecast.

Table 3.5 STOA Matrix (example: preliminary analysis)

	Munguine Locality	Manniça district	Ministry of Labor	Ministry of Agriculture	Ministry of Water Resources	WFP
Munguine Locality						
Manniça district						
Ministry of Labor						
Ministry of Agriculture						
Ministry of Water Resources						
WFP						

the investigation team members and project supervisors. It would be advisable for participants to pool their opinions on interests with stakeholders based on existing information and compile the results in proceeding to the field survey.

A STOA matrix as shown in Table 3.5 would be helpful for summarizing STOA. This matrix was prepared for the case of the project for the development of resettlement area for demobilized soldiers and mineworkers in Mozanbique. The investigation area is Munguine Locality in the Manniça district. The Ministry of Labor requested the study. Irrigation development and WFP's Food for Work were requested. At this stage, several organizations, such as the Ministry of Agriculture, were selected as institutions holding stakes, and the scale of interest between each institution was depicted conceptually by the circles of different size.

The stakeholders are picked up in the workshop, and the scale (weighting) of interests between individual stakeholders is described in the matrix. At this stage,

there would be no problem if interests are understood only conceptually. Although the matrix can be made to fit into one table, it is preferable to prepare several tables according to each level (for example, the government and resident level). In any case, it would be advisable to write the organization or region covered by the project on the upper left side; prepare a government matrix, a private sector matrix, a neighboring community matrix, etc. together with these entries; and select leading stakeholders from these in preparing one final matrix.

Furthermore, stakeholders analysis by STOA is effective for PCM's participant analysis as well.

2) Analysis in the field

The stakeholders and their interest indicated in the first step are specifically verified in the field survey.

First, based on the matrix prepared prior to the field survey, a matrix on the present situation of stakeholders and interests is prepared. Next, based on the project, the envisioned stakeholders and interests are specified. In this process, new stakeholders will arise or some will be deleted from stakeholders. By entering these results and filling in the matrix, a matrix based on the project is created. It is desirable that this task, too, be carried out in the form of workshops through the participation of expected stakeholders. However, if there are time constraints, it may be inevitable to end the task with the confirmation of the investigation results with the counterpart. Table 3.6 shows a present stakeholders analysis by field survey. In the case of Mozambique, contrary to prior expectations, involvement in the village of the administrative district was almost nowhere to be seen. Furthermore, in spite of requests for irrigation, mutual relations between the Ministry of Labor and the Ministry of Agriculture were not seen. On the other hand, it became clear that NGOs are newly supporting Munguine Locality.

3) Determining stakeholders

The stakeholders and their interests examined at the local site are summarized in a report. Stakeholders who are to participate in monitoring/evaluation are determined according to the extent of interests. This extent is determined by considering the present interests and interests that will likely stem from the start of the project. Based on these considerations, the framework of the monitoring/evaluation, in which project stakeholders participate, is discussed at implementation

Table 3.6 STOA Matrix (example: present stakeholders analysis)

	Munguine Locality	Manniça district	Ministry of Labor	Ministry of Agriculture	Ministry of Water Resources	WFP
Munguine Locality		○	⬭	○	○	○
Manniça district			○	⬭	○	○
Ministry of Labor				○	○	○
Ministry of Agriculture					⬭	○
Ministry of Water Resources						○
WFP						

consultations or consultation for inception report of development studies. In the case of Mozambique, based on the details of the project compiled during the field study, it was decided that a steering committee in which the government plays a central role and a project site-level working section would be established.

4) Stakeholders and sub-project

A project is defined as the activities which have a certain time period for the purpose of achieving a certain objective. For example, “building an elementary school each in C Village, B County, and A Country in two years with 2 million yen” constitutes a project. In this case, the range of stakeholders is somewhat limited. Generally speaking, however, many of the projects we have handled cover a wide range of objectives and are made up of several sub-projects. In particular, in the case of projects for poverty reduction and rural development, diverse activities need to be carried out by several sectors, from the government

to local residents, in several villages and regions. As such individual activities may comprise a single project, it is desirable to introduce the analysis of stakeholders at the level of individual sub-projects in order to accurately understand the stakeholders in establishing their monitoring/evaluation functions, for which their corresponding PDMs should be prepared according to the sub-project.

3.3.3 Implementation phase

Implementation phase mentioned here refers to the phase covering the project planning after the end of the preliminary studies up to project implementation and monitoring. Participatory evaluation in the implementation phase largely consists of the following four components:

(1) Involvement of stakeholders in the planning process
(2) Establishment of monitoring/evaluation indicators
(3) Monitoring based on process
(4) Release and feedback of monitoring and evaluation results

(1) Involvement of stakeholders in the planning process

The stakeholders selected in a preliminary studies phase are classified into Primary Stakeholders (PST) and Secondary Stakeholders (SST). We should encourage PST to directly involve in the planning process while providing SST with information on the planning process.

PST refer to stakeholders directly involved in project activities, i.e. direct beneficiaries. In the case of rural development, they correspond to the local residents and responsible government organizations (county, municipalities) of the concerned area. In the case of training projects, they correspond to the institutions conducting training and to trainees. SST, on the other hand, are involved indirectly and therefore are not direct beneficiaries. In the previous case, they correspond to the prefectural office or central government agency (including government agencies that have jurisdiction over the center) that has jurisdiction over the neighboring rural community and rural development, and donors implementing similar projects. In the case of training projects, SST consist of the labor market to which human resources are supplied, the competent administrative organizations, and relevant donors.

In many cases, the aforementioned classification of PST and SST may not be applicable depending on the objective of the project. Therefore, detailed analysis

should be conducted for each project. The classification of PST and SST is not fixed in the planning phase. Depending on the progress of the project, the category of stakeholders may change from PST to SST, or vice versa, and new stakeholders may be added as PST and SST. In order to comprehend PST and SST appropriately, it is essential to properly weight each stakeholder indicated in the STOA matrix in the implementation phase and to take measures in line with the progress of the project.

(2) Establishment of monitoring/evaluation indicators

1) Building consensus regarding indicators and evaluation body

Ideally, the original plan of the monitoring/evaluation indicators would be prepared with the participation of stakeholders. However, when we consider the scale and complexity of projects and the characteristics of the scheme conducted by JICA, it would be realistic for JICA to take lead in preparing the proposal for monitoring/evaluation indicators. In this case, PST discuss this proposed evaluation indicators to build consensus. Through this process, the transparency of, and responsibility for, monitoring/evaluation are increased and the awareness of PST are enhanced. Meanwhile, since the examination of the monitoring/evaluation indicators is useful for building capacity of the stakeholders involved, it would be desirable for stakeholders to consider the monitoring plan in relatively simple sub-projects.

Next, who is to conduct monitoring/evaluation as well as the assignment of roles and function among PST, including JICA and counterparts, need to be decided in building consensus. Although it would be realistic for JICA to prepare a plan on this front as well, the important thing is to secure a system of responsibility for monitoring/evaluation (person implementing evaluation, method of utilizing evaluation results, decision-making process) and transparency (provision of information to PST and SST). In projects primarily aimed at participatory development, the possibility of project beneficiaries themselves carrying out monitoring/evaluation activities needs to be taken into consideration from the standpoint of improving the monitoring/evaluation ability, in addition to the foregoing.

2) Quantitative indicators

Since quantitative indicators are displayed by means of numeric values, they are frequently utilized for measuring the degree of achievement or output of the project. These values, in many cases, indicate production, traffic, the number of trainees, forest area, and other results of activities. Usually, it is difficult for these indicators to measure management capacity. Still, in projects primarily aimed at participatory development, these quantitative indicators can be used as indicators for indirectly measuring management capacity. For instance, in the case of projects that aim at raising the production of crops through the participation of farmers (irrigation associations and agricultural cooperatives), the improvement of production indicators will likely be a sufficient condition for which the participation of farmers is encouraged.

3) Qualitative indicators

Depicting all project activities by means of quantitative indicators is not an easy task. Although the forecast can be made that "traffic will be XX vehicles per day" when roads are constructed, it is difficult to express numerically "an increase in the convenience of local residents". In this case, such increase would be able to be expressed by means of quantitative indicators by conducting questionnaire survey before and after construction of the road or on the assumption that the road has been constructed. However, in the case of "increasing awareness" and "improvement of service", it is difficult to establish indicators. In such cases, stakeholders who are to participate in monitoring/evaluation can evaluate "the enhancement of awareness of local residents" and "the improvement of administrative services" by periodic dialog with members of community and by utilizing administrative services.

(3) Monitoring based on process

Periodic monitoring is effective not only for measuring the progress of the project but also for promoting the ownership and building the capacity of stakeholders. In this connection, there should be an agreement with stakeholders on the frequency of monitoring in the planning phase, and also, the matters relating to participatory evaluation should be incorporated into the PDM activities, output, and project targets in the whole project plan. It is essential to treat participatory evaluation as one of the activities in the project, not an ordinary monitor-

ing/evaluation performed under the initiatives of the headquarters.

Monitoring conducted through the participation of stakeholders is likely to be the periodical observation of the activity process. In other words, it is difficult to carry out effective periodical observation unless elements of monitoring are included in the activity process. Thus, monitoring incorporated as part of the activity process is called "monitoring based on process". The following three activities can be cited as components of such monitoring.

1) Documentation
2) Information
3) Communication and interaction

1) Documentation

Documentation refers to the recording of daily project activities. Regardless of the unit (day, week, month), keeping records of monitoring/evaluation indicators and concrete activities makes it possible to carry out subsequent feedback. For instance, accounting records, such as account books, records of activities, such as trade journals, and analytical records of questionnaire surveys on residents correspond to such records. Keeping such records on a daily basis would contribute to building capacity of counterparts.

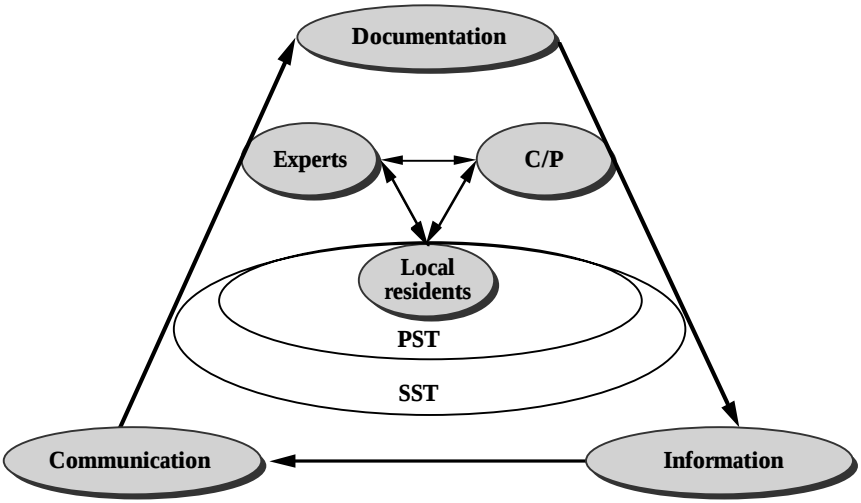
2) Information

Next, the processing of the documented records into information is needed. This calls for editing documents used only by the parties concerned, such as experts and counterparts, into information to be transmitted to third parties (stakeholders). The medium of information ranges from reports to newsletters. Nowadays information is transmitted through the Internet in some cases. Since the purpose is to disclose information concerning project activities, it is necessary to compile account-balance reports and other records based on facts. It goes without saying that the original documents are preserved for subsequent evaluation.

3) Communication and interaction

Communication refers to the conveyance of information between stakeholders while interaction refers to the process of changing each other through such communication. Whereas "the provision of information" is a one-way relationship of "sender", it is vital to establish an interactive communication system where

Figure 3.1 Monitoring Based on Process



"the sender" receives and responds to opinions and criticisms from "the recipient" of information. Such interaction between "the sender" and "the recipient" through communication constitutes daily monitoring based on process and has the potential to change project activities. Figure 3.1 depicts the relationship between the three components of "document", "information" and "communication and interaction" and stakeholders.

(4) Feedback of monitoring results

As mentioned in (3) above, the feedback of monitoring results is substantially affected by monitoring based on process. In order for the monitoring results to be fed back, it is crucial that the "documentation" and "information" of such results are undertaken, and stakeholders "communicate" such results, which in turn leads to "interaction". Feedback is not carried out automatically. The incorporation of a monitoring system into the process of project activities makes effective feedback possible. And the establishment of this system itself is believed to build the capacity of stakeholders.

3.3.4 Perspectives on terminal evaluation of the project and on ex-post evaluation

Both evaluation at completion of the project and ex-post evaluation are performed based on the four points mentioned in "3.3.3 Implementation phase" ("Involvement of stakeholders in the planning process", "Establishment of monitoring/evaluation indicators", "Monitoring based on process", "Release and feedback of monitoring/evaluation results"). Following this, decision-making on the termination or further continuation of the project is added in the evaluation at completion of the project while the judgment of what impact the project had is added in the ex-post evaluation. Who (including organization) is to carry out this decision-making and judgment and who is to be assigned to participate in the process of decision-making and judgment are key factors of participatory evaluation at the completion of the project and in the ex-post stage. This is to be decided during the consideration of the involvement of stakeholders mentioned earlier. And in this sense as well, attention must be paid to the four points of the implementation phase (involvement of stakeholders in the planning process, establishment of monitoring/evaluation indicators, monitoring based on process, release and feedback of monitoring/evaluation results).

3.3.5 Introduction of participatory evaluation into projects under way

(1) Introducing participatory evaluation in projects under way

Although participatory evaluation should be undertaken from the planning stage, elements of such evaluation can be incorporated even in projects already being implemented (needless to say, it would be more effective if participatory evaluation is undertaken at an earlier stage). The specific considerations when the project is under way are same to those mentioned in "3.3.2 Preliminary studies phase" and "3.3.3 Implementation phase". The priority of the activities is as follows:

(i) Determining stakeholders
(ii) Involvement of stakeholders in the planning process (classification of PST/SST)
(iii) Monitoring based on process (introduce a system of documentation, information, and communication and interaction into everyday activi-

ties already being undertaken)

(iv) Establishment of monitoring/evaluation indicators

(2) Issues concerning introduction

In introducing participatory evaluation during the implementation or at the completion of the project, we need to take the opportunity of monitoring and field inspection to check to what extent a wide range of stakeholders recognize the project and what perspectives they have on it, and explore whether the stakeholders are ready to participate before implementing a full-scale participatory evaluation. It should be noted that experts and counterparts may resist the internalization of evaluation activities in the project under way and that a new sense of burden may arise as a result of this (if participatory evaluation is introduced in the project planning phase, this sense of burden will not arise). In addition, participatory evaluation itself is not carried out along with a manual, and matters do not proceed according to the plan since stakeholders are involved. For these reasons, it cannot be denied that participatory evaluation takes more time than former evaluation implemented by donors.

In order to overcome these challenges, we would better begin with what we can introduce out of the elements of participatory evaluation, not to mention the lectures or training on the significance and details of participatory evaluation. For example, the question of who is to provide what kind of information at what timing will definitely be useful in existing activities.

3.4 Issues and important considerations for further development

3.4.1 Clarification of relationship between participatory development and participatory evaluation

This research has discussed the introduction of participatory evaluation in projects. In order to achieve the objectives of such evaluation, namely “building management capacity” and “promoting ownership”, it is desirable to incorporate elements of participation not only in the evaluation phase but also in project activities. Moreover, it should be realized that participatory evaluation does not end at the project level but constitutes a requirement for undertaking participatory de-

velopment of the country and region concerned. In other words, ideally, participatory evaluation should be strategically introduced under a participatory development program (or an overall plan) rather than be implemented for each project as a means of evaluating the project. For example, there should be established a national or regional program involving such a system as enables local residents to participate in the development activities that have been led by governments in the past. Participatory evaluation (aiming at the improvement of monitoring and evaluation ability of local residents in development activities) should be incorporated in such a system.

Various factors are involved in a complex way in participatory development. For this reason, even if the two or three targets set in the project are achieved, it is difficult to realize participatory development. Therefore, if participatory development is to be carried out, at least a short- to medium-term plan needs to be drawn up, and the components of that plan should be implemented as a project. That is to say, it is necessary to treat the national-level plan as an overall plan and to establish certain issues, such as regional classification and participating entities (government, members of community, etc.) in this program (here the overall plan is called a program as opposed to project). Individual projects should be formed under such issues.

Figure 3.2 depicts the relationship between programs and projects. In planning a program, it is extremely important to understand the conditions concerning participatory development. First, we should determine the entities which are to participate by understanding their functions and roles. Normally, such entities largely comprise the government (central and local), local residents (may include local NGOs), the market (international, central and local), and intermediate organizations and systems (NGOs, cooperatives, system finance, etc.). Then we could consider sub-sectors and projects from resources (forest, land, water, roads, public health and medicine) which can be hardly relied upon or accessed by local residents. For example, the construction of social infrastructure is usually a role of the government. But in countries and regions where the government cannot discharge its normal function in public finance, leaving the project in the hands of the government gives rise to doubt about its sustainability. Rather, the involvement of local residents in the construction of social infrastructure or the implementation of such construction on their own initiative, i.e., the empowerment of local residents through the development of such infrastructure,

Figure 3.2 Relationship between Participatory Development and Programs/Projects

needs to be taken into consideration. Meanwhile, projects are also required for reinforcing the competence of the government.

Today, many developing countries are adopting decentralization and community participation policies. In these countries, the challenge is how to institutionalize such policies and how to improve the competence of the government and local community. In drawing up country-specific program implementation plans or plans for development studies and project formation studies, the position of participatory development in the relevant country needs to be clarified. And we should utilize each participatory evaluation as an input for resolution of issues rather than terminate it with the end of the project.

3.4.2 Continuous participation from the ex-ante to the ex-post evaluation

Until recently, JICA did not adequately grasp the preliminary studies, mid-term evaluation, terminal evaluation and ex-post as a continuous flow. Even if participatory evaluation is performed only at completion of the project, the impact of the project is difficult to be measured without the data for comparison prior to the implementation of the project. Therefore, it is necessary to design evaluation criteria in view of ex-post evaluation, and then to gather information according to the evaluation criteria in the ex-ante evaluation. Furthermore, participation should be started from the preliminary studies phase of the project so that a spirit of collaboration and interaction is fostered between stakeholders through all phases of the project. Generally speaking, the earlier participation is undertaken, for example, in the preliminary survey stage, the more the extent of participation increases. For this reason, how they participate before the project starts has a far-reaching impact on the level of involvement of local residents[17].

Since there are certain aspects that can be seen only from the standpoint of beneficiaries, it is never too late whenever participation starts. Nevertheless, it is

[17] According to Shimazu (2000), if the local residents are involved in the project after they become aware of it through the public disclosure (“notice”), the level of involvement increases slightly. Furthermore, if there is room (“consultation” level) for the opinions of local residents to be reflected during the selection of the program, the flow of information becomes interactive way. Above this level, there is a level where local residents and the implementing entities jointly undertake decision-making in the policy strategy phase (“partnership/independent participation”).

not easy to incorporate a participatory approach from the middle of the project[18]. In the case of building relations with beneficiaries for the first time during evaluation at completion of the project, substantial efforts are required to secure participation. Therefore, it is to be desired to plan to secure the participation of stakeholders continuously from the ex-ante evaluation phase.

3.4.3 Expansion and clarification of objects of evaluation

Conventional evaluation has focused on the output of the project. But in order to promote and ensure the secondary and tertiary ripple effects of assistance such as improvement of the management capacity to maintain and utilize the output of development independently, we need to evaluate the improvement of the capacity of recipient country governments and local communities. Therefore in participatory evaluation, not only the output of the project but also the improvement of the capacity and system of outside organizations (target communities, non-target communities, implementing support organizations) through the project as well as changes in the relationship between such improvement and the project are to be evaluated. It is essential to pay attention to such stratification of the objects of evaluation.

In addition, we should consider how participatory evaluation can be applied to the program evaluation.

3.4.4 Nurturing of facilitators

Facilitators play a vital role in promoting the participation of stakeholders. In participatory evaluation, the ability to create an environment that facilitates the participation of participants and to elicit their opinions is required more than the expertise in evaluation. Facilitators also need to have the skills and ability to

[18] FINNIDA has given the following reply to the questionnaire of the DAC survey. "Participatory evaluation cannot be added at the end of the project. It needs to be envisioned from the planning phase of the project". FINNIDA has experienced many cases where the principles of participatory evaluation cannot be put into practice even if an attempt is made to add participatory evaluation at the end. The participation of the community in evaluation is ideal for evaluation that notifies participants of the progress of their own activities in supporting them improve their implementation approach. Ideally, participatory evaluation should be implemented for projects which have as one of their objectives the reinforcement of the community's ability to plan, implement and evaluate projects. Iarrera, M. (2000) p.25.

coordinate different opinions at workshops, to bring discussions to a solution, and to lead the discussion to the main topic. The nurturing of such personnel is indispensable for introducing participatory evaluation. If possible, it is desirable to enable the evaluation team of the recipient country to learn such facilitation skills as part of the effort to cultivate evaluation ability.

3.4.5 Promotion of understanding for participatory approach

In order to implement participatory evaluation and reflect the voices of a wide range of stakeholders, it is crucial that each participant thoroughly understand the significance of participatory evaluation. To this end, we should carefully explain the objectives of implementing such evaluation to each participant. Furthermore, to promote understanding of participating approach, it is to be desired that the participation of stakeholders should be encouraged not only at the time of evaluation but through all phases of the project as mentioned in 3.4.2.

At that time, we should give consideration so as not to excessively heighten expectations of recipients. In the questionnaire survey of JICA staff, many cited "not to excessively heighten the expectations of participants" as a point to be considered in the participatory approach. When personnel of aid agencies, such as JICA, ask for the opinions of local stakeholders, such acts often make them expect the receipt of aid no matter how carefully they are conducted. Thus, there arise negative views, such as "when the participatory approach is taken, requests for this and that are made". One of the objectives of participatory evaluation is "promoting ownership", so that we should repeatedly explain to local stakeholders that participatory evaluation does not imply making requests to donors but aims at promoting their own efforts to explore for a solution.

Participatory evaluation has yet to take root at JICA, and there are not many consultants who have experience in the implementation of participatory evaluation. When we implement participatory evaluation, therefore, we also need to promote understanding of participatory evaluation among JICA staff, consultants and other Japanese aid-providing members through training programs. In particular, it is vital to fully understand that participatory evaluation is not an evaluation that is merely conducted by a method that includes elements of participation but that the objective of evaluation itself differs from that of conventional evaluation.

3.4.6 Establishment of feedback system

Effective feedback calls for thoroughly envisioning the method of feedback to both Japan and the relevant countries before implementing it. As mentioned above, forms of feedback to participants include the holding of workshops, the distribution of reports, and the formulation of action plans based on the evaluation results. At the time of feedback, it is essential to anticipate the possibility of a gap arising between the goals, indicators and targets of the project initially authorized by the aid agencies and those which stakeholders agreed on in conducting evaluation. In order to utilize the output of participatory evaluation, it is necessary to change initial plan flexibly based on the evaluation results. If the results of feedback are not clearly indicated to the participants, their motivation to participate may diminish, giving rise to distrust of aid agencies. For this reason, adequate attention must be given to feedback.

Feedback to Japan would take the form of the distribution of reports, the holding of report meetings, the disclosure of evaluation results on the Internet, the creation of a database of the cases of success and failure and the analysis of their cause, and such feedback will be used as lessons for similar projects in the future.

3.4.7 Improvement of evaluation system

The evaluation system needs to be improved, first and foremost, in order for participatory evaluation to become firmly established in JICA. For this purpose, an evaluation system that incorporates participatory evaluation through all phases of the project, needs to be established. Also, the reinforcement of the evaluation checking system is indispensable for properly implementing participatory evaluation and preventing such evaluation from becoming an empty shell. To this end, nurturing personnel who can properly check evaluation plans is necessary. In addition, to establish a system for confirming evaluation plans and results as well as a support system that offers appropriate advice to the personnel in charge is inevitable. The use of in-house consultants for checking evaluation plans and giving advice may also be conceivable. Moreover, the assignment of senior advisors specializing in evaluation should be considered.

Furthermore, the preparation of an evaluation manual that envisions the implementation of participatory evaluation is an imperative. The evaluation manual needs to clarify how participatory evaluation is to be incorporated in what situa-

tion as well as the position of such evaluation in overall evaluation and indicate specific guidelines for introduction. The efficiency and method of application of participatory evaluation vary considerably depending on the scheme and the purpose of the project. Thus, it would be advisable to compile practical examples of participatory evaluation and prepare guidelines more suited to implementation based on these examples. At present, the Office of Evaluation and Post Project Monitoring of the Planning and Evaluation Department of JICA is editing an evaluation manual. Also, as mentioned above, if the cases are converted into a database, they can be easily retrieved and utilized whenever the need arises. The present JICA evaluation database does not cover all evaluations, so it needs to be expanded and upgraded. At present, an overall knowledge base of JICA, including evaluation information, is being established. The immediate establishment of this base is being awaited.

3.4.8 Balance with third party evaluation (ensuring of accountability)

All the evaluation results necessary, as aid agencies cannot be obtained through participatory evaluation alone. Especially from the standpoint of accountability, it is said that participatory evaluation tends to produce biased evaluation results. Since accountability is obligatory to aid agencies, it is necessary to use evaluation by outsiders along with participatory evaluation. In that case, we should carefully examine how participatory evaluation is to be incorporated according to the objective and what portion of evaluation is covered by outsiders.

3.4.9 Issues concerning budget

One reason that participatory evaluation cannot be easily implemented at JICA is the budget system. For effective implementation of participatory evaluation it is necessary to make careful preparations and to inquire the views of a wide range of stakeholders. This requires much time and expenses. In many cases, time and expenses normally allowed in the current budget are not enough. To overcome these constraints, participatory monitoring and evaluation could be incorporated into project activities. However, when a participatory approach is introduced during the implementation of the project and when it is difficult to make preparations in advance at the project site in ex-post evaluation, flexible measures, such as taking sufficient time for preparations, will be required.

In participatory evaluation, it is important that stakeholders review their own activities and plan and implement subsequent activities. Since Japan's budget is prepared only for a single fiscal year, it is not always easy to conduct flexible management of expenses beyond the fiscal year. Therefore, we should carefully operate the project so that this budget system does not hinder the smooth implementation of subsequent action plans drawn up in participatory evaluation.

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