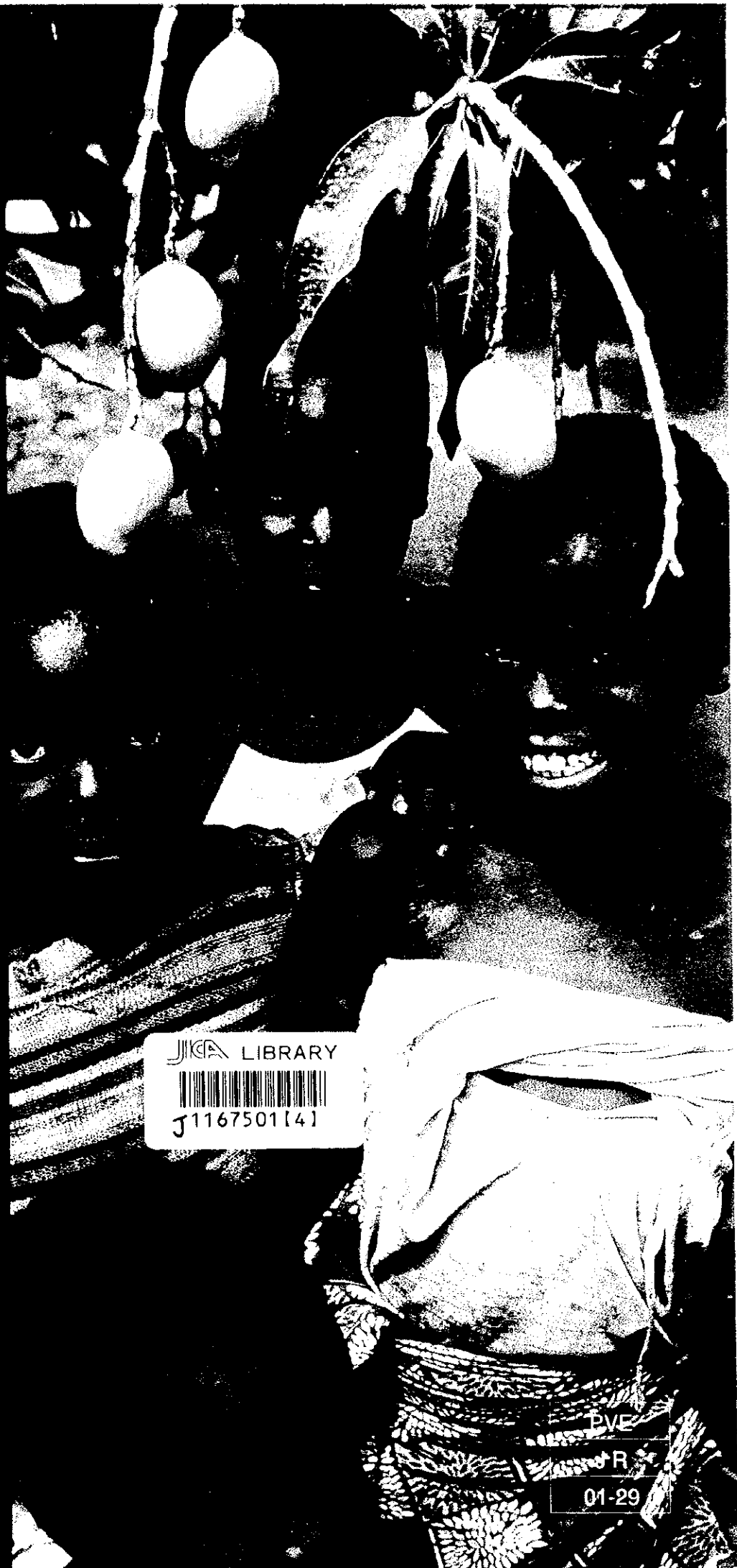


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Annual Evaluation Report 2001

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PREFACE

Over the past half-century, assistance from Japan and other developed nations to support the socioeconomic development of developing countries has led to a halving of the infant death rate, an extension in the average life span, and a 50% drop in the number of children not receiving primary education. However, explosive increases in the populations of developing countries mean that about 1.2 billion of the six billion people living today must still scratch by on one dollar or less per day.

Even as we enter the 21st century, there are still many issues facing developing countries that require attention, including poverty, conflict, refugees, environmental destruction, and the spread of infectious diseases. This means that, for the prosperity and stability of the entire international community, the role of official development assistance (ODA) in supporting the nation-building process in developing countries is as important as ever.

The Japan International Cooperation Agency (JICA), Japan's major ODA implementation agency, has as its motto "human development, national development, bringing people together". For some 40 years, JICA has engaged in a variety of international cooperation projects aimed at developing countries and regions that center mainly on technical cooperation. This kind of cooperation, which is often referred to as "person-to-person" cooperation, is becoming more and more important in the international community as "aid with a face".

On the other hand, Japan's economic status continues its long-term slide, and this has led to more intense public debate on the role of ODA. This includes forceful calls for implementation of efficient ODA that places emphasis on results, and for objective evaluation of ODA and the release of evaluation results to the public. Under these circumstances, those responsible for Japan's ODA are now obliged to conduct administrative evaluations as an efficient financial management tool, and this had led to the introduction of a system whereby "Ex-ante evaluation" is carried out prior to a project's implementation to verify its necessity. Based on this, starting this fiscal year JICA is taking steps to expand and enhance its evaluation system to ensure even more effectiveness and efficiency in its project implementation. In addition to the introduction of ex-ante evaluation in its operations, this effort includes revision of JICA's Evaluation Guidelines and strengthening of its structure for feeding back the results of evaluations into future operations.

This report, which is the seventh such report issued by JICA to date, includes the results of all JICA evaluations carried out in FY1999. In the course of implementing these evaluations, we received the valuable cooperation of a large number of outside personnel, and I would like to take this opportunity to thank all of them.

Finally, it is my hope that this report will help readers gain a deeper understanding of JICA's projects and evaluations. And I would like to add that all comments and suggestions regarding its content will be most welcome.

December 2001

Yushu TAKASHIMA

Vice President

Japan International Cooperation Agency

Cover photographs

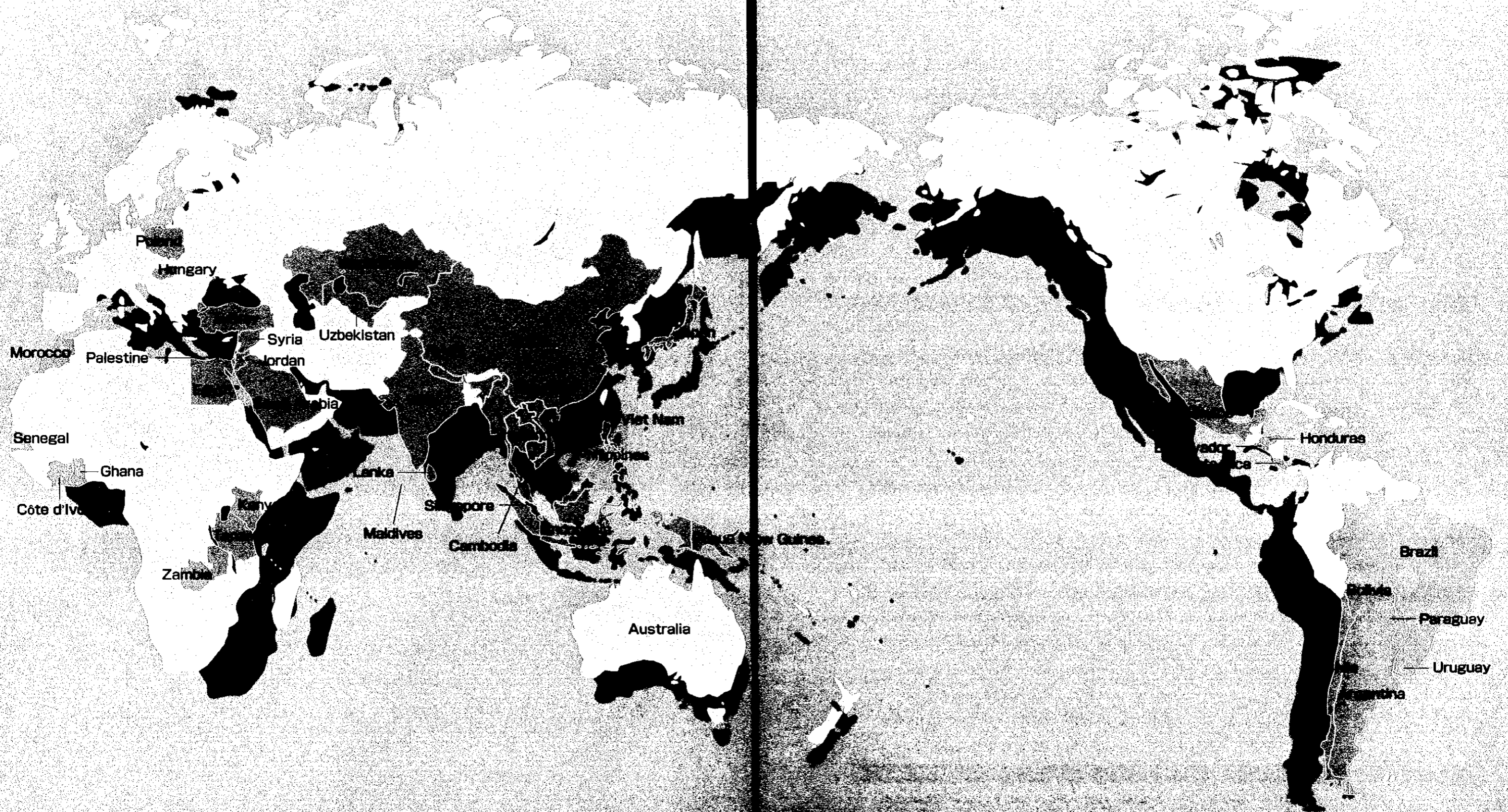
Front cover : Zambia

Back cover : Viet Nam

Frontispiece : China



Evaluation Survey Published in This Report



This is an abbreviated map that does not reflect actual national boundaries and locations. Country names included on the map include only those countries that were subject to the evaluation survey described in this report.

Evaluation Survey Published in This Report



This is an abbreviated map that does not reflect actual national boundaries and locations. Country names indicated on the map include only those countries that were subject to the evaluation studies described in this report.

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Chapter 1

Overview

I. Outline of JICA Evaluation

1. Background of ODA Evaluation

In order to carry out effective and efficient aid, it is important to implement projects that respond to the needs of developing countries, to evaluate the results that each project produces, and to reflect lessons learned and recommendations obtained through these projects for future projects.

Particularly in recent years, strict economic circumstances in Japan have put the evaluation of ODA more and more in the spotlight. In addition, there have been number of movements both overseas and in Japan toward improvement of existing evaluation systems, and below is a presentation of a few of the most important of these.

JICA is also working to improve its evaluation procedures. Details of this effort are provided in Section II entitled "Present Challenges and Future Efforts in JICA Evaluation".

(1) The Development Assistance Committee (DAC)

In 1991, the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) presented the "DAC Principles for Evaluation of Development in Assistance". Among these principles were five criteria to be applied when evaluating aid projects; namely, "Relevance", "Effectiveness", "Efficiency", "Impact", and "Sustainability". DAC member countries have since employed these criteria in their respective evaluation procedures. Furthermore, in 1996, DAC adopted a new strategic framework entitled "Shaping the 21st Century: The Contribution of Development Cooperation" (commonly known as the "International Development Goals"), which placed emphasis on evaluation carried out under the concept of "results-based management".

Then, in 1999, a framework known as the Poverty Reduction Strategy Paper (PRSP)¹⁾ was unveiled by the World Bank. PRSPs, which are drawn up by the governments of developing countries, have served as the basis for study of project implementation that is coordinated with the activities of all donors. In recent years this trend has begun to turn toward study of new evaluation methods that are different to those employed to date.

(2) The Aid Evaluation Reviewing Panel of the Ministry of Foreign Affairs

Japan has been making efforts to improve its ODA evaluation system based on a series of recommendations obtained from such bodies as the "Council on ODA Reforms for the 21st Century", which was established by the Ministry of Foreign Affairs (MoFA). Principal among these efforts are the following:

- | |
|--|
| <ul style="list-style-type: none">- Jan 1998 : MoFA presents the Final Report of the Council on ODA Reforms for the 21st Century- Mar 2000 : MoFA's ODA Evaluation Working Group presents its Report of Japan's ODA Evaluation System- Jul 2000 : An ODA Evaluation Study Group is established under MoFA's Aid Evaluation Reviewing Panel- Feb 2001 : MoFA's ODA Evaluation Study Group offers recommendations on improvement of the ODA evaluation system |
|--|

The ODA Evaluation Study Group, which was established under the authority of MoFA's Aid Evaluation Reviewing Panel in July 2000, is made up of personnel from MoFA, JICA, and JBIC as well as specialists in evaluation of development assistance, scholars, and NGO staff members. The Group also receives the participation of observers from 17 ODA-related ministries and agencies as well as the Board of Audit. In February 2001, the Group recommended that the following five items be included in efforts to reform the ODA evaluation system²⁾:

- 1) Introduction of policy-level evaluation and expansion of program-level evaluation
- 2) Enhancement of evaluation feedback
- 3) Development and effective utilization of evaluation personnel
- 4) Establishment of Consistency in evaluation (establishment of a system that is linked from preliminary stage to the post-project stage)
- 5) Promotion of collaboration between ODA-related ministries and agencies

(3) Policy evaluation system for central government

Alongside the above-mentioned activities taken by MoFA and others, recent moves by ministries and agencies to establish a policy evaluation system have also added momentum to efforts to review ODA evaluation. In January 2001, the Ministry of Public Management,

1) The PRSP is a document drawn up in the Development Committee, a body made up of major member countries of the World Bank and the International Monetary Fund (IMF). It establishes conditions in terms of debt reduction and IDA financing for heavily indebted countries and countries seeking IDA loans. PRSPs apply to countries approved for debt reduction (determined by the Executive Boards of the World Bank and IMF), and are used to determine whether the target country has fulfilled necessary conditions, such as policy improvement. They are prepared by the target country with the participation of such players as donor countries, NGOs, and the private sector.

2) Reports of the ODA Evaluation Reviewing Panel and the ODA Evaluation Study Group can be accessed on the following web sites (in Japanese):
- Evaluation Working Group's "Report on Reform of Japan's ODA Evaluation System" (March 15, 2000)
HYPERLINK http://www.mofa.go.jp/mofaj/gaiko/oda/siryo/siryo_3/siryo_3f.html http://www.mofa.go.jp/mofaj/gaiko/oda/siryo/siryo_3/siryo_3f.html
- Report of the ODA Evaluation Study Group (February 2001)
HYPERLINK http://www.mofa.go.jp/mofaj/gaiko/oda/siryo/siryo_3/siryo_3f.html http://www.mofa.go.jp/mofaj/gaiko/oda/siryo/siryo_3/siryo_3f.html

Home Affairs, Posts and Telecommunications announced its "Standard Guidelines for Policy Evaluation", which laid out a blueprint for the formulation of a framework for evaluation of the policies of each ministry and agency. These guidelines establish five basic criteria (Relevance, Efficiency, effectiveness, fairness, and priority) to be used in such evaluation.

Furthermore, the Ministry's Final Report on the Policy Evaluation System pointed out the necessity to 1) create a framework for verification of ODA project activities at the Ex-ante evaluation stage and during the implementation period, and 2) to establish linkage throughout the evaluation process, from the preliminary to the post-project stages. Finally, the Diet approved an administrative evaluation bill in July 2001 that is scheduled to go into effect in April 2002.

- Jan 2001: The Ministry of Public Management, Home Affairs, Posts and Telecommunications establishes the "Standard Guidelines for Policy Evaluation". A system for evaluating policy is introduced.
- Jan 2001: The Cabinet Secretariat establishes the "Office for Promotion of Administrative Reform"
- Jun 2001: An administrative evaluation bill is approved by the Diet (scheduled for implementation in April 2002)
- Jul 2001: The "Evaluation Liaison Committee for ODA-related Ministries" is formed

2. Objectives of JICA's Evaluation

JICA's evaluation process helps it consider the relevance and effectiveness of projects and other activities as objectively as possible at the preliminary, mid-term, termination, and post-project stages. By utilizing the results in the formulation and improvement of projects as well as to secure accountability³⁾, JICA's evaluations

strive to 1) secure the support and understanding of Japan's citizens for its operations, and 2) help it implement more effective and efficient projects.

The results of evaluations are primarily applied in the following three ways:

- As a management tool
 - JICA refers to evaluation results when it formulates development policy, strategies, JICA country-programs⁴⁾
 - It also uses them when making decisions regarding implementation of projects, when modifying projects, and when determining whether or not projects should be continued
- As a learning tool of aid personnel
 - Results also serve as reference material when JICA formulates and implements similar projects.
 - They also help JICA raise the capacity of persons connected with the project being evaluated.
- As a means of disclosing information in order to ensure accountability
 - JICA uses evaluation results to demonstrate to the Japanese public that it is fulfilling its responsibilities as an ODA implementing agency

3. Types of JICA's Evaluation

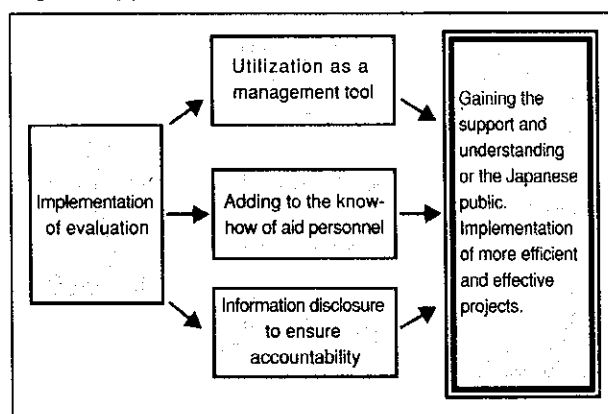
(1) Evaluation levels

The "Report on Reform of Japan's ODA Evaluation System" (March 2000) broke evaluation activities into three levels : Policy-level Evaluation, Program-level Evaluation, and Project-level Evaluation. The report went on to recommend expansion of the Policy- and Program-

Levels of ODA Evaluation according to the "Report on Reform of Japan's ODA"

1. **Policy-level Evaluation: Evaluation of all of Japan's aid policies**
Examples : Evaluation of the Japan's Medium-Term ODA Policy
Evaluation of Country Assistance Programs⁵⁾
Evaluation of specific aid policies (assistance strategies related to TICAD II⁶⁾, global issues, etc.)
2. **Program-level Evaluation: Comprehensive evaluation of multiple projects**
Examples : Field-specific evaluation (Evaluation of a number of projects in a specific sector in a country, or of projects of a specific sector covering several target countries)
Issue-specific evaluation (Evaluation of a set of projects covering common development issues, such as poverty alleviation and gender)
Country-specific evaluations carried out by aid implementing agencies
3. **Project-level Evaluation: Evaluation of individual projects**

Fig. 1: Applications of JICA's Evaluation Findings



3) For an explanation of "Accountability", please refer to the list of terminology at the end of this report.

4) For an explanation of "JICA country-programs", please refer to the list of terminology at the end of this report.

5) Country Assistance Programs are formulated by MoFA and cover a period of about five years. They cover the political, economic, and social situation in the target country, the relationship between aid and Japan's ODA Charter, priority aid issues and fields, and items of concern and other issues involved in project implementation. They also accurately reflect the socioeconomic needs and their priority in the partner country, and maintain consideration for collaboration with other donors and aid agencies as well as with Japan's private sector.

6) The Second Tokyo International Conference on African Development (TICAD II) was held in Tokyo in October 1998. TICADII resulted in the adoption of the Tokyo Action Plan, which is a strategy for future development in Africa.

level Evaluations.

Of these three types, JICA implements Program-level Evaluations and Project-level Evaluations.

1) Program-level evaluation

These comprehensive evaluations are directed at a set of projects that share common overall goals or development issues, or a set of projects implemented under a specific cooperation scheme. These evaluations are currently carried out as country-program evaluations or thematic evaluations at the post-project stage.

2) Project-level evaluation

Project-level evaluations are performed on individual projects. Principally, they are used to help JICA formulate and review projects, make decisions on continuing particular projects, reflect the lessons learned on similar projects, and secure project accountability.

(2) Types of evaluations during the project cycle stages

JICA evaluation process involves four types that are carried out at different stages during the project cycle: "Ex-ante evaluations", "Mid-term evaluations", "Terminal Evaluations", and "Post-project evaluations". The

placement of these evaluations within the project cycle can be seen in Fig.2. ex-ante, mid-term, and terminal evaluations are performed on individual projects, while post-project evaluations are conducted on individual projects and at the program level.

1) Ex-ante evaluation

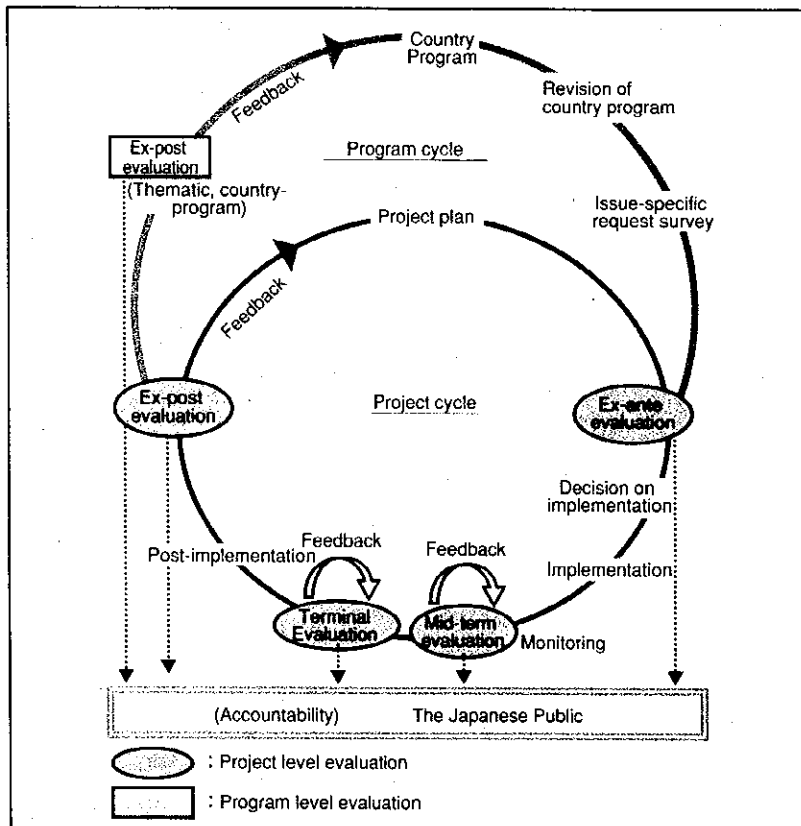
Ex-ante evaluations are performed when projects are requested by recipient countries. It involve a study of the project to determine its conformity with JICA's country-program as well as its necessity, which is followed by an on-site evaluation to clarify the project details, the results that can be expected, and the appropriateness of the project.

Furthermore, the ex-ante evaluation establishes a series of indicators that are used to measure the effectiveness of the project in all later evaluations, from the mid-term evaluation to the ex-post evaluation.

2) Mid-term evaluation

These evaluations are conducted as necessary at the mid-point of projects implemented under the project-type technical cooperation scheme. They focus on two of the five evaluation criteria (Effectiveness and Relevance) and their results help JICA make required changes to original project plans.

Fig.2: Position of Evaluation within JICA's Project Cycle



3) Terminal evaluation

This type of evaluation looks at projects when they are drawing to a close. Among other items, they focus on 1) Efficiency, 2) Effectiveness, 3) Relevance, and 4) Sustainability. Based on the results of these evaluations, JICA studies the effectiveness of the project and necessity for Follow-up cooperation.

The time at which terminal evaluations are implemented differ depending on the cooperation scheme the project falls under. In general, the timing of these evaluations are shown in Table 1.

Table 1: The timing of Terminal evaluation for each Cooperation Scheme

Cooperation Scheme	Projects Evaluated	Time Evaluation is Commenced
Project-type technical cooperation	All projects	Approximately 6 months before the end of the project
Grant aid ⁷⁾ (general grants)	Projects in which a large amount of grant aid is supplied	Within 1 year after completion of the project
Overseas training (Third-country training and In-country training)	All projects	Approximately one year before the end of the project
Dispatch of individual Experts	Only projects involving team dispatch, research, and support for the formulation of key government policies	Four to 6 months before the end of the project
Japan Overseas Cooperation Volunteers (JOCV)	Only projects involving dispatch of JOCV teams	Four to 6 months before the end of the project

4) Ex-post evaluation

These evaluations, which are carried out after a certain amount of time has passed since the target project's completion (usually three or more years), look mainly at the project's effectiveness, relevance, and sustainability. Through these evaluations, JICA hopes to derive lessons and recommendations for the improvement of country programs and for the implementation of more effective and efficient projects. Post-project evaluations are carried out on both individual projects and entire programs.

(3) Types of Ex-post evaluations

1) Ex-post evaluations carried out at the project level

Currently, JICA's overseas offices conduct some 10 Ex-post evaluations on individual projects each year. JICA intends to increase this number in the coming years.

2) Ex-post evaluations carried out at the program level

The Office of Evaluation and Post-Project Monitoring is principally responsible for carrying out ex-post evaluations at the program level. The results of these evaluations are mainly used to improve the JICA country-programs and in the formulation of new projects. The types of evaluation are presented below.

Types by program

a) Country-program evaluation

These comprehensive evaluations examine the effects that all of JICA's projects are having on the target country's development. The results are feed back in order to improve country programs and cooperation methods.

b) Thematic evaluations

These evaluations look at a number of projects by focusing on specific sectors, priority issues (such as the environment, poverty, gender, etc.), or cooperation schemes (dispatch of JOCVs, etc.). The results are used to improve JICA's effort to address the target sector or development issue as well as the relevant cooperation schemes.

Types by Evaluators

a) External evaluation (organizations)

In order to improve the quality and objectivity of its evaluations, JICA entrusts implementation to external development aid research institutes in

Box1 Studies that are similar to post-project evaluations for individual projects

JICA carries out the following studies, which are similar to post-project evaluations for individual projects, with the principal objective of determining the necessity of follow-up cooperation.

- Post-project monitoring

Post-project status evaluations target all projects carried out under the project-type technical cooperation, grant aid, and provision of technical cooperation equipment (supply of individual items) schemes. Monitoring is carried out at the second and sixth year after the end of each project (at only the sixth year in the case of provision of equipment projects) to gain an understanding of the current status of its organization, facilities, provided equipment, and operational effectiveness. The results are utilized as basic data for follow-up and aftercare cooperation. JICA's overseas offices are charged with the implementation of these evaluations.

- Follow-up study of development studies

These studies focus on completed development studies to help JICA gain a grasp of how the recipient country is utilizing the results of the study. In recent years, JICA has been implementing "Impact studies" on a trial basis in an effort to identify the effects that the targeted development study has had, and to draw lessons that can be applied in the implementation of new development studies (please refer to "Follow-up Evaluation of Development Studies" on page chapter2.V). Either JICA overseas offices or the JICA department in charge carries out these studies.

7) While grand aid projects fall under the jurisdiction of the Ministry of Foreign Affairs, JICA is responsible for carrying out the necessary preliminary studies (preparatory studies, basic design studies, etc.). JICA also supports the implementation of grant aid projects.

Japan or Japanese consultants that have expertise in development aid programs and evaluation methods.

b) External evaluation (Individuals)

These evaluations similarly seek to improve the quality and objectivity of evaluations by entrusting them to external experts having a detailed knowledge of development aid and evaluations, such as scholars and NGO staff members.

c) Joint evaluations

These evaluations are carried out in partnership with aid agencies from other donor countries (e. g. USAID, CIDA), international agencies (e. g. UNDP), or concerned agencies in the target country. They are an effective means of strengthening mutual understanding of evaluation methods and collaboration, and as a means for sharing information. They have also proven effective in helping to raise the ability of target countries to carry out evaluations.

d) Grass-roots monitoring

This new scheme was started in FY 2000, involves engaging NGOs active in the target region or local scholars to conduct monitoring of the effects of a project from the standpoint of its

beneficiaries. The results are useful in reexamining project methods and in improving the identification and formulation processes for new projects.

4. Evaluation Methods

JICA arranges the details of a project into what is known as the Project Design Matrix (PDM). Based on the PDM, JICA conducts monitoring and evaluation of the project's activities using the evaluation criteria presented on the following page. A detailed explanation of JICA's evaluation methods is provided in a document entitled "JICA's Evaluation Guidelines", which was revised in October 2001. (The Guidelines are scheduled to be posted on JICA's homepage in December 2001.)

These methods are used in evaluations at the project level; JICA is currently studying appropriate methods for each type of evaluation at the program-level.

5. Evaluation Standards

JICA conducts its project evaluations based on the five previously mentioned evaluation criteria established by DAC. The main items that must be examined under these criteria are presented below.⁸⁾ The relationship between the PDM and the criteria is illustrated in Chart 4.

Fig. 3: Outline of the Project Design Matrix (PDM)

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Overall Goal Indirect/long-term effects and impact. List of items expected to be achieved three to five years after the end of the project	Indicators used to measure the degree of achievement of the Overall Goal	Sources from which data designated as indicators can be obtained	Conditions necessary for the results of the project to be sustainable
Project Purpose Benefits to be received by the target group.	Indicators used to measure the degree of achievement of the Project Purpose (outcome)	Sources from which data designated as indicators can be obtained	External conditions that must be met in order for the project to contribute to the Overall Goal, but which are beyond the control of the project
Outputs List of items that must be realized in order to achieve the Project Purpose	Indicators used to measure the degree of achievement of the Outputs	Sources from which data designated as indicators can be obtained	External conditions that must be met in order to achieve the Project Purpose, but which are beyond the control of the project
Activities List of actions that must be taken using the Inputs to realize the Outputs	Inputs (by Japan and the partner country)		External conditions that must be met in order to achieve the Outputs, but which are beyond the control of the project
	List of resources necessary to carry out the Activities (human resources, funding, equipment and supplies, etc.)		Preconditions Conditions that must be satisfied before the project can get underway

8) Revision of JICA's Evaluation Guidelines in October 2001 resulted in the renaming of the criteria in Japanese. Other major changes made to JICA's evaluation methods through this revision include separate handling of work to verify project results/implementation processes and analysis using the five criteria.

(1) Efficiency

This involves asking questions to confirm if the resources invested in the project were effectively utilized. For example, were the costs invested appropriate for attainment of the Outputs and the Project Purpose? Or, could other effective means been employed? Consideration is made of the content of cooperation, methods, cooperation period, timing of input, appropriateness of expenditure, and collaboration with other donors among other items.

(2) Effectiveness

This involves examination of how effective the project was in achieving the Project Purpose that was originally established or that was revised later. It also involves looking at the project's prospects for achieving the Project Purpose in the future.

(3) Impact

Beginning with the level of achievement of the Overall goal, this involves examination of the direct/indirect effects of the project in both positive and negative terms. Included is consideration of economic, social, political, technological, or environmental impact. Attention is also paid to both unexpected as well as foreseen influences.

(4) Relevance

This involves consideration of the project's appropriateness as an "aid project" by looking at whether the original Project Purpose is still consistent with the recipient country's needs, and whether the

policies of the recipient country and Japan's aid policies are in conformity. Attention is primarily paid to the relevance of the Project Purpose and Overall Goal laid out in the PDM.

(5) Sustainability

This involves examining the extent to which the project benefits can be sustained following project completion. Consideration is made of the recipient country's policies, technology, institutions and systems, and financial situation among other factors.

6. Structure of Evaluations

JICA's evaluation structure is constructed of three main elements: the Evaluation Study Committee, the Office of Evaluation and Post-Project Monitoring, and the department or overseas office responsible for a particular project's implementation. The major roles of each are presented below:

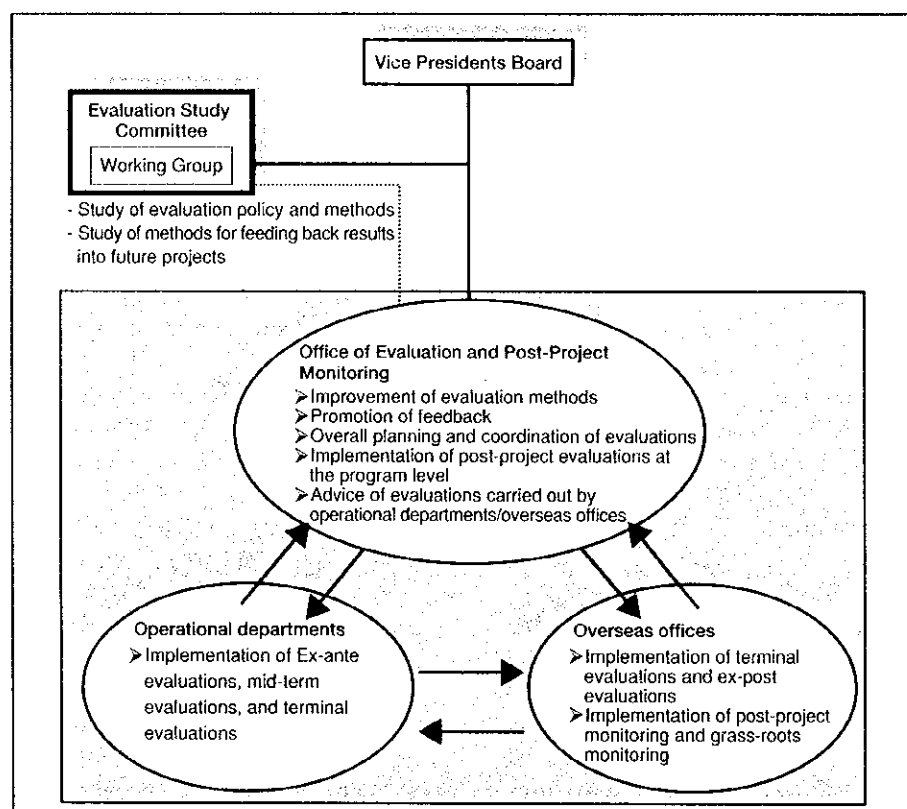
(1) Evaluation Study Committee

The Evaluation Study Committee was established in 1981. It is made up of the managing directors of the JICA departments concerned, with the JICA Vice President in charge of the Planning and Evaluation Department serving as the chairman. The Committee examines and discusses the basic policies of JICA's evaluations as well as methods for feeding back the results of evaluations into projects. In addition, an "Evaluation Study Working Group" has been established under the Committee to examine matters submitted to it.

Chart 4: The Five Evaluation Criteria and the Project Design Matrix (PDM)

	Efficiency	Effectiveness	Impact	Relevance	Sustainability
Overall goal			Positive and negative changes propagated directly or indirectly as a result of project implementation.	Relevance of the Project Purpose and Overall Goal to the priority needs and concerns of the partner country at the time of evaluation.	Extent to which the partner country's institutions can continue to pursue the project benefits after external aid is terminated.
Project purpose		The degree to which the Outputs have contributed to the achievement of the Project Purpose			
Outputs	The extent to which Inputs have been converted into Outputs				
Inputs					

Chart 5: JICA's Evaluation Structure



(2) Office of Evaluation and Post-Project Monitoring

The Office of Evaluation and Post-Project Monitoring is charged with overall planning and coordination of evaluations, which includes improvement of evaluation methods, promotion of feedback of evaluation results, and implementation of ex-post evaluations at the program level. The Office also supervises evaluations conducted by operational departments/overseas offices responsible for individual projects.

(3) Operational department/overseas office responsible for project implementation

Each of JICA's regional and sectorial cooperation departments and overseas offices conducts project-level evaluations on the projects that they oversee at the preliminary, mid-term, and completion stages. These evaluations help the department or overseas office manage the operation of the project and to clarify the results of its activities.

7. Feedback of Evaluation Results and Accountability

(1) Feedback

Feedback is a process involving the use of evaluation results and lessons learned to improve future projects.

Feedback is divided into two major types: feedback into the decision-making process, and feedback into the

organizational learning process.

1) Feedback into the decision-making process

This involves direct application of evaluation results in the improvement of a target project. In most cases, it forms a part of the project management scheme of the department in charge. Examples of this kind of feedback include: a) reference to the results of an ex-ante evaluation when making the decision to commence a project, b) use of a mid-term evaluation's results when revising a project's initial plan, and c) use of the results of a terminal evaluation when deciding whether to conclude, extend, or provide follow-up cooperation for a project.

2) Feedback into the organizational learning process

This form of feedback involves adding the results and lessons learned from evaluations to the store of know-how possessed by personnel connected with development assistance. These people then apply what they have learned to the formulation and adoption of similar projects and to reorientation of JICA's organizational strategy toward a more macro perspective.

(2) Accountability

Accountability refers to more than simple publication of evaluation results. It is a process through which the "trustee" (JICA) gives a full account of projects to the "consignor" (in JICA's case, the Japanese taxpayer),

Box2 Evaluation Seminars

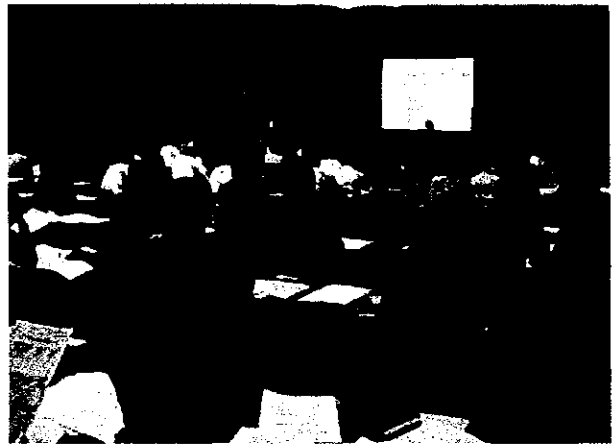
In FY2000, JICA held evaluation seminars in Thailand and in Japan to make the results of a theme-specific evaluation entitled "Correction of Regional Disparities in Thailand" widely available to the different stakeholders. Implementation of the evaluation was entrusted to The Japan Society for International Development.

Evaluation seminar held in Thailand



The seminar was comprised of two sessions: one held in Bangkok on August 28 and the other in Khon Kaen, which is the primary city of Thailand's northeastern region, on 30 August 2000. Some 90 people attended both sessions. The seminar presented the results of the evaluation to a variety of concerned parties, including personnel from the Department of Technical and Economic Cooperation, which is the body responsible for accepting foreign assistance into Thailand. It featured presentations that were followed by lively discussions among the participants on the future of cooperation from JICA and other topics.

Evaluation seminar held in Japan



The seminar in Japan was held on 18 October 2001 at JICA's Institute for International Cooperation. JICA made efforts to invite a wide segment of the general public through its homepage, E-mail magazine, and other means, and as a result some 120 people attended, including university faculty members and students, consultants, and NGO personnel. The seminar's presentations were followed by lively discussion among the participants on the results of the evaluation and on the future course of evaluations entrusted to outside organizations.


whereby the consignor can make judgements regarding the justification of these projects. Essential elements of accountability include the establishment of clear project objectives, transparency in the organizational decision-making process, and accurate understanding of the utilization and performance of invested resources. In the effort to secure complete accountability, it is important that JICA disclose high-quality evaluation data that address these elements.

(3) JICA's efforts

JICA is involved in the following activities to promote the Feedback of evaluation results into projects and to meet its accountability obligations.

- 1) Holding of debriefings meetings: JICA holds debriefings meetings that are attended by the different stakeholders whenever a study team returns to Japan.
- 2) Distribution of reports: JICA widely distributes its evaluation reports as materials to be used by the general public. These reports are also made freely available in JICA's libraries.
- 3) Posting of evaluation reports on the JICA homepage: Reports of major ex-post evaluations as well as reports from evaluations carried out between FY1998 and FY2000 can be easily accessed on JICA's homepage. Also, from FY2000, JICA has been preparing English versions of its evaluation reports, which are being posted on the JICA English homepage.
- 4) Holding of evaluation seminars: JICA holds

evaluation seminars to make the results of major ex-post evaluations, such as country-program and thematic evaluations, widely known to non-JICA personnel. These seminars are held in Japan for members of the general public and in target countries for personnel concerned there. (Please refer to Box 2.)

 <p>Japan International Cooperation Agency</p> <p>Japanese Site Map</p>	<p>News & Columns</p> <p>About JICA Japan's Official Development Assistance What is JICA's Role? Outline of JICA Activities</p>
	<p>Activities Regions & Countries Schemes</p>
<p>[TOPICS]</p> <ul style="list-style-type: none"> • Policy and Strategies on Tuberculosis Control Launching "Policy and Strategies of JICA on TB Control" on the occasion of the Osaka Technical Advisory Group Meeting on TB control by WHO • Special Interview with JICA President Kawakami Hishimoto: President Kawakami, your forty years of experience in the foreign service make you an expert, so to speak, on diplomacy. "Human resources development" is key to "nation-building" (project photographs) • Annual Reports 2001 new • Letter from Samoa Part-Part new • JICA Network Magazine Vol. 14 BACK ON TRACK • EVALUACION DE PROGRAMA DEL PAIS PARA LA REPUBLICA DE BOLIVIA (in Spanish) • Former Japanese Ambassador to Indonesia becomes the new JICA President Mr. Takao Kawakami, former Director-General of the Economic Cooperation Bureau and Ambassador to 	<p>Global Issues WID / Gender Equality Environment Population / AIDS Education Disability Poverty Efforts Pertaining to Peace-building</p>
<p>Publications JICA Network Annual Reports Genetic Resources Project Newsletter Study Reports</p>	

JICA's website.
(<http://www.jica.go.jp/english/>)

II. Present Challenges and Future Efforts in JICA Evaluation

The severe financial circumstances that Japan has been facing in recent years have made the implementation of effective aid increasingly important. This has led to active debate on the significance of ODA and the future shape of assistance from Japan, and to the emergence of various suggestions on realignment of Japan's ODA schemes toward emphasis on quality over quantity. This debate has reaffirmed the important role that evaluation plays in improving ODA quality and in ensuring transparency, and highlighted the need to enhance evaluation systems and activities.

JICA understands this situation, and it is taking steps to further emphasize project efficiency and effectiveness by actively grappling with the issues presented below.

1. Establishment of a Consistent Evaluation System from the Ex-ante Stage to the Ex-post stage

In the interest of creating an evaluation system that is consistent from the preparatory stage through to the post-project stage, in FY2001, JICA fully integrated a preparatory evaluation phase into its project-type technical cooperation and Grant Aid schemes. This has strengthened the evaluation system as a whole by allowing JICA to use the indicators and methods that were established prior to the project's commencement by the ex-ante evaluation as the basis for later evaluations at the mid-term, termination, and the post-project stages.

In the future, JICA will be looking to expand its post-project evaluation system so that it better corresponds with ex-ante evaluation. In order to do this, JICA's overseas offices will need to take the initiative in enhancing the implementation structure for post-project evaluation.

2. Expanding Covering Areas for Evaluation

One other issue that JICA must deal with is the expansion of the number of projects and cooperation schemes that subjected for evaluation.

Taking projects implemented under the Japan Overseas Cooperation Volunteers (JOCV) program as an example, with the exception of team dispatches, the activities of personnel have been generally left out of the evaluation process. JICA is now beginning to study evaluation methods that could be applied to these projects in the future. Development studies have similarly been excluded from the evaluation process in the past; however, in FY2001, JICA introduced a pre-project evaluation system to this scheme that is being

administered on an experimental basis. JICA is currently studying ways of integrating evaluations into the scheme's project cycle, and this includes development of evaluation methods.

Furthermore, JICA is considering participatory evaluation methods for new schemes as well, such as the Community Empowerment Program. These activities are continuing to expand the sphere of projects and fields that are targeted for evaluation.

3. Research and Development of Evaluation Methods

In FY2001, JICA made an extensive overhaul of its evaluation guidelines. These guidelines start by spelling out JICA's evaluation policy, then explain JICA's evaluations methods, which include analysis of projects based on the five criteria of JICA's Project Cycle Management and collection of evaluation results.

JICA is also conducting research in a variety of areas to improve methods used in preliminary and participatory evaluations among others. The results of the research on ex-ante evaluations have contributed greatly to the full integration of the ex-ante evaluation system in FY2001. And, JICA's research into participatory evaluation, which has been receiving considerable interest among donors in recent years as a means of reflecting the viewpoints of the partner country in the evaluation results, has represented its first step toward establishing a methodology and strengthening its efforts in this area.

Furthermore, conducting joint evaluations with other donors is an important method of accumulating evaluation experience. In the past JICA has participated in joint evaluations with such organizations as USAID and the UNDP, and from 2001 to 2002 it will take an active part in a joint evaluation in basic education that is scheduled to be implemented by eight countries of DAC's Working Party on Aid Evaluation. JICA intends to use this opportunity to gain experience while contributing to improvement of evaluation methods in this field.

4. Fostering of Human Resources for Evaluations

In addition to establishment of an evaluation structure and development of methods, an extremely vital task is the fostering of the human resources that will actually carry out evaluations. To undertake this task, JICA has started a new form of training for people connected with evaluations-including JICA staff members, experts, consultants, and personnel from partner countries-through which these people develop

their knowledge of and capability to perform evaluations.

An example of this is training that will coincide with the above-mentioned revision of JICA's evaluation guidelines. This training, which is scheduled to begin in the latter half of FY2001, will acquaint both JICA staff members and external personnel with the content of these guidelines. During the same fiscal year, JICA will be beginning a new training course entitled "monitoring and evaluation", which is to be included in the pre-dispatch group training of experts about to be sent abroad.

At the same time, JICA is starting a group-training course directed at government personnel in JICA's partner countries called the "Seminar for Evaluation of ODA Projects." This course, which also starts in FY2001, will foster the human resources in developing countries that will conduct evaluations.

5. Promotion of External Experts' Participation in Evaluation

The importance of employing external experts to maintain the objectivity of evaluations and to develop new evaluation methods has grown in recent years.

JICA has been making use of the expertise of external experts for some time by asking personnel from Japanese universities and research institutes that are members of domestic support committees for JICA projects to participate in teams performing terminal evaluations and post-project stages.

However, in FY1999, JICA took this one step further by beginning a program through which implementation of evaluations in their entirety could be entrusted to outside persons or organizations. For example, during that fiscal year JICA entrusted post-project evaluations on the theme of "poverty/gender in agriculture, forestry and fishery cooperation" to Nagoya University and a consulting company, who conducted these evaluations in Nepal and Paraguay respectively. And in FY2000, JICA entrusted country-specific evaluations in Bolivia and Tanzania to consulting companies, and a theme-specific evaluation



The DAC Tokyo Workshop on "Evaluation Feedback for Effective Learning and Accountability" held in September 2000.

entitled "Alleviate Socio-Economic Disparities between Bangkok Metropolitan Area and Northeastern Region in Thailand" to The Japan Society for International Development.

In the coming years, it will become even more important for Japan to expand the participation of external experts in its evaluations and to enhance its program for entrusting evaluations to outside personnel. As part of this effort, JICA is currently considering the establishment of a new evaluation committee to be made up of external experts. JICA would report the results of its evaluations to this committee, which would provide JICA with recommendations on improving the quality and objectivity of these studies and on strengthening the evaluation system as a whole.

6. Enhancement of Evaluation Feedback

The significance of an evaluation is first felt when its results are used to improve aid activities. This makes the feedback of results an issue of vital importance, and JICA is currently working on a number of fronts to establish a feedback structure.

For example, in FY2000, JICA conducted a survey entitled "Feedback of Evaluation Results" that was directed at JICA staff members and experts, who are the people who directly employ the results of evaluation, as well as personnel in Japan's partner countries. Among the items highlighted were the ways in which the results of post-project evaluations are used, the kinds of information most wanted, and expectations for evaluations. This resulted in an understanding that, if JICA is to promote increased feedback of evaluation results in the future, it must work to, among other things, 1) improve methods for providing evaluation data, 2) improve the quality of the data that it provides, and 3) systematize data in order to stimulate its use.

Based on this, in FY2001, JICA initiated a theme-specific study entitled "A Synthesis Study of Evaluations" as an attempt to systematize the lessons learned and recommendations obtained through past evaluations. In addition, JICA is working to create a system by which the results of past evaluations can be reflected on the decision-making process for new projects.

At the same time, the Ministry of Foreign Affairs, JICA and the Japan Bank for International Cooperation (JBIC) hosted the DAC Working Party on Aid Evaluation's Tokyo Workshop, which was entitled "Evaluation Feedback for Effective Learning and Accountability" in September 2000. This workshop made a great contribution toward expanded discussion between DAC member countries on feedback of Evaluation Results.

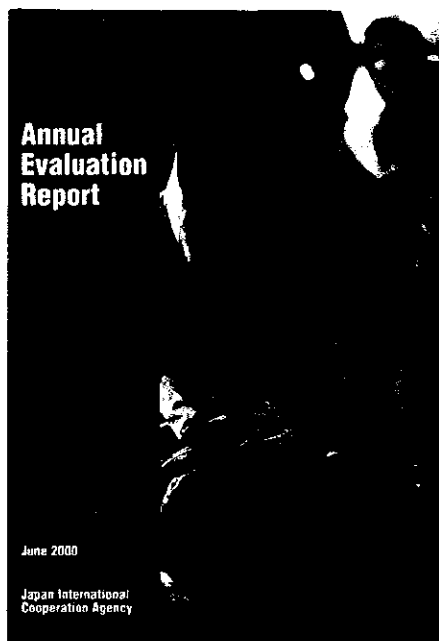
7. Rapid Release of Evaluation Results to the Public

Making the results of evaluations available to the

public in a quick and reliable manner is an essential element of accountability.

Use of the Internet as a means to publicize these results has become more refined as more and more people come on-line. As part of this trend, JICA has been putting a variety of reports, including its Annual Evaluation Reports, on its Internet website. JICA has also been putting an increasing number of its Ex-ante evaluation charts, which are drawn up based on the results of Ex-ante evaluations, on its website.

Furthermore, in order to make this data available to people all around the globe, JICA has been posting English translations of its Annual Evaluation Reports and major evaluation reports on its English homepage since FY2000.

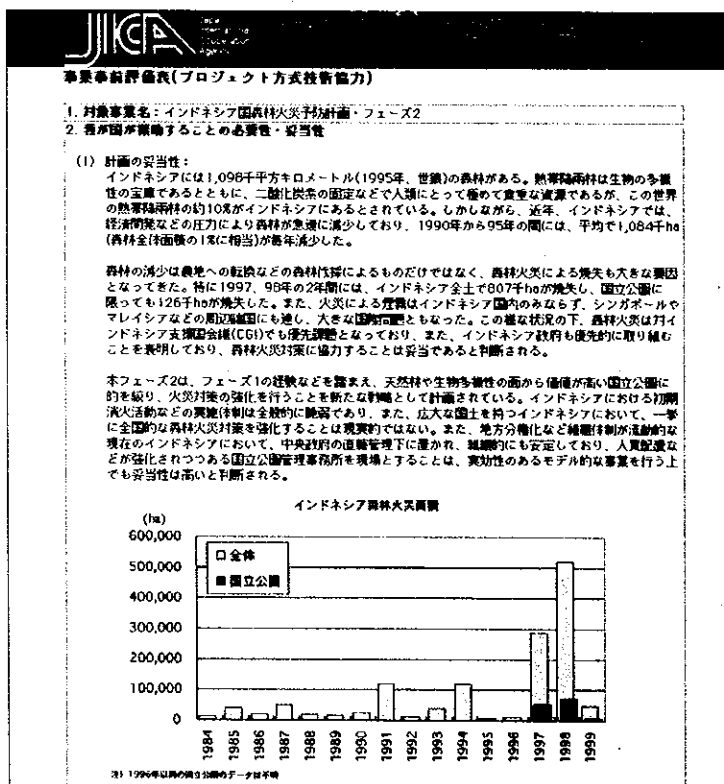


JICA published Annual Evaluation Report in English from FY1999

Box3 Introduction of the Ex-ante evaluation system

In FY2001, JICA introduced the Ex-ante evaluation as an integral part of all projects implemented under its project-type technical cooperation and grant aid schemes, and on a trial basis for its development study projects. This was part of an effort by JICA to establish a uniform evaluation system covering all stages of a project (starting with the preliminary stage and continuing through the mid-term, final, and post-project stages) that would allow greater efficiency and effectiveness.

The results of each Ex-ante evaluation are collected into a "Ex-ante evaluation Chart", which presents an outline, the objectives, and the rationale for adoption for projects JICA plans to implement. These charts are made public on JICA's web site to help it fulfill its accountability obligations as an ODA agency.



A Ex-ante evaluation Chart (in Japanese) listed on JICA's web site

III Evaluated Projects Included in This Report

This report contains the results of 117 terminal evaluations and post-project evaluations implemented by JICA in FY1999.

In FY1999, evaluations were conducted on 206 projects. Among these were 92 evaluations at completion on 92 projects and 25 ex-post evaluations on

114 projects. Among these evaluations, 103 evaluations were conducted on individual projects, and 14 evaluations were on several projects as a part of a program.

Tables 1,2,and 3 below provide a breakdown by region, cooperation scheme, and sector classification.

Table 1: Projects covered by JICA evaluations (by region)

	Asia	Middle East	Africa	Latin America/ Caribbean	Oceania	Europe	Others*	Total
Terminal completion	51	8	9	20	3	1	-	92
Ex-post evaluations	55	1	3	48	1	1	5	114
Total	106	9	12	68	4	2	5	206

*Others" refers to training courses conducted in Japan for training participants from more than one regions.

Table 2: Number of projects covered by JICA evaluation (by cooperation scheme)

		Terminal Evaluations	Ex-post evaluations	Total
Acceptance of Trainees	Training in Japan	-	7	7
	Country-focused training course	2	13	15
	In-country training	2	-	2
	Third-country training program	17	3	20
Dispatch of Experts	Individual experts	-	2	2
	Team dispatch of experts	8	2	10
	Research cooperation	3	2	5
	Pivotal support for important policies	1	-	1
Provision of Equipment (equipment only)		-	2	2
Development Studies		-	39	39
Project-type Technical Cooperation		45	18	63
Grant Aid		13	14	27
Community Empowerment Program		-	5	5
Dispatch of Volunteers	Japan Overseas Cooperation Volunteers (JOCV)	-	5	5
	JOCV team dispatch	1	1	2
	Senior Volunteers	-	1	1
Total		92	114	206

Table 3: Projects covered by JICA evaluations (by sector)

	Planning & admin.	Public works & utilities	Agriculture, forestry & fisheries	Mining & industry	Energy	Commerce & tourism	Human resources develop.	Health & med. care	Social welfare	Others	Total
Terminal evaluation	8	12	25	16	1	5	4	20	1	-	92
Ex-post evaluation	16	36	24	9	1	1	4	13	7	3	114
Total	24	48	49	25	2	6	8	33	8	3	206

IV. Summary of Evaluation Results

The following is an overview of the major characteristics of country-specific and theme-specific evaluation studies and the results of individual project evaluation studies carried out by JICA in 1999.

1. Country-program and Thematic Evaluations

In 1999 JICA implemented country- and theme-specific evaluations to deal with two central issues: how should JICA go about strengthening its country-specific approach, and how should JICA tackle such global issues as support for persons with disabilities and support for people facing poverty and gender issues. In this section, four evaluations are reviewed.

(1) Country-program Evaluation in Mexico

In 1998, JICA finalized out a policy to strengthen its country-specific approach so that it can respond in a fine-tuned manner to development issues faced by each country. This policy also applies to its evaluations, and JICA has been implementing "country-program evaluations" to determine the degree to which its assistance has contributed to the resolution of development issues in each country.

In FY1999, JICA implemented the "Country-program Evaluation in Mexico" to help it 1) improve the quality of evaluations through the development of evaluation methods, and 2) revise the JICA country program.

Using the results of "project-level evaluations" as a base, JICA conducts "evaluations of cooperation schemes", which target projects that share the same scheme, and "sector evaluations", which focus on a number of projects that are being implemented in the same sector, such as mining and manufacturing industries or agriculture. JICA then combines the results of the "evaluation of cooperation schemes" and the "sector evaluation" into a "country-program evaluation". A characteristic element of these evaluations is that there is a five-step grading system for each of the five evaluation criteria of DAC.

The Country-program Evaluation in Mexico pointed out the importance of allocating aid resources to such development issues as environmental measures and conservation, improvement of medical and health care services, promotion of industrial and regional development, and support for South-south Cooperation.

(2) Thematic evaluation: Support for Persons with Disabilities in Thailand

In recent years, there have been demands for a strengthened international framework to support the "full

participation and equality of persons with disabilities in society". This movement has been reinforced by the declaration of the United Nations Decade of Disabled Persons in 1983 as well as the Asian and Pacific Decade of Disabled Persons by ESCAP in 1992.

With the aim of realizing this goal of "full participation and equality of persons with disabilities in society", JICA conducted a theme-specific evaluation in Thailand to examine its efforts to support persons with disabilities, and to help it draw out lessons and recommendations connected with improving future cooperation intended to realize the stated goal. Thailand was selected as the target country because JICA's cooperation in this field has shown steady results there, and because it is expected to be the executing body of expanding cooperation in line with its emergence as a leading country in the Indochinese region.

Among the items identified by the evaluation were as follows: 1) Because people with disabilities know better than anybody else what their needs are, it is important to include their active participation from both Japan and Thailand through all the project cycle, which covers project formulation, implementation and monitoring, and evaluation. And 2) NGOs conduct projects that effectively meet the needs of disabled people. Therefore it is important to collaborate with suitable NGOs to the greatest extent possible and to make use of their know-how.

(3) Thematic evaluation: Poverty and Gender in Agriculture, Forestry, and Fisheries Cooperation in Nepal

JICA implements socioeconomic evaluations and other studies at the planning stage of projects that must include consideration for poverty and gender. Unfortunately, however, utilization of the results of these evaluations at each stage of project implementation



Interview held on a family farm
(Poverty and Gender in Agriculture, Forestry, and Fisheries Cooperation in Nepal)

continues to be left to trial and error at the on-site level.

This evaluation, which was conducted in Nepal, evaluated consideration for poverty and gender in past as well as current JICA projects conducted in the agriculture, forestry, and fisheries field, with the aim of improving consideration for these issues in future projects. At the same time, the evaluation was intended as a tool to draw out lessons learned and recommendations from these projects in order to help JICA develop its strategy for effectively extending the impact of projects to their intended beneficiaries, i.e., local residents.

An important characteristic of this evaluation was that its implementation was entrusted to Nagoya University, and this marked the first time that JICA had commissioned an outside institution to implement one of its evaluations.

The results of the evaluation pointed to the following realizations: Projects that directly target farmers had a large impact on production (raising of income), and there were cases in which the social status of the lower caste appeared to improve. However, there were also projects that resulted in growing disparities between beneficiaries and non-beneficiaries, making it clear that it is necessary to precisely define the target group at the project planning stage.

Looking at gender, the evaluation identified instances where projects had an educational impact on women through fruit cultivation, because this is an activity in which women can easily participate, and because it allows them to encounter new technologies. However, the fact many of the women in Nepal's rural society are illiterate makes it difficult to establish a base for sustainable development without literacy education. The evaluation therefore led to a reconfirmation within JICA of the importance of active engagement in literacy education for

women.

(4) JICA-UNDP Joint Evaluation (Poverty in Tanzania)

JICA and the UNDP have been building a collaborative relationship in a variety of forms since 1988, and in November 1999, both sides agreed to implement an evaluation on the theme of poverty in Africa. A factor leading to the selection of this theme was the fact that poverty was clearly identified as a priority issue at the Second Tokyo International Conference on African Development (TICAD II), which was held in Tokyo in October 1998, and this means that JICA must work to strengthen its support for effective poverty reduction in the future. This coupled with the fact that the UNDP has made poverty reduction the overall goal of its operations, and the fact that it has accumulated considerable experience in performing evaluations in the field of poverty, led both sides to form a joint team to perform an evaluation intended to "draw lessons for promoting poverty countermeasures in future projects."

This evaluation was the first time that JICA had obtained subjective information on people's perception of poverty and of their awareness of project impact through use of a variety of participatory methods.

The results of the evaluation helped JICA make the following realization. While it is desirable to take a "multi-sector" or "comprehensive" approach in projects, it is not practical to implement this kind of project in a single stroke. That is why it is important to focus activities on a specific sector while at the same time taking steps to identify possibilities for coordination with activities in other sectors and regions or with other donors as part of an effort to gradually expand social awareness of poverty.

2. Evaluation of Individual Projects

Below is a general overview of the results of evaluations carried out on 103 individual projects. Emphasis is placed on the following perspectives: 1) achievement of the project purpose, 2) project impact, and 3) sustainability following the completion of cooperation.

(1) Achievement of the project purpose

1) Outline

Nearly all of the evaluations indicated that their projects had either achieved their purposes or were expected to do so before the end of cooperation.

Also, while the evaluations of eight of these projects concluded that they had not achieved a portion of their purposes before the end of their implementation periods, in every case some sort of follow-up is being carried out.

Examples of projects that achieved their project purposes include the "Maternal and Child Health Project" in Cambodia, which was successful in reducing



Survey of local residents using the participatory study method ("ten stones"). (Joint JICA-UNDP Evaluation (Poverty in Tanzania))

the infant mortality rate in its model region, and "the Agricultural Extension Improvement Project in Gambaha", Sri Lanka, through which agricultural extension activities helped to raise the incomes of local farmers.

One example of a project that did not achieve its project purpose is "the Reproductive Health Project in Nghe An Province" in Vietnam. While this project resulted in some improvement to health indicators, this improvement did not reach the levels that were established in the project's original plan.

2) Factors that promote achievement of objectives

a) Smooth communication among project personnel

One of the primary factors behind successful achievement of project objectives is smooth communication among all persons connected with the project. This kind of communication leads to building of trust between experts and counterparts, which allows them to work together toward common objectives. The results of the evaluation of "the Plant Virus Research Project" in Argentina indicate that it is a good example of how this works.

As part of this project, short-term experts were recruited from the same institutions reviewing trainees in Japan, and were sent to Argentina to hold preliminary meetings with Argentine counterparts on the content of the training they would receive in Japan, as well as conduct technical transfer. These meetings made the implementation of more effective and efficient counterpart training possible, and as a result, the 20 counterparts that received training in Japan became the driving force behind the project when they returned to Argentina. In addition, because the long-term Japanese experts assigned to the project kept in extremely close contact with the counterparts, a strong relationship built on trust was formed among all persons concerned.

This led not only to the establishment of methods for diagnosing pathogenic viruses that affect crops, but also to a completely unexpected result: identification of a new viral species. These successes have helped develop the research center which was established under this project into a leader in plant virus research in Latin America.

b) Formation of agreements between project personnel that make use of participatory methods

"The Community Health Project in Thailand employed an implementation method known as "participatory action research" in its activities. Under this method, the project team, concerned agencies, and local residents worked together to conduct studies and implement sub-projects for improving regional health services. Because this participatory method made it easy to form agreements among all concerned, all of the sub-projects were carried out successfully. The project used these results to formulate recommendations for the establishment of a public health service system within the national health care policy, which were submitted to concerned government authorities. By doing this, the project had achieved its project purpose: "to establish a beneficial health care system in Thailand."

c) Flexibility to changes in situation

Responding flexibly to changes in the project environment by revising plans is also a key to successful achievement of the project purpose. For example, as part of a project entitled "the Industrial Property Information Center" in Thailand, JICA extended technical cooperation to the Thai Ministry of Commerce's Department of Intellectual Property for the establishment of an industrial property information facility having a computerized data system. However, while this was taking place, there was a rapid expansion in use of the Internet in Thailand. In response to it, a change was made to the original project plan to include technical cooperation for introduction of Internet networking technology. This change allowed the Center to effectively disseminate industrial property information, and the project was able to achieve its purpose, which was "improvement of the Department of Intellectual Property's capacity to handle information on industrial property rights."

d) Other factors

Other factors that must be mentioned include conducting training courses focusing on specific regions ("Environment-cared Vegetable Production and Distribution" in China), and production of construction manuals that contain many illustrations and are easy to understand for local workers as well as implementation of high-quality construction (Project for Improvement of the Facilities for Primary Education (phase IV)(Stage 1/2) in Vietnam). In each of these cases, flexibility in planning and management to respond to local conditions and needs were key to project success.

3) Factors that inhibit achievement of objectives**a) Delay in implementation of input**

Two projects that did not fulfill all parts of their project purposes were "the National Center for the Environment" in Chile and "the Kenya Institute of Surveying and Mapping Project." Because delays occurred in the construction of facilities necessary for these projects, the commencement of technical cooperation was also delayed. This meant that technology and capabilities were not properly established in the target facilities by the end of the cooperation.

b) Changes in external conditions

One example of a project that could not fulfill its purpose because of changes in external conditions was "the Project for Conservation of Sand Dunes and Desertification Control of Semi-Acid Areas in Rio Grande do Norte". Two years of the project's three-year cooperation period were marked by severe drought, and this prevented the project from achieving its goals.

c) Other factors

Many of the projects that were unable to fulfill a portion of their objectives had cooperation periods of three years, which is a relatively short period of time, and it was indicated that the cooperation periods were too short to adequately attain successful results.

In addition, even projects that have fulfilled their purposes were found to have been influenced by a number of obstructing factors. Taking "the Early Detection of Gastric Cancer project" in Costa Rica as an example, this project involved a framework in which several bodies were assigned as recipients of cooperation from JICA. Because some of these bodies did not have sufficient human resources to coordinate activities with the others, it was difficult to obtain the necessary collaboration. This situation was mentioned as a hindering factor in the project's evaluation.

(2) Project impact**1) Outline**

The evaluations conducted confirmed that nearly all of the 103 projects implemented brought about positive changes in the target areas and other regions.

However, some projects were found to have factors that blocked manifestation of project impact at the time of their evaluations. One example of this is the Grant Aid project of "the Project for the Restoration of Rural Areas in Zapotitan" of El Salvador. While this project succeeded in establishing irrigation facilities in the region, it did not adequately establish and extend a cultivation technology framework, nor did it sufficiently set up a distribution system. Therefore, the project's activities did not lead to satisfactory achievement of its overall goal. Another example is the Third-country Training Program of "Electronics Control for teachers" in Mexico. Some ex-trainees could not apply transferred know-how due to a

lack of equipment and materials of their countries. The reason these projects fell short of expectations is that they did not possess the environment needed to properly manifest impact.

2) Examples of project impact**a) Establishment of an implementing organization**

Many of the technical cooperation projects showed results in elevating the position and role of their implementing organizations within the governments of the target countries by improving their technical capacity. For example, in "the Brazilian Institute of Quality and Productivity", technical transfer took place to improve the productivity of the Brazilian Institute for Quality and Productivity (IBQP Parana), located in the state of Parana. As a result of this activity, IBQP Parana has received requests from Brazil's Ministry of Industry and Commerce and others to implement projects created along government policy to strengthen the competitiveness of the country's enterprises, to promote exports, etc. In 1999, which was the fourth year of the project, an agreement was reached to integrate IBQP Parana with IBQP National; this agreement authorized IBQP Parana to work not only in the state of Parana, but also at the national level as a productivity institution. Furthermore, in 2000, IBQP Parana held a "Latin American Productivity Seminar", to which it invited personnel from eight countries in Central and South America. Through activities such as this, IBQP Parana is serving as a driving force in the establishment of a regional network on productivity.

b) Building of a cooperative relationship with other agencies

The evaluations identified many cases in which projects helped their implementing organizations form cooperative relationships with other agencies through the implementation of project activities in collaboration with these agencies. An example is "the Health and Medical Care Delivery System in Santa Cruz project" in Bolivia. The objective of this project was to help the "Santa Cruz General Hospital provide appropriate medical service to the citizens of Santa Cruz (and especially to the impoverished class) as a part of the regional medical care system." As a means of achieving this objective, the Santa Cruz General Hospital worked with hospitals in other departments and cities to establish a patient transfer system and an emergency medical care system. This led to the establishment of a cooperative relationship among the various institutions involved, which had a direct effect on improvement of Santa Cruz's medical care system.

c) Contribution to government policy

The evaluations revealed that there were several instances in which projects contributed to the formulation of government policy. For example, "the Project for Strengthening of Food Sanitation Activities" in Thailand succeeded in improving the ability of the Ministry of Public Health's Department of Medical

Sciences and Food and Drug Administration to perform research on food safety and to offer guidance to food processing plants. The fruits of this activity are being incorporated into the drafting of Thailand's National Food Safety Program.

Another example is "the Maternal and Child Health Project" in Cambodia, which was the first to introduce a system for collection of fees from patients receiving medical services into the country. Through this project, the National Maternal and Child Health Center, which is the implementing organization for the project, became able to obtain 60-80% of its revenue through such fees. The success of this project led the Government of Cambodia to adopt the Center's system as a model to be used in other hospitals.

d) Extension of technology

The evaluations showed that, in many projects, the implementing organization was making the technology and know-how it gained available to other government agencies, private enterprises, and citizens by holding training courses, by releasing databases that it has developed, or by publishing manuals among other means. An example is "the Project on Research and Training Center on New Technology for Housing" in China. Under this project, a manual on execution management was prepared at Harbin Architectural University which was one of the executing bodies of the project. This manual was later bound into a printed book, which is now being used by a variety of people involved in the field—from students to business persons working in the construction industry—, and which contributes to improve and extend the technology that was provided through the project.

The evaluations also confirmed that the personnel from neighboring countries, who participated in JICA's Third-country Training Program extend the acquired know-how and skills in their own countries in a number of ways, which include giving instruction to colleagues, holding seminars, and formulating new projects.

There are already a number of cases in which visible change has occurred as a result of extension.



Farmers that succeeded in growing a variety of vegetable crops using cultivation technology they acquired through a JICA project (the Rural Development Project in the Blas Garay Colony and Its Influenced Area)

One example is the previously mentioned "Plant Virus Research Project" in Argentina. Through the Institute of Plant Pathology and Physiology, the project has disseminated virus-resistant plant varieties throughout the country, and this has led to a reduction in the amount of maize crop lost to Mal de R o Cuarto Virus.

e) Improvement of living conditions

Many technical cooperation projects put the first priority to capacity building of government agencies, and thereby they tend to take some time for their benefit to reach the local people. However, in fields that provide services directly to local people, such as health and medical care and agriculture, the evaluations revealed that a number of projects have had a positive effect on the lives of local residents during their cooperation periods.

One of these projects is "the Highland Aquaculture Development Project" in Papua New Guinea, which had an enormous impact on the lives of the local residents during its short three-year implementation period.

This project used the government-established Aquaculture Development Center as a base to promote small-scale cooperation. Project's activities helped the Center make major improvements in its ability of seed production while also extending small-scale aquaculture of carp and rainbow trout to regional farmers. As a result, the farmers who had depended largely on sweet potatoes for their major source of food began eating fish now, and this allowed them to increase their intake of animal protein. The project also caused changes in the farmers' lifestyle by creating new opportunities to create cash income through self-sufficient farming. These benefits draw the attention of not only farmers living in the highlands areas, but also those living in the coastal regions, and this has led to expectations that small-scale cultivation can be expanded nation-wide in the future.

In addition, the evaluations of Grant Aid projects for construction of water supply facilities, schools, rural roads, and other facilities showed that nearly all had a direct impact on the lives of local residents by lightening the labor required to draw water, improving the educational environment, etc. And this has improved the living condition of the people in turn.

A specific example of this is "the Project for Water Supply Systems Improvement in Rural Areas", which was implemented in Senegal. Water supply facilities established under this project facilitated local people taking the initiative in beginning new self-help activities to help themselves. The project repaired the regional water supply facilities of 10 villages and built two maintenance centers, and contributed to stably providing safe drinking water for people and water for farm animals. In the towns receiving this water, women's groups keep excess water in order to use for growing vegetables with a grant from the Ministry of Agriculture. Among other endeavors, there is an attempt underway to provide group childcare as a means of making communal

cultivation of vegetables easier.

Evaluations also showed that Japan Overseas Cooperation Volunteers (JOCV) who often work directly with local residents, have had the similar effects. One example is "the Implementation Support for Integrated Areas' Development Project in the Barru District of Indonesia". It helped bring about an increase in the number of merchants that come to villages due to improving market places. Another example is "the Teputepu Vegetable Project" in Papua New Guinea, which, by raising incomes through extension of vegetable cultivation skills, helped residents buy better clothes.

f) Impact on WID and Gender

"The Project for Family Planning and Women in Development" in Jordan recruited young local women in their 20s as regional development promoters to lead an education and extension seminar. This allowed women to participate in health care and social activities, and to be exposed to new experiences. At the same time, by inviting religious leaders who have a powerful influence in this Islamic society to serve as seminar lecturers, the project succeeded in gaining an understanding of family planning from not only men in general, but also from local religious leaders.

(3) Prospects for sustainability following the end of cooperation

1) Outline

Evaluation of project sustainability generally involves the following three aspects: organizational and institutional, technological, and financial.

This report covers 103 JICA projects, which are 100 individual projects and 3 Country-focused Training Course projects. 49 of 100 individual projects were evaluated as having a high degree of sustainability in all three aspects. The remaining projects were found to have some weak points in one or some of these aspects that needed attention, and their evaluations presented recommendations for improvement.



An expert giving a lecture on pregnancy and childbirth mechanisms for women to regional development promoters (Project for Family Planning and Gender in Development in Jordan)

a) Organizational/institutional Sustainability

Many of the projects were deemed to have no problem in terms of organizational and/or institutional sustainability. Taking the previously mentioned "Productivity and Quality Improvement Project" in Brazil as an example, the organization of the implementing body (IBQP Parana) was strengthened through implementation of the project, and this helped secure the institutional status of IBQP Parana in Brazil. Nevertheless, examples of projects in which organizational/institutional concerns remain are "the National Waterworks Technology Training Institute Project (Phase II)" in Thailand, which has an undefined position within the government, and "the Project of the Training Center for Instructors of Vocational Training of the Ministry of Labor" in China, which does not have the authority to issue academic degrees, and has to depend on cooperation from other institutions.

b) Technological Sustainability

In terms of technological sustainability, it is evaluated high when there is reasonable certainty that the counterparts would establish the technologies in the executing bodies after the completion of technical transfer. In the case of Grant Aid, evaluations emphasized that the facilities and equipment that were constructed or established through cooperation were being appropriately maintained even after completion of the projects.

c) Financial Sustainability

This third aspect of sustainability is the one that had the poorest performance in the evaluation. In particular, in countries that are reducing their national budgets due to financial crisis and other problems, it was found that the financial sustainability of many projects that had depended on government funds for their operation was questionable. Furthermore, in many countries currently undergoing decentralization. There were many instances to be worried about projects' sustainability where the implementing organizations of projects are local governments with a weak financial foundation.

In order to secure financial sustainability, it is vitally important for the implementing organization to have its own revenue resources, such as operations fees, fees for research entrusted to it, training fees, and medical service fees. While not covering all of their operating expenses, at least nine projects in this report were able to bear a part of their operating expenses with their own financial resources.

2) Factors that promote sustainability

a) Securing independent revenue resources

"The Industrial Energy Conservation Project" in Argentina is an example of a project expected to obtain all of its operating expenses through its own revenue sources. The project gave its implementing organization, the National Institute of Industrial Technology's Energy Research and Development Center (CIPURE), the ability to receive orders, which do diagnostic inspections of

factories in order to promote energy conservation, and to hold training courses. These services have been well received by the firms that request them as well as by companies that participate in its training courses, and the number of firms wishing to participate in CIPURE training has been steadily increasing. CIPURE receives fees for its providing diagnostic examinations and training. These fees should allow CIPURE to secure the funding it needs even after completion of cooperation from JICA.

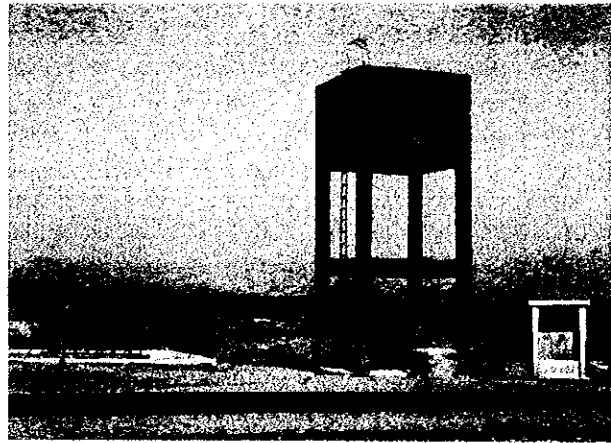
b) Establishment of project management capacity

In the case of grant aid projects, the focus of activities is placed on the "hardware" side of cooperation, in other words, the construction of facilities and installation of equipment and materials. However, many of Grant Aid projects promoted their sustainability by being implemented with technical cooperation projects which provided guidance in management and maintenance. One example is "the Project for the Improvement of the Faculty of Dental Sciences in University of Peradeniya" in Sri Lanka. This project provided Grant Aid to construct a building for the Department of Dentistry and install educational equipment and materials from FY1995 to FY1997. Later, in February 1998, a project implemented under JICA's Project-type Technical Cooperation scheme "the Dental Education Project at the University of Peradeniya" commenced in order to ensure the effective use of building and equipment. Also the process that the Project-type Technical Cooperation team and the faculty of the University of Peradeniya worked together on this project, had the effect to encourage the University's project management skills.

With regard to the maintenance of facilities constructed through Grant Aid, the "Rural Water Supply Project" in Morocco and "the Minipe Nagadipa Rural Development Project" in Sri Lanka are opposite examples. Both of these projects involved provision of water needed for daily life through construction of wells. These projects were evaluated at different times after completion of the first phase of construction: six years for the former and 11 years for the latter. Despite this, it found that wells constructed under the Moroccan project were exceedingly well maintained and managed, while there were some problems with the maintenance of the wells built in Sri Lanka.

Looking at how the maintenance and management framework for "the Rural Water Supply Project" in Morocco was established, individual experts from Japan provided technical guidance to the Moroccan side following the transfer of equipment for wells, and this contributed to the project's high degree of sustainability.

Furthermore, the Moroccan Government had placed great importance on sustainability of the project since the beginning and thereby planned for the participation of the local people in order to stimulate their self-development using the wells. The government's basic policy states that



A water tank with a solar panel (Rural Water Supply Project in Morocco)

villages without a water management committee should not receive water supply facilities. This has meant that villages received such facilities have established maintenance and management frameworks based on a high awareness of the importance of water management, and as a result, these villages are working on their own to provide water to each household and to neighboring villages.

3) Factors that inhibit sustainability

a) Weakening implementation structure and financial base due to decentralization

The evaluations indicated that many projects had difficulty securing financial sustainability, particularly in cases which the implementation body moved from the central level to the regional level as a result of decentralization.

An example is "the Agricultural Statistical Technology Improvement and Training Project" in Indonesia, the implementing organization of which is the central government's Agricultural Data Center. Under decentralization, the regional government is responsible for payment of the majority of costs for statistical management. This raises the possibility that the foundation for continuation of project activities will become unstable during the transfer period.

b) Improper establishment of the management and equipment/supply maintenance structures

One example here is "the Port Hydraulic Research Center project" in Turkey. The project's counterparts obtained nearly all of the experimentation technologies related to port construction that were required, which was a necessary condition for fulfillment of the project's purpose (i.e., "establishment of the Port Hydraulic Research Center"). However, the project included neither cooperation to establish a management structure for research activities nor a framework for the maintenance of supplies and equipment, because the project was planned that these activities had to be undertaken by the Turkish side. In the end, these items were not established as required, and the Center has therefore not realized satisfactory sustainability.

3. Follow-up after Project Completion

Evaluations carried out on individual projects often point to the necessity for additional cooperation (Follow-up) in order to achieve the project purpose or to support the sustainability of cooperation. Based on this, JICA has implemented the following types of follow-up cooperation.

1) Extension of the cooperation period

The cooperation period is mainly extended for projects implemented under such schemes as Project-type Technical Cooperation and Third-country Training Program. In the case of the Project-type Technical Cooperation scheme, this applies to projects either which have not adequately achieved their project purposes during the original cooperation period or which have not properly realized sustainability. In these cases, the project period is extended for a period of one or two years. One of 45 projects under Project-type Technical Cooperation scheme in this report had its cooperation period extended.

Furthermore, some projects with multiple objectives leave a portion of these objectives unattained. For these projects, follow-up cooperation is implemented only in the fields in which activities fell short. Six projects included in the report which were implemented under the project-type cooperation scheme received this kind of follow-up.

In the case of Third-country Training Program, cooperation period is extended for a course that has particular importance to the participating countries. Four of the 17 Third-country Training Program projects presented in this report had their cooperation periods extended.

2) Formulation and implementation of new projects

In order to expand the impact / outcome of a project within the target country or to surrounding countries, there are cases in which new projects are begun. Sometimes they involve the implementation of a second phase of Project-type Technical Cooperation or an entirely new project under this scheme in a related field. In other cases it might involve employment of a new cooperation scheme, such as Project-type Technical Cooperation utilizing the facilities established by a grant aid project, or Third-country Training Program to expand results of a particular project to neighboring countries.

The projects listed in this report led to the implementation of 13 new projects under the project-type cooperation scheme, three projects involving the Dispatch of Individual Expert, seven Third-country Training Program courses, and one in-country training course.

3) Dispatch of experts and JOCV/acceptance of training participants

There are some cases in which supplementary cooperation is needed in order to secure the sustainability of projects. These cases often involve providing guidance and recommendations on project management and maintenance of equipment and supplies. In the event that

this is necessary, JICA dispatches individual experts or Japan Overseas Cooperation Volunteers (JOCV) to the project site, invites project counterparts to Japan for training, or implements other forms of assistance. Of the projects covered in this document, 14 involved the Dispatch of Individual Expert while three involved dispatch of JOCV, and one involved the acceptance of counterparts for training in Japan.