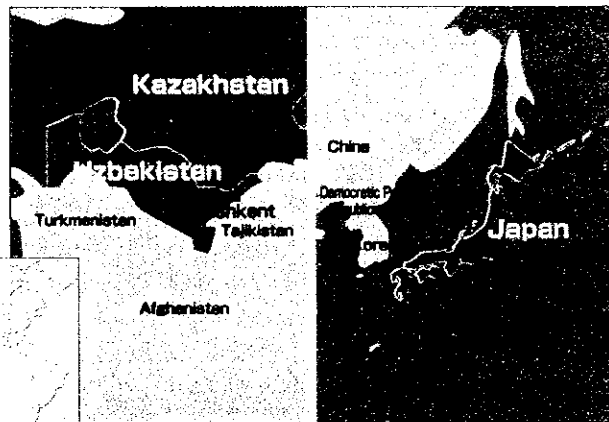


Support for Transition to a Market Economy



Project Site Japan

1. Background and Objectives of Evaluation Survey

JICA implemented technical cooperation programs in the form of Japan-based training for Uzbekistan and Kazakhstan to help smooth the transition to a market economy. A third party evaluated the cooperation programs for their objectivity and transparency. The effect and impact of JICA's projects were analyzed comprehensively, which then lead to lessons and suggestions for improvement.

The evaluation team was lead by an editorial writer of the Sankei Shinbun, Keiko Chino, who visited many project sights as a journalist.

2. Evaluated Projects (Training Courses)

- **Macro Economics (Central Asia · Caucasus)**
(16 January 1998-7 February 1998, Country-focused Training Course)
- **Farm Produce Marketing (Central Asia)**
(20 August 1997-10 September 1997, Country-focused Training Course)
- **Environmental Administration (Central Asia)**
(9 March 1998-23 March 1998, Country-focused Training Course)
- **Business Management (Central Asia)**
(3 February 1999-12 March 1999, Country-focused Training Course)
- **Seminar on Regional Development (Central Asia)**
(28 February 1999-24 March 1999, Country-focused Training Course)
- **Development Finance**
(Central Asia and Caucasus) Country-focused

Training Course (From 28 November 1998-23 December 1998)

3. Members of Evaluation Team

Team Leader:

Keiko CHINO, Editorial Writer, Sankei Shinbun

Evaluation Planning:

Aiichiro YAMAMOTO, Deputy Managing Director, Office of Evaluation and Post Project Monitoring, JICA

Interpreter:

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4. Period of Evaluation

23 June 1999-7 July 1999

5. Method of Evaluation

Interview were carried out for nine out of 157 ex-trainees from Uzbekistan and nine out of 149 ex-trainees from Kazakhstan, who participated in JICA's training held in JAPAN between 1993 and 1998 to support the transition to a market economy. In addition, interview for the leaders of the implementing organizations were conducted.

6. Results of Evaluation

(1) Introduction

At the end of June, we left Narita for the first destination, Tashkent, the capital of Uzbekistan, by way of Frankfurt. The route through Frankfurt was safer and more reliable than through Moscow, which was the

standard route.

The transport situation reflects the flow of people and goods. The availability of the above route shows that Central Asia was getting closer to Western countries, and not relying solely on the former Soviet Union countries as in the past era. At the same time, it was also true that the influence of Soviet Socialism, which had existed for 70 years, still remained. Democratization and market liberalization should have progressed in the conflict between these streams.

"What can be a detonator for the reform, then?" and "What is Japan's role in the reform process?" I considered these questions when I visited Uzbekistan and Kazakhstan for this third party evaluation.

We visited Tashkent, the capital, and Samrkand in Uzbekistan, then moved to Kazakhstan to visit Astana, the Capital, and Almaty. We mainly interviewed trainees who participated in the seminars on market economy held by JICA, but also counterparts in the government (especially counterparts in JICA's projects), Japanese project staff, and journalists in both countries. We report on Uzbekistan first, then present the report on Kazakhstan.

(2) Uzbekistan

1) Innovative approach to support the transition to a market economy

First, we interviewed Ghaniyev, the Minister of Foreign Economic Relations. He was also the representative of the Japan-Uzbekistan joint committee on the economy and one of the ministers familiar with Japan. The minister strongly expressed the difficulty in shifting to a market economy smoothly in the short term, and mentioned "Kalimov" which is the five principles of reform.

The principles, named after the current president, Kalimov, were often mentioned not only by counterparts in government but also by former trainees. Although it sounded as if it were a kind of socialism slogan, it is worth listing the principles since they summarize the nation's current situation and desires completely.

- a) De-ideologicalization of economy
- b) Government-led reform (the government should carry out the reform by addressing the issues one-by-one in order of importance and according to the plan)
- c) The importance of legal preparation for the

reform.

- d) Social Protection (to prevent dropouts)
- e) Gradual transition to market economy

A prudent and cautious approach is the main theme in the above principles. As a matter of fact, the New Stand-by Agreement was not signed while Uzbekistan was still in negotiation with the IMF. Uzbekistan was trying to avoid a chaotic situation, such as that which happened in Russia.

It was believed that drastic reforms would cause societal instability. Though Uzbekistan was known as the most politically stable country among the five Central Asian countries, there was actually a car bomb incident in February 1999 and the related trial was in progress. The incident and the trial were rarely reported in the media. When I pressed the shutter of my camera in a part of the office of the president, guards rushed to me, demonstrating the sensitivity of authorities.

Meanwhile, Ms. Saidova, Head of International Analysis Department of Cabinet of Ministers, indicated the unemployment issue was important now and in the future.

He said, "the gap between the rich and the poor became larger since the country shifted to a market economy. While people can earn cash and beggars have disappeared from the cities, the situation became worse in rural areas. Though unemployment is not high according to official statistics, in actuality it is high in rural areas. We need to keep a 7 percent GDP growth rate to double national income in a decade. We need to invest for the future so that we can expect foreign direct investment to compensate for lack of funds. To attract foreign direct investment, legal preparation is indispensable."

Considering the situation, the projects implemented by Japan and JICA were much appreciated by the government counterparts.

Minister Ghaniyev said, "Japan cooperated with Uzbekistan by sharing its economic experience and strategies. It would be a great contribution for the reform of Uzbekistan if Japan could introduce to Uzbekistan its recovery process and experience after World War II.

The chief of the Department for Coordination of External Economic Activity of Cabinet of Ministers of Republic of Uzbekistan, Muhidov, who was the

focal point for JICA's projects, said: "Until four years ago, we had difficulty working with JICA since we were not familiar with JICA's cooperation schemes. As time passed, we became familiar and gained a mutual understanding with JICA. When we dispatch trainees to Japan, we select those who are younger and more passionate about learning new things. We expect a greater number of trainees will be accepted and more programs will be implemented in the future. As the major aim to improve the economy is to increase exports, we need staff who have a knowledge of marketing. We anticipate that courses for marketing will be held."

From the viewpoint of mutual understanding, the chief Muhidov mainly appreciated the fact that a local JICA office, which is the first JICA office in Central Asia, opened in Tashkent in March 1999. He said the opening of the office brought Japan and Uzbekistan closer. The office was welcomed by former trainees and journalists, as well. It seemed they felt that through JICA, Japan had become closer. One journalist believes that JICA's office can be a catalyst for improving the relationship between Japan and Uzbekistan.

Another interesting point made by interviewees in various positions was that Japan and Uzbekistan have many things in common.

The chief Saidova said: "The mentality of our people is similar to that of East Asia. We respect our elders, take pride in our history and love our culture. So do the Japanese."

The chief Muhidov said: "Historically, Central Asia has had connections with Japan. The cultural exchange through the Silk Road brought Central Asia and Japan closer. Although we dispatch many staff as trainees to Germany, France and other EU countries, we would prefer to send our staff to Japan for the same type of training." Then he added: "In Uzbekistan, more and more people are interested in studying Japanese."

Ms. Nashiba Bakhromovna, one of the former trainees, commented: "After visiting Japan, I was impressed that Japan is quite similar to Uzbekistan. That is why Uzbekistan has to make an effort to catch up with Japan. The president says we have to learn from Japan's experience. However, we need some time to catch up. It is similar to a child needing time to stand after he is born."

Mr. Sirojh Azizov, another trainee, said: "Though the people of Uzbekistan are Muslim, our mentality is similar to Japanese in the sense that both of us respect our elders and we are conscious of the group or community that we belong to. In Uzbekistan, we belong to a local community, which is a mutual-reliant group called Mahalla. In addition, Uzbekistani are diligent and not so aggressive, similar to Japanese."

A Journalist interviewed said: "Japan's experience is quite important for Uzbekistan. Both peoples are hard workers and our livelihoods have been based on agriculture. Farmers can't be lazy. At the beginning when our country gained independence from the Soviet Union, we regarded Turkey as a model. However, we found the country inappropriate as a model considering the differences in our educational and scientific capacities. Neither can China be a model since our reform is not the same as their socialism-market economy. Therefore, we feel we can learn more from the experience of the four Asian tigers (Singapore, Taiwan, Hong Kong and Korea), which learned from Japan's experience. Some call Uzbekistan 'the tiger of Central Asia', comparing the country with the four Asian tigers."

In some ways, their beliefs seemed biased and lacking understanding. But they showed their familiarity with Japan, while the Japanese are not so familiar with Uzbekistan.

2) National Academy for Social construction (as a center for education and training)

One of JICA's major projects in Uzbekistan is the Pivotal Support for Important Policies, which is training for promoting the transition to a market economy. The center for the project is the National Academy for Social Construction, built in Tashkent in May 1999 for retraining public servant executives. While Central Asian countries became independent due to the dissolution of the Soviet Union, regular members of the old regime remained in the administration and their activities remained nearly the same even after socialism ended. This fact was an obstacle to reform.

The academy established a new department in 1998, International Relations and External-Economy, adding to the two previous departments, National Social Construction and Market Economy. Participants of the courses held various positions such as deputy mayor, bureau chief, deputy manager of state government, directors of private companies, and leaders of social

organizations. Their ages ranged from 25 to 35 years old. Principally, their positions were ensured while they attended the courses, and they returned to their offices after the training.

Many of the trainees already participated in intensive courses at this academy before coming to Japan. Some of the trainees were from the academy. We wondered how meaningful the training in Japan was for staff of the academy, which was established as a leading organization for the economy of Uzbekistan. The following are comments made by academy staff who participated in the training course in Japan.

Mr. Nabiev, Dean of Market Economy Department, National Academy of Social Construction said: "It was profitable to engage in discussions with some leaders from JICA. The training program was well designed, containing many subjects, and its schedule was neatly planned. I was also impressed with the fact that Japanese people understand their role and take responsibility to play that role.

Mr. Gafurov, Rector's Assistant of National Academy of Social Construction said: "I'm interested in the lifetime employment system. The position of staff should be rotated every two or three years. It takes time for each staff to become a capable manager in the system."

Mr. Ergashev, Dean of National Academy of Social Construction, said: "I was impressed with people's loyalty and responsibility to their job of which I feel Uzbekistani are short on. I admired the fact that Japanese grow accustomed to and are proud of their culture when I found a variety of people, including families with their children, in the national museum. Based on this experience in Japan, I could manage to improve the program of the Academy, adding a study course on the culture of Uzbekistan."

We interviewed Ms. Tomoe Tamiya, a long-term expert of JICA who worked as a coordinator to manage courses in the Academy. "At first it was difficult for participants even to come to class on time. Now, they have become more independent", she said, remembering the ways in which the students had grown. "Elderly people are accustomed to a planned economy. Their future is dependent on the younger generation. It may take one or two generations until the reform is completed. Uzbekistan has been independent for only 10 years. Results will be achieved someday," she said with expectation.



Interview for ex-trainees

The training and education of people are the base for the construction of a nation, and time-consuming work. They are not like the construction of infrastructure which does not require long-term effort. It is often difficult to see progress, which can be irritating. Experts require patience and a long-term vision. It was impressive that there were a number of women like Ms. Tamiya in JICA's projects and that they grasped the reality of looking at the long-term.

3) Interviews with former trainees

We interviewed individual former trainees, in Tashkent and Samarkand. We summarized the issues raised by the interviewees in the following five topics.

a) The propagation of Japan's economy

The trainees had strong impressions about Japan from their short stays. In many cases, they shared their knowledge and impressions with their colleagues after the training. President Kalimov also recommended this sharing. Ms. Nashiba Bakhromovna, a judge in Samarkand, said: "I keep studying the language, culture and history of Japan, in my office with my colleague." Colleagues who became interested in Japan following the training also attended the interview.

Mr. Ulugbek Yusupov, who participated in the Country focused Training course "Transport" for Central Asia, said that he introduced his experience in Japan when he traveled to other areas in Uzbekistan on business.

"When I was asked what Uzbekistan could learn from Japan at the end of the training course I answered 'the lifestyle of Japan'. The impression I got in Japan was much stronger than that I got in Europe and East Asia. Japanese are so diligent that Japan is a

wealthy country. We need to learn from Japan's experience as we are independent."

Many members wrote about their experience in Japan in newspapers and magazines. Mr. Abay Kalavaev, Chief of the Department of Ecology, National Air Uzbekistan Company, who participated in the course "environmental management in airports", twice wrote about his experience in a technical journal of aviation, particularly about his observations of the Narita, Haneda and Kansai airports, and the activities of the Ministry of Environment, including garbage incineration and recycle techniques, and machines utilized for the purification of water and air conditioning. The articles had a big impact since the magazine was distributed to airports throughout the country.

In Uzbekistan, ecological awareness was still lacking in official places such as airports, while a computer system had only recently been introduced. We recognized that the training in Japan was a great opportunity for Mr. Abay Kalavaev to enhance his own consciousness as a professional.

b) The introduction of Japan's experience

Trainees were not only disseminating their experiences in Japan, but also trying to utilize them. Mr. Guzel Khakimova, training manager of Market Skills Development Training, was making a new program for his course, by applying the knowledge he gained in the course "management operation". Mr. Ulugbek Yusupov adopted a Japanese style writing test for employing drivers in his organization, Corporation Uzavtrans Board of Road Traffic Safety. Ms. Nashiba Bakhromovna, strongly impressed with the training of workers in Matsushita Electronics,

said: "Training motivates workers. I would introduce that type of training system if I were authorized to do so." However, there were some cases where such aspirations were unsuccessful due to the different conditions.

c) The difficulty of introducing a market economy

It appeared that trainees realized again the difficulty to introduce a market economy after they returned home. Mr. Guzel Khakimova said: "First we must motivate people to change their minds, which are stuck on old ideas. But, this is actually the most difficult task."

Mr. Sobir Ravshanov who participated in "the seminar on regional development", pointed out the issue of people's psychology, saying: "Many small and medium scale enterprises emerged at one time after the dissolution of the Soviet Union, then disappeared one by one over time. Despite the fact that they had been given favorable treatment, entrepreneurship was not yet a part of their mindset."

However, he continued: "As Japan endured a difficult time after World War II, Uzbekistan will also have to endure a hard time. We hope that in the future we can tell our descendants the history of struggle in which we contributed to the construction of the country."

d) The importance of program balancing both theory and practice

The duration of training courses ranged from two weeks to one month. Most of the interviewees said the duration was too short. A more important point raised by interviewees was that the program should be well balanced with theory and practice. Some of the training programs were short on academic classes, instead offering many field trips, while others contained too many classes. The training programs should be well balanced with both academic classes and field practice related to trainees' actual jobs. This would ensure that all trainees are content with the course.

e) The value of exchanging information with neighboring countries in Central Asia

Ms. Lola Vakhidova who participated in the course "macro economy" said: "It was meaningful that the participants of the course were recruited from neighboring countries, because we could exchange information among our colleagues from other countries in Central Asia. We had not had this



Interview for ex-trainees

opportunity after independence and the dissolution of the Soviet Union." Former trainees from Kazakhstan had an interesting discussion on this topic as well, which we introduce in a later part of this report.

(3) Kazakhstan

We traveled to Almaty, the capital of Kazakhstan, from Tashkent by air.

Kazakhstan had shifted to a market economy through cooperation from the World Bank and the IMF. This process is often referred to as "Big Bang Reform" compared to a gradual shift such as Uzbekistan's. As soon as we arrived at the airport, we recognized the difference between the two countries. Along the road from the airport to the city, we found many showrooms and signs displaying the names of European, American or Korean companies. Along the main street of the city were many famous European designer stores.

1) Interview with the president of the National TV company

The national TV company "Habar" and its president symbolize Kazakhstan's current situation. She is considered the only person who can give frank advice to Kazakhstan president Nazarbayev as she is his eldest daughter. The president was criticized for his dictatorship of development by Europe and the U.S. The interview with her gave us an insight into the characteristics of Kazakhstan's approach regarding the transition to a market economy.

In Kazakhstan, TV media was also caught up in the stream of the market economy. In addition to the national TV company, there are seven or eight private TV companies and 46 local TV stations, all of which emerged after the dissolution of the Soviet Union. "Habar" continued 15 hours of TV broadcasting a day since it was established in 1995, and started 18 hours of radio broadcasting in 1997. According to the president, the company needed to consider advertisements and sponsors, as it also depended partly on private funds.

She said: "The market of Kazakhstan is small while many TV stations are competing. As a result advertising became more competitive. It is difficult for some TV companies to stay profitable. I anticipate that the government will intervene in the near future, considering that it is hard for private companies to compete with public companies. Though it may sound conservative, we cannot avoid competition in a market economy and we need to be more exposed to the

hardship of competition. In contrast with the era of the Soviet Union, currently it is recognized that competition results in more development. We should be more afraid of monopolistic tendencies than competition."

The language issue was also troublesome in terms of producing TV programs in the national language. After independence, it was required to produce TV programs in the national language instead of Russian. TV companies faced the difficulty of finding suitable staff. It is urgent to train specialists and journalists who can produce TV programs in the national language.

"I'm considering to establish a training center in Habar, which was previously located in Moscow or Leningrad(now called Sankt Pterburg. I don't mind if the trained staff are subsequently hired by other TV companies. Currently, we are preparing for the start of a school in 2001. I have many other ambitions. I wish I had the financial capacity to address these tasks at a more rapid pace.

The president, only 36 years old, showed her passion to survive in a competitive market and seemed to be energetic, though it may be true she was endowed with her father's power to some extent.

2) The change of capitals

The capital of Kazakhstan moved from Almaty to central A kumora (now called Astana) following the presidential edict in September 1995. Government staff started to move at the end of 1996. According to Japan's embassy in Kazakhstan, the reason for the move was that Almaty was near the border with China and there was some trouble with Russians people in the Northern area.

Almaty, the socialist-era capital, is a city located in a plateau area where we could see the Altay mountains reaching to the Tian Shan mountains. In contrast, Astana is a new city located at the frontier of a plain, where many government office buildings had been constructed one after another. Accommodations for staff and their families were also under construction here and there. However, it seemed impossible for all government workers and buildings to move at once under the command of the president. On the first flight on Monday morning, when we moved from Almaty to Astana, we found businessmen who appeared to leave for the destination without family. Many embassies including the embassies of Japan and the U.S. still remained in Almaty.

This move of the capital had an impact not only on

the politics, economy and society of Kazakhstan but also on JICA's activity, to some extent. I shall discuss this further later in this report.

As I already mentioned, JICA opened "the first office in Central Asia" in Uzbekistan, which then enhanced Uzbekistani's familiarity to Japan. Contrarily, this fact may be disappointing and a source of discontent for Kazakhstan since they have a strong sense of rivalry with Uzbekistan. Nevertheless, trainees, government staff and journalists did not imply such discontent in our interviews with them. Meanwhile, in the interviews, we were impressed with their confidence in their future as a resourceful wealthy country and their questioning of why the investment from Japan was not as active as that from other countries.

JICA dispatched an adviser for ODA coordination, Mr. Tomikazu Inagaki of the Agency of Strategy and Planning Reform to the Office of the President. From the base of this agency, which corresponds to the former Agency of Economic Planning in Japan, many donors, including Japan, the EU, Germany, the U.S., France, the World Bank and the IMF, worked to promote economic reform and the transition to a market economy.

When we were in the elevator of the building of that agency, located in the center of the city amid many government offices, a man in the elevator suddenly asked if we were going to see Mr. Inagaki. We were surprised that he could recognize us as Japanese and mentioned Mr. Inagaki immediately, which indicated that JICA's activity was getting popular and familiar in the agency.

In the Cabinet of Ministers, Mr. Eiichi Watanabe, who had been a Macroeconomic Policy Advisor, was the only foreign adviser. On the other hand, many foreign advisors were dispatched to the agency in Kazakhstan, which is similar to the above-mentioned Cabinet of Ministers from donor countries as if they were competing with each other. When we visited the agency, a seminar was being held with representatives from donor agencies and international organizations such as JICA, Germany and the World Bank. They were assembling for the first time to discuss aid programs for Kazakhstan. This was partly for donor coordination to utilize aid efficiently.

3) Interview with Mr. Sarsenbayev Vice-Head of the Agency of Strategy and Planning Reform.

At first, we planned to interview the head of the

Agency of Strategy and Planning Reform to ask his opinion about JICA and Japan's contribution holistically. However, on the day of interview, he had been suddenly called by the president who had returned from an international conference in Salzburg, and had not yet returned. According to the staff of the agency, this happened often since the president directed and supervised national administration.

Thus, we changed our plan from an interview with the head to the meeting with Mr. Sarsenbayev. Some of the staff, who were former trainees of JICA's training course, also attended the meeting. They seemed to be in their twenties.

Mr. Sarsenbayev appeared to be fully aware of JICA's training course. But he mainly discussed the Long-term Development Strategy of Kazakhstan up to 2030 in the interview. "Achievements by trainees were marvelous. I observed the work of the staff who were trainees. I'm excited to have such young members who are endowed with a macro economic view. They also learned the reform and history of Japan after the war, and knew that Japan endured many difficulties. Although I did not meet the trainees at the other ministries or agencies, I'm sure they achieved certain outputs as well."

"I wish we could send more trainees. But I know it is restricted by the limited budget. Every country needs to curtail its expenditure. Therefore, we make efforts to share the experiences of trainees with all areas of Kazakhstan, for example by means of organizing similar courses to teach what they learned in Japan."

One of the young attendants in the meeting, who was a staff in charge of the aid for the external economy, introduced herself by saying she was responsible for the effect of the courses in Kazakhstan. Another female staff introduced herself in Japanese, which showed part of the achievements of JICA's training course.

While Mr. Sarsenbayev showed his satisfaction with the achievements of the training course, he also explained his anxieties as follows:

"Trainees have become key persons in their offices since returning from Japan. Many organizations plan to hire them and private companies offer them higher salaries. We must keep reminding them of the importance of our mission, saying repeatedly that we have to attain our mission and certain achievements in economic reform in the Long-term Development

Strategy up to 2030. However, I understand their priority is with regard to their personal life."

Such recruitment by private companies shows the extent to which a market economy has penetrated Kazakhstan. Nevertheless, there is cause for concern if competent staff are extracted from government, which in turn reduces the value of JICA's training program.

Mr. Sarsenbayev continued: "We proposed to private companies to have joint seminars with us. We do not hide our anxiety about the enticement by private companies. It would rather be appreciated if it resulted in an increase in demand for human resources. We established a special department for examining the achievements of the trainees, and provide open seminars under the initiative of the trainees. We are ready to explain how to conduct training. If JICA changes the way it conducts training, for example, we can tell it to those who concern immediately through this department."

4) Discussion meeting

We interviewed former trainees in the form of a discussion meeting in Kazakhstan. We also interviewed members individually who could not attend the meeting. Individual interviews are an effective way to extract personal opinions while group interviews are an effective way to ask the opinion of each interviewee on a certain issue. If we had time, it would have been best to interview all the trainees both individually and in a group.

We selected three important points from the discussion meeting, for the improvement of JICA's activities.

First is the way to select trainees from among candidates. We happened to interview Ms Zharkynbaev who was engaged in the selection of trainees. She was a staff member of the Office of Management and Budget of the National Bank, who participated in the course "Finance". When she was sent to the course as a trainee in 1995, she was in charge of the selection of trainees for JICA's course as well as coordination of donor aid as a member of the Department of Strategy and Development in the Ministry of Finance. She chose some members from the candidates selected by the ministries and governmental agencies. She herself was also sent to a training course as the course would contribute to her ability to perform her job.

Ms. Zharkynbaev compared several training courses held by donor countries, as follows.



Interview for the then Deputy Prime Minister, Mr. Tokaev

"Courses by USAID are not so intensive, but contain some lectures. Thus, trainees organize their own personal study plan. On the other hand, the courses by JICA are quite intensive, but the full program schedule is appreciated. In addition, The Russian interpreters used for the courses are excellent. The courses by KOICA are held in English, so the trainees for those courses are limited to English speakers."

After the above explanation, she raised four points for selecting trainees, which were as follows; 1) criteria adopted by respective ministries and agencies, 2) leadership, 3) youthfulness, 4) criteria adopted by JICA. Language ability did not seem to be considered for the selection. When we asked which was prioritized as a criterion, leadership or language ability, she immediately answered that language ability was the last criterion.

Other attendants indicated, "There are not many members who can speak English among experienced members. Meanwhile, young members are not experienced though they can speak English. As a consequence, we can find more competent members among Russian speakers."

Since Kazakhstan and other Central Asian countries had belonged to the Soviet Union, the Russian language is still dominant in these areas. Though English will be more important as an international language in the future, it seemed judicious not to take English speaking ability into consideration when selecting trainees at the moment. Therefore, JICA needed to make arrangements to provide Russian interpreters.

The second issue is whether the training courses should be held respectively for each country. Ms. Olga Timofeyeva, who participated in "Macro Economy", said: "So far, Central Asia has been treated as a group in

JICA's courses. However, the courses should be held respectively for each country, now that the gap between each country is widening in terms of the degree of market economy. In addition, each country has taken a different route to realize a market economy.

In the meeting, they raised several different opinions about this issue. "Training for Central Asian countries as a group or individually to each country, both have advantages and disadvantages. Trainees can exchange information and Japan can confirm the ties among countries, in the former type of training course. But individual training courses are also necessary. I suggest to invite experts from many fields such as economics, geology, petrochemistry, mine development and ecology. We can be more knowledgeable regarding the situation of Kazakhstan. Whether we can continue to have training courses for Central Asia as a group depends on how the situations facing each country are different."

Both sides of the argument were convincing. We were also impressed with their ideals regarding the future of Central Asia. Will Central Asia form a group such as ASEAN, or rather form a union such as the EU? Japan's future relationship with this area will help determine Central Asia's direction.

"This is to some extent a philosophically difficult question. Since we were under the control of the Soviet Union for many years, we felt united. Also, Russian is our common language. Although gaps and conflicts exist among countries at the macro economic level, we are still united compared with other areas in the world. Another option for us is to be united such as ASEAN," said Mr.T. Koszhanov who belonged to the National Board of Trustees, and participated in the course "Macro economics".

The third issue is the organizing of an alumni meeting of the former trainees.

The organizing of an alumni group was suggested by former trainees who live in Almaty. One of the members who suggested this is Ms. Sholpan Baimoldina, the chief editor of a TV and Radio company. She said: "I'm making a list of the trainees who participated in the courses in Japan. I would like it if the trainees could exchange their experiences and extend what they learned to all the areas of Kazakhstan. We broadcasted a program taken in Japan on TV, and it was well received. I have found that many people are interested in Japan."

Unlike Uzbekistan, Kazakhstan does not have a JICA office. Therefore, an alumni meeting would allow trainees to keep in contact with JICA. Trainees were eager to have alumni meetings, and some said they should have an inaugural meeting, whatever happens.

This plan, however, was hindered because it became difficult for trainees to keep in contact with one another since some remained in Almaty while others moved to Astana with the move of the capital.

Nevertheless, It appeared that the former trainees did not give up the idea to organize alumni meetings.

7. Recommendations

This third party evaluation was conducted five years after the end of the cooperation. Frankly speaking, compared to the building of infrastructure such as hospitals, bridges and roads, it is difficult to evaluate this type of cooperation, which has abstractive goals such as a market economy, since the outputs or achievements of the assistance are not clearly evident. However, as this type of cooperation will be more important in the future, we should not be impatient when judging impacts.

All the interviewees expressed appreciation for JICA's cooperation, even though we expected we would hear criticisms or requests. We regretted that we were unable to get more candid feedback. We hope JICA will continue to improve their projects paying attention to the situation of Kazakhstan without simply easily accepting their appreciation. Even so, the appreciation from the interviewees seemed not to be simply diplomatic compliments, but sincere praise. Both Uzbekistan and Kazakhstan, appreciated JICA's cooperation and hoped it would be extended and continued. It is Japan's responsibility how to respond to their expectations.

Based on the above impressions, we proposed the following five recommendations for future cooperation for both countries:

(1) Systematic approach to transmit trainees' experience in Japan.

As we have already reported, the former trainees were strongly impressed with Japan, and had fond memories: "It was just like a dream for trainees to see the real Japan," the chief, Saidova said. This comment symbolizes their admiration of and attachment to Japan.

They were surprised with things that are common in Japan. For example, Japanese are punctual and kind about

giving directions to strangers. It is true that we found advantages and disadvantages of our country more clearly when we were out of Japan.

It was gratifying that they understood and were interested in Japan, and furthermore showed partiality to Japan. It would not be an exaggeration to say that ODA achieved half of its purpose simply due to the above rapture. If their positive "Japan experience", which was heard in the interviews unanimously, could be transmitted more systematically, its impact would be more ensured.

The trainees' experience and knowledge would be introduced in various stories such as "the problems in Meiji restoration", "difficulty of modernization", "achievements in the Edo era" and "aid for disaster relief", in addition to "Japan's reconstruction after the war" which was often mentioned by the trainees.

It was distinct, especially in Uzbekistan, that their respect and admiration of Japan was the other side of their own pride in the ancient history and tradition of their countries. Both countries were still influenced by communism, although they were repelled by and cautious to Russia. We may be able to take advantage of this repulsion and pride to promote the construction of new countries.

(2) Learning materials should be produced in the trainees native language

Ms. Nasiva Vafokulova, a former trainee from Uzbekistan, required documents on Japanese law for public servants for the training course. She was given documents written in Japanese, which were useless to her. She said: "If documents in Russian were not available, I should be given the English version."

In Uzbekistan, 20 percent of the civil servants would be cut by presidential order. Ms. Nasiva Vafokulova said that she was planning to present a recommendation to the national assembly on how to curtail the order and protect their rights, based on Japanese law. In Uzbekistan, it is permitted for people who are not a member of the assembly to submit a bill under certain conditions. Therefore, she planned to utilize her knowledge and experience she gained from the training course by means of submitting a bill.

In order to respond to the need for learning materials in the trainees' language, textbooks on basic information of Japan related to the topics discussed in the above section (the constitution, criminal law, history, geography, and recent topics, for example, nursing insurance law



Interview for ex-trainees

should be prepared in several languages. If it is difficult to prepare textbooks in several languages, at least an English version should be prepared since English is essentially the international language. These textbooks can be used to train people from countries other than those in Central Asia.

Trainees also requested to be given learning materials before the course started so that they could prepare for the course. We expect JICA can implement this recommendation readily.

The chief Muhidov who belonged to the Conference of Ministerial level indicated that Uzbekistan was short of appropriate learning materials while it laid stress on training of human resources. Since 1998, they had planned to develop textbooks with the cooperation of the Asian Development Bank. JICA can also participate in this cooperation.

(3) The study of Central Asia

Japanese are not familiar with Central Asia in general. This is actually the most impressive remark during the stay in Uzbekistan and Kazakhstan. I myself keenly felt I did not know either country very well at all even though I read some information on the countries before leaving Japan. However, I could not find any detailed information on the differences between the two countries and their unique characteristics. Also, up-to-date information on the two countries was difficult to obtain, although the history of Central Asia, including the Silk Road, was available.

While we were writing this report, we received the news that some coal-mining engineers, dispatched to Kyrgyz, by JICA, were kidnapped by an armed group. It was unfortunate that this area, which is surrounded by

steep mountains, received negative press due to this incident. The whole incident and media coverage highlighted the limited connection between Japan and this area.

In July 1997, then Prime Minister, Ryutaro Hashimoto made a speech on foreign policy to the Japan Association of Corporate Executives. He focused on "Policies for the Eurasian Continent", and mentioned that the Silk Road Area including Central Asia was in the frontier of Japan's foreign policy. Emphasizing the importance of the region, the former Prime Minister suggested the following three directions: 1) dialogue at the political level to strengthen mutual understanding and trust, 2) cooperation for economic development and resources development which would contribute to the prosperity of the region, and 3) cooperation for peace in the region by means of disarmament, democratization, and stabilization.

In the "middle-term policy for ODA" launched in August 1999, it is stressed that Japan needs to support the stabilization of the region, strengthening the Policy for Silk Road Region, considering the geographical importance of the region and from the viewpoint of ensuring energy and resources.

It should serve the best interests of Japan to continue support to the area by means of ODA, prioritizing Uzbekistan, Kazakhstan and other Central Asian countries. Therefore, we suggest that Japan take immediate measures to carry out serious research on the area, including society, history and religion, and the training of researchers. The establishment of a think tank or a research institute would be desirable.

A specialist in Uzbekistan said: "So far, Uzbekistani have been cautious not to make their culture stand out in order to avoid being oppressed by the Soviet Union. Thus, Uzbekistan's tradition and customs were concealed under the 70 years of communism and now have appeared. Investigation of Uzbekistan's society and culture will start from now on."

As Mr.T.Koszhanov said, Central Asian countries have had conflicts with each other while at the same time they have been united in some aspects. Although JICA's cooperation is provided to individual countries, it is indispensable to consider the complicated situation as mentioned above and observe the region from a holistic point of view.

(4) Network of former trainees

As we already mentioned, the trainees were planning

to have an alumni meeting. It had been hindered due to the move of the capital. We believe it is worth having that kind of meeting. Therefore, we suggest that JICA support them to realize their plan.

The famous Fulbright scholarship program has contributed to cultural exchange in the world. The late representative Fulbright established this program by appealing to the congress, when the nation was shocked by the dropping of atomic bombs on Hiroshima and Nagasaki. So far, more than 200,000 students and researchers from more than 150 countries have benefited from the program. Alumni meetings have been held by former scholarship students all over the world. In Japan, a foundation established for networking among the former scholarship students, has collected donations for additional scholarships. Needless to say, the Fulbright program has contributed to the education of students and researchers throughout the world, and furthermore to improving the image of the United States.

Similarly, if the trainees of JICA's programs form a network, it would be quite significant for JICA and Japan.

A diplomat in Japan's embassy in Tashkent held a monthly party for local youth serving them foods such as curry and rice. Dozens of students, especially those who study Japanese, gathered at his house. He said: "I have great expectations of youth who are eager to widen their knowledge. In such an informal setting, diplomats can get in touch with the local atmosphere and receive up-to-date local information while the youth of Uzbekistan can get information about Japan. These activities enrich cultural exchange".

(5) Various criteria for the selection of trainees

We spent much time on the interviews, not only with the former trainees but also with journalists in both Uzbekistan and Kazakhstan. The journalists were not so familiar with or fond of Japan as the trainees as a matter of course. However, the interviews with them gave us insight into the degree to which people were interested in and understand JICA's activities in general. They also had a more objective stance, unlike government officers, to judge their countries' efforts regarding introducing a market economy.

Journalists had not been the target of the training courses. We suggest that the selection of participants should be more flexible so that journalists could be included in the targets. Journalism can also play a great role in the transition to a market economy. The targets had

also better be extended to the private sector. Elder members should also be given the chance to participate in the training courses although youth should be the main target for the future.

We interviewed a former trainee, Nurmukhamad Akhmedov, president of a mining company in Samarkand, Uzbekistan. He said the course he took contained people from Malaysia and Indonesia and people representing a wide range of ages.

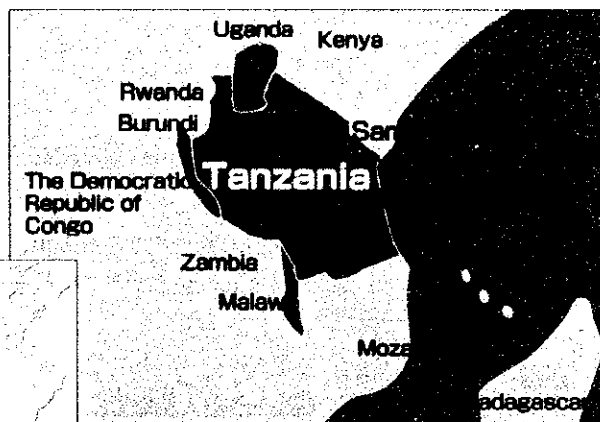
He said: "I did not match well with the younger members of the group, partly due to my position. I was required to take lectures in the course which were not in my interest (business in mining industry) and unnecessary in my work.

We felt he evaluated the course negatively saying that the course program did not match his work, at first. He seemed to experience difficulties as a manager for his company since he was originally a mining engineer. However, he concluded our long interview with the following words.

"It is beneficial to meet new people wherever we may go and in whatever situation we may be. It was fortunate for me to meet young members and get to know their work. I met a Japanese who was in the same line of business as mine. I still keep in touch with him by mail. I appreciate my Japanese friends for receiving me in the training course. I hope Uzbekistan will catch up with Japan one day."

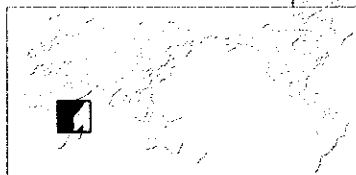
After all, the effectiveness of the training is dependent on trainees themselves. Nevertheless, Japan as the supporting side also has a great responsibility to motivate them. We should be reminded of the words in "The Diary of the President of Rwanda Central Bank (Rwanda CHUO GINKO SOUSAI NIKKI)" written by Masaya Hattori, "The most essential factor for the development of developing countries is human resources, while it can also be the biggest obstacle."

JICA/UNDP Joint Evaluation (Poverty in Tanzania)



Project site

Same District (Kilimanjaro Region)



1. Background and Objectives of Evaluation

JICA and UNDP have been collaborating in a variety of ways since 1988. To mention a few, JICA seconded a number of its staff, has conducted joint seminars and cooperated in different ways in individual projects with UNDP. In the annual meeting between JICA and UNDP in November 1998, a joint evaluation was proposed. Both organizations then agreed on conducting an evaluation study under the theme of poverty in Africa in January 1999. As declared in the Second Tokyo International Conference on African Development (TICAD II)¹⁾ in October 1998, poverty reduction is the highest priority of development in Africa, thus JICA needed to further strengthen effective poverty reduction policies. Other reasons for selecting this theme as the subject of the study included that a more intensive collaboration of JICA and UNDP was considered important for effective cooperation in poverty reduction and that UNDP had stated poverty as its overriding goal and thus had experience of poverty-related evaluation.

The initial intention was that JICA and UNDP form a joint evaluation team to evaluate a few projects of both organizations. However, in the end, UNDP staff participated in the JICA evaluation team for the field survey on a JICA project in Tanzania. The project chosen was the second phase and the Follow-up cooperation of the Kilimanjaro Village Forestry Project (KVFP), Project-type Technical Cooperation.

The overall objective of the evaluation study was to draw lessons learned for promoting poverty reduction in future JICA cooperation activities. In more concrete terms, the study aimed to grasp the local people's views on poverty and their recognition of the outcomes of

KVFP. It was also hoped to enable JICA and UNDP to share experiences in this field thereby contributing to their future collaboration. Therefore, the purpose of the study was not to evaluate the selected project itself using traditional criteria, but rather from the viewpoint of poverty reduction.

2. Evaluated Project

● Kilimanjaro Village Forestry Project

(Project-type Technical Cooperation)

Phase I: 15 January 1991-14 January 1993

Phase II: 15 January 1993-14 January 1998

Follow-up: 15 January 1998-15 January 2000

(Phase II and the Follow-up were the subject of the study.)

3. Members of Evaluation Team

Team Leader:

Hiroshi SATO, Senior Researcher, Institute of Developing Economies

Poverty Analysis:

Kazuhito SUGA, Japan International Volunteer Center

Impact Analysis:

Hideyo NISHIKATA, Global Link Management, Inc.

Observer:

Khdijah FANCY, Evaluation Office, UNDP

Evaluation Coordination:

Aiichiro YAMAMOTO, Office of Evaluation and Post Project Monitoring, JICA

Sachiko IMOTO, Office of Evaluation and Post Project

Monitoring of JICA was also in charge of the domestic preparation for this evaluation.

4. Period of Evaluation

17 October 1999-11 November 1999

5. Scope and Methods of Evaluation

(1) Selection of the project to be studied

KVFP's main mission was to develop forestry techniques in semi-arid areas. In addition, the project attempted to develop a participatory extension method particularly in the follow-up phase: it aimed to promote reforestation in a participatory manner by establishing the

Village Environmental Conservation Committees. An overview of the project is shown in Table 1.

The main reasons why KVFP, a forest project, was chosen to be studied were that 1) JICA had implemented no project primarily aiming at poverty alleviation in Africa at the time this study and 2) the lessons from KVFP would still be highly relevant when JICA implement poverty reduction projects in Africa, since it is important to provide with a special consideration to poverty alleviation in the course of project planning and implementation, even when a project doesn't exclusively focus on poverty reduction.

In addition, KVFP had collected a relatively large volume of data on social and gender aspects through short-term experts and consultants, which would serve as a basis for understanding targeted communities that was important to design the study applying participatory methods.

Table 1 Overview of the Kilimanjaro Village Forestry Project

Background of the project	In Tanzania, semi-arid areas are widespread, and savanna forest resources were rapidly decreasing due to the inhabitation of forest areas as well as over collection of firewood and overgrazing. The Tanzanian government thus requested Japan's cooperation in afforestation activities in semi-arid areas, for the purpose of alleviating deforestation and meeting local people's needs for firewood, through adopting community forestry approaches such as starting plantations of firewood and fodder trees and introducing an agroforestry system.
Project Purpose	To assist afforestation activities in semi-arid areas, for the purpose of alleviating deforestation and meeting local people's needs for firewood, through adopting community forestry approaches such as starting plantations of firewood and fodder trees and introducing an agroforestry system
Stake-holders	Implementing agency: Forestry and Bee Keeping Division, Ministry of Tourism, Natural Resources and Environment and staff of the project office (nursery) as counterparts Community people at the project sites Officers in charge of other government services at the project sites (health, education, water supply, livestock, etc.) JICA experts: 2 long-term experts (Leader/Village forestry and Project Coordinator/Extension methodologies and several short-term experts
Achievement related to social analysis	A short-term expert in social and economic analysis (consultant) studied the local communities' attitudes towards trees in April to June 1996. Two gender experts (JICA advisor and JICA junior advisor) were dispatched in 1997 and 1998, respectively. The latter developed the Gender Sensitive Extension Handbook for the project. A short-term expert in participatory evaluation (university professor) held workshops and was engaged in technical transfer in participatory and qualitative evaluation in 1999.

(2) Application of participatory methodology

This study was the first time for JICA to use participatory methods for the whole process of evaluation. It is difficult to get subjective information such as people's views on poverty and their recognition of the project impact from objective indicators such as the number of seedlings distributed, survival rates and growth of planted trees. Such information can only be attained through an evaluation based directly on people's voices. Therefore, the study tried several participatory data-collection methods.

Another factor that made KVFP appropriate for participatory research methodology was the familiarity of the project staff with participatory evaluation techniques: the team leader had already initiated participatory

¹⁾ TICAD II (The Second Tokyo International Conference on African Development): an international conference held on 19-21 October 1998 in Tokyo under the initiative of the government of Japan, the United Nations and other parties concerned. At the conference, several developed countries committed their continuous support for development of Africa as well as to encourage African countries in self-development of their economies. More than 50 Heads of State and ministers from 53 African countries including King Mswati III of Swaziland, President Rawlings of Ghana, President Mogae of Botswana and Deputy President Mbeki of South Africa participated in the conference. From Japan, then Prime Minister Obuchi and Minister of Foreign Affairs, Mr. Takamura, attended. At its closure on 21 October 1998 the conference adopted "African Development towards the 21st Century: the Tokyo Agenda for Action."

methods which had been transferred to counterparts and the community.

(3) Evaluation Design

The study team member in charge of poverty analysis (male), who had experience in participatory development, designed the study on people's perspectives on poverty. The member in charge of impact assessment (female), with an educational background of development anthropology, designed the study related to people's recognition of KVFP's impact on poverty. A local consultant (male) attended the whole program of the evaluation study and undertook data-collection under the guidance of the member in impact assessment. He also carried out additional data-collection after the departure of the rest of the study team.

The team leader (male), on the other hand, was engaged in the "non-participatory" or "traditional" part of the evaluation study. He interviewed several organizations to collect supplementary information for the above-mentioned main evaluation issues such as the situation of social development projects assisted by other donors in nearby areas of KVFP's project site. In addition, a UNDP staff member (female) from the Evaluation Office of the headquarters in New York joined the study team in Tanzania.

After the arrival of the study team in Tanzania, the evaluation design was finalized through discussions with the KVFP counterparts who were to join the study. The design was further modified with the reflection of the results of the preliminary study the team conducted in the study area (Table 2).

(4) Selection of the Study Area

Prior to the field study, the study team and the JICA experts dispatched to KVFP had frequent discussions regarding the selection of the study area and respondents/informants. Finally, two sub-villages-Kirinjiko Chini and Meserani-were selected. Kirinjiko Chini sub-village is occupied by Pare people who are farmers, and Meserani sub-village is dominated by Masai people who are pastoralists. Both sub-villages are located in lowland areas which have a harsh climate. Since 1996, they were the targeted sites of the KVFP participatory activities, and various types of social analysis had been conducted there, which was advantageous for the study team in a sense that analysis of the social situation of both sites before the field study was possible to some extent.

Also, the team selected Kombo village near Meserani sub-village as the site for the pretesting of the research methods. As Kombo village was the residence of Masai people like Meserani sub-village, the team aimed not only

Table 2 Evaluation questions and data-collection methods

Stages of the study	Evaluation questions	Data-collection methods
First stage: Identification of views on poverty	<ul style="list-style-type: none"> - What kind of people/ family/ village is poor? - What is more important among the above-mentioned "poverty factors"? 	<ul style="list-style-type: none"> - Focus group discussion: held meetings of selected villagers (focus groups) to discuss specific topics. - Ten seeds/ten stones exercise: villagers voted on several choices using seeds or stones as votes. - Group Wrap-up held village meetings to discuss the results of the ten seeds/ ten stones exercise. - Participant observation: researchers stayed overnight in the study area to observe the actual situation of the area.
Second stage: Project impact assessment	<ul style="list-style-type: none"> - What outside interventions took place in this village within the last ten years? - Who benefited from each intervention (project) and who did not? - Why didn't particular people benefit from such outside interventions? - Are there people who suffered from any of the projects? - How did/ didn't KVFP activities affect the community? - Why didn't you benefit from KVFP? - Why did you suffer from KVFP? 	<ul style="list-style-type: none"> - Free listing of major events and outside interventions (by focus group discussions): held meetings of selected villagers to brainstorm the important events and outside assistance that took place in the village in the past ten years. - Impact assessment of outside interventions (by focus group discussions): held meetings of selected villagers to discuss the benefits and drawbacks of the outside assistance projects. - Key informant interviews: conducted one-on-one interviews with individual villagers (key informants) selected among the focus groups to get additional information about project impact.
Third stage: Crosscheck of the study results	<ul style="list-style-type: none"> - What are the answers to the above questions in other villages with different natural conditions? 	<ul style="list-style-type: none"> - Focus group discussions

to pretest methodology but also to examine how to address the conditions for participatory assessment such as language use (i.e., most Masai people, especially women, don't speak Swahili).

Kimunyu sub-village, located in the highlands with relatively good natural conditions and infrastructure, was selected as the site for crosschecking of the research results.

6. Participants and Process of the Field Study

The field study had the following participants: 1) study team members, 2) JICA experts (team leader and coordinator), 3) a few KVFP counterparts and 4) two Japan Overseas Cooperation Volunteers (JOCVs) (one female and one male) mainly as interpreters.

Basically, the team members in poverty analysis and impact assessment took the initiative in carrying out the assessment, and the team leader and the leader of KVFP provided advice when necessary.

The participants of the research activities in sub-villages included five KVFP counterparts (one female and four male), sub-village leaders and ordinary villagers. The social and economic gaps among those participants were not large. Sub-village leaders, having been asked by KVFP counterparts to invite twenty female and twenty

male villagers for the visit of the Japanese on certain dates, gathered participants for the focus group discussions. The study team did not screen the participants at this point but later included those who did not attend the focus group discussions in the respondents of the key informant interviews.

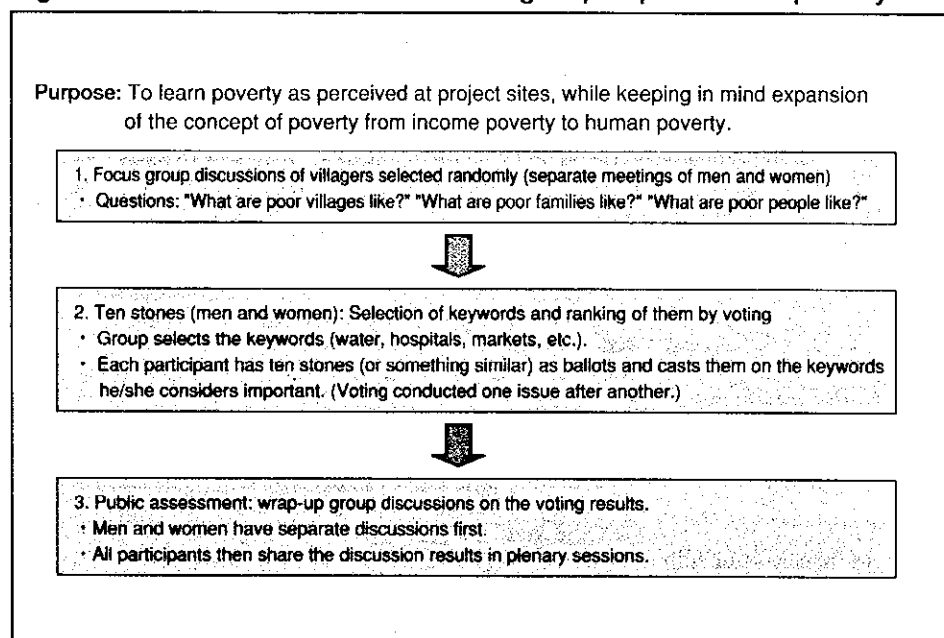
The detailed process of participatory approaches applied in the study is shown in Figure 1.

(1) Focus group discussions to identify villagers' perspectives on poverty

First, the team held plenary meetings with female and male participants under a tree in the village square or in a primary school. The activities in the meetings included self-introduction of the team members and explanation of the discussion procedure.

Then, female and male participants had separate meetings respectively and were asked to identify their criteria for "poor families" and "poor people". The Tanzanian consultant and the local staff of KVFP facilitated these sessions. The other team members maintained their status as observers, except that, when necessary, the members in poverty analysis and impact assessment gave instructions to the facilitators in male and female meetings, respectively. Also, a female JOCV served as the interpreter for the members in impact assessment.

Figure 1 Flow of the assessment of villagers perspectives on poverty



The facilitators did not ask the question, "Are you poor?" because a question directly concerning the participants themselves would likely touch off lots of requests for goods and services to donors. In other words, the team tried to draw more precise perspectives of poverty by stimulating discussions in the third person as much as possible.

Parallel to the focus group discussions, the team leader conducted interviews with the sub-village leaders with interpretation by the male JOCV and KVFP staff. The primary purpose of these individual interviews was to get the sub-village leaders apart from the focus groups, since their presence might have inhibited others from speaking. At the same time, the interviews intended to collect information about the history of village development.

Prior to the focus group discussions, the study team and the KVFP staff discussed proper Swahili words corresponding to "poverty": it was considered that several alternatives, with different nuances of meaning, would draw different responses from the people.

(2) Ten stones exercise

In this session, the facilitator drew charts of ten or more key words on "poverty" such as water, education, agricultural production/lack of farmland, access to market, lack of mutual cooperation and livestock diseases, which the participants identified through the focus groups discussions. Separate charts were made for male and female participants, who were asked to prioritize the poverty keywords according to their importance. This procedure was called "ten stones" because each participant had ten stones (or seeds) to vote on the keywords that he/she considered important. A participant could decide the number of stones to put on one keyword.

In a usual ten stones exercise, participants surround a chart that is put or drawn on the ground and vote simultaneously. But in this study, in order to lessen the possible interaction of voting behavior and to know the relation between a voter's background and voting behavior, the team called in one participant at a time to the voting place. Also, to avoid one's voting being affected by the preceding results, the team covered the finished votes (stones) with paper when calling in a next voter.



The mission camped out and conducted participant observations from this tent.

(3) Group Wrap-up by focus group discussions

Next, the team had another series of focus group discussions with both sexes, where the facilitator presented the result of the ten stones exercises (e.g., water ranked first with 47 stones, school second with 42 stones, and so on) and asked for comments from the participants

(4) Participant observation by overnight stays in tents

Parallel to these participatory approaches, the study team members stayed overnight in villages and practiced an approach of "participant observation". The team initially planned to stay at villagers' houses. However, since it was considered that the home-stay would disturb the villagers in preparing food and water for the visitors, the team set up tents in village squares and stayed overnight there. This participant observation was conducted to know how different the village situations were at daytime and night. The target villages were more than two hours distant from the nearby town. Therefore, the team had to stay in the villages in order to see the situation of the target sites in the morning and in the evening. In addition, by staying overnight the team also aimed to reduce the anxiety of the villagers towards the study team and thus facilitate the second stage of the study.

(5) Listing of major events by focus group discussions

The study team went to the villages and had focus group discussions of men and women separately. In Meserani sub-village where Masai people live, the discussions were conducted in the Masai language, not Swahili. Therefore, a woman who spoke the Masai

language was invited to assist the facilitator.

As the first topic of the second stage study, the facilitators requested the participants to list three major events that took place within the last ten years. The team set the specific time frame of ten years because KVFP had been implemented for about this period. This free listing of events served as a preparation for the identification of the outside interventions in the next step.

After the participants mentioned several events, the facilitators asked the participants to mention activities for village development (or poverty reduction/ progress of the village) by outsiders that took place within the last ten years. The "outsiders" meant anyone other than the villagers and it might include not only foreign aid organizations (JICA, the United Nations organizations, foreign NGOs, etc.) but also the Tanzanian NGOs and government agencies.

(6) Impact assessment of outside interventions by focus group discussions

Then, for each of the ten or more outside interventions identified in the above-mentioned exercises,

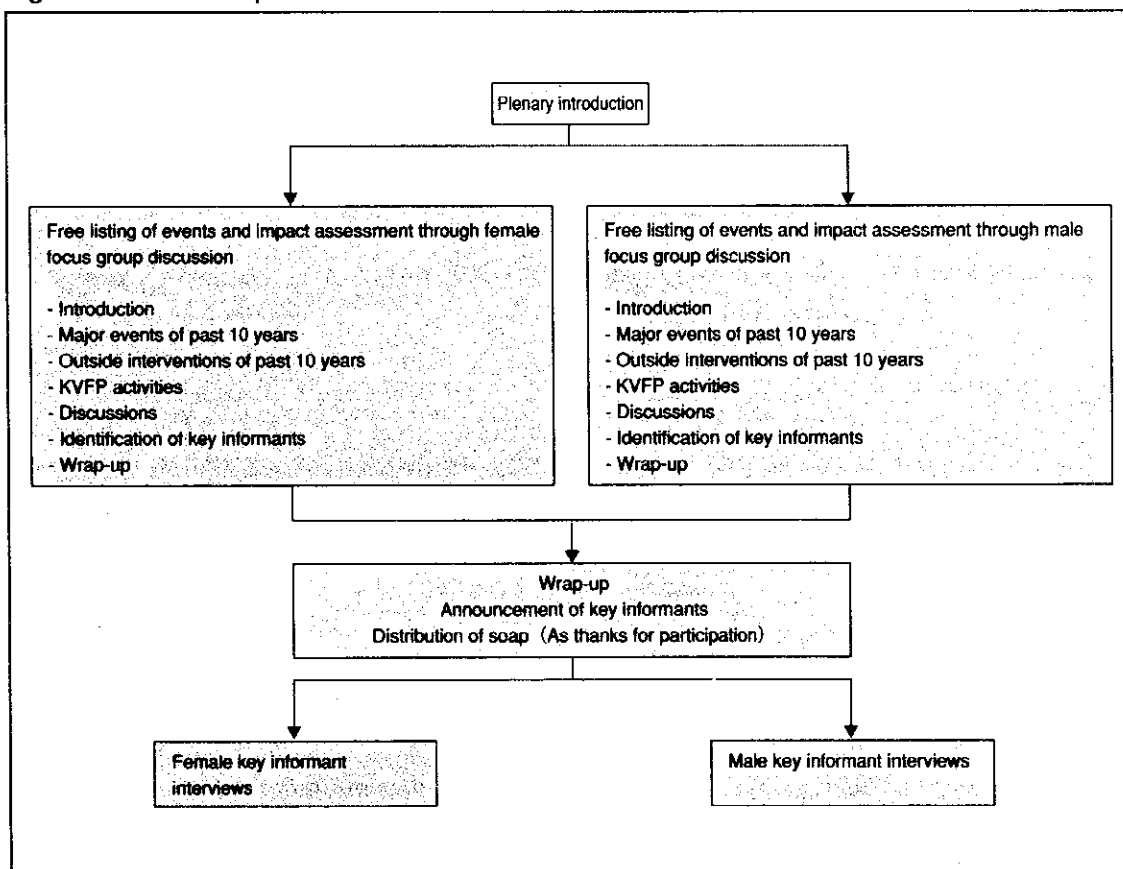
the facilitators asked the following discussion questions: "Who benefited from the intervention?", "Who did not benefit from it?" and "Who were negatively affected by it?"

For example, regarding the intervention "school construction", the participants discussed issues such as the following: "Who sends children to school?", "Is there anyone who does not send children to school?", "What are the reasons for not sending children to school?", and "What benefits did parents receive by sending their children to school?".

With regard to the seedlings that KVFP provided to villagers, similarly, the facilitators asked, "Who received the seedlings?", "Who did not receive them?", "What was the reason for not receiving the seedlings?", and "Who were successful in raising seedlings?", then had the participants answer through discussion.

This stage had the most prominent characteristics of "participatory evaluation" among those of the evaluation study. It was important that the facilitators did not ask the participants a direct question such as "What impact did KVFP have?", but rather had them tell their recognition in

Figure 2 Flow of Impact Assessment



discussing who received what or who did not using concrete cases.

Throughout the series of focus group discussions, a local consultant and the female KVFP counterpart mainly took on the role of facilitator.

For the final stage of the study, the team crosschecked the study results in Kimunyu sub-village, where natural conditions were different (more rainfall and availability of water). The objective of the crosschecking was to compare the data collected in the target villages to other villages.

7. Results of Evaluation

(1) Donors' and people's perspectives on poverty

The first point revealed from this study was that there was a gap between donors' and people's perspectives on poverty. This gap could be confirmed only by means of participatory evaluation.

The gap was seen, for example, in a finding that an "increase in income" or "improvement of economic situation", which donors have always put in the center of their programs for "poverty reduction," was not necessarily in conformity with the people's views on poverty. In this regard, it was interesting that the villagers seldom mentioned poverty factors related to money (in fact, asking questions in the third person instead of asking, Are you poor? in order to draw general views

might have lessened the appearance of money-related factors).

Secondly, people seldom mentioned "empowerment" that is recently emphasized by bilateral donor agencies in western countries and international organizations, and other factors related to social justice (including some concepts of democracy summarized as "good governance"). This could be also considered as a gap between donors' and people's views on poverty. For the villagers, at least in their subjective views, the logic connecting "empowerment" and "elimination of poverty" did not exist. On the contrary, it was material needs such as "water", "schools" and "health facilities" that were mentioned first.

Although social justice might be an important factor for getting out of poverty in the long-term, donors should not neglect the fact that people would have little interest in social justice such as democratization unless material needs as a precondition are met.

In this regard, a woman said during the female focus group discussion in Kirinjiko Chini that a characteristic of "poor villages" was the existence of men who would not listen to women, but this opinion was not supported as a candidate "poverty factor" for the voting in the ten stones exercise.

(2) Gender and regional perspectives on poverty

The focus group discussions and ten stones voting

Table 3 Men's and Women's perspectives on poverty (Focus group discussions)

Questions	Kirinjiko Chini sub-village		Meserani sub-village	
	Male	Female	Male	Female
What are poor villages like?	No water for domestic use No school No dispensary No fertile land No food reserves No clothes No cattle Lack of manpower for development	Lack of/far from water to improve life No school No dispensary Far from milling machine Far from stores/market No place to work No one interested in development/ men don't listen to women	No dispensary Lack of water No road No school No farmland No market No business/nothing to sell	No water No hospital/clinic No road No livestock medicine No education opportunity No tool/machine for work, no water No farmland Lack of capacity
What are poor people like? (In Meserani, "poor families/ people?")	No safe water No access to education No medical care/poor health No fertile land No food No clothes No cattle for grazing Poor housing No cooperation	No consistent effort for development Drought	Can't send children to hospital Can't send children to school No farmland No cattle Nothing to sell No medicine for cattle Can't buy clothes for children No food	No education to children Lack of advice for running a store, etc. No decision-making power of women No agriculture Lack of cattle Many sons (assets to be divided)

revealed differences between men and women in their recognition of poverty.

It was beyond question that people were mainly interested in "water", "hospitals/clinics" and "schools/education" regardless of sex and geographical areas. However, while men in Kirinjiko Chini showed relatively high interest in "agriculture (production aspect)" women in the same sub-village were more interested in "milling machines (processing of produced grain)" and "market (selling of products)" (Table 3).

Also, there was a difference between men and women in their perception of "major events" in the village. For men in Kirinjiko Chini, "grassland fire" was important while women were more interested in "prevalence of cattle diseases" (Table 4).

Moreover, it was only men in Kirinjiko Chini who mentioned as an outside intervention the "water point"

that KVFP provided for nearby residents (Table 5). It was understandable that people in Meserani sub-village did not mention the water point, which was located far from this sub-village. But it was surprising that women in Kirinjiko Chini did not acknowledge the water point even though fetching of water was usually women's responsibility. But then the team found out the reason was that the water point was located outside their living territory. Women in Kirinjiko Chini walk on an unpaved road to the traditional water point located within their living territory. The new water point was far from the sub-village but the road to it was paved, so one could collect water in much shorter time if traveling by bicycle. However, because only men ride bicycles in this area, in Kirinjiko Chini men were the only users of the new water point.

With regard to the gap among regions regarding

Table 4 Major events that took place in the target areas in the past 10 years (Free listing of events through focus group discussions)

Kirinjiko Chini sub-village		Meserani sub-village	
Male	Female	Male	Female
1996-97 Drought	1996-97 Famine	Drought	1982 Earthquake
1998 Bush fires	1997 Heavy rain	Earthquake	1990 Malaria
1998 Heavy rain	1999 Cattle diseases	Cattle disease	

Table 5 Outside assistance of the past 10 years (Free listing of outside interventions through focus group discussions)
KVFP activities underlined

Kirinjiko Chini sub-village		Meserani sub-village	
Male	Female	Male	Female
1990 KKKT(Lutheran Church) provided water well	1982 World Vision dug a well	1990 KKKT provided water pump	1995 KVFP provided seedlings
1992-99 KVFP provided seedlings	An individual donated a church roof	1991 District Council provided mobile clinic service	1995 KKKT started church construction
1994 KVFP provided cattle trough and water point	? KVFP provided a cattle trough	1998 KVFP provided 100 iron sheets for school roof	1997 School construction started
GoT provided livestock medicine	? KVFP started distributing seedlings	Min. of Education provided cement for school construction	1998 School construction completed
GoT granted permission to collect funds to dig water well	1997 KVFP provided water to make bricks for school construction	25 desks provided, but cannot remember the source	1999 Church provided water pump
1997 GoT provided food assistance	? GoT distributed maize	KVFP provided tree seedlings	1999 KVFP provided school roof
		KKKT advised to build a church	
		Women were advised to form Shop Group, but could not remember by whom	
		Received training on how to make low price bricks, but could not remember by whom	

Note: Villagers did not always remember the year of major events. For example, Kirinjiko Chini men thought the event "heavy rain" took place in 1998, while women thought it was in 1997. But the team did not have to record the precise year, for such "major events" were used as a cue to recall past outside interventions. Similarly, Kirinjiko Chini women did not precisely remember when each of the assistance was provided. In this study the importance was put on the sequence of the events and to what extent the events were impressive in the memories of the participants, not on precise year of occurrence. If facilitators pointed out the participants' ignorance on precise years of events, the participants might have felt inferior and declined to speak. Therefore, accuracy was unnecessary in this study but it was enough to record simply as people remembered.

views on poverty, the team also confirmed by the crosschecking study in Kimunyu sub-village that recognition of poverty also varied depending on people's living conditions. Kimunyu sub-village that have good infrastructure provided by the government has better natural conditions than the target villages. Under these circumstances, the "poverty keywords" mentioned in this village, such as "water" and "school", literally looked similar to those mentioned in the two target villages, but what were meant by those words were different. For example, "water" was meant water for household use in Kirinjiko Chini and Meserani, while it was meant water

for irrigation in Kimunyu. Likewise, as for the word "school", there were high demands for primary schools in the two target villages, while in Kimunyu sub-village, where there were already primary schools, lack of kindergartens was mentioned as a "poverty keyword".

Also, in Kimunyu sub-village the participants mentioned many agriculture-related "poverty keywords" such as "agricultural inputs", "farmland" and "irrigation water", which suggested agriculture was widely practiced there compared with the target villages. Even among the target villages differences were seen in the degree of infrastructure development and access to towns: both

Table 6 Poverty factors and KVFP intervention (determined by the study team based on the results of the field study)

Poverty keywords (total votes)	Kirinjiko Chini sub-village	
	Male	Female
Water (101)	Provision of cattle trough Provision of water point for domestic use	Provision of cattle trough Provision of water for school construction
Education/school (80)	—	Provision of water for school construction
Dispensary/school (69)	—	—
Farming (27)	—	—
Milling machine (21)	—	—
Food supply (16)	(Distributed by GoT)	(Distributed by GoT)
Keeping livestock/livestock disease	Provision of cattle trough	Provision of cattle trough
Poor cooperation (11)	—	Start of VECCs
Clothing (8)	—	—
Market/petty business (6)	—	Provision of water for school construction (See Note 1 below)
Good housing (5)	—	—
Drought (4)	—	—
Seeking advice (0)	Advice on tree planting through VECCs	(Advice by church on forming shop group)

Poverty keywords (Total votes)	Meserani sub-village	
	Male	Female
Hospital (127)	Provision of school roof (See Note 2 below)	—
Water supply (117)	(Assistance by church)	(Assistance by church)
Read (72)	—	—
School (44)	Provision of school roof	Provision of school roof
Keeping livestock/ livestock medicine	—	—
Tools (9)	—	—
Farming (7)	—	—
Market/ petty business (7)	—	—
Advice (5)	Provision of school roof (see Note 3 below)	—
Milling machine (3)	—	—
Family harmony (3)	(Existence of church)	—
Belief in God (2)	(Assistance by church)	(Assistance by church)
Women's freedom (2)	—	—

Notes:

- The village school enabled villagers to send their children to school from home rather than sending them to live with a different family in another village. Children then became able to help with housework which made it possible for women to allocate their time to income-generating activities.
- School could be used for antenatal care and other purposes.
- By having a school in the village, villagers could receive advice from teachers.

women and men gave high priority to the word "road" in Meserani sub-village but no one regarded it as a problem in Kirinjiko Chini sub-village. Furthermore, the word "clothing" that Kirinjiko Chini men mentioned might have been related to the frequency of their visit to the town.

From these findings, it could be said that even in the same geographical area, factors of poverty recognized by the people might be different from community to community and by gender. Therefore, poverty reduction activities must be carefully examined based on a solid understanding of these differences.

(3) Impact of the project

In listing major outside interventions in the villages, the participants first mentioned "school construction" or "well digging", not the KVFP activities such as "distribution of seedlings" and "establishment of Village Environmental Conservation Committees (VECCs)": villagers hardly recalled the KVFP activities until a reminder was given by the study team. This fact itself was evidence of low recognition of people regarding the impact of KVFP. If the focus group discussions had been confined to the KVFP-related events, the project activities might have been mentioned more readily.

On the other hand, the team found that the KVFP activities such as the support for school construction and water supply, which were additional to the original activities, had largely contributed to the "poverty" issues of the villagers. As shown in Table 7, among thirteen "poverty keywords" (factors of poverty) six in Kirinjiko Chini and three in Meserani had some relation to KVFP activities either directly or indirectly. Also, in both villages KVFP carried out some activities for the poverty factors that got the largest number of votes in the ten stones exercises.

Summing up these facts, it was considered that each KVFP activity might have had the following impact on people:

1) Distribution of seedlings

As mentioned above, although many of the participants in the study appreciated the distribution of seedlings by KVFP, they did not mention this activity as outside assistance they received until prompted. The reason could be considered that the lack of more basic services such as water and education was salient in the study area. Also, the low survival rates of seedlings



Survey of people's perspectives on poverty using ten stones method.

due to water scarcity and insects could have led to little awareness of people towards raising seedlings. A few key informants pointed out in the interviews that KVFP should have provided training on tree-planting.²⁾

Nevertheless, villagers were generally enthusiastic about tree-planting, due to their perception that trees do not only grow naturally but can be planted as well. The team thought this perception was created by the distribution of seedlings by KVFP, and in this sense was a large contribution of the project. People had good knowledge of the use of trees such as for timber, food and medicine. If the environment was conducive to tree growing (particularly having a stable supply of water), tree-planting activities would contribute to the improvement of the situation described by the "poverty keywords" such as "food supply", "marketing", "livestock keeping" and "drought".

Therefore, in order to contribute to poverty reduction by improving the survival rates of seedlings and promoting tree-planting, it could be considered effective to provide training for the people who received seedlings and to arrange for easier availability of water, thereby raising people's interests in reforestation.

2) Village Environmental Conservation Committees (VECCs)

VECCs were the organizations formed to promote reforestation activities in the target villages under the assistance of KVFP. Positive impact of VECCs on poverty reduction, as recognized by people, was

²⁾ According to several villagers, KVFP had already been providing advice on seedling growth and tree planting.

limited as shown in the focus group discussions, where the participants did not point out the existence of VECCs until led by the facilitators to do so.

In Kirinjiko Chini, however, the presence of a VECC was relatively well known among the villagers. They regarded the VECC as a pipeline between the village and the KVFP. Villagers also recognized that the VECC aimed at tree-planting activities: one woman attributed current tree planting activities to successful promotion by the VECC. Moreover, in the female focus group discussion, the participants regarded the VECC as an agent to promote "mutual cooperation among people", one of the "poverty keywords".

In Meserani, on the other hand, the VECC was not active and some participants were not aware of it. According to KVFP's own analysis, factors behind such a difference in the VECC's importance among villages included the fact that the counterparts introduced VECCs simply to replicate the success of the first VECC, which was formed under the initiative of people in another KVFP project site. This observation suggested that a new organization might not achieve the intended objectives unless there exists the will among the people and the timing is ripe.

3) Support for school construction

In Kirinjiko Chini, KVFP provided water to produce bricks for school construction. In Meserani, it procured 100 iron sheets as roof material for the school. It was obvious from the focus group discussions where these activities were frequently mentioned that people appreciated this support and acknowledged them as positive impact for poverty reduction. People pointed out, as the positive impact,



Children in the village

that as the result of the construction of a new school in the village, children were able to attend school from home, not from under someone else's roof in another village, and that saved living costs and parents became able to pay more attention to children. Moreover, there was an opinion that women's workload would be reduced if children live together and help with housework and thus they might become able to spend their spare time for income-generation or other activities. From this it could be said that KVFP's assistance, though indirectly, addressed a poverty keyword "small-scale business".

Nevertheless, the impact of such assistance would not reach children who do not go to school because they could not afford school fees or other expenses or for other reasons. Also, as the KVFP-assisted new primary school was planned to accept schoolchildren in the lower grades only, upper grade pupils would not benefit from the project.

In Meserani, on the other hand, villagers pointed out that the school brought about positive effects beyond its original purpose: for example, the school roof provided shade for village meetings or for nearby cattle, and the school building was suitable for antenatal care or other activities in which privacy must be considered. In this regard, the assistance from KVFP had indirect connection to the keyword "hospital". Moreover, some villagers mentioned another effect of the new school, that villagers would become able to receive advice from teachers.

4) Provision of cattle trough

In Kirinjiko Chini, the provision of a cattle trough by KVFP reduced the grazing distance (a man said the distance was reduced from 15km to 3km.) The cattle trough was provided as a compensation for the closure of the Mkonga area, which had been used by some nearby villagers for creating the KVFP demonstration farm. Despite this background, the villagers seemed to regard the cattle trough simply as one form of external assistance³⁾.

5) Creation of a water point

As mentioned earlier, women in Kirinjiko Chini seldom used the public water point provided by KVFP. However, the study team found nearly 20 women coming to this water point to fetch water every day. That was a clear evidence of a positive impact of the

water point on nearby villagers, although they might have not been the residents of Kirinjiko Chini.

Similar to the cattle trough, KVFP provided this water point as a compensation for the closure of the Mkonga area, where the project set up the demonstration forest. However, people recognized it simply as an additional outside assistance.

6) Impact of other activities of the project

Apart from the so-called official project activities mentioned above, KVFP occasionally supported villagers in such a way as giving a ride to villagers or bringing villagers' requests to the district government. Also, people sometimes got new information through communicating with the Japanese experts. These activities helped to develop a relation of mutual trust between the project team (experts and counterparts) and the people, which consequently contributed to increase people's interests in the originally planned project activities.

8. Lessons Learned and Recommendations

(1) Lessons Learned

1) Consideration of the multidimensionality of poverty

The evaluation study confirmed that there were many aspects of peoples' perspectives on poverty, which also varied by sex and region. When planning a project for poverty reduction, one should keep such differences in mind and formulate an appropriate plan for the project site. The example of the success of VECC in one sub-village and its non-functioning in Meserani sub-village shows that a uniform activity might not always address poverty factors at all project sites.

2) Addressing social aspects of interventions

Originally, KVFP was a purely technical project in the forestry sector, not a poverty reduction project. The project thus did not clearly intend to directly address poverty issues. However, the experts came to recognize that people would not plant trees until their minimum needs were met, and started efforts for the improvement of the target groups' living conditions as a prerequisite for tree-planting activities.

The evaluation study confirmed that the activities that KVFP carried out additionally to promote tree-

planting activities, as well as other miscellaneous support such as giving rides to villagers, had a positive impact on poverty reduction. However, as those activities and impact depended largely on the interests and capability of an Individual Expert, they would not be accumulated in JICA as an institutional memory.

The first lesson learned from this case is that JICA experts must give more attention and sensitivity to the living conditions and needs of the people living in the project sites.

Secondly, when a social problem is found, it should not be addressed from the individual judgment of an expert or different interpretation of budget items: JICA should arrange to incorporate measures to address social issues in project activities under certain conditions, and should prepare a mechanism for such arrangements.

(2) Possible poverty reduction approach for JICA

All technical cooperation projects implemented by JICA so far could fall into the category of sector approach, and KVFP is no exception. As stated above, the impact of technical cooperation to a specific sector on multi-faceted poverty issues is limited. That is why other donors implement poverty reduction projects dealing with several sectors under the name of "integrated approach" or "multi-sector approach". However, it is impossible in reality for one project to include all sectors related to poverty factors. In Tanzania, where poverty reduction has consistently been a priority since independence, the government and donors have tried a variety of poverty reduction approaches. However, none of them can be said to take a full-fledged "integrated approach".

Also, ideas of an "integrated approach" are different

³⁾ The closure of the land due to the establishment of the demonstration forest took a form of *mlimbiko*, a traditional system of the community for conservation of natural resources. Under this system, the community sets its own rules for suspending the use of particular resources to be protected for a predetermined time frame. A committee is set up to impose such rules, including the punishment of offenders. Villagers of Kirinjiko Chini sub-village, which is located next to the Mkonga demonstration forest, agreed to apply *mlimbiko* of Mkonga for they saw the demonstration forest as a way to protect natural and planted trees from illegal cutting and animal damage. The study team conducted brief interviews in the target village and neighboring areas to determine whether there was a negative impact from the closure of the Mkonga area but found no evidence in this regard. More detailed studies are still needed to reach a conclusion.

between headquarters of donor agencies and at the grassroots level. At the grassroots level, "integrated approach" would not integrate several sectors but rather takes a strategy of carrying out activities that are closely related to people's lives (e.g., small-scale credit, primary health care, well digging, etc.) as an "entry point" of poverty reduction and then gradually expand the scope of activities to other sectors. Such a strategy can be said to be a practical "integrated approach" for poverty reduction.

On the other hand, the sector approach of JICA has the advantage of drawing on vast experience in sector-specific technical cooperation. It would be useful for JICA to support poverty reduction by making use of such strength and applying the practical integrated approach as mentioned above, namely starting with technology transfer in one sector as an "entry point" and gradually expanding the scope of activities to other sectors.

Within the current vertical organizational structures of JICA and implementing agencies of partner countries, it is generally difficult for a forestry project, for example, to provide a budget for assistance in drinking water supply. The case of KVFP suggested that project activities that are additional in terms of its original objectives (afforestation in this case) such as school construction and support for cattle raising are sometimes effective for poverty reduction. However, such additional activities and their impact were the result of the exceptionally flexible response of the field and the concerned department of the JICA Headquarters. The KVFP case is regarded as an exception and the possibility of replication is low under the present system of JICA. In order to implement effective poverty alleviation projects, therefore, JICA could look towards having flexibility to extend assistance in one sector to others without losing its strength of sector-specific technology transfer. In other words, it might be too ambitious and hardly realistic to include all sectors in a single "poverty alleviation project" even in a geographically limited project site. Rather, an approach of "gradual cross-sector" deserves consideration. This approach intends: 1) to carry out activities primarily aiming at establishing firm and sustainable technologies, institutions or structures in a specific sector that are needed by the local population (it does not necessarily have to be the highest needs), 2) to identify various social and poverty issues that might be found through the implementation of such activities and 3) to address these



Group discussion of Villagers

issues by starting the next stage of activities in another sector while continuing the first stage activities.

From the KVFP experience, the team learned that what is needed is not the traditional type of understanding such as, "Having good results as a forestry project will eventually contribute to poverty reduction". In any sector, a project such as that of JICA, which deploys a relatively number of inputs, will always have diverse effects on other related sectors. In this respect, JICA should be able to afford activities both in the original (forestry in KVFP's case) sector and at the same time in other sectors that have some connection to the original one and also are related to "people's perspectives on poverty". This "affordability" does not only mean the allocation of funds but also an insight to manage projects across the boundaries of departments (i.e., health, agriculture, fisheries, mining and industry) and utilize human resources for such cross-sectoral activities (i.e., social considerations, social analysis, poverty, etc.) at least by the Dispatch of short-term Experts.

Although the "multi-sector" or "integrated" approach is ideal in the sense that it is difficult to tackle poverty only through applying technologies of one sector, it may not be realistic to take such an approach at once. It may be possible for JICA for the time being to take the "sector-specific plus social consideration" approach.

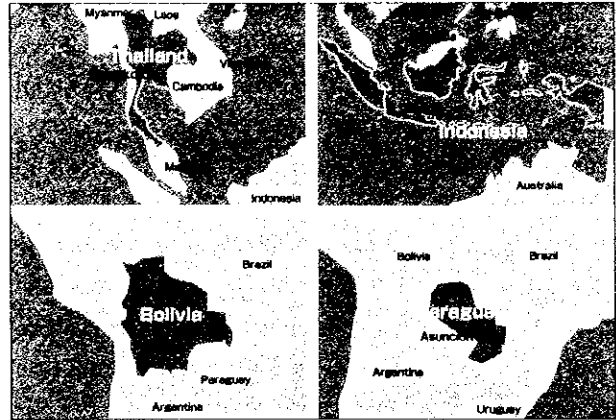
This approach could use sector-specific activities as a core and expand the scope of addressing social dimensions (social considerations) gradually. Through this process, the possibility of coordination with activities in other sectors, geographic areas and with other donors could be sought. "Social consideration" here is considered to play the role of a bridge joining several sectors.

JICA's approach has been criticized as being "too technology-oriented". Although it is true that JICA's technology transfer has little consideration on social dimensions, this does not mean that the technology-oriented approach is ineffective. If JICA adds social considerations for poverty reduction to its technology-oriented approach and has a flexibility to go beyond the boundary of sectors in technical cooperation projects, the "technology-oriented poverty reduction approach" will be as effective as sector-integrated poverty reduction approaches.

9. Attempt to Feedback of Evaluation Results

In order to feedback the results of this evaluation to those concerned with development aid and citizens who have interest in ODA, the JICA evaluation seminar "Poverty Reduction and JICA's Cooperation" was conducted at the Institute for International Cooperation on 17 November 2001.

Follow-up Evaluation of Development Studies



Project Sites Thailand, Indonesia, Bolivia, Paraguay

1. Background and Objectives of Evaluation Study

The domestic and foreign needs for evaluation from the perspective of ensuring the transparency of ODA has increased in recent years. In addition, it has been recognized that the promotion of evaluation and adequate feedback of the results of evaluation into project implementation is needed not only to ensure transparency, or so-called accountability, but also to improve the quality of ODA projects themselves.

In this context, further promotion of evaluation for Development Studies is anticipated in the future. Over 300 Development Studies are conducted annually, and they account for a roughly constant proportion of JICA's cooperation.

Japan's project-type schemes including Project-type Technical Cooperation, Grant Aid and Loans have been subjected to evaluation by the Ministry of Foreign Affairs (MOFA), JICA or the Japan Bank for International Cooperation (JBIC/former OECF) for over 15 years, and the number of evaluations implemented has built up. In contrast, there are few evaluations of Development Studies as they have only recently become subject to evaluation by MOFA and JICA. Therefore, as the percentage of Development Studies being evaluated is low compared with that for Grant Aid and Loans, it has been recognized that it is necessary to further promote evaluation of Development Studies in the future. This will improve the quality of future Development Studies through the utilization of the results of evaluation.

Against this background, this evaluation makes an overall assessment of Development Studies from the implementation stage to the post-implementation stage based on the following objectives, while focusing on impacts at the post-implementation stage:

- 1) To draw lessons from the results of evaluation for improving the quality of future Development Studies

- 2) To develop the methods of evaluation through implementation of evaluation of Development Studies

2. Evaluated Projects

Twenty-two completed Development Studies in Asia and South America were subjected by the evaluation. Projects were selected from Thailand and Indonesia in Asia and from Bolivia and Paraguay in South America. The subjected sectors were focused on transport and traffic and water resources development (including flood control and water supply), and evaluations for each country were implemented from the following perspectives.

<Thailand>

To evaluate, as comprehensive inputs in the eastern seaboard region, a total of 13 completed Development Studies in the sectors of regional development, transport and traffic and water resources development conducted in relation to the Eastern Seaboard Development Plan promoted by the Thai Government.

<Indonesia>

Focusing on the water resources development sector, to make an evaluation of a total of three Development Studies related to the flood control project for the Jeneberang River in South Sulawesi and provision of water supply in the downstream city of Makassar.

<Paraguay>

Focusing on the transport and traffic sector, to make an evaluation of a total of four Development Studies related to regional roads in the city of La Colmena and the traffic plans covering the Asuncion Metropolitan Area and the whole of Paraguay.

<Bolivia>

Again focusing on the transport and traffic sector, to make an evaluation of a total of two Development Studies

related to the Viru Viru International Airport in Santa Cruz and the El Alto Airport in the city of La Paz.

The studies evaluated are shown in Table 1.

3. Members of Evaluation Team

<Indonesia and Thailand>

Team Leader and Study Planning:

Takuo KARASAWA, Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

Development Study:

Yoshio AIZAWA, International Development Center of Japan (IDCJ)

<Paraguay and Bolivia>

Team Leader and Evaluation Study:

Ako MUTO, Planning Division, Social Development Study Department, JICA

Development Study:

Hiroo OKUDA, International Development Center of Japan (IDCJ)

4. Period of Evaluation

<Indonesia and Thailand>

6 February 2000-27 February 2000

<Paraguay and Bolivia>

30 January 2000-8 February 2000

5. Evaluation Methods

(1) Scope of Evaluation

This evaluation assesses Development Studies overall from the implementation stage to the post-implementation stage with a focus on the impact at post-implementation

Fig 1. Scope of Evaluation

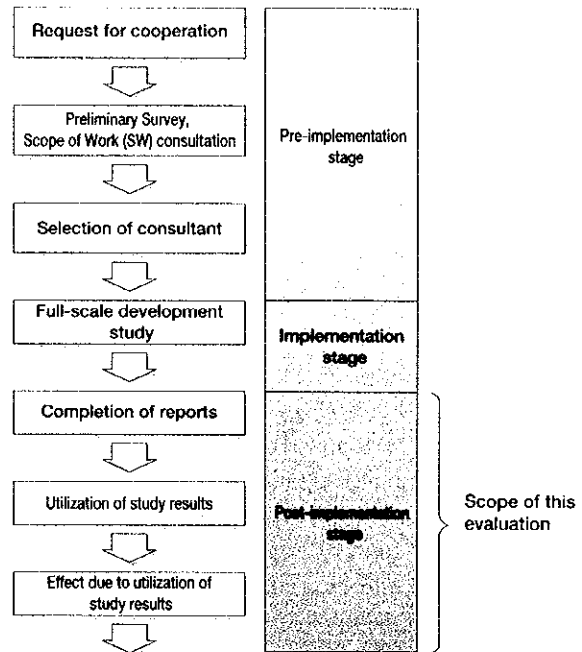


Table 1 Evaluated Development Studies

Country	Sector	Name of Study	Type of Study	Implementation Period
Thailand	National and Regional Development	Development Project of Leam Chabang Coastal Area	M/P + F/S	January 1984-March 1985
		Development of Paththaya Area	M/P	March 1989-July 1990
	Transport and Traffic (ports)	Development Project of the Industrial Port on the Eastern Seaboard	M/P + F/S	July 1982-November 1983
		Establishment of a Large Repair Shipyard	F/S	July 1984-May 1985
		Effective Port Management and Operation System	Other	August 1986-March 1988
	Transport and Traffic (roads)	Measures to Promote Container Handling System through Leam Chabang Port	M/P	March 1988-July 1989
		Road Development in the Central Region	M/P + F/S	August 1987-March 1989
		Toll Highway Development	M/P	February 1990-June 1991
		Inter-City Toll Motorway Project	F/S	August 1993-March 1995
	Social Infrastructure (water resources development)	East Coast Water Resources Development Project	F/S	February 1981-March 1982
Dok-Krai-Map Ta Phut Water Pipeline Project on the East Coast Area		D/D	November 1981-August 1982	
East Coast Water Resources Development Project (Phase II)		F/S	July 1982-March 1983	
Public Works (water supply)	Nong Kho-Leam Chabang Water Pipeline Project	F/S	August 1983-March 1984	
Indonesia	Social Infrastructure (flood and erosion control)	Lower Jeneberang River Flood Control Project	F/S	June 1976-February 1980
		Jeneberang River Flood Control Project (Phase II)	F/S	January 1981-March 1982
	Public Works (water supply)	Ujung Pandang Water Supply Development Project	M/P + F/S	June 1984-October 1985
Paraguay	Transport and Traffic (urban traffic)	Transportation Facilities Improvement Project of Asuncion Metropolitan Area	M/P	August 1984-August 1986
		Transportation Facilities Improvement Project of Asuncion Metropolitan Area	F/S	September 1987-October 1988
	Transport and Traffic (roads)	La Colmena Highway (Follow-up)	Other	September 1976-January 1977
		National Transport Master Plan	M/P	March 1990-January 1992
Bolivia	Transport and Traffic (aviation, airports)	Viru Viru International Airport Development	F/S	April 1977-December 1977
		El Alto Airport Modernization Project	M/P + F/S	January 1987-February 1988

M/P: Master Plan Study F/S: Feasibility Study D/D: Detailed Design Study

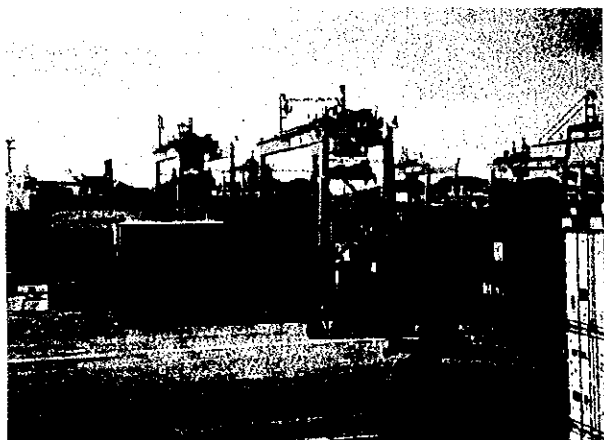
stage. The implementation stage is from the point when a study team actually begins the full-scale study in the country to when the study is finished, the report is submitted to the recipient-country government and a final report is produced based on discussions. Meanwhile, the post-implementation stage refers to the period after the full-scale study is completed and the final report is produced. The scope of evaluation also includes the utilization stage, which is the period of utilization of the results of studies in the formulation of projects for the targeted region or in the implementation of individual projects, and the impact stage, when the effects appear resulting from the utilization. (Refer to Fig. 1)

(2) Perspective of Evaluation

The evaluation divided Development Studies into the stages of implementation and post-implementation. For the implementation stage, it examined the necessity for the implementation of the development study, the structure of cooperation between the study team and counterparts, and the establishment of the recipient-country government's system for utilizing the development study. For the post-implementation stage, the evaluation examined 1) reflection of proposals from the development study in recipient-country government development policies, progress into next-stage study and project implementation, and the ripple effect produced by project implementation from the perspective of impact, and 2) the implementation system and self-help seen in the process of utilization of development study results from the perspective of sustainability after the implementation of Development Studies.

(3) Method of Implementation

The implementation of this evaluation was composed of 1) information gathering in Japan; 2) on-site research (including interviews of participants in the Development Studies); 3) information gathering using local consultants; and 4) analysis of data in Japan.



Thailand / Development Project of Leam Chabang Coastal Area

6. Results of Evaluation: Thailand

In judging the success or failure of Development Studies, it is necessary to examine both the implementation stage that is affected by the efforts of both the Japanese side and the recipient country's government, and the post-implementation stage that is significantly impacted by the efforts of the recipient government.

This evaluation covered 13 Development Studies implemented mainly during the 1980s that were directly or indirectly related to the development of Thailand's eastern seaboard. It comprehensively evaluated the studies as an input package in the whole region. Following the evaluation of the implementation and post-implementation stages, it could be confirmed that the series of Development Studies conducted for the development of the eastern seaboard had generally been successful.

The implementation stage can generally be judged successful based on an overall evaluation of the following points: 1) Japan's Development Studies aimed at eastern seaboard development appropriately reflected the needs of the time; 2) the cooperation between the Japanese side and the Thai side was generally satisfactory; and 3) the system for the utilization of Development Studies was in place against the background of the priority placed by the Thai Government on the Eastern Seaboard Development Plan as a national project.

Furthermore, it was confirmed that the overall impact of the Development Studies in the post-implementation stage was substantial and extremely significant. The following four points illustrate the impact: 1) projects proposed by the Development Studies conformed to Thai Government development plans and were largely reflected in concrete policies aimed at project implementation; 2) the results of Development Studies were utilized in regional level development policies and projects, for example, Pattaya City Office positioned the results of Development Studies as its development policy; 3) a large number of proposals developed into subsequent studies and to project implementation; and 4) the effect on the eastern seaboard region was extremely significant, which included the invigoration of economic activity in the eastern seaboard area, an increase of contribution to the Thai economy by the manufacturing and mining industries in Chon Buri and Rayong Provinces, an increase in private investment and greater generation of employment.

To give actual examples of the economic impact on the region covered by the studies, from 1982 to 1996, Chon Buri and Rayong Provinces significantly outperformed the average rate of growth in real GDP for the whole of Thailand. In 1990, the manufacturing industry in Chon Buri Province accounted for

approximately 6 percent of added value for the whole of Thailand, but this had increased to 10 percent by 1996. In terms of the rate of growth in the number of companies, while the growth rate for the whole of Thailand has been showing a tendency to decline since 1981, in Chon Buri and Rayong Provinces it has been on the rise from 1987 and outperformed the rate of growth in companies for the whole of Thailand from 1990. With the increase in the number of companies, new employment has been generated in the eastern seaboard region. The number of employment opportunities created during the Eastern Seaboard Development Plan Phase I (1981-1994) reached 460,000. As a result of the advance of industrialization due to the eastern seaboard development projects, employment opportunities have increased particularly both in industry and in services.

The five points below are the main factors in the success throughout implementation and post-implementation stages of the Development Studies implemented in relation to the Eastern Seaboard Development Plan.

- 1) The Thai Government's Eastern Seaboard Development Plan provided a clear framework for development.
- 2) Within this framework, Japanese Development Studies were intended to be utilized from the beginning of implementation.
- 3) Under the leadership of the Thai Government, decisions concerning the project implementation of eastern seaboard development were clearly made.
- 4) Against the background of 1) and 2), the system for utilization of proposals and plans produced by Development Studies in the implementation and post-implementation stages was in place.
- 5) After the Plaza Accord, investment increased and the Thai economy was vitalized.

Points 1) through 4) above are closely connected to the fact that the Eastern Seaboard Development Plan was promoted under the ownership of the Thai Government. This ownership resulted in the strengthening of the organizational structure for promoting the Eastern Seaboard Development Plan and encouraged meticulous consideration as well as the development of concrete projects. In addition, 5) is an external factor that exerted a positive effect on the post-implementation stage of the Development Studies.

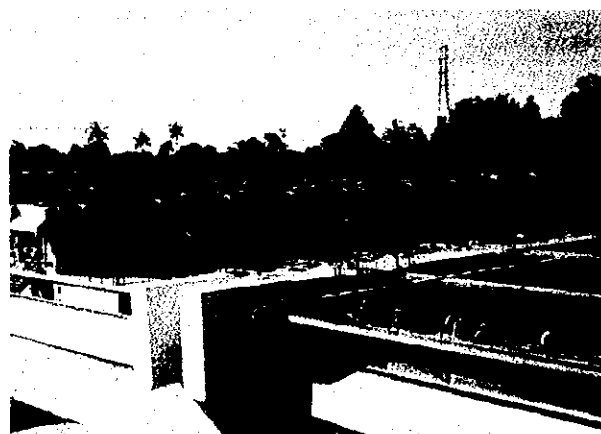
However, in terms of technology transfer, because the Development Studies were implemented focusing upon improvement of infrastructure at the time, they were expected to draw blueprints rather than to transfer technology. In other words, Development Studies were not regarded as technical cooperation, thus there was no focus on technology and knowledge transfer.

The local autonomous bodies in the districts covered by the Development Studies targeted by this evaluation include the Laem Chabang self-governing office, the Map Ta Phut self-governing office and the Pattaya City Office. Among these, the Laem Chabang self-governing office and the Map Ta Phut self-governing office were not bodies for the implementation of projects considered and proposed by the Development Studies. This was because the industrial development of Map Ta Phut and Laem Chabang was largely implemented by central government implementing organizations and ministries. As a result, the Laem Chabang self-governing office and the Map Ta Phut self-governing office did not receive feedback from the Development Studies when they were completed, and there was very little collaboration with the central government office. However, at the time of implementation of the "Development of Pattaya Area", there were city employees who took part as counterparts, and there was feedback of the results from Development Studies as the necessity arose from the implementation stage. According to Pattaya city employees, the results of the Development Studies are still being used as a blueprint for the city's development plan.

7. Results of Evaluation: Indonesia

The three studies reviewed can be evaluated successful overall, considering the implementation stage of the studies, the system during the implementation process, and the status of utilization and the utilization system in the post-implementation stage. The following is an outline of the factors that created the success of the three studies from perspectives of the system of the study in the implementation and post-implementation stages, the needs for the studies, and the manifestation of the post-implementation impact.

All three studies covered in this evaluation reflected



Indonesia/ Ujung Pangdang Water Supply Development Project

the needs at the time, and the implementation of the studies was well timed. In the case of the "Lower Jeneberang River Flood Control Project" and the "Jeneberang River Flood Control Project (Phase II)", the studies were carried out against a background of a strong need for flood control. In the case of the "Ujung Pandang Water Supply Development Project", the study was carried out against the background of a forecasted future increase in demand for water.

In terms of the study implementation process, the studies evaluated were conducted between the end of the 1970s and the mid-1980s. Therefore, as 15 or 20 years elapsed, it was impossible to obtain sufficient information on the status of implementation at the time. However, counterparts from the period recall that there were no communication problems between the teams from the Japanese side and the Indonesian side and that the counterparts participated actively in the studies.

Further, since the Ministry of Public Projects (currently the Ministry of Residence and Area Development), the counterpart organization at the time, established a system in place for the adequate utilization of study results from the study implementation, the studies appear to have been conducted efficiently.

The plans proposed at the study implementation stage were adequately utilized in the development policy for flood control and water resource development in the lower reaches of the Jeneberang River, and the provision of water supply facilities in Makassar City.

In terms of the impact of project implementation, it was confirmed that despite suffering the biggest rains in several decades at the beginning of 2000, the flood control system on the Jeneberang River worked perfectly and prevented the river from flooding. In addition, it was confirmed that the rate of water supply had increased resulting from the improvement in clean water supply capability due to the establishment of water treatment plants and expansion of the water pipe network.



Paraguay/ La Colmena Highway (Follow-up)

Meanwhile, in terms of the system of utilization for the Development Studies, the Ministry of Public Projects, the counterpart organization for the three studies from the implementation stage, took an active role. Therefore, the system for utilizing the Development Studies was in place, meaning that there was a smooth transition to utilization after implementation.

8. Results of Evaluation: Paraguay

This part of study focused on the transport and traffic sector and evaluated four Development Studies related to local roads in La Colmena City, and traffic plans for the Asuncion Metropolitan Area and the whole of Paraguay. The four Development Studies that were evaluated were generally successful because they met the needs of Paraguay at the implementation and post-implementation stages. An outline of the results of evaluation of the implementation and post-implementation stages of the four studies is given below.

In terms of the convergence between the Development Studies and the needs on the Paraguay side, the studies for post-construction care for roads in La Colmena reflected the prioritised target of the land transportation sector in the National Social and Economic Development Plan of Paraguay (1977-1981). The Transportation Facilities Improvement Project of the Asuncion Metropolitan Area (M/P) and Transportation Facilities Improvement Project of the Asuncion Metropolitan Area (F/S) were studies that addressed the population increase and concentration of industry in the metropolitan area. Further, the studies for the National Transport Master Plan addressed motorization since 1980.

It was confirmed that during the study process there was adequate communication between the JICA study team and counterparts, regular meetings, seminars and technical transfer by the study team to counterparts. Therefore, it appears that there was an adequate system of cooperation between the study team and the counterparts at the study implementation stage. In terms of the establishment of a system for the utilization of the Development Studies during the implementation stage, representatives of participating organizations formed a steering committee whereby cooperation and decision-making could take place and advice shared on both administrative and technical aspects of the studies and plans. This type of system not only deepened understanding and interest in the studies within the government but also played an important role in the timely transition of plans into projects.

Three of the four studies, Transportation Facilities Improvement Project of the Asuncion Metropolitan Area (M/P), Transportation Facilities Improvement Project of

the Asuncion Metropolitan Area (F/S), and the National Transport Master Plan were developed into subsequent Development Studies, and part of those plans were implemented as projects. For the Transportation Facilities Improvement Project of the Asuncion Metropolitan Area (F/S), it was reported that work had already begun on circular road widening (construction to widen Madam Lynch Street), improvement of primary intersections, installation of new bus terminals, and central control of traffic signals by a traffic control center. These projects were initiated using funds of the Asuncion municipal government and World Bank loans. For the National Transport Master Plan, it was confirmed through on-site research that a number of proposed road projects have been undertaken or are in the process of implementation. In addition, Japan's OECF (currently JBIC) provided Loans to road projects twice, in 1990 and in 1998.

Turning to the indirect economic and social effects resulting from the implementation of projects, it was ascertained that the study of "La Colmena Highway (follow-up)," from which all the plans were developed into projects, has made a significant contribution by increasing convenience and efficiency for local people, increasing the importance of the regions and improving access to public facilities. The Transportation Facilities Improvement Project of the Asuncion Metropolitan Area (F/S) has resulted in better driving conditions as a result of the surfacing and widening of roads, and there has been a decrease in the number of traffic accidents in Asuncion. It was also confirmed that the National Transport Master Plan likewise had indirect effects that included a shortening of travelling times and promotion of trade through the creation of a corridor for imports and exports.

The sustainability of the Development Studies can be evaluated from the perspective of the preparedness of the internal system for the development of plans into projects and whether the technology transferred by the study teams at the time the studies were implemented has become firmly established on the recipient side. For the Transportation Facilities Improvement Project of the Asuncion Metropolitan Area (F/S), few of the counterparts who participated are still in office due to the 1989 coup d'etat and the subsequent reorganization of the municipal government. Therefore, there was no sustainability from the perspective of the system. For the National Transport Master Plan (M/P), it was ascertained that it was integrated into the national plan in the transportation administration and that the Comprehensive Transport Planning Department, Section In Charge of Transport (OPIT) of the Ministry of Public Projects and Communications carries out decision making in the order of priority for comprehensive project implementation and monitoring.

It can be confirmed that the studies had sustainability from the perspective of the establishment of technology. According to the counterparts who received the technology transfer during the study implementation process for Transportation Facilities Improvement Project of the Asuncion Metropolitan Area (M/P) and the National Transport Master Plan (M/P), the basic knowledge of transport civil engineering technology, knowledge of signalling equipment, and traffic planning that they acquired through the studies is still useful in their current work more than ten years after the studies were completed.

9. Results of Evaluation: Bolivia

This evaluation focused on the transport and traffic sector and in particular on airports, and evaluated the two Development Studies related to Viru Viru International Airport located in Santa Cruz City and El Alto Airport in La Paz City, the capital of Bolivia. As the two Development Studies met the needs of Bolivia in the implementation stage and the post-implementation stage, they were evaluated generally successful.

It could be ascertained that in the study implementation process for both the studies, there were regular meetings between the JICA study teams and counterparts and there was technology transfer from the study teams to the counterparts (data collection techniques, planning techniques for airport renovation and expansion projects, and expertise on aircraft noise measurement technology). Therefore, it appears that there was an adequate system of cooperation between the study teams and the counterparts at the implementation stage.

In terms of the system for using the results of Development Studies at the implementation stage, in the case of the Viru Viru International Airport Development, institution building and developing a system for implementation of the projects were carried out simultaneously with the completion of the study. Meanwhile, in the case of the El Alto Airport Modernization Project, there was a change of government immediately after the completion of the study, most of the counterparts hence either resigned or changed jobs. The project steering committee therefore was never organized.

Turning to the implementation of projects, some of the projects from both of the Development Studies were implemented. The Viru Viru International Airport Development (F/S) was granted yen loans in 1979 (¥10.8 billion) and 1983 (¥6.689 billion) by OECF, and the project was completed in 1984. The El Alto Airport Modernization Project (M/P + F/S) was provided with grant aid from JICA in three consecutive years: 1994 (¥893 million), 1995 (¥2.374 billion) and 1996 (¥278

million). Improvement of runways, the construction of a new control tower, the installation of aids to navigation and telecommunications facilities, and the purchase of communications devices and landing-aid-related devices were implemented.

The economic and social impacts on the local community was confirmed to include 1) improvement of transport services and comfort for airport users; 2) increase in demand for air travel; 3) increase in volume of freight handling; 4) increased employment opportunities in Santa Cruz Prefecture; and 5) various cost savings from the construction of a new airport.

Likewise, the impact from the implementation of the projects in the development study for El Alto Airport was examined. However, as the projects implemented were limited to the provision of control facilities related to safety of the airport and it had been only two years since implementation, it was impossible to measure substantial impacts resulting from the projects. The impacts that were ascertained through interviews included improvements in safety and modernization of aviation technology.

In the future, the issue of whether the remaining projects from the two studies are implemented is largely dependent on the decision of Servicios de Aeropuertos Bolivianos SA (SABSA), which has jurisdiction over the management of the airports. The main factors preventing implementation are funding-related issues and stagnated demand for air transport (passengers and freight). If these are resolved, the projects are likely to be implemented according to the proposals in the studies. In addition, the Ministry of Transport is considering the formulation of a National Transport Master Plan in the future. If the details proposed in the Viru Viru International Airport Development and the El Alto Airport Modernization Project are reviewed in the master plan, it seems likely to spur implementation.

Meanwhile, as the counterparts at the time of both the studies have almost all been replaced due to the change of government or other reasons, it must be said that the Sustainability of technology transfer, from the viewpoint of human resources, is low. However, the reports generated by the two Development Studies are now important reference materials at SABSA, so there may be Sustainability in terms of the contents of the results of the Development Studies.

10. Lessons Learned and Recommendations

(1) Recommendations to Improve the Quality of Development Studies

- 1) Reconfirmation of the purpose of the Development Studies from the perspective of technical cooperation



Bolivia / Viru Viru International Airport Development

When a development study is implemented, it is necessary to reconfirm its purpose in order to utilize its results as technical cooperation as much as possible.

Japanese cooperation so far has fulfilled the goal of supporting the formulation of projects, but the level of achievement is generally low for technology transfer. In the future, if there is to be an even greater focus on technology transfer, it will be necessary to strengthen the points below.

- a) To deepen recipient countries' understanding of Japanese Development Studies as technical cooperation so that recipient countries will make requests for Development Studies including requests on technology transfer from the very first stage of a request. While, at the stage of project selection and confirmation (project formulation study, etc.), Development Studies that emphasize technical cooperation must be proposed to recipient countries.
 - b) To issue public notices that enable tenderers to produce proposals that emphasize technology transfer, and to select a consultant with an aptitude for technology transfer. Depending on circumstances, to include a long-term specialist in technology transfer in the Japanese team for Development Studies.
 - c) To establish support systems that facilitate technology transfer from the Japanese team to the recipient country's team.
- 2) Clarification of the role of the development study in the development plans of recipient countries

When implementing a development study, it is necessary to clarify the position of that development study in the context of the national development plan of the recipient country's government and/or the development plans of the ministry in charge.

When the role that the development study plays in the context of the prioritised development plans of the

recipient country is clarified, and the development study is implemented with that role in mind, the reflection of the study in development policies and its utilization in individual projects in the recipient country will be increased.

3) Clarification of targets for utilization of Development Studies

The purpose of implementing Development Studies varies according to the type of study and its subject. The post-implementation utilization of Development Studies also vary according to differences in their purposes. When assessing utilization status following the implementation of a development study, it is necessary to verify that utilization status matches the targets of the study. Therefore, the targets for utilization of a development study must be clarified from the pre-implementation or implementation stage.

4) Preparation of scenarios to cope with changes in external conditions

It is possible for projects proposed in Master Plan Studies or examined in Feasibility Studies to be suspended after implementation of those studies due to changes in external conditions. It is therefore desirable to prepare a variety of scenarios as far as the change can be predicted.

The most common cause of projects proposed or examined in Development Studies not being utilized is the recipient country's inability to provide the budget. To address this, it would be effective to consider scaled-down projects or projects that can be expanded in stages from the smallest scale.

(2) Recommendations for Improving Methods of Evaluation for Development Studies

1) Setting targets for utilization according to the number of years since implementation, form of development study and purpose of development study

It is necessary for ex-post evaluation of Development Studies to set targets for utilization based on the number of years since implementation, the form (Master Plan Study, Feasibility Study, or Detailed Design Study, etc.) and the purpose of the development study. Setting these targets will allow an appropriate assessment of the development study's achievements whatever the timing, form and purpose of the evaluation.

2) Introduction of terminal evaluations

It is desirable to introduce a terminal evaluation after the implementation of a development study in order to evaluate efficiency at the stage of implementation.

When the period of implementation of the development study being subjected to ex-post evaluation goes back nearly 15 or 20 years, it is difficult to collect

information for evaluating the implementation stage. Even if it is possible to collect information, the poor reliability of the information means that it is often difficult to produce accurate evaluations.

The introduction of terminal evaluations would clarify what kind of technical transfer had taken place at the implementation stage and whether collaboration with the recipient country had been adequate. The reliability of the grounds for assessing efficiency of the study at the implementation stage would also be improved.

3) Need to examine methods of evaluation: positioning of Development Studies using logical structure of PDM

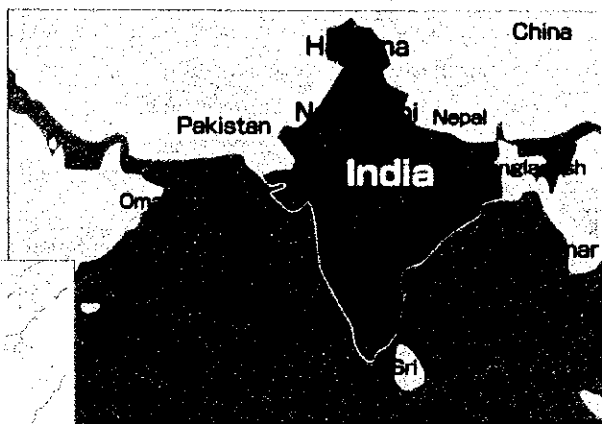
In Japanese ODA evaluation, particularly in project evaluation, evaluations are conducted from the perspective of five evaluation criteria (efficiency, effectiveness, impact, relevance and sustainability) based on the logical structure of PDM. PDM illustrates the relationship of input/activity → output → project purpose → overall goal and important assumptions (external factors) in matrix form, and is established in line with the flow of a project, and is therefore logically clear. However, when assessing a development study in the same way as a project of Project-type Technical Cooperation and carrying out an evaluation using the logical structure of PDM, it is necessary to examine the positioning of the stages of the development study from implementation stage to post-implementation stage within the logical structure of PDM.

4) Consideration of criteria of evaluation other than the five evaluation criteria

Development study evaluations do not necessarily have to follow the five evaluation criteria, and if there is another, more appropriate, criteria for evaluating Development Studies, it should be allowed. The disadvantages of the evaluation using five evaluation criteria based on the PDM logical structure are that the content of the evaluation varies significantly depending on the positioning of "purpose," and there may be duplication of the content to be assessed under each criterion.

The alternatives for establishing the criteria of evaluation for Development Studies in the future are a) to base evaluation on the five evaluation criteria and to add improvements to it; or b) to consider new criteria of evaluation using the five evaluation criteria as a reference.

The Project for Development of Quality Seed



Project Sites Haryana

1. Background of Project

India requires 235 million tons of food a year to feed its population, which reached 1 billion in 2000. The Government of India, therefore, identified food self-sufficiency as one of the objectives in the national development plan, through increasing food production. The Government was attempting to stabilize the supply of high yield and quality seeds, and distribute them to farmers.

Accordingly, the Government drew up a plan to upgrade equipment and facilities for research and multiplication at organizations such as the Indian Agricultural Research Institute (IARI), in order to strengthen research and development. The plan was hindered, however, by the lack of budget and technological skills. As a result, the Government of India requested the Government of Japan to support strengthening of the system for research, multiplication and supply of quality seeds by means of Grant Aid for upgrading the facilities and equipment at IARI.

2. Project Overview

(1) Period of Cooperation

FY1995

(2) Type of Cooperation

Grant Aid

(3) Partner Country's Implementing Organizations

Department of Agricultural Research and Education,
Ministry of Agriculture
Indian Agricultural Research Institute (IARI)

(4) Narrative Summary

1) Overall Goal

High yield and quality seeds are provided to farmers.

2) Project Purpose

A system for seed development, preservation and processing is established at IARI.

3) Outputs

- a) Seed preservation storage and a seed-processing house are constructed.
- b) Equipment and facilities for seed development, preservation and processing are upgraded.

4) Inputs

Japanese Side

Grant	662 million yen
	(E/N amount)

Indian Side

Land

3. Members of Evaluation Team

JICA India Office
(Commissioned to Management Services Group)

4. Period of Evaluation

14 February 2000-15 March 2000

5. Results of Evaluation

(1) Efficiency

Storage facilities constructed and equipment provided were being utilized properly. The scale of cooperation was judged as appropriate.

(2) Effectiveness

Although the project did not increase seed production at IARI, costs for processing and labor (packing) were reduced. As a result, the seed production process at IARI became more efficient. Moreover, the quality of seeds was better preserved due to the improved equipment and appropriate management. Also, the quality of wheat and paddy seeds were improved, and a greater variety of seeds were produced including vegetables, crude seeds and hybrid seeds. Accordingly, the purpose of this project was almost achieved.

(3) Impact

IARI was recognized by FAO as an international level training center regarding the development, preservation and processing of post-harvest seeds. Local farmers who had seen good results started buying seeds from IARI, which resulted in higher yields than from the seeds provided by National Seeds Corporation. In addition, more than 50 professionals were trained in the field of modern seed management technology. It was expected that knowledge and skills regarding seed management would continue to improve over time in India.

(4) Relevance

The Government of India aimed to stabilize the supply of high yield and quality seeds and distribute them to farmers, in order to avoid food shortages. Therefore, this project was highly relevant, corresponding to the national policy of India.

(5) Sustainability

There are the problems of the expected financial support from the Government had not been provided, as well as the lack of technicians to maintain equipment and facilities. However, regarding the achievement of the project so far, sustainability of this project would be assured.

6. Lessons Learned and Recommendations**(1) Lessons Learned**

Training should be conducted not only in technical areas, but also to improve the management of the institution.

(2) Recommendations

In order to establish financial and institutional sustainability at IARI and to promote the provision of



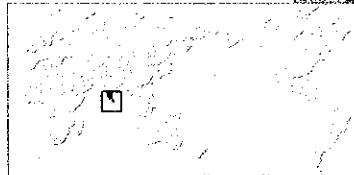
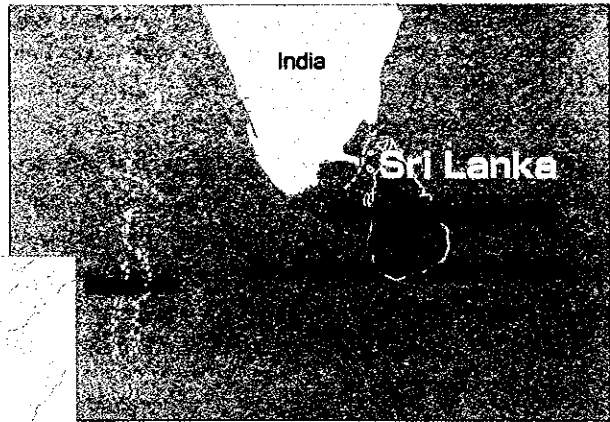
Staff of IARI checking quality of seeds



Researchers examining a machine

quality seeds, it is recommended that IARI cooperate with other organizations, such as the National Bureau of Plant Genetic Resources, National Seeds Corporation, agriculture universities, and private seed companies.

Minipe Nagadeepa Rural Development Project



Project Sites Minipe Nagadeepa

1. Background of Project

The Government of Sri Lanka had promoted comprehensive rural development including the repair of existing irrigation systems, support to improve the people's living and economic conditions and other activities. The Government of Japan, at the request of the Government of Sri Lanka, had conducted the development study "Mahaweli Agricultural Development Project" from 1982 to 1986, and drawn up a plan for increasing productivity through the intake of irrigation water from a diversion weir on Mahaweli river.

Based on this study, the Government of Sri Lanka requested the Government of Japan to cooperate in the improvement of the people's standard of living and the revitalization of their economic activities in the Minipe and Nagadeepa areas, aiming to correct the gap between the social and living conditions of Minipe /Nagadeepa and those of the Mahaweli River Project Area, its neighboring area.

- b) Economic activities in the area are revitalized.
- c) The gap between social and living conditions of Minipe and Nagadeepa and those of the Mahaweli River Project Area is corrected.

2) Project Purpose

- a) Safe water for domestic use is provided in Minipe and Nagadeepa areas.
- b) The distribution of agricultural products and necessary goods in the area is improved.

3) Outputs

- a) Existing wells are restored and other wells are newly constructed in the area.
- b) The roads of the area are rehabilitated.

4) Inputs

Japanese Side

Grant	1,158 million yen (E/N amount)
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Sri Lankan Side

Land

2. Project Overview

(1) Period of Cooperation

FY1989

(2) Type of Cooperation

Grant Aid

(3) Partner Country's Implementing Organization

Irrigation Department, Ministry of Mahaweli Development

(4) Narrative Summary

1) Overall Goal

- a) Life of the residents in Minipe and Nagadeepa areas is improved.

3. Members of Evaluation Team

JICA Sri Lanka Office
(Commissioned to INFOTECH (PVT) LTD)

4. Period of Evaluation

April 2000

5. Results of Evaluation

(1) Efficiency

Though construction delays occurred at the beginning, construction eventually caught up to the original schedule and the project was completed on time.

Approximately 70 thousand people benefited from the project. Judging from their total benefit, the project was highly efficient.

(2) Effectiveness

The total number of newly constructed wells was 386 and restored wells 334. These wells provided safe water for domestic use. In addition, newly constructed roads (32.9Km) and restored roads (55.1Km) contributed to the smooth distribution of agricultural products and necessary goods. Therefore, it was concluded that the project purpose was achieved.

(3) Impact

Due to the construction and the restoring of wells, women and children could reduce the time spent on collecting water by up to three hours per day. As a result, they could spend more time on domestic work and business activities, which contributed to an increase in income. Also, according to interviews with residents, the incidence of diseases attributed to unsanitary water was lower.

(4) Relevance

The project was planned based on the development study conducted by JICA from 1982 to 1986. Before the project started, there was a large gap between the social and living conditions of Minipe, Ngadeepa and the Mahaweli River Project Area. Due to the above reasons, the project was relevant as a whole.

(5) Sustainability

The project was implemented by the irrigation department, while the maintenance was intended to be managed by residents themselves or district governments. The Basic Design Study for the project indicated that the Sri Lankan side should establish the system for maintenance and management, and document the conditions for building an effective system. However, at the time of the evaluation, no such system had been established at the community level, which hinders sustainability. Also, maintenance skills were insufficient. As a result, some wells were damaged and remained unused, while roads had potholes.

6. Lessons Learned and Recommendations

(1) Lessons Learned

It is necessary to devise a concrete plan for establishing a system for maintenance and management of



A well constructed by the project



A well constructed at an elementary school

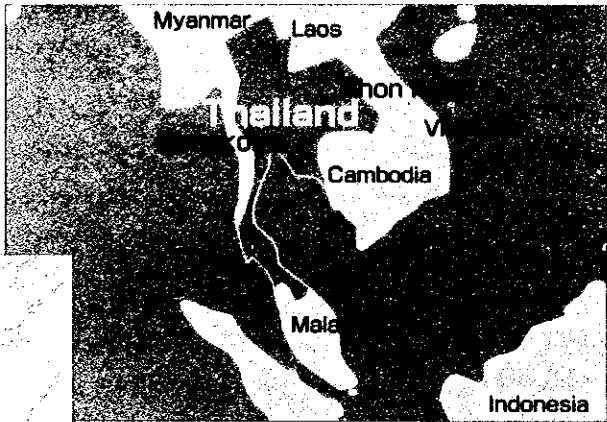
wells and roads, in collaboration with the Sri Lankan side.

Furthermore, it is important to revise the maintenance system, checking whether the financial conditions had changed since the project was planned, and whether the system was established according to plan.

(2) Recommendations

The Government of Sri Lanka and the implementing organization should consider how to maintain the wells, which are useful, immediately. For example, the project requires imposing a user fee for water in order to raise funds for maintenance.

Community Health Project



Project Site Khon Kaen Province

1. Background of Project

Since 1976, Japan has supported successful health projects in Thailand through Grant Aid and Project-type Technical Cooperation. However, health and medical conditions in Thailand have changed due to the change in major diseases in the late 1980s. To respond to the changes, it became necessary for Thailand to construct a community health system.

Accordingly, JICA had dispatched study teams three times since 1989 to discuss the possibility of cooperation with Thailand in this area. Having grasped the situation and problems facing the current health and medical system and major diseases, the Government of Thailand requested Project-type Technical Cooperation from the Government of Japan for the planning of an effective health and medical system.

2. Project Overview

(1) Period of Cooperation

1 September 1991-31 August 1996

(2) Type of Cooperation

Project-type Technical Cooperation

(3) Partner Country's Implementing Organization

Ministry of Public Health

(4) Narrative Summary

1) Overall Goal

Proposals for health and medical care are adopted in the 8th Five-year National Health Plan (1997-2002) including rural health service, urban health service, dental health care, and emergency trauma prevention.

2) Project Purpose

An effective health and medical system in Thailand is established.

3) Outputs

a) Participatory Action Research¹⁾ is conducted in

each of the sub-projects (rural health service, urban health service, dental health care, and trauma prevention).

b) Systems research on health insurance is conducted.

c) Human resources development in Community Health Services is achieved.

4) Inputs

Japanese Side

Long-term experts	8
Short-term experts	27
Trainees received	
Equipment	
Local cost	approx. 32 million yen

Thai Side

Counterparts	
Land and buildings	
Local cost	approx. 153 million bath (approx. 450 million yen)

3. Members of Evaluation Team

JICA Thailand Office

(Commissioned to Mr. Kowit Krachang, Mr. Chaiwat Panjapongse, Mr. Siriwan Grisurapong and Mr. Somruthai Intakochasam)

4. Period of Evaluation

12 March 2000-30 March 2000

5. Results of Evaluation

(1) Efficiency

The level and timing of inputs were appropriate. Participatory Action Research enabled involved organizations, residents of the targeted area and the implementing organization to cooperate on research for the improvement of health services. This approach facilitated consensus building among stakeholders and

kept project costs down. In conclusion, the project was implemented efficiently.

(2) Effectiveness

Participatory action research had been successful in the achievement of the objectives set forth in each of the four sub-projects for the development of the health system and other sub-projects for medical and health system research. Human resources development in Community Health Services was also achieved. Accordingly, the proposal for the Community Health Service System in the National Health Policy was submitted to the responsible organization. Therefore, the project purpose was attained.

(3) Impact

The results of the sub-projects were reflected in important activities of the 8th National Health Plan. Therefore, it is concluded that the overall goal of the project was achieved.

Other impacts of sub-projects were as follows: Groups of residents built a network to continue their activities, such as producing vegetables (urban health service). A rural health system was introduced in several areas (rural health service). Regarding emergency medical service, education and promotion activities were conducted through TV and radio at the national level (emergency trauma prevention).

Moreover, the stakeholders' experience in participatory activities was applied in their actual work in their organizations. In addition, it was recognized that the participation of local people was necessary for social development in long term.

(4) Relevance

As was mentioned above, the proposals from the project for the improvement of Community Health Service were included in the National Health Plan of Thailand as important activities. The project should be relevant since the activities spread nationwide. Also, Participatory Action Research was appropriate to plan sub-projects based on the needs and concerns of stakeholders, including residents.

(5) Sustainability

The emergency trauma prevention sub-project was sustainable in technical terms while the sustainability was constrained in financial terms due to Thailand's economic recession. As to the urban health service, institutional sustainability should be firm since a cooperative system was established among people's organizations, local government and NGOs. However, it was still necessary to support the project in technical terms in order to realize the ideal of a "healthy community". As to the rural health service, the sustainability of the rural health system at each level (province, district and village) was confirmed, but the local residents didn't have many opportunities to



A Health post set up by the Project

propose their ideas.

Dental health care faced problems, such as insufficient support from the administrative side and the high cost of managing the dental health unit.

6. Lessons Learned and Recommendations

(1) Lessons learned

It is effective for long-term development and sustainability of the projects that stakeholders at respective levels (ministry, local government, NGO, people's organization) participate in the planning, implementation, monitoring and evaluation of projects. Nevertheless, it must be carefully considered who participates, at which stage in the process of the project and how. The project must strive to involve socially disadvantaged people.

(2) Recommendations

To explore the impacts of the project, it was considered important to promote local people's participation, to construct a cooperative system among related organizations over time corresponding to decentralization. It was also considered important to solve the problem of a lack of administrative personnel at the village level, and to make laws and regulations covering the new community health service.

7. Follow-up Situation

The Project-type Technical Cooperation "Project for Development of Trauma Center Complex" is being implemented in Kohn Kaen Hospital from 1 July 2000 (up to 30 June 2005), to strengthen the activities of the emergency trauma prevention sub-project and to improve services in this field in Khon Kaen Province.

¹⁾ Participatory Action Research is the method taken in this project to identify appropriate actions to improve the health system by involving local people in the implementation and evaluation of the sub-projects.