Annual Evaluation Report
2002

Japan International Cooperation Agency

PREFACE

The Japan International Cooperation Agency (JICA), the main implementing agency for Japan's Official Development Assistance (ODA), carries out a wide variety of international cooperation projects that focus predominantly on technical cooperation in developing countries and regions. For some 40 years, JICA has carried out these cooperation activities under the motto: "Human development, national development. Bringing people together".

Even as we enter the 21st century, many issues of major concern in developing countries such as poverty, conflict and refugees, environmental destruction, and infectious diseases still remain. Furthermore, these issues have not only increased in severity but have also increased in diversity and become more complex. The role of ODA in supporting the sustainable development and reconstruction of the economies and societies of developing countries is therefore as important as ever for the prosperity and stability of the entire international community.

Against this background, the Millennium Development Goals (MDGs) were announced at the United Nations Millennium Summit in September 2000. Since then, the international community has been engaged in intense discussions at global fora such as the World Summit on Sustainable Development, held in September of this year in Johannesburg, on how to achieve these goals. Accordingly, Japan now faces increased pressure to promote more effective, results-oriented cooperation activities, making the greatest use of our experience in international cooperation to actively contribute towards the achievement of the MDGs.

In addition to these international demands, JICA faces pressures at home. Due to Japan's protracted economic stagnation and severe fiscal situation, the Japanese public is increasingly calling for the more efficient and transparent implementation of ODA. It was under these circumstances that JICA therefore decided to proceed in becoming an Independent Administrative Institution (IAI), based upon the Cabinet decision in December 2001 on the Reorganization and Rationalization Plan for Special Public Institutions. The bill to turn JICA into Independent Administrative Institution is currently under deliberation in the Diet.

In response to this movement of change, JICA established an Advisory Committee for Evaluation composed of external experts in June 2002. Utilizing advice from the Committee, JICA is striving to strengthen its evaluation system and transparency in its activities in order to improve its cooperation projects. Moreover, in view of the forthcoming transformation into an IAI, JICA is making efforts to reform its project management system in order to further increase accountability and to establish results-based management.

This report, the eighth report on these issues published to date by JICA, presents findings from all JICA evaluation studies carried out in FY 2000. In the course of implementing these studies, we received valuable cooperation from a large number of outside personnel. I would like to take this opportunity to express my gratitude to them.

Finally, in closing, it is my hope that this report will help readers gain a deeper understanding of JICA projects and their evaluation. I would like to add that your comments and suggestions regarding the content herein would be most welcome.

October 2002

Yasuo Matsui
Vice President
Japan International Cooperation Agency

Cover photographs

Front cover : Philippines

Back cover : Honduras

Frontispiece : Kenya

Evaluation Study Published in This Report

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

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Overview

Ⅰ. Outline of JICA Evaluation

1. Recent Movements in ODA Evaluation

In order to carry out effective and efficient development assistance, it is important not only to implement projects that respond to the needs of developing countries but also to evaluate the results of the projects and to utilize the lessons learned and recommendations for future projects. Especially in Japan, due to financial difficulty in recent years and to the growing public demand for greater ODA efficiency and transparency, the use of evaluation as a tool to improve ODA is of great importance.

There have also been a number of movements, both overseas and in Japan, requiring improvement of the existing evaluation system. These include: prevalence of result-based management in the donor community, introduction of a policy evaluation system into the Japanese central government, and reformation of special public institutions into independent administrative institutions (IAIs).

This section outlines recent movements related to ODA evaluation. To respond to these movements, JICA is making efforts to improve its evaluation system; details of such efforts are presented in "II. Present Challenges and Future Efforts in JICA Project Evaluation."

(1) Trends in the Donor Community

In 1991, the Development Aid Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) issued a report entitled "Principles for Evaluation of Development Assistance" and proposed following five criteria to be used in evaluating aid projects: "relevance," "effectiveness," "efficiency," "impact," and "sustainability." DAC member countries have since employed these five criteria in their evaluation system.

Then, in 1996, the DAC adopted a new strategic framework for development assistance, entitled "Shaping the 21st Century: The Contribution of Development Cooperation," which placed emphasis on the concept of "result-based management."

Along with such concepts, a framework known as the Poverty Reduction Strategy Paper (PRSP) [1)] was introduced by the World Bank in 1999. The PRSPs, which are primarily formulated by the government of developing countries with the cooperation of donors and NGOs, have served as the basis for coordination of aid activities by donors as well as for monitoring and evaluation of those activities.

Furthermore, based upon international consensus on the importance of realizing outcomes in development assistance, the Millennium Development Goals (MDGs) [2)] were established at the United Nations Millennium Summit in September 2000. Active discussions have been held since then to achieve these goals, which are set as international aid targets. In those discussions, the donor community proposed to continuously monitor the outcomes of aid by utilizing the PRSP as a management tool.

(2) Activities in Japan to improve ODA evaluation system

In Japan, efforts have been made to improve the ODA evaluation system since a number of recommendations by the Council on ODA Reform for the 21st Century (the first Consultative Committee on ODA Reform) were made in January 1998.

Major activities regarding improvement of the ODA evaluation system are as follows.

・January 1998	The Council on ODA Reform for the 21st Century submited its final report to MOFA
・March 2000	The ODA Evaluation Reviewing Panel of MOFA published "Final Report on Improvement of ODA Evaluation System."
・July 2000	The ODA Evaluation Study Group was established under the ODA Evaluation Reviewing Panel
・February 2001	The ODA Evaluation Study Group made recommendations on the improvement of ODA evaluation system
・March 2002	The Second Consultative Committee on ODA Reform presented its final report to MOFA.

1) The PRSP is a document required by the Development Committee, a body made up of major member countries of the World Bank and the International Monetary Fund (IMF). It establishes conditions in terms of debt reduction and IDA financing for heavily indebted countries and countries seeking IDA loans. PRSPs are applied by the Executive Boards of the World Bank and IMF, upon approval for debt reduction, to verify whether the target country has fulfilled necessary conditions such as policy improvement. PRSPs are prepared by the developing countries with the participation of donors, NGOs and the private sector.

The Second Consultative Committee on ODA Reform made, in its final report, the following recommendations regarding the ODA evaluation system: [2)]

1) Secure transparency throughout the entire ODA process

Reinforce evaluation by a third party at each stage of the ODA process and further utilize external knowledgeable persons in ex-post evaluation.

2) Constant review of ODA implementation system

To further improve the ODA evaluation system, promote, in particular, evaluation of technical cooperation, including dispatch of JICA experts; standardize evaluation methods of ministries and agencies concerned; reinforce functions to utilize evaluation results for policy formulation and improvement of aid methods; increase awareness among aid-related persons; and upgrade aid staff both in quantity and in quality, in highly specialized work such as evaluation.

In order to address the issues called for by the Second Consultative Committee for immediate action, the ODA Reform Taskforce was established in May 2002. Among the 15 recommendations made by the Taskforce in July 2002, the following four points were related to ODA evaluation.

①Reinforce ex-post evaluation by third-parties
②Establish Evaluation Committee with external knowledgeable persons to evaluate effectiveness of feedback
③Enhance cooperation with recipient countries to improve evaluation
④Strengthen collaboration among MOFA, implementing agencies and academic societies in making public evaluation results.

(3) Introduction of policy evaluation system into the central government

Along with the above-mentioned activities taken by MOFA and others, the introduction of a policy evaluation system into the central government added more momentum to the efforts to review ODA evaluation.

According to the Government Policy Evaluation Act (GPEA), each ministry is required to evaluate their policies. The act also stipulates that ex-ante evaluation should be conducted when a decision is taken on policy pertaining to individual projects of research and development (R&D), public works, and ODA.

・January 2001	Ministry of Public Management, Home Affairs, Posts and Telecommunications established "Standard Guidelines for Policy Evaluation"
・January 2001	The Office for the Promotion of Administrative Reform was set up under the Cabinet Secretariat
・June 2001	The Government Policy Evaluation Bill was approved by the Diet
・July 2001	The Evaluation Liaison Committee for ODA-related Ministries was formed
・April 2002	The Government Policy Evaluation Act (GPEA) was put into operation

Given the introduction of such a system, the Evaluation Liaison Committee for ODA-related Ministries was formed to promote the exchange of opinions and ODA evaluation and to strengthen its system. In March 2002, the Committee presented "Evaluation Methods for Technical Assistance by ODA-related Ministries."

2. Objectives of JICA's Evaluation

JICA's evaluation aims at examining the relevance and effectiveness of its projects as objectively as possible at ex-ante, mid-term, terminal, and ex-post stages. JICA seeks to carry out more effective and efficient aid by making the most of evaluation results in managing projects as well as in designing and improving similar projects. It also intends to secure public support and understanding by utilizing them to ensure its accountability.

Results of evaluation are primarily used in the following three ways:

●As a management tool
- JICA refers to evaluation results when formulating its aid strategies and JICA country programs [3)]
- It also uses them when making decisions regarding project implementation, modifying projects, and determining the continuation or termination of projects

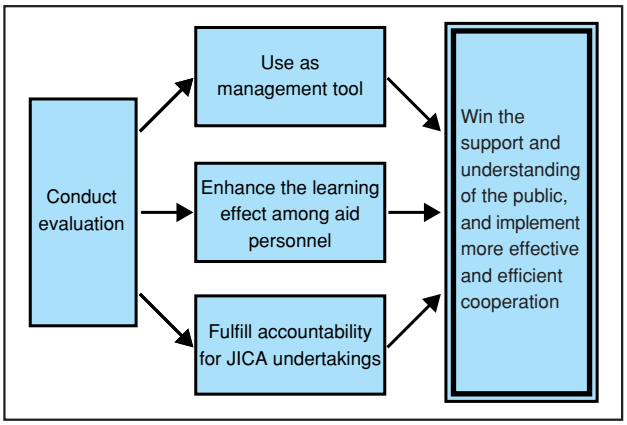
●As a learning tool for aid personnel
- Evaluation results serve as a reference in formulating and implementing similar projects
- They also help in building the capacity of persons related to the evaluated projects

2) The website of the Second Consultative Committee on ODA Reform: http://www.mofa.go.jp/policy/oda/reform/index.html
3) JICA country program is a document formulated by JICA that presents JICA's direction on medium-term to long-term cooperation to the target country, to be implemented within the framework of country-specific aid policy. It encompasses development goals, development issues, project plans, and matters for consideration in implementing aid. It also provides a rolling plan for each development issue, covering a period of three to five years.

●As a means of disclosing information to ensure its accountability

・JICA uses evaluation results to demonstrate to the Japanese public that it is fulfilling its responsibilities as an ODA implementing agency

Figure 1 Utilization of Evaluation Results



3. JICA's Evaluation Types

(1) Evaluation Types by levels

The "Report on Improvement of ODA Evaluation System" (MOFA, March 2000) classifies ODA evaluation into three levels: policy-level, program-level, and project-level. The report went on to recommend the improvement of policy and program-level evaluations.

JICA conducts program-level and project-level evaluations as shown in Figure 2.

1) Program-level evaluation

Program-level evaluation is a comprehensive evaluation of a group of projects that share the same overall goals and development issues. It is also directed at a set of projects implemented under a specific cooperation scheme. Currently, it is principally performed at the ex-post stage as a country-program evaluation and thematic evaluation by the Office of Evaluation and Post Project Monitoring.

2) Project-level evaluation

A project-level evaluation is conducted on individual projects. It is utilized to help JICA in formulating and reviewing projects, making decisions on whether or not to continue specific projects, reflecting the lessons learned on similar projects, and ensuring accountability. Project-level evaluation is carried out by operational departments and overseas offices in charge of the evaluated projects.

(2) Evaluation types by stages during the project cycle

JICA's evaluation is also classified into the following four types that are conducted at different stages during the project cycle: ex-ante evaluation, mid-term evaluation, terminal evaluation, and ex-post evaluation. The placement of these evaluations within the project cycle is shown in Figure 3. Ex-ante evaluation, mid-term evaluation and terminal evaluation are performed at the project-level, while ex-post evaluation is done at both project- and program-levels.

1) Ex-Ante Evaluation

Ex-ante evaluation is performed when a project is requested by a developing country. It first involves a study of the project to determine its necessity as well as its conformity with JICA's country-specific program. This is followed by an on-site evaluation to clarify details of the project and its expected outputs. Then, the relevance of the project is comprehensively evaluated.

Evaluation Types by Levels in the "Report on Improvement of the ODA Evaluation System

1 Policy-level Evaluation: Evaluation of Japan's aid policies

Examples:

i) Evaluation of Japan's Medium-Term Policy on ODA

ii) Evaluation of Country Assistance Programs [4)]

iii) Evaluation of specific aid policies (assistance strategies related to TICADII [5)], global issues, etc.)

2 Program-level evaluation: Comprehensive evaluation of a group of projects that share the same objective

Examples:

i) Sector evaluation (evaluation of a set of projects in a specific sector in a country or of projects in a specific sector covering several target countries)

ii) Thematic evaluation (evaluation of a set of projects covering various sectors and implemented to address common development issues, such as poverty alleviation, gender, primary education)

iii) Country program evaluation in implementing organizations

3 Project-level evaluation: Evaluation of individual projects

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

5) TICADII is the abbreviation for the Second International Conference on African Development, held in Tokyo in October 1998. TICAD II resulted in the adoption of the "Tokyo Action Plan," a strategy for African development in future.

In ex-ante evaluation, evaluation indicators are set; they are used to measure the effectiveness of the project in subsequent evaluations, from the mid-term evaluation to the ex-post evaluation.

2) Mid-term evaluation

Mid-term evaluation is conducted at the mid-point of projects. It is primarily carried out with the project-type technical cooperation [6] scheme. This evaluation aims at examining the achievements and process of the project up to the evaluation time, focusing on efficiency and relevance among five evaluation criteria. Based upon its results, the original project plan may be revised or the operation structure strengthened if necessary.

3) Terminal Evaluation

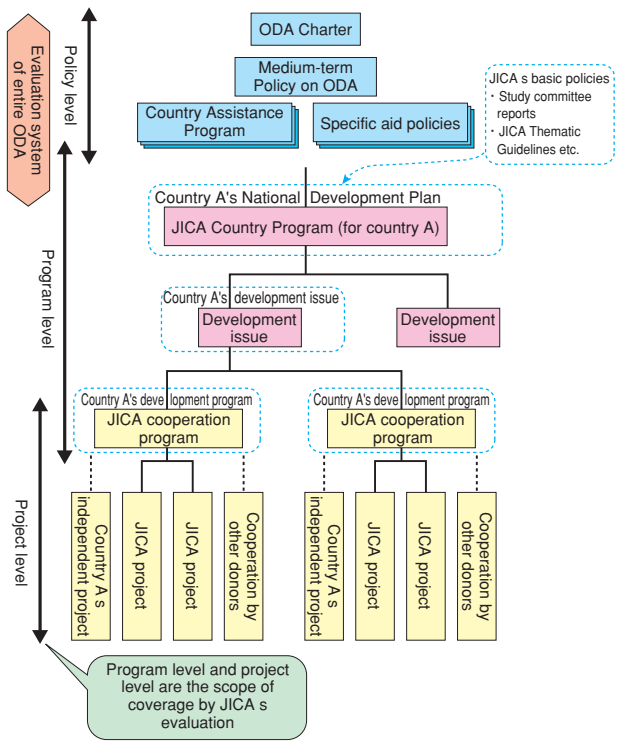
Terminal evaluation is performed upon completion of a project, focusing on its efficiency, effectiveness, relevance, and sustainability. Based upon the results of the evaluation, JICA determines whether it is appropriate to complete the project or necessary to extend follow-up cooperation.

The timing of the terminal evaluation differs depending on the cooperation scheme as shown in Table 1.

Table 1 Timing for Terminal Evaluation by Cooperation Scheme

Cooperation Scheme	Coverage	Timing for Terminal Evaluation
Project-type technical cooperation	All projects	Approximately six months before the end of the cooperation period
Grant aid (general grants) [7]	Projects receiving a large grant	Within one year after completion of the project
Overseas training (third-country group training, In-country training)	All projects	Approximately one year before the end of the cooperation period
Dispatch of individual experts	Only projects involving team dispatch, research cooperation and support for the formulation of key government policies	Four to six months before the end of the cooperation period
Japan Overseas Cooperation Volunteers (JOCV)	Only projects involving dispatch of JOCV teams	Four to six months before the end of the cooperation period

Figure 2 ODA System and JICA Evaluation



depending on the cooperation scheme as shown in Table 1.

4) Ex-Post Evaluation

Ex-post evaluations are conducted after a certain period (generally more than three years) has passed since the completion of the target project. They mainly evaluate the effectiveness, relevance and sustainability of the project. They aim at deriving lessons learned and recommendations for the improvement of country-specific programs and for the implementation of more effective and efficient projects. Ex-post evaluations are performed at both the project and program levels.

(3) Types of ex-post evaluation

1) Ex-post evaluation at the project level

In FY 2002, JICA introduced a more comprehensive system of ex-post evaluation on individual projects, which is carried out by JICA overseas offices. It is performed each year on approximately 70 projects under project-type technical cooperation schemes and grant cooperation schemes, which were completed between three to six years' ago.

2)Ex-post evaluations at the program level

Ex-post evaluation at the program level is conducted principally by the Office of Evaluation and Post Project Monitoring. Evaluation results are mainly used for the improvement of JICA country programs as well as for

6) Referred to as "Technical Cooperation Projects" from 2002.

7) Grant aid projects fall under the jurisdiction of the MOFA, while JICA is responsible for preliminary study (preparatory study, basic design study, etc.) and for supporting project implementation.

the formulation of new projects. Ex-post evaluation at the program level is classified below by its targets and evaluators.

〈Classification by evaluation targets〉

●Country program evaluation

This comprehensive evaluation examines the overall effects of JICA's projects on the development of the target country by studying multiple projects involving important sectors and development issues. These results are used to improve JICA's country programs as well as cooperation strategies and methods for the country.

●Thematic evaluation

This evaluation looks at a number of projects, by focusing on specific sectors, issues (environment, poverty, gender, etc.) or cooperation schemes (JOCV, etc.). Its results are used to improve JICA's strategies for the targeted sector, issue, and cooperation schemes.

〈Classification by evaluators〉

●External evaluation (by organizations)

In order to improve the quality and objectivity of its evaluation, JICA entrusts its implementation to external research institutions and consulting firms that have expertise in development assistance and evaluation methods.

●External evaluation (by individuals)

JICA also seeks to improve the quality and objectivity of its evaluation by entrusting its implementation to external experts (academics, journalists, NGOs, etc.), who are knowledgeable about development assistance and its evaluation.

●Joint evaluation

This evaluation is conducted in collaboration with aid agencies of other donor countries (e.g.USAID, CIDA), international organizations (e.g.UNDP), or with agencies in the target countries. This serves as an effective means for strengthening partnership and mutual understanding on evaluation methods as well as for sharing information. Joint evaluation with target countries also contributes to improving the capacity of those countries in carrying out evaluation.

●Grassroots monitoring

This scheme, started in FY 2000, aims at monitoring the effects of a project from the perspective of its beneficiaries; its implementation is entrusted to local experts or NGOs active in the target area of the project. The results of monitoring are used to reexamine the cooperation methods of the project and to improve

Figure 3 Evaluation types by stages during the project cycle

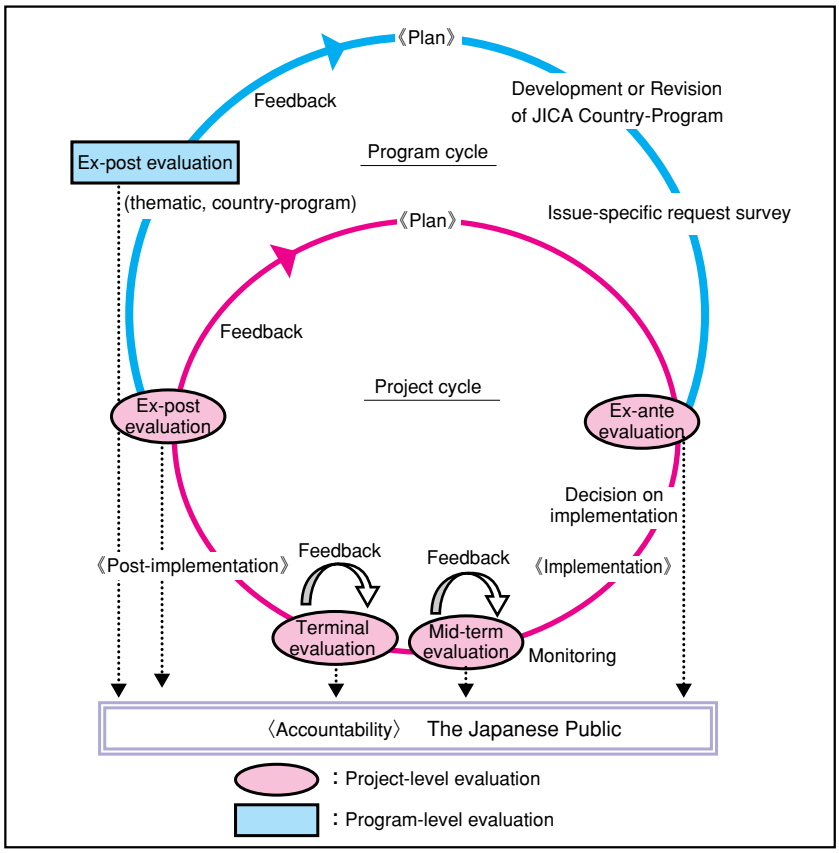


Figure 4 Project Design Matrix (PDM)

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Overall Goal Indirect, long-term effects and impacts, which are expected to be achieved three to five years after the end of the project	Indicators used to measure the degree of achievements of the Overall Goal	Source of information for the indicators to the left	Assumptions necessary for the effects of the project to be sustainable
Project Purpose Direct benefits for the target group; expected to be realized by the end of cooperation period.	Indicators used to measure the degree of Project Purpose achievement	Source of information for the indicators to the left	External factors that must be satisfied to achieve the Overall Goal but that retain uncertainty as to whether they would be satisfied
Outputs List of items that are brought about by the Activities and that must be realized to achieve the Project Purpose	Indicator used to measure the degree of Output achievements	Source of information for the indicators to the left	External factors that must be satisfied to achieve the Project Purpose but retain uncertainty as to whether they would be satisfied
Activities List of actions to be taken using Inputs to realize Outputs	Inputs (by Japan and the recipient country) Resources required for carrying out the Activities (e.g. human resources, funds, equipment and supplies)		External factors that must be satisfied to achieve Outputs but retain uncertainty as to whether they would be satisfied **Preconditions** Conditions that must be met before beginning the project

the identification and formulation process for new projects.

4. Evaluation Methods

JICA uses Project Design Matrix (PDM) (see Figure 4) as logical framework to outline its projects. Based upon the PDM, JICA conducts monitoring and evaluation of the projects, using five evaluation criteria described in the following section. JICA's evaluation methods are explained in detail in a document entitled "JICA Evaluation Guidelines," which was revised in October 2001. It has been available on the JICA website since December 2001 (Japanese version only).

These methods are used for project-level evaluation. As for program-level evaluation, JICA considers and chooses appropriate methods, taking into account each program to be evaluated.

5. Evaluation Criteria

JICA evaluates its projects, based upon the JICA Evaluation Guidelines revised in FY 2001 and applying DAC's five evaluation criteria. The primary items to be examined under these criteria are as presented below.

(1) Relevance

"Relevance" involves the question of legitimacy and appropriateness of aid projects by looking at the consistency of the Project Purpose with the needs of the intended beneficiaries, the recipient country's policies, and Japan's aid policies. Primary attention is paid to the Project Purpose and Overall Goal laid out in the PDM, and it is examined whether these meet development policies and the needs of beneficiaries of the target country and have conformity with Japan's aid policies.

(2) Effectiveness

"Effectiveness" examines whether project implementation has actually benefited (or will benefit) the target groups and determines whether the project in question is effective. In the PDM, the Project Purpose is defined as the direct effect (direct benefit) for the target group; therefore, under "effectiveness," whether the Project Purpose is being achieved as initially planned and whether that could be attributed to the Outputs of the Project is looked at. It also shows the influence of Important Assumptions to be satisfied before the Outputs contribute to the Project Purpose.

(3) Efficiency

This criterion looks into the efficiency of the project from the viewpoint of effective use of resources. In the PDM, the relationship between Inputs and Outputs is studied; evaluators examine whether the costs of Inputs are appropriate for the degree of achievement of Outputs and Project Purpose and whether other means could be employed to make the project more efficient.

(4) Impact

"Impact" refers to the indirect and extended effects of a project in the long run. This includes both positive and negative impacts that were not predicted when the project

was first planned. As the Overall Goal indicates long-term and indirect effects on the PDM, "impact" is examined by looking into whether the Overall Goal has been achieved and whether achievement of the said Goal could be attributed to the attainment of the Project Purpose. However, the PDM is only a table of the plan that lists the intended and positive impacts conceived when drafting the plan. Therefore, it should be remembered that unexpected (unintended) positive and negative impacts are not included in the PDM; and the impact should be looked at from a broader perspective when deciding study items for evaluation. Influence of important assumptions on the realization of the Overall Goal also involves the evaluation of impact.

(5) Sustainability

"Sustainability" involves the question as to whether the effects brought about by the project are being sustained even after cooperation is completed (or can be expected to continue). To examine "sustainability," evaluators first focus on the Project Purpose and the Overall Goal in the PDM and determine whether the direct and indirect effects brought about by the project were/could be are sustained for a certain period of time after project completion. When the project was taken over and continued by the counterpart organization after completion, its institutional capacity and technical skills are examined in order to identify the factors that influence sustainability. To do so, items listed as Outputs, Activities, and Inputs in the PDM could be used as a reference for examining institutional capacity or technical levels attained. The influence of such factors as policy support, social and cultural aspects and environmental issues are also studied, if necessary.

The relationship between the PDM and the five evaluation criteria is shown in Figure 5 below.

6. JICA's Evaluation System

JICA established an Evaluation Study Committee in July 1981 to study JICA's evaluation system and methods. In April 1988, the Office of Evaluation was established within the Planning Department, as a unit specializing in evaluation. (In April 1990 it was reorganized as the Evaluation and Post Project Monitoring Division and then became under the direct control of President in October 1996 as the Office of Evaluation and Post Project Monitoring.)

The Office of Evaluation and Post Project Monitoring was merged again with the Planning and Evaluation Department in January 2000 to enhance the feedback of evaluation results to project planning.

The current system of JICA's evaluation involves three main parties: the Evaluation Study Committee, the Office of Evaluation and Post Project Monitoring, and departments and or overseas offices responsible for implementation of projects. Furthermore, the Advisory Committee on Evaluation, composed of external experts, was set up in June 2002 as a body to provide advice to the Evaluation Study Committee. The principal roles of the respective parties are described below.

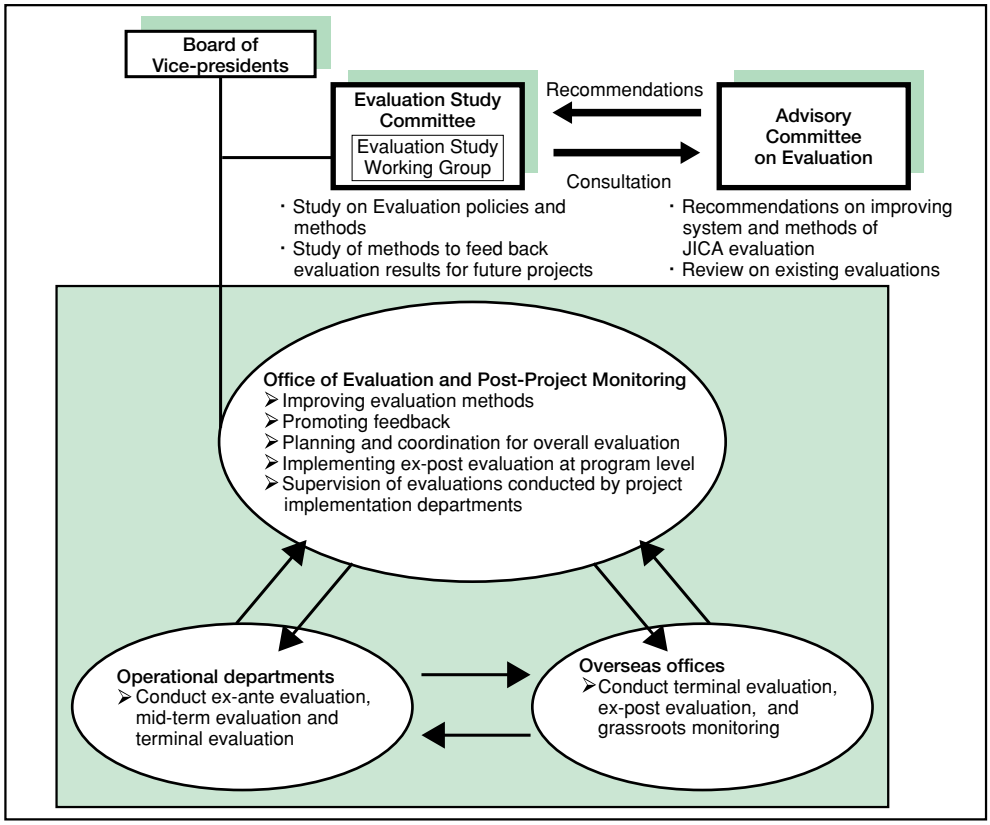
(1) Role of Evaluation Study Committee

This committee is led by the JICA Vice President in charge of planning and evaluation, and is comprised of managing directors of related departments. The committee examines and discusses basic policies of JICA's evaluation as well as methods for giving feedback on the evaluation results to projects. An "Evaluation Study Working Group" is set up under the Committee to study and examine the above-mentioned issues and to report to the Committee.

Figure 5 Five Evaluation Criteria and Project Design Matrix

<table>
<tr><th></th><th>Relevance</th><th>Effectiveness</th><th>Impact</th><th>Efficiency</th><th>Sustainability</th></tr>
<tr><td>Overall Goal</td><td rowspan="2">Conformity of Project Purpose and Overall Goal to the recipient country's needs at the time of evaluation</td><td></td><td rowspan="2">Positive and negative influences that appeared directly and indirectly as a result of the project</td><td></td><td rowspan="4">Extent to which benefits gained through the project are sustained even after completion of the cooperation</td></tr>
<tr><td>Project Purpose</td><td rowspan="2">Degree to which achievement of Project Purpose is attributed to Outputs</td><td></td></tr>
<tr><td>Output</td><td></td><td></td><td rowspan="2">Extent to which Inputs are effectively converted into Outputs</td></tr>
<tr><td>Input</td><td></td><td></td><td></td></tr>
</table>

Figure 6 JICA's Evaluation System



(2) Role of the Office of Evaluation and Post Project Monitoring

The Office of Evaluation and Post Project Monitoring is in charge of the planning and coordination of evaluation activities, including the improvement of evaluation methods, promotion of feedback, and implementation of ex-post evaluation at the program level. The Office also supports and supervises evaluation activities by departments and overseas offices.

(3) Role of Departments and Overseas Offices responsible for project implementation

Departments and overseas offices responsible for project implementation conduct ex-ante, mid-term, terminal, and ex-post evaluations of individual projects in order to manage the projects and verify their performances.

(4) Role of the Advisory Committee on Evaluation

This committee is composed of external experts (academics, NGOs, journalists, etc.), who are knowledgeable about development assistance and evaluation. They give advice to the Evaluation Study Committee on evaluation systems and methods. They also review the results of internal evaluations and contribute to the improvement of objectivity of the evaluation.

7. Feedback of Evaluation Results and Accountability

(1) Feedback

Feedback is a process for applying evaluation results and lessons learned to improve future projects. It is divided into two major types: feedback to the decision-making process and feedback to the organizational learning process.

1) Feedback to the decision-making process

This process involves the use of evaluation results to decision-making regarding the target project. In most cases, it forms part of the project management by the responsible department. For example, the results of ex-ante evaluation serve as an important reference for project appraisal, and those of mid-term evaluation identify whether it is necessary to revise the initial plans of the project. Similarly, the results of terminal evaluation are used to determine whether the project should be completed, extended or provided with follow-up cooperation.

2) Feedback to the organizational learning process

This process involves the accumulation of evaluation results and lessons learned as know-how of those related to aid. Such know-how could be utilized by those people when formulating and adopting similar

projects as well as when reviewing JICA's organizational strategies.

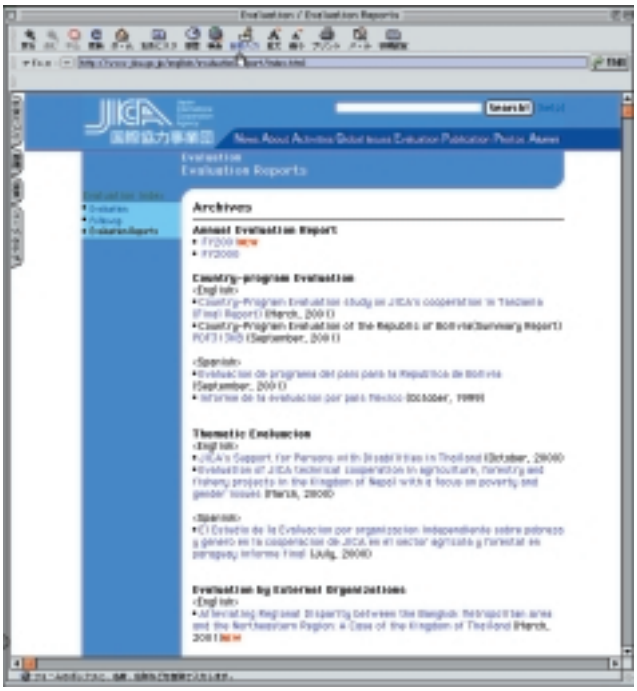
(2) Accountability

Accountability refers to more than simple disclosure of evaluation results. It is a process through which the "trustee" (JICA) gives a full account of projects to the "consignors" (in JICA's case, the Japanese taxpayers) whereby the consignors can make judgments for themselves regarding justification of the projects. Accountability requires clarity of project purposes, transparency in the organization's decision-making process, and an accurate grasp of the use and performance of the resources invested. In an effort to secure accountability, it is important to disclose high-quality evaluation information that satisfies these requirements.

(3) JICA 's Efforts

JICA carries out the following activities to promote evaluation results feedback and to meet accountability obligations.

- Holding of debriefing meetings: JICA holds debriefing meetings with the participation of stakeholders whenever an evaluation study team returns to Japan.
- Distribution of reports: JICA distributes evaluation reports widely and makes them available to the public. Reports are also freely accessible at the JICA library.
- Posting of evaluation reports on the JICA homepage: Reports of major ex-post evaluation and Annual Evaluation Reports from FY 1999 to FY 2001, which contains all the evaluation results carried out from FY 1997 to FY 1999, are available on JICA's homepage. English versions of the Annual Evaluation Reports have been posted on JICA's English homepage since FY 2000.
- Posting of summaries of the results of ex-ante evaluation on the JICA homepage: JICA also makes public on its Web site summaries of the results of all the ex-ante evaluation conducted since FY 2000 (available only in Japanese).
- Holding of evaluation seminars: JICA holds evaluation seminars to make the results of major ex-post evaluations widely known, such as country program evaluations and thematic evaluations. The evaluation seminars are held in Japan for the general public and also in the target countries for people related to the projects.



JICA homepage on Evaluation Reports.

Ⅱ. Present Challenges and Future Efforts in JICA Evaluation

Due to the severe financial situation that Japan has been facing in recent years, efficient and effective implementation of aid has become increasingly important. This has led to active discussions on such issues as the significance of ODA and future shape of Japan's ODA; it has also led to the emergence of various recommendations on realignment of Japan's ODA toward an emphasis on quality over quantity. These discussions and recommendations have reaffirmed the important role that evaluation plays in improving the quality of ODA and in ensuring transparency, and they have highlighted the need to reinforce evaluation systems and activities.

Given such a situation, JICA is making efforts to further promote efficiency and effectiveness of its projects by working on the issues presented below.

1. Preparation for the Transition to the Independent Administrative Institution (IAI)

JICA will become an Independent Administrative Institution (IAI) according to the Cabinet decision in December 2001. JICA is currently taking the necessary steps to prepare for the transition scheduled in October 2003. The IAI system aims at improving the effectiveness and efficiency of government services by separating the policy-making and implementation functions of the administration and by delegating certain parts of the latter to the newly established IAIs. Under the IAI system, the competent Minister of State gives to the IAIs mid-term objectives regarding the latter's services; the IAIs, within the framework of those objectives, carries out their services autonomously with minimum superintendence by the competent Minister. While this system allows IAIs to take advantage of autonomous and flexible management, the IAIs are subjected to periodical evaluation (Performance Measurement) by the IAI Evaluation Committee set up under the competent Ministry, on their achievement of the above objectives.

In an effort to prepare for the transition to the IAI, JICA has been studying, in consultation with the Advisory Committee on Evaluation, how to introduce performance measurement systems into its management and how to further improve its project evaluation system and methods. It has also been trying to prepare for a mid-term plan, to be formulated in accordance with given mid-term objectives, and studying how to incorporate its country programs and thematic strategies into the new plan.

2. Establishment of a Consistent Evaluation System from Ex-Ante to the Ex-post Stages

To establish a consistent evaluation system from the preparatory stage through to the post-project stage, JICA introduced ex-ante evaluation in FY 2001 for projects under project-type technical cooperation schemes, grant aid cooperation schemes, and development study schemes. The results of ex-ante evaluation are summarized in the "Ex-ante evaluation document," which notes the project outlines, expected outputs, justification for implementation and so on. It is made public on JICA's website for the purpose of ensuring accountability as an agency responsible for ODA implementation.

The introduction of ex-ante evaluation has contributed to strengthening JICA's evaluation system as a whole as it has allowed JICA to set indicators before the start of a project and to use them consistently in monitoring and later evaluations at the mid-term, completion, and post-project stages. JICA intends to make continuous efforts to improve the contents and methods of this evaluation as well as to entrench it in its project management.

It is also important to expand ex-post evaluation so that it corresponds to ex-ante evaluation. In this regard, JICA introduced ex-post evaluations for individual projects in FY 2002. This evaluation is directed at projects under project-type technical cooperation schemes and grant aid cooperation schemes, which were completed three to six years ago; and it focuses on impact and sustainability. This ex-post evaluation is conducted by JICA overseas offices, as its results should mainly be used for the uncovering and formulation of projects. In this regard it becomes an important issue to enhance the capacity of overseas offices to carry out evaluation.

3. Expanding Coverage of Evaluation

Another issue that JICA has to deal with is the expansion of cooperation schemes subject to evaluation.

In FY 2001, six team dispatch projects under the Japan Overseas Cooperation Volunteers (JOCV) program were evaluated using the five evaluation criteria. The evaluation was made not only from the viewpoint of the effects of their technical cooperation but also from that of education of Japanese youth and of promotion of mutual understand-

ing, given characteristics of the volunteer program. To also introduce evaluation on activities of individual JOCVs, JICA plans to study evaluation methods that should be applied to such activities and to prepare evaluation guidelines.

Furthermore, in FY 2002, JICA began to study evaluation methods that could be applied to international disaster relief projects. In this way, the coverage of JICA's evaluation has been surely expanding.

4. Research and Development of Evaluation Methods

(1) Revision of JICA Evaluation Guidelines

In FY 2001, JICA made an extensive overhaul of its evaluation guidelines and published the revised version as "Practical Evaluation Methods: JICA Evaluation Guidelines." The guidelines describe JICA's evaluation policy, followed by an explanation of practical methods on evaluation. They also explain how to plan an evaluation study; how to analyze results from the perspective of the five evaluation criteria and to draw conclusions; and how to evaluate the "means and ends" relationship between Outputs, Project Purpose and Overall Goal. The guidelines focus on ODA project evaluation but are also applicable as methods to evaluate the "means and ends" relationship between "policies," "implementation measures," and "administrative work and projects" in the public administration. Consequently, the evaluation methods introduced in the guidelines should be useful to central as well as local governments in their application of administrative evaluation.

The guidelines were widely distributed within and outside JICA, and introduced on a full scale in JICA's evaluation in April 2002.

With the introduction of the ex-post evaluation for individual projects, an English version of the "JICA Evaluation Guidelines" is being prepared and made accessible to staff in overseas offices. There are also plans to prepare a manual on ex-post evaluation for individual projects as part of efforts to establish evaluation methods.

(2) Developing evaluation methods

"Synthesis of evaluation results" involves re-analyzing existing evaluation results, grasping significant trends, and deriving lessons and recommendations for the use of future projects. Employing this evaluation method, in FY 2001 JICA conducted a comprehensive analysis of 55 terminal evaluations on projects in the healthcare and medical field and summarized their lessons learned.

JICA also works on development of methods for program-level evaluation. To strengthen the program approach, it is important that a system is established under which Japan's ODA policies, programs as implementation measures, and individual projects form a "means and ends" relationship. However, until now such a system has not been fully operationalized, as JICA's projects have been implemented by schemes. To conduct program-level evaluation under these circumstances, it is necessary to group individual projects that share common goals, to place them a posteriori under assumed programs, and to evaluate the programs. In an effort to do this, the thematic evaluation on "Population and Health Sector in the Philippines under JICA/USAID Collaboration" examined the effectiveness of using an evaluation method based on the program-approach logic model.

In recent years, collaboration with NGOs has become essential for implementing aid; JICA has been carrying out many projects in partnership with NGOs. However, these projects have not yet been evaluated. Thus, to study an appropriate approach and methods for evaluating such projects, JICA undertook a joint evaluation with NGOs in FY 2001.

In addition, since FY 2001, JICA has started studies for selecting evaluation and monitoring indicators for respective sectors. The studies were done in FY 2001, targeting the natural environment sector and the healthcare and medical sector. In FY 2002, those targeting the mining and industry sector were to be conducted.

Joint evaluation with other donors is useful to accumulate evaluation experience. In the past, JICA has participated in joint evaluation with organizations such as USAID and UNDP. It has also taken an active part in joint evaluation in the field of basic education, which began in FY 2001 with eight countries and four international organizations of the DAC's Working Party on Aid Evaluation. JICA intends to use this opportunity to gain experience while helping to improve evaluation methods in this field.

Practical Evaluation Methods: JICA Evaluation Guidelines, published 2002.

5. Fostering of Human Resources for Evaluation

In addition to establishing an evaluation system and developing methods, it is vital to foster the human resources that will actually conduct the evaluation. To undertake this task, JICA has been training JICA staff members, experts, consultants, and personnel from partner countries to provide knowledge and skills to perform the evaluation. In accordance with revision of the "JICA Evaluation Guidelines," a new curriculum for evaluation training has been developed for JICA staff, with the guidelines as the main textbook. The training started from the fourth quarter of FY 2001, and a total of 15 sessions were planned for FY 2002. Moreover, in collaboration with the World Bank, JICA works on the development of evaluation training using distance-learning methods for Japanese and local staff in overseas offices as well as for dispatched experts. Furthermore, "Monitoring and Evaluation Training" session was introduced to the pre-dispatch group training for experts in FY 2001; it became a compulsory subject of the training in FY 2002.

JICA is also contributing to improving evaluation knowledge and capacity of aid-related personnel by offering, for example, advice as to evaluation training for consultants planned by the Foundation for Advanced Study on International Development (FASID).

Similarly, since FY 2001, JICA has carried out jointly with JBIC a group training course "Seminar for Evaluation of ODA Projects," to foster human resources in developing countries related to evaluation.

6. Promotion of External Expert's Participation in Evaluation

The participation of external experts in evaluation has become increasingly important to ensure objectivity in evaluations and to improve evaluation methods.

JICA has been making use of the expertise of external experts by promoting participation of personnel from universities, research institutes, and consultants in the study teams for terminal and ex-post evaluations. Since FY 1999, JICA has entrusted to external organizations several ex-post evaluations at the program level. In FY 2001, country-program evaluations in Honduras, Panama and Sri Lanka were entrusted to consulting firms respectively, and thematic evaluation on environmental issues was entrusted to the Japan Society for International Development.

Furthermore, in FY 2002, JICA set up the Advisory Committee on Evaluation composed of external experts, which started its activities in June. The Committee was established to give advice to the Evaluation Study Committee, made up of internal members of JICA. It is intended to improve the quality and objectivity of JICA's evaluation by examining that evaluation as well as to provide advice towards the improvement of JICA's evaluation system and methods.

7. Enhancement of Evaluation Feedback

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

To promote feedback, it is essential to improve the quality of evaluation information as well as to establish a system to facilitate the utilization of evaluation results. In this respect, the synthesis of evaluation results in the medical and healthcare sector was conducted in FY 2001 as mentioned, and an attempt was made to analyze JICA's evaluation results and to systematically organize recommendations and lessons learned. In FY 2002, JICA planned to conduct similar evaluations in agriculture, natural environment sectors.

8. Rapid Disclosure of Evaluation Results to the Public

Making the results of evaluations available to the public in a quick and reliable manner is indispensable to ensure accountability.

Use of the Internet as a means to disclose evaluation results has become increasingly important as more and more people come online. Taking into account this trend, evaluation results are made available through the JICA website, including the Annual Evaluation Report, and results for major ex-post evaluations implemented since FY 1999. Also, ex-ante evaluation documents summarizing the results of ex-ante evaluation are available on JICA's website.

Furthermore, in order to make these results available to a wider range of people around the world, JICA has been posting an English version of its Annual Evaluation Reports and major ex-post evaluation reports on its website since FY 2000.

In addition, as part of its efforts to ensure accountability, JICA has held public evaluation seminars six times a year since FY 2001 to open its ex-post evaluation results to the public.

Box 1 Opinions of Advisory Committee on Evaluation

First Committee meeting

Members of the Advisory Committee on Evaluation

Atsuko AOYAMA	M.D., Ph.D., Professor, Department of International Health, School of Medicine, Nagoya University
Kiyoko IKEGAMI	Director, UNFPA Tokyo Office
Toshihiko ISHIHARA	Ph.D., Professor, Institute for Industrial Research, Kwansei Gakuin University
Michiya KUMAOKA	President, Japan International Volunteer Center
Tsuneo SUGISHITA	Professor, Faculty of Humanities, Ibaraki University
Masafumi NAGAO	Professor, Center for the Study of International Cooperation in Education, Hiroshima University
Shunichi FURUKAWA	Ph.D., Professor, Institute of Policy and Planning Sciences, University of Tsukuba
Hiromitsu MUTA	Ph.D., Professor, Director of the Center for Research and Development of Educational Technology, Tokyo Institute of Technology
Atsushi YAMAKOSHI	Manager, Asia & Oceania Group, International Cooperation Bureau, Japan Business Federation

In FY2002, JICA set up the Advisory Committee on Evaluation, composed of external experts. This Committee is intended to improve the quality and objectivity of JICA's evaluation by examining the evaluations and giving advice on the improvement of JICA's evaluation system and methods.

The committee has been holding periodical meetings since June 2002, and various opinions have been given by the members regarding improvement of JICA's evaluation as well as improvement of JICA's projects through evaluation. The following is the summary of the opinions by the committee as of October 2002.

1. Issues Regarding Ex-ante Evaluations

1) As it is difficult to drastically revise a defective plan once a project has started, JICA should continue its efforts to improve its ability in project planning in order to formulate high-quality plans.

2) When conducting ex-ante evaluations, it is necessary to review not only the significance of the sub-sector specifically targeted, but also that of the sector to which the said sub-sector belongs as well as the global trends in the sector. Furthermore, due consideration should be given to each country's development conditions; and the purpose and contents of cooperation should be closely examined.

2. Strengthening Mid-term Evaluations

In development cooperation, there are cases where the conditions understood in a preliminary survey change during the project period. Therefore, it is important to revise plans flexibly to achieve the project purpose even under different conditions. For this reason, mid-term evaluations play a crucial role in terms of effectiveness, by allowing timely and appropriate adjustment of project activities, taking advantage of external participation, if necessary.

3. Enhancement of Evaluation Feedback

Establishing a feedback system of evaluation results is essential, especially at the planning stage. For a well-functioning feedback process to materialize, evaluation results should be delivered in a user-friendly manner to the planners (departments responsible for project implementation). In the fields where JICA has some degree of project experience, it is recommended to conduct a synthesis study (or meta-evaluation) of the results of terminal evaluations. This would contribute to extracting common lessons learned and knowledge about development aid in that field, which would be very helpful in planning and implementing future projects.

4. Strengthening Evaluation on Efficiency

"Efficiency" examines, in principle, the relation between the costs and the output achieved; which means that it is not sufficient to merely verify whether the project was implemented according to the initial plan. JICA needs to clarify its project costs and improve its examination as to whether the project has achieved sufficient output vis-à-vis the costs.

5. Expanding Coverage of Evaluation

JICA needs to continue expanding cooperation schemes subjected to the evaluation. For example, in the Individual Expert Dispatch Program, it would be possible to incorporate evaluation with a system to promote those experts who have achieved good results. Regarding Japanese experts, dispatching experts as a team rather than individuals tends to exercise better performances. However, when evaluating individual experts, differences in conditions surrounding their positions must be taken into consideration.

6. Clarification of the Objective of Evaluation and Evaluation Target

The objectives of evaluation can be divided into the following three: 1) to use as a tool for project management, 2) to feed back to enhance learning by aid-related persons, and 3) to ensure accountability. Since JICA's current evaluation does not always clarify which objective is being prioritized, evaluation results also tend to be vague. Evaluation approaches should vary depending on its objective, therefore, JICA must clarify the major objective of its evaluation and choose an approach that best fits such objective.

7. Fostering Evaluation Culture

1) There is currently a tendency to emphasize the differences between the standpoint of the evaluators and the stakeholders of the evaluated project. However, evaluation by a third party can contribute to increasing self-awareness of its activities. Therefore, an "Evaluation Culture" to incorporate evaluation into the process of improvement should be established within the organizations.

2) JICA needs to establish an ethical code for evaluation that will raise the credibility of the overall evaluation system. The ethical code should include items such as publicizing an unedited version of evaluation results by a third party and, if there are any comments, recording both the results and the comments.

3) Evaluations with quality and impact will not be produced by releasing only unobjectionable reports. JICA should continue the policy of disclosing all evaluation results.

8. Opinions Regarding the Introduction of Performance Measurement

1) JICA has not yet introduced evaluation with the perspective of the overall organization. As JICA will be reorganized into an Independent Administrative Institution, it is expected that the introduction of performance measurement contributes to improving this aspect.

2) Evaluations should be viewed as a tool to revitalize the overall organization. To accomplish this, JICA needs an evaluation system that is simple, effective, compact, and utilized by everyone.

Ⅲ. Summary of Evaluation Results

This section presents the frameworks and results of evaluation studies. The evaluations covered in this report involve ex-post evaluations (country-program evaluation, thematic evaluation, etc.) and terminal evaluations, implemented by JICA in FY2000. As for the evaluations of 80 individual projects, overall trends in the results are summarized from the perspective of the five evaluation criteria (relevance, effectiveness, efficiency, impact and sustainability).

1 Ex-post Evaluations Targeting Multiple Projects

Ex-post evaluations implemented in FY2000 can be roughly divided into four categories: country-program evaluation, thematic evaluation, external evaluation, and follow-up evaluation of Development Studies. Evaluation categories, countries targeted for evaluation, and title are as follows:

	Country	Title of Evaluation Project
Country-program evaluation	Tanzania	Country-program evaluation
	Bolivia	〃
Thematic evaluation	Thailand	Alleviating Regional Disparities between Bangkok Metropolitan Area and the Northeast Region
	Philippines	Population and Health Sector in the Phillipines under JICA / USAID Collaboration : Part 1 (Reproductive Health)
	Thailand	Participatory Evaluation —Case Study in Thailand—
	Poland, Hungary	Transition to a Market Economy in Eastern Europe
	Thailand, Singapore	Support for South-South Cooperation
	Malaysia	Cooperation of JOCV for Middle-income Countries
External evaluation (by individual)	Thailand, Singapore, Malaysia, Philippines	JICA Cooperation for SEAFDEC (South Asia Fisheries Development Center)
	Bosnia-Herzegovina	Support for Reconstruction
Follow-up Evaluation of Development Studies	Kenya, Mauritius, Indonesia, Philippines, Sri Lanka	Follow-up Evaluation of Development Studies (Ports/ Water Supply)
	Thailand, Philippines	Follow-up Evaluation of Development Studies (Agricultural Irrigation)

(1) Country-program evaluation

From FY1998, JICA announced a policy to strengthen country-specific and thematic approaches in order to fine-tune its response to development issues faced by each country. In the course of promoting these approaches, JICA has been implementing country-program evaluations that determine the extent to which its cooperation has contributed to resolving development issues in each country. In FY2000, country-program evaluations in Tanzania and Bolivia, where multi-national efforts to reduce poverty are under way, were conducted.

The rest of this sub-section describes the framework and results of the country-program evaluation in Bolivia.

The country-program evaluation in Bolivia focused on JICA cooperation conducted from 1985 to 1999. The review involved four scopes of evaluation namely, individual project evaluation, sector evaluation, cross-sector evaluation of poverty and gender issues, and a comprehensive evaluation summarizing the results of the previous three evaluations. Furthermore, recommendations were summarized to suggest issues and sectors for which Japan should provide cooperation in the future.

JICA projects have retained relevance with Bolivian development issue, as were implemented in sectors prioritized by the Bolivian government and major donors. Also, among the three sectors targeted in the evaluation, projects in the public health and sanitation sector were highly evaluated based on all five criteria, while the infrastructure sector and agriculture, forestry, fisheries, and stock-farming sectors were rated mediocre. In cross-sector evaluations, which highlighted poverty and gender issues, no project was found to have contributed to these issues. This is mainly because gender and poverty have only drawn international attention as global issues since the early 1990s, and all projects targeted for evaluation here were not designed with these perspectives in mind, as they were planned prior to the change in the trend. [1)]

As for the future direction of JICA cooperation, 18 development issues in the five fields for the JICA Country Program were reviewed, and it was recommended as important for JICA to support 16 issues in the five fields. The five fields are improvement of basic living standards, agricutural development, infrastructure support, water, environmental conservation, and resource development.

1) JICA has included the issue of redressing gender disparities since the "Study Group on Development Assistance for Women in Development" was established in 1991. As for poverty issues, JICA began addressing them in 1993 when the "Poverty Issue Guidebook" was prepared.

New additions to the issues that require JICA assistance were the construction and maintenance of village roads and irrigation facilities for agricultural development.

In Bolivia, where multi-national efforts has been made to alleviate the country's poverty, it is important to narrow the focus on issues and sectors in line with the PRSP, as well as to take into consideration the technical advantages of Japan and roles of other donors. Meanwhile, to strengthen the program approach, it is essential to efficiently utilize resources by combining effective cooperation schemes and working closely with other donors.

(2) Thematic evaluation

Thematic evaluations in FY2000 were chosen with an intention to developing evaluation methods to strengthen the program approach and expanding the coverage of evaluation.

Recently, result-based management is increasingly required for implementation of development aid projects. For this purpose, the program approach should be further strengthened which effectively combine resources in order to achieve outputs. The themes of ex-post evaluation studies in FY2000 were chosen to respond to the needs for strengthening the program approach. Lessons from these evaluations were drawn to contribute to planning and managing future programs. The following 1) is an example of such ex-post evaluation. It discusses the Evaluation Study on "Alleviating Regional Disparities between the Bangkok Metropolitan Area and the Northeastern Region," which is distinctive for its cross-cutting perspective in evaluation - a perspective that is essential for improving the program approach. It is also an attempt to entrust the evaluation to an academic society with expertise in international development.

In addition, responding to an increasing demand for all JICA projects to be evaluated, JICA conducted evaluations targeting cooperation schemes that had not been covered by evaluation up to FY2000. Case studies were selected to implement these evaluations to examine potential methods for each of these newly evaluated cooperation schemes.

In sections 2) and 3) below, the framework and results of the evaluation entitled "Cooperation of JOCV for Middle-income Countries: the case study of Malaysia" and the "Support for South-South Cooperation" are briefly introduced.

1) Thematic evaluation: "Alleviating Regional Disparities between the Bangkok metropolitan Area and the Northeast Region"

This evaluation targets Thailand, where distortions in income distribution and economic structure between the Bangkok Metropolitan Area and outlying regions, especially the Northeast region, have become a significant social problem. The study attempted to examine whether the projects that JICA implemented have helped to redress regional disparities between Bangkok and the Northeast region. Furthermore, the study attempted to ascertain current regional disparities, underlying causes, and the structure of the problems, with the aim of offering recommendations for future efforts in redressing these disparities.

The evaluation indicated that most of the individual projects could have performed highly, but it was not possible to support the claim that JICA projects had contributed to alleviating regional disparities statistically or with hard facts. This may partly be attributed to the fact that redressing disparities had not been specifically identified as overall goal but merely referred to in the initial plan. Consequently, the evaluation simply hinted at the possibility of JICA projects making contributions in the various fields. The section below discusses ways to improve cooperation when attempting to redress regional disparities in the future, obtained through the study.

a) Improving measures from a macroeconomic perspective

The "Regional Development Plan for the Lower Northeast and Upper East Regions", which was compiled by JICA Development Study Team, was a plan to boost the level of income in the Northeast region and reduce the disparity between the national average. In this regard, the objective and orientation of the plan were relevant to the issue in Thailand. The direction of development and scenario adopted in the plan were based on the "principle of growth pole model," which had often been used in developed countries. However, analysis of the establishment process, growth mechanism, maturity and decline are still under way. It is both essential to accumulate empirical study results, and in the meantime, to consider introducing new regional development models. While preventing disparities within a region from worsening, in order to alleviate the regional disparity, it is indispensable for local people to participate in the development process. Hence, efforts to create conditions for a participatory approach must be made systematically, meaning that regional development plans should include supporting measures for those conditions.

Based on the recognition that market principles alone cannot alleviate disparities, funds allocated from

the national budget to outlying regions and decentralization of government functions gain added importance. Furthermore, it is essential to consider and cooperate with sustainable development efforts. In attempting to revitalize regions, consideration should be given to creating an environment and training human resources that can develop private-sector industry in the region, given that the private sector can be relied on for distribution of products, capital, information, and services.

b) Infrastructure

In order to maximize the effect of infrastructure construction in regional development, it is crucial to select sites on which infrastructure can be built within a given budget. In this regard, it is essential to clarify the goals of regional development, i.e., whether prime importance should be given to improving income in the targeted region as a whole or to boosting relatively backward areas within the region. The selection of sites will depend on the choice of the project goals described above. In addition, a democratic decision-making process should be established so that residents could be given an array of choices and decide on their preferred goals and sites for the development of their region.

c) Agriculture and forestry

Building up an organization that integrates local residents' activities was implied as effective in boosting regional economic activity. In addition to creating these organizations, technical cooperation related to efficient use of agricultural infrastructure such as agricultural product distribution and processing facilities should be considered. Furthermore, to prevent regional economies from relying excessively on specific resources, a regional structure of resource use should be created in line with nationwide legislation.

d) Vocational Training

For a region to develop, graduates that have received vocational training must be employed in the region to spread their technical expertise and thereby contribute to the regional economy. However, the labor market in the Northeast region has been small, and there has been a gap between wages in cities and in the region, thus limiting ways to prevent graduates from flowing out to urban areas. The ability of vocational education to ameliorate regional disparities is entirely dependent on whether the region can create its own labor market that can provide graduates with jobs.

(e) Health and medical care

The evaluated projects aimed at establishing a healthcare service model at the prefectural level, training and educational institutions in primary healthcare. The projects contributed to improving access to health care services and raised the health conditions of local residents. Hence, the projects are deemed to have created a foundation for ameliorating the disparities between outlying regions and urban areas. In particular, various training and educational activities included in the projects helped to establish human resources in the field of public health.

It is essential to be aware that healthcare in a narrowsense alone can not support the total healthcare sector — the basis from which regional disparities — can be redressed. The Trauma Prevention subproject for Khon Kaen province's Community Health project provided technical cooperation in transportation management as well as in hospital services improvement. The result implies that an approach to the health sector would be more effective if it incorporated a wider view as seen in this project.

2) Thematic evaluation: "Cooperation of JOCV in Middle-income Countries: the case study of Malaysia"

Japan Overseas Cooperation Volunteers (JOCV) program supports international volunteer experiences for youths, and has been effective not only in technology transfer, but also in promoting international mutual understanding and skill development for Japanese youths. However, middle-income countries that have achieved certain technical level have come to require JOCV members with a higher level of qualifications and conditions. As a result, JOCV members are recently expected to provide necessary labor by the assigned

A JOCV member, occupational therapist, on visiting care
(JOCV activities in Malaysia)

organization more than to transfer technology. This prevents JOCV members from actively demonstrating their own initiatives, which causes significant gaps and variations in the cooperation outputs in terms of technical transfer and the JOCV members' own satisfaction.

This evaluation took Malaysia, a middle-income country with a history of over 30 years of JOCV activities, for its case study. The evaluation attempted to gain an understanding of the state and problems associated with JOCV activities in middle-income countries. It also focused on figuring out which fields achieved output, as well as on identifying the promoting and inhibiting factors for their activities. Taking into account its position as a volunteer project, outputs other than technology transfer were also evaluated, such as relevance as a governmental undertaking aiming at promoting international understanding through the training of youths, international exchange, and the promotion of international cooperation to citizens.

From the evaluation results, both Malaysian organizations where JOCV were assigned and the volunteers highly rated the activities held in the fields of Japanese language teaching and social welfare. However, both of the parties did not appreciate the activities in the fields of vocational training or sports highly, due to Malaysia's already high technical level and the tendency to judge solely on the basis of sports competition results.

On the other hand, according to the evaluation results for fields other than technical transfer, almost 90% of the assigned institutions indicated that they had gained a new understanding of Japan through JOCV activities and had learned about Japanese people's diligence. Over 60% of the volunteers have kept contact with each other even after returning to Japan. More than half regarded that JOCV experiences had been very helpful in improving their personal, technical and international cooperation skills, implying that the main goal of fostering young people had been fulfilled. More than half of the volunteers also said that they would teach about the dispatched country and the international activities after returning to Japan, if given the opportunity. This demonstrates that the volunteer activities also contributed to improving Japanese citizen's understanding of international exchange and cooperation.

Cooperation projects in middle-income countries such as Malaysia can be characterized by the fact that the assigned institutions often have advanced technology, with counterparts with sophisticated knowledge and high academic background. This limits the volunteers' activities and makes it difficult to produce results through technical transfer.

Third-country Group Training - Laboratory practice ("Diagnostic Technology and Control Measures for Major Livestock Diseases", Thailand)

3) Thematic evaluation: Support for South-South cooperation

As South-South cooperation enables appropriate technical transfer between countries with similar cultures and stages of development. Given the importance of encouraging the initiatives of emerging donor countries, the support is also one of the most distinctive features of Japan's development assistance.

JICA has consistently placed high importance on support for South-South cooperation since its inception. Efforts include third-country training which started in 1974, the dispatch of third-country experts which started in 1995, partnership programs that are a bilateral framework with emerging donor countries, the establishment of networks between institutions, and triangular cooperation projects.

This evaluation took the cases of Singapore and Thailand, the first two countries entered into partnership programs with JICA, and looked into past projects and examined the original purpose of the South-South cooperation and actual conditions and performance. The evaluation aimed at drawing recommendations on ways to make future South-South cooperation, third-country training, and third-country expert dispatch more effective.

The evaluation firstly indicated and helped JICA realize that South-South cooperation is not regarded uniformly among the stakeholders, such as government agencies in charge of international cooperation, implementing agencies, and agencies of beneficiary countries.

JICA's support for South-South cooperation has historically been prioritized in Japan's government policies and has been one of the characteristics of Japan's

development cooperation. While in practice, projects under South-South cooperation have aimed at transferring technology that has been originally transferred by JICA cooperation in the past, to surrounding countries. On the other hand, governmental agencies in charge of international cooperation of the implementing countries regard South-South cooperation as regional assistance program. They regard aid to surrounding countries under an independent framework, prioritizing their own diplomatic consideration. Also, many of the institutions actually implementing the cooperation are leading institutions in their own countries and view South-South cooperation as an opportunity to improve their own technical skills and know-how.

To improve JICA's achievements in its South-South cooperation, JICA must review the longstanding idea on South-South cooperation support and clearly identify the framework and orientation of this support.

Judging from the evaluation results of third-country training, the role of the training in resolving development issues in the beneficiary country has not always been clear, despite training participants showed a high degree of achievement in terms of knowledge and skills.

Furthermore, there observed a high possibility that the beneficiary country could adopt the technology transferred from the third-country's experts if the originating country and the beneficiary country were at a similar level of cultural and social development and have similar climates. The accepting organizations have had a high degree of satisfaction with the transferred technology, which was effective for solving problems that the beneficiary countries were facing.

On the other hand, governmental agencies in charge of international cooperation in the implementing countries have indicated that third-country experts has tend/to be incorporated into JICA projects, and not always been consistent with the implementing country's policies to the beneficiary country. As a result, it have not had conformity with the partnership concept that would provide benefits to both governments of Japan and the implementing country. Moreover, there has often been insufficient discussion concerning the role of the beneficiary country's institutions accepting the third-country experts, suggesting that more attention should be given to this issue.

2. Evaluation of Individual Projects

Each of the 80 evaluation results included in this report were organized and summarized according to the five evaluation criteria (relevance, effectiveness, efficiency, impact and sustainability). Trends in regions and sectors of the individual project evaluations included in this report are shown in the tables below.

(1) Relevance

1) Outline

"Relevance" questions the general appropriateness of the aid project by looking at the consistency of the project purpose with the intended beneficiary's needs, the target country's policies, and Japan's aid policies.

a) Consistency with development needs of target country

The evaluation results indicate that most of the eighty projects had consistency with the development needs of the target countries and the beneficiaries, and thus were deemed to have retained relevance. For example, Mali's Korofina District Water Supply Planning Project was consistent with the national goal of providing safe and clean water in cities exceeding a population of 10,000. The project's targeted areas had been suffered from illness caused by poor water quality, making this project highly relevant.

b) Consistency with development needs shared by region

In third-country group training, the relevance of a project depends on whether a training theme was

Projects covered by JICA evaluations (by sector)

	Planning & admin.	Public works & utilities	Agriculture forestry, & fisheries	Mining & industry	Energy	Commerce & tourism	Human resources develop.	Healteh & med. care	Social welfare	Others	Total
Terminal completion	5	13	12	7	1	0	22	8	0	1	69
Ex-post evaluations	0	6	2	0	0	0	2	1	0	0	11
Total	5	19	14	7	1	0	24	9	0	1	80

Projects covered by JICA evuluations (by region)

	Asia	Middle East	Africa	Latin America/ Caribbean	Oceania	Europe	Total
Terminal completion	28	6	13	17	1	4	69
Ex-post evaluations	3	0	3	4	0	1	11
Total	31	6	16	21	1	5	80

chosen that was appropriate to the needs of the countries participating in the training. For example, the "Laboratory Diagnosis of HIV Infection and Opportunistic Infections in AIDS" in the Philippines was motivated by the fact that Asia and the Pacific region were expected to have the largest number of HIV-infected people in the world by the 21st century. Despite this, the region did not have infection diagnostic technology or survey methods. This is one example where training maintained high relevance with the region's needs, given the increase in HIV-infected people.

c) Consistency with Japan's policies on development assistance and Japan's technical advantage

Another important factor to determine relevance of the project is whether Japan has knowledge and experience (whether or not Japan's technical advantage can be recognized) in the sector or issue targeted for cooperation. For example, in the "Polish-Japanese Institute of Computer Techniques Project", cooperation was implemented in information processing and robotics, areas in which Japan has expertise. In addition, consistency with Japan's aid policies for Poland - supporting its transition to a market economy - was also recognized, so the relevance was deemed high in this regard.

2) Factors influencing relevance

In rapidly progressing fields such as IT, the relevance of cooperation could decline during the cooperation period. For example, in the field of broadcasting technology, where a shift from analog to digital had begun, the shift created problems for the "Integrated Production of Educational Television Programs" in the third-country training in Mexico. The implementing organization, the Education Television Training Center, was not able to meet the participants' need for digital broadcasting with the analog-based equipment used in the training. It would be difficult to meet these needs without updating equipment, and this could lower the relevance of the training in provides.

(2) Effectiveness

1) Outline

"Effectiveness" looks at whether the project purpose is being achieved as initially planned and whether that could be attributed to the output of the project.

Most of the individual projects included in this report had achieved their project purposes or were expected to achieve them within the cooperation period at the time of evaluation.

Building of sanitary facilities by local residents ("UC/JICA Joint Study Project on Participatory Rural Development", Sri Lanka)

One example of the projects that achieved project purpose is the "Project on the Improvement of Mine Safety Technologies" in Turkey that aimed to improve mining safety technology, which successfully halved the accident rate of coal mines. Also, "The Training Services Enhancement Project for Rural Life Improvement" in the Philippines achieved its purpose, with outputs such as, training programs and manuals were designed to improve life in rural areas reflecting local needs, based on activities in the pilot area. On the contrary, six projects did not fully achieve their project purposes by the end of the project period. Of these, three have already implemented follow-up cooperation to achieve the project purposes, and the other three are either being examined or reviewed for follow-up cooperation.

2) Factors promoting the achievement of project purpose

a) Importance of adequate initial plans

When establishing an initial plan, due consideration must be made on the followings: project purposes, outputs necessary to accomplish these purposes, the scale of cooperation such as activities and input, and the length of cooperation. It is also crucial to select the implementing organization that would be the most appropriate in achieving the purposes.

In Uruguay's "Veterinary Laboratories Improvement Project", the cooperation was efficiently implemented after enough attention was paid on how input should be chosen and combined. Furthermore, the management capacity and technical level of the implementing organization were appropriate to accept the techniques transferred by the project. This indicates that the organization's capacity to accept the project was another factor in achieving project purpose. In the case of said project, it enabled diagnoses of vet-

erinary diseases to be accurately and quickly conducted. Furthermore, the US and Mexico, both large importers of Uruguay's livestock products, authorized the reliability of the implementing organization in screening for diseases. The organization also contributed to creating a system to prevent infectious livestock diseases.

b) Flexible coordination and adjustment during the project period

There are many cases in which project purposes were achieved by supplementing and revising the initial plan in the middle of the project period to adapt to changing circumstances. In Sri Lanka's "U.C. (University of Colombo) - JICA Joint Study Project on Participatory Rural Development", long-term experts were not given the authority to make decisions at the initial stage and this affected the relationship with the Sri Lankan side. However, revisions made by the mission team during the project period ensured that this did not seriously inhibit achieving the project purpose.

In Paraguay's "Forest Extension Project in the Eastern Region of Paraguay", the project's plan for technical transfer was plagued by delays in counterpart transfers and payment of the recipient country's local costs due to a change in government administration and financial crisis. However, the plan was revised flexibly during the project in a way that the project could produce designated outputs, enabling achievement of the project purpose.

c) Creating mechanisms to facilitate communication

A framework facilitating communication between both Japanese and partner country personnel enabled mutual participation in making decisions and became a driving force of the project. In Thailand's "Productivity Development Project", larger part of project management responsibility was placed on the Thai side, with the regular management committee meeting to jointly establish and monitor activity plans. In addition, the management committee also intensively discussed the share between the counterpart's regular workload and new duties added after the project, which greatly facilitated operations. In the "San Pedro Sula Water Treatment Plants Improvement Project" in Honduras, the Japanese side and the Municipal Division of Water met on a weekly basis. This resulted in efficient decision-making, and ensured that construction work was completed on schedule. In Romania's "Irrigation System Readjustment Project", there were multiple implementing organizations, but regular meetings of a joint management committee enabled smooth project management.

An expert advising on field trial ("The Irrigation System Readjustment Project", Romania)

3) Factors impeding achievement of project purpose

a) Cooperation scale lacking in balance with project purposes

Projects had difficulty in achieving the project purpose during the cooperation period, when the cooperation period was too short or the purpose was too ambitious for the given cooperation scale. In Sri Lanka's "Nursing Education Project", although the model school that received direct cooperation achieved all outputs, outputs were not achieved at ten other national nursing schools, such as the spread of textbooks, re-education of teachers, and guidance in clinical training. In Mexico's "Casing Technology at the Material Engineering Qualification Center," the project purpose was to enable the newly-built center to train instructors for small- and medium-sized molding companies. However, setting up a management system for this new center took time, and the project was not able to acquire the capacity to meet those company's needs by the end of project period.

b) Delays in inputs

In some cases, the start of full-scale technical transfer fell behind the initial schedule due to delays in assigning counterparts, installing equipment and arranging facilities, making it difficult to achieve the project purpose within the cooperation period. In China's "Research Center for Mineral Resource Exploration" and Sri Lanka's "Foundry Technology Development Project," such problems were dealt with by implementing follow-up cooperation.

In the Dominican Republic's "Small-Scale Fishery Development Plan in the Samana Area," the Samana

Fishing Development Training Center, the implementing organization, was only able to receive 18% of the originally planned budget due to financial difficulties of the government. Since the staff then spent time selling the fish catches gained in their practice to compensate for the budget shortfall, the number of fishermen provided with sufficient fishing training and practice turned out to be limited. In the end, techniques could not be transferred to a wide range of fishermen.

c) Changes in external conditions

Bulgaria's "Energy Efficiency Center Project" provides one example of a project in which it was not possible to achieve some of the output due to changes in external conditions. In addition to tranferring the techniques on diagnostic technology for energy conservation and consultation methods for domestic industry, the project also aimed at improving the ability to propose measures for energy conservation. However, the government established a State Agency on Energy and Energy Resources during the project period, and authority and responsibility for establishing policy measures were granted to this agency. By these means, the Center's responsibilities were detached from making policy recommendations and a significant gap was created between the original project purpose and the organization's mission and mandate.

(3) Efficiency

1) Outline

"Efficiency" examines the efficiency of the project from the perspective of the effective use of resources. In the individual project evaluations included in this report, the total input was not always clarified precisely, and thus efficiency was not fully examined in terms of cost-benefit or cost-effectiveness. Currently, evaluation on efficiency is conducted by looking at whether the input and activities were implemented according to the initial plan and the extent to which the experts, equipment, and facilities were utilized.

In the future, it will be important to examine efficiency by comparing actual costs to the costs estimated in the ex-ante evaluation and comparing costs with similar projects. Also, asking whether the minimum costs were used and whether there might have been an alternative to the approaches taken in the project would be crucial. In addition to confirming the cooperation process as has been applied so far, JICA is now taking steps to clarify costs of implementation so that the evaluation of effectiveness can be more balanced.

Academic exchange visit by Mongolia/JICA Mission ("Research Center for Mineral Resource Exploration", China)

2) Factors influencing efficiency

Factors that significantly affected efficiency have been extracted from the 80 individual evaluations.

a) Precision of initial plan

In cases where the scope of activities has not been clarified sufficiently in the initial plan or an area to serve as the pilot has not been chosen, narrowing the focus tended to consume a significant amount of time at the start of the project, leading to the delay of a full-scale start. When some input such as expert dispatch and equipment installation has already been completed while taking time to narrow down the plan as described above, the input would be idle and can lower efficiency.

b) Counterpart's capacity

Project implementation often entails new responsibilities for the implementing organization, and counterparts must continue their original duties while bearing new duties for the project. The amount of time counterparts spend on the project can determine the project's success and effective use of input such as dispatched experts and equipment installation. Thailand's "Productivity Development Project" gave due consideration to this aspect, and the Thai side prepared a detailed activity plan, which was finalized through a discussion in the management committee. This enabled those parties concerned to plan with high feasibility, and the evaluation report indicate that project was implemented effectively.

c) External factors

To implement the project efficiently, the partner country's input must also be implemented efficiently. The 1997 Asian Financial Crisis hurt the financial state of many governments in Asia, and there were cases in which payment for local costs fell into arrears. Another example of external factors is from an irri-

gation project. An abnormally large amount of rain made the irrigation water unnecessary, and the planned irrigation facilities could not be improved that year since the planned activities could not be implemented at that time. This left the already implemented input idle.

(4) Impact

1) Outline

"Impact" refers to the achievement of the overall goal and other direct and indirect and extended effects of project implementation in the long run.

Among the evaluation results of 80 projects, 69 were terminal evaluations which were implemented some four to six months before the project was completed. These evaluations basically look at the prospect for achievement of the overall goal. With only 12 exceptions, positive impacts in some form or another were identified in the target country or in nearby countries at the time of evaluation.

As for those projects which impact was not observable at the time of evaluation, the reason often lied on the particular nature of the sector, which requires a certain amount of time before the impact would manifest itself. The "Project for the Enhancement of Practical Works in Science and Mathematics Education at the Regional Level" in the Philippines was one such example.

2) Other spillover effects

The following are examples of other spillover effects.

a) Establishment of implementing organizations

There are many cases in which project has led to improvement in the implementing organization's technical skills, and the role and position of the organization in the sector targeted for cooperation. In China's "Research Center for Mineral Resource Exploration" project, the center issued reports and presented its achievements at academic society seminars. As a result, the center gained attention for its data measurement methods from other organizations, and even received requests for analysis using the newly installed equipment and for joint research. In China's "Japan-China Friendship Environmental Protection Center Project Phase II," a network was established with various Japanese organizations through counterpart training, and the center came to fulfill a significant role as a contact for international environmental cooperation with Japan and as a joint research organization with overseas organizations.

In Indonesia's "Forest Fire Prevention Management," the Indonesian governments recognized the project's effectiveness and the improvement in the abilities of the implementing organization. This is implied by the fact that the implementing organization, the Sub-directorate of Forest and Estate Crops Fire Control, was upgraded to the Directorate of Forest and Estate Crops Fire Control, composed of four sub-directorates.

Guidance on expectant mothers (The Maternal and Child Health Improvement Project in North-East Brazil)

b) Spread of technology to areas not targeted in project and surrounding countries

In Uruguay's "Veterinary Laboratories Improvement Project," the implementing organization, Division of Veterinary Laboratories (DILAVE), improved its ability to diagnose and examine veterinary diseases, letting Mexico and the US - large importers of Uruguayan food products-recognize the reliability of DILAVE's abilities. DILAVE was also entrusted with meat inspections for Chile, which does not have an inspection organization for food exports.

In "The Maternal and Child Health Improvement Project in North-East Brazil," an active campaign at international conferences was effective in spreading the concept of "Humanized Maternity Care" in Brazil and neighboring South American countries.

Typical impact in third-country group training consists of spreading the knowledge and technology gained in the training to surrounding countries after the training participants have returned to their own countries. In Malaysia's "Promotion of a Healthy Environment in Urban Areas (Healthy City Programs)," 72% of the training participants responded that they had shared their newly gained knowledge and technology with co-workers, and 83% responded that they had held their own training and seminars based on the results of the training.

c) Contributions at the policy level

In Brazil's "Maternal and Child Health Improvement Project in North-East Brazil," the government has incorporated into its policies the project's concept of "humanized care," which denies excessive medical intervention, not only in maternal and child healthcare, but in all fields of health care. Also, in Zimbabwe's "Infectious Disease Control Project," the Ministry of Health and Child Welfare decided to apply the project's educational materials and rapid diagnosis kits for malaria in provinces other than the project's model province, and is planning to promote infectious disease control activities on a nationwide basis.

d) Impact not initially anticipated

In Ghana's "Project for Construction of Sekondi Fishing Port," after constructing a fishing harbor, private-sector investment poured into the fishing port itself and the surrounding area, such as filling stations for the fishing boats and restaurant construction. However, anticipating an unfavorable impact on the livelihood of the brokers that had traditionally rowed their small canoes from the beach and bought fishing catches from fishing boats in the bay, it incurred an movement against the construction. The control office of the fishing harbor, which made use of the harbor possible by the end, held mediation with those people.

China's "Japan-China Friendship Environmental Protection Center Project Phase II" is an example of a project that had spillover effects that had not initially been anticipated. In this case, the public relations and educational campaign carried out by the implementing organization using the Internet raised the environmental awareness of local residents.

In Bulgaria's "Energy Efficiency Center" project, a program was started in which foreign-affiliated private companies would invest in companies assessed by the center's factory diagnosis to be conserving energy. Since the establishment of such a program could result in the promotion of energy conservation without companies investing a lot of capital themselves, it could have a significant impact on Bulgarian industry.

(5) Sustainability

1) Outline

Evaluation of project "sustainability" generally involves the following three aspects: the organizational and institutional aspect, technical aspect, and financial aspect. Of the 80 projects, 15 were evaluated as having a high degree of sustainability in terms of all three aspects. However, four projects were found to have some weak points in all three aspects. Overall, evaluation results indicate that although JICA projects achieved a sufficient degree of technical and organizational sustainability, they have faced difficulties in terms of financial sustainability.

Internet access at the computer lab (Japan/China Friendship Environmental Protection Center Project (Phase 2))

a) Organizational/Institutional sustainability

Out of the 80 projects, 37 were deemed to have high organizational/institutional sustainability. In Pakistan's "Maternal and Child Health Project" and the Philippine's "Training Services Enhancement Project for Rural Life Improvement," management systems were established through project activities such as building a new management structure for the organization and strengthening management. Consequently, the implementing organizations gained the capacity to autonomously manage each stage of the training course, such as planning, implementation, monitoring, and evaluation.

An example of projects in which organizational /institutional concerns remain is Indonesia's "Quality Soybean Seed Multiplication and Training Project." In order to spread superior soy bean seeds developed by the project to the farmers, the government would need to continue its policy of providing soy bean seeds and fertilizer free of charge as part of its soybean revitalization policy, and to stabilize the market price. However, the continuation of the policy remained unclear.

b) Technical sustainability

A high degree of technical sustainability indicates that the techniques transferred to the counterparts have gained ground in the implementing organization. It also means that the system for maintenance and further development of those techniques has been estab-

lished. Out of the 80 projects, only eight of them had concerns over technical sustainability at the time of evaluation. An example of a reason for low sustainability can be seen in Paraguay's "Forest Extension Project in the Eastern Region of Paraguay." The technical sustainability was threatened by high potential for the leave of counterparts that received technical transfer due to the recipient country's financial difficulties and restructuring of the implementing organization.

c) Financial sustainability

Of the 80 individual projects, 31 were deemed to have causes for concern over financial sustainability. These projects had factors in common with the recipient country, such as local costs falling into arrears due to financial crisis during cooperation periods, or the implementing organization's shift to a self-supporting accounting system. In particular, projects had difficulty in continuing the activities when it was difficult to raise revenue from the training or services that the project can offer, and when the project activities themselves were not factored into the government's budget.

Even in those projects with service activities that can raise income, such as training, screening, diagnosis and consultation, sustainability was hindered when the self-income gained did not become an independent source of funds for the implementing organization, but was allocated through the supervising agency.

2) Factors promoting sustainability

a) Achieving independent revenue sources

Although many evaluation results indicated instability surrounding financial sustainability, the projects that had secured their own revenue source demonstrated a high level of sustainability. In Sri Lanka's "Project on Quality Improvement of Textile and Clothing Products," the implementing organization managed to cover 60% of its expenditures with the revenue it earned from technical services and had a high incentive to increase its own revenues.

Lecture by an expert ("Project on Quality Improvement of Textile and Clothing Products", Sri Lanka)

b) Building up systems within the recipient country

In the Philippine's "Training Services Enhancement Project for Rural Life Improvement," the Ministry of Agriculture - the competent ministry of implementing organizations - ordered that 33 domestic training centers implement the training using participatory development methods that the project had developed. A sufficient number of staff was secured in order to implement and monitor project activities, and operating expenses were allocated from the ordinary budget.

3) Factors inhibiting sustainability

a) Concerns over outflow of personnel with transferred technology

In Paraguay's "Water Improvement Plan for Lake Ypacarai and Its Basin," domestic financial problems and the reorganization of governmental agencies increased the possibility that counterparts would be transferred. Furthermore, contract employees hired and engaged in the project would be dismissed from the Environment and Sanitation Service, the implementing organization, therefore it was likely to lose its experienced personnel and curtailment of activities. This threatened the technical sustainability of the project. In Paraguay's "Forest Extension Project in the Eastern Region of Paraguay" as well, the frequent transfer of counterparts and the dismissal of contract employees that had gained knowledge and skills made it a great concern in securing the personnel necessary to take over and refine the transferred technology.

b) Changes in external conditions

In Turkey's "Project on the Improvement of Mine Safety Technologies," Turkish Hard Coal Enterprise did not leave much room for concern over organizational or technical sustainability. However, as a result of measures to increase coal production and to create job opportunities for regions hurt by the 2000 earthquake, 4,012 new employees were hired, while 385 skilled workers retired in 1999. This large increase in the number of inexperienced workers creates uncertainty about the sustainability of techniques in mining safety.

c) Maintaining and updating equipment

Other factors that can threaten sustainability are insufficient systems to maintain equipment provided in a project and uncertainty in budget allocation for

their updating. In Trinidad and Tobago's "Regional Fishing Training Project," there was no channel to procure the materials necessary to maintain the equipment provided within the country, causing serious concern to sustainability.

3. Follow-up after Project Completion

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

(1) Extension of cooperation period

Extension of the cooperation period is used primarily for projects implemented via Project-type Technical Cooperation and Third-country Group Training. In the case of Project-type Technical Cooperation, this applies when the project purposes either have not been adequately achieved during the original cooperation period or have not properly attained sustainability. In these cases, the project period is extended for a period of one or two years.

Furthermore, some projects with multiple outputs leave a portion of these objectives unattained. For these projects, follow-up cooperation is implemented only in the field in which activities fell short. Two of the 36 projects under Project-type Technical Cooperation received this type of cooperation.

In Third-country Group Training, the cooperation period is extended for a course that has a particular importance to the participating countries; of the 16 third-country training projects targeted here, one had its cooperation period extended.

(2) Formulation and implementation of new projects

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

The results of the evaluations listed in this report led to the implementation of six projects in Project-type Technical Cooperation, four Third-country Group Training courses, one In-country Training, and one Expert Team Dispatch.

(3) Dispatch of experts, JOCV and Senior Overseas Volunteers

There are some cases in which supplementary cooperation is needed in order to secure the sustainability of projects. These cases involve providing guidance and recommendation on project management and extension activities and supplementing the transferred technology.

Of the projects whose evaluation results are covered in this report, 13 projects had individual experts dispatched, while one project had senior overseas volunteers and one had a JOCV dispatched.

Ⅳ. Lessons Learned from Evaluation Results

The evaluations covered in this report identified many lessons learned and recommendations. For the purpose of utilizing them for JICA's future activities, this section presents a compilation of those lessons learned that are highly relevant to other projects. Lessons already taken up in past issues of the Annual Evaluation Report are also included when they are highlighted with a new perspective or require continuous efforts for feedback into JICA's operation.

Of the eight lessons mentioned below, numbers 1 and 2 are the lessons to be considered when JICA pursues the program approach, while numbers 3 to 7 are those pertinent to the formulation of individual projects. Number 8 concerns specific projects related to the Support for South-South Cooperation.

1. Program Purpose to be Clearly Set and Shared by all Projects Involved in the Program

(1) Bolivia's country-program evaluation noted that a combination of Project-type Technical Cooperation and construction of facilities through Grant Aid Cooperation was useful to achieve better results in realizing output and securing sustainability. It also indicated that the lack of an overall plan when implementing mutually related projects could lead to a waste of resources. Moreover, the lack of an overall plan could bring about the loss of an opportunity to consider the optimum plan to achieve the goal because the components of the cooperation already implemented might impose constraints on the choices of inputs and activities of the coming cooperation. Therefore, the evaluation emphasizes the need to clarify the cause-and-effect relations between input, project purposes and program purpose and to prepare an overall plan on a program basis.

(2) Furthermore, it is essential to scrutinize the scheme and timing for the input necessary for achieving the program purposes, and clarify the division of roles and responsibilities between the multiple parties involved in JICA programs.

2. Strengthen Overseas Support System Enabling Smooth Implementation of JICA Programs

The evaluation of the "Population and Health Center in the Philippines under JICA/USAID collaboration" suggests that in order to promote program cooperation, a more comprehensive understanding of local conditions and closer coordination of activities with counterparts are required. For such purpose, a JICA "program leader" should be assigned to the overseas office or within the recipient's government to strengthen the system for promoting programs at the site. The leader should be responsible for the formulation and overall management of JICA programs as the representative of the Japanese team. The leader should coordinate JICA programs with the recipient country's overall plans (national development plans, sector plans, PRSP, etc.) and should conduct monitoring and evaluation of the program.

3. Project Purpose to be Elaborated, Plans Formulated Considering Balance between Output, Activities, and Input

(1) Evaluations of the "Nursing Education Project" in Sri Lanka and "Casting Technology at the Material Engineering Qualification Center" in Mexico identified that project purposes should be set at an appropriate level given the length of the project period and the scale of cooperation. For example, in the above-mentioned cooperation in Mexico, one long-term expert was dispatched to a newly established center at the implementing organization to work in a field in which the organization had no experience. The task given to the expert was to coordinate the project activities to make the center operational, while transferring technology to counterparts. The evaluation results pointed out a lack of balance between the activities/input and the project purpose, which was "to secure personnel for the implementing organization that can provide technical guidance to the industry" by the project completion.

(2) The projects should be formulated, firstly, by setting an appropriate project purpose. Then, the necessary output for the purpose would be set up, and a combination of input and activities are opted to achieve the output.

4. Clarifying Terms of Reference for Experts and Counterparts at the Planning Stages

(1) To achieve the project purpose within the cooperation period, full consideration must be given to the organizational structure of the implementing organization and the technical level of the staff. In the "The Training Services Enhancement Project for Rural Life Improvement" in the Philippines, while the mandate of the implementing organization was training, project activities in the first half period focused on actual extension activities rather than on training for extension workers. As a result, it took time before the project made necessary corrections, even though the project purpose was finally accomplished.

(2) Terms of reference of the experts as well as the counterparts' allocation of workload between original duties and project-related duties should be clarified before the project starts. In the "Productivity Development" project in Thailand, defining the time allocation between the original duties and project-related duties of counterparts enabled more effective project planning, based on a realistic estimate of input.

In the "Infectious Disease Control Project" in Zimbabwe, the terms of references of the experts dispatched were extremely broad when the project started, and then they were narrowed in the latter half of the project. The evaluation indicated that clarification of the terms of reference at the initial stage would have led to more effective project operations.

5. Consideration Given to Applicability and Feasibility of Extending Project Activities to Other Regions and Organizations

(1) One of the typical patterns of JICA projects is to establish methods and techniques in a pilot area or in a model organization intending for their application later in other organizations or areas. To improve the sustainability of this type of cooperation, the possibility of applying and spreading the model should be exemplified within the project activities, and the model should be refined so that the recipient country could continue to extend the activities after the cooperation period. The "The Training Services Enhancement Project for Rural Life Improvement" designed to raise living standards provides one such example; in that project, training manuals based on the activities in the model center were proven to be applicable to three other training centers.

(2) Furthermore, in a project intended for extension, the plan should incorporate the creation of a system for planning, implementing and monitoring the extension, as observed in the "Maternal and Child Healthcare" project in Pakistan and the "The Training Services Enhancement Project for Rural Life Improvement" in the Philippines. Also, when establishing a system for extension, it should reflect the beneficiaries' opinions, since their initiative plays a key role.

(3) Further, the scale of the model project and the activities/input in a pilot area should be planned taking into account the scale that could be reproduced by the recipient country after the project ends. The amount of input should also be determined after defining the burden bearable by the beneficiaries from the planning stage.

6. Ensure Financial Sustainability from the Planning Stage

Importance of financial sustainability has already been emphasized in the Annual Evaluation Report 2001, and JICA has been making efforts as explained in the following section V. However, it is often the case that the income earned by the implementing organizations is collected by the national treasury and that the opportunity is severely limited for this income to be reallocated back to the implementing organization. With this background, continuous efforts to secure financial sustainability are required.

(1) In many projects, the implementing organization receives extra funding from the government during the project period, on top of Japan's cooperation. In such cases, it often happens that the budget of the implementing organization falls dramatically after the project period and that the organization faces difficulty in coming up with funds to continue activities necessary to sustain the effect brought about by the project. Given this situation, in order to attain financial sustainability, a system should be organized in which the implementing organization gains its own income and covers costs, as seen in the "Project on Quality Improvement of Textile and Clothing Products" in Sri Lanka. Furthermore, such activities that would help the implementing organization gain their own income should be included in the project, if available.

(2) There are projects that, given their nature, prove to be difficult to charge for costs for technical services and training by the implementing organization. In such a case, it is important to induce the recipient government to take the financial sustainability seriously and to set the scope of the initial plan, taking into account the financial abilities of the implementing organization after project completion.

7. Streamline Coordination Structure, When Involving Multiple Implementing Organizations

(1) As seen in the "Irrigation Systems Readjustment Project" in Romania, evaluations of projects with multiple implementing organizations or with counterparts gathered from different organizations, identify a number of lessons related to the strengthening of coordination functions. Projects targeting multiple organizations cause larger transaction costs for coordination and have a significant impact on the efficiency of implementation. Accordingly, it would be best, if possible, to limit the number of implementing organizations to one from the viewpoint of efficiency in project implementation.

(2) When it is unavoidable to involve multiple organizations in a project, it is essential to build a coordination structure that can create a shared awareness on managing work plans and processes. In the projects that require a comprehensive approach through the participation of many organizations in related sectors, such as projects addressing environmental issues, one organization should be assigned for overall coordination.

8. Reorganize Principles behind Support for South-South Cooperation, and Clarify Role of Cooperation before Implementation

(1) When planning South-South cooperation projects, primary consideration should be given to the development issues of the beneficiary countries. Current South-South cooperation projects are mainly discussed from the perspective of the supply side, focusing on the available resources of the partner country implementing the South-South cooperation. JICA should depart from this supply-side oriented approach. Instead, the development needs of the beneficiary countries should be analyzed and matched with the implementing country's aid resources. For this reason, the resources of the country implementing the South-South cooperation and Japan should be made best use of in a broader sense to meet the needs of beneficiary countries.

(2) South-South Cooperation should be promoted, based on the concept of joint projects between developed and developing countries not on the idea of aiding projects of developing countries from outside. In this way, it establishes the foundation for a partnership between the country implementing the South-South cooperation and Japan. In other words, Japan, the country implementing the South-South cooperation, and the beneficiary countries must all respect each other's positions and create a system of "triangular cooperation" that will better fulfill the needs of benefiting countries.

Ⅴ. State of Efforts to Feed Back Lessons Learned in the Last Year's Annual Evaluation Report

One of the major objectives of JICA's evaluation is to feed back its results into the formulation and implementation of projects to improve project quality.

This section will present JICA's current efforts to address the lessons learned and recommendations identified in the JICA Annual Evaluation Report 2001.

1. Clarifying the Path of Impact from Direct to End Beneficiaries

In general, JICA works directly with government organizations in the partner country；it expects personnel in the said organizations (i.e., the counterparts), who have received JICA's technical transfer, to extend the technology to the end beneficiaries (i.e., local residents). Thus, the FY2001 Report pointed out that it is necessary prior to the project to identify which groups at what social levels constitute the end beneficiaries and to clarify the route though which the counterparts will actually extend the effects of cooperation to these beneficiaries.

Looking at the Project-type Technical Cooperation scheme, JICA is promoting formulating project plans that incorporate concrete steps to extend effects to the end beneficiaries. For example, a project targeting training centers for agricultural extension workers developed a new training method in a model center, which involves finding and analyzing good practices of advanced farmers in the target area, compiling them as information for extension, and then using them in actual extension activities. To extend this method, the project further attempts to study training centers other than the model center.

In the forestry field, efforts have been made to identify the end beneficiaries at stakeholder workshops. Also, projects are planned in a way to improve not only the skills of counterparts but also the living standards of residents (the end beneficiaries). These projects often involve activities to provide counterparts with experience in delivering the output in the pilot area to the end beneficiaries.

In the "Mpumalanga Secondary Science Initiative" in South Africa, a series of training sessions and workshops were conducted, targeting curriculum implementers as well as the heads of districts and local teachers. Through these activities, the project aimed at improving the educational knowledge and skills of personnel at each level to enable them to finally provide students with a higher quality education. The project also introduced a monitoring system at each stage of the training to ensure that the effects were delivered to each level of educational personnel and the end beneficiaries.

2. Ensuring Sustainability in Planning and Implementation

In order to secure the sustainability of cooperation, several projects under the Project-type Technical Cooperation scheme incorporate in their initial plan the activities to improve management capacity of the implementing organization. In the "Project on on Energy Conservation" in Turkey, JICA requested the partner organization at each stage of the project to describe the vision for its activities after project completion. This gave the project a concrete plan of activities by the partner organization after project termination, thus helping to ensure sustainability.

To ensure financial sustainability, in the "Project on Upgrading Verification and Inspection Technology in the area of Mass" project in Paraguay, the implementing organization retained income from its service in its own bank account. Although permission from the Ministry of Finance was necessary for expenditures, the organization was given a certain level of discretion, which allowed a higher degree of financial sustainability.

3. Phased Implementation is Effective, if Recipient Country Not Fully Prepared

When the implementing organization is newly established or has weak management capacity, JICA projects carry out "phased implementation." For example, the initial two years of the project period is regarded as a "preparation" phase to nurture necessary management functions. Then, it is followed by full-scale activities in the next phase.

In the "Project on the Industrial Water Technology Institute (Phase 2)" project in Thailand, the first phase of the project consisted primarily of technology transfer through lectures and practice at factories. The project activities gradually shifted and developed into the second phase, which focused on practical application of transferred technology through extension services by the center, such as making proposals to improve the water use condition of client factories.

4. In Advanced Technology Field, Flexible Response to Rapid Changes in External Conditions is Necessary

Since the needs and conditions of recipient countries could change rapidly in advanced technology fields, it is desirable for projects in these fields to be flexible enough to modify their work plans and to devise improvisational use of short-term experts to respond to such changes.

In recent projects involving the IT field such as the "Project of Capacity Building on the Development of Information Technology for Education for Thai ITEd", the cooperation period is set at three years to respond to the speed of technological innovation in this field. Also, in the field of advanced technology, the mobility of the labor market is generally high. Therefore, in order to minimize the negative impact caused by the possible turnover of the counterparts, such measures are taken to share all information within the organization and to hold it in document form.

5. Conducting Cooperation toward Real-world Application and Extension, Even in Research Cooperation Projects

Most research cooperation projects are designed with an overall goal of applying the research results in the real world. To achieve this, it is necessary to keep the following two items in mind during the cooperation period: reflection of these results on government administration, and their extension to people and industry.

The phase 2 project of the "Forest Tree Improvement Project" in Indonesia developed a system for management and dissemination of information used for research on next-generation breeding technology and breeding seed production. The project tries to apply research results to the real world by setting one of the project outputs to achieve information-sharing among other research organizations, farmers, and the forestry industry.

6. Promoting Active Participation of the Disabled and the Establishment of an Environment to Support Their Participation

The FY2001 Annual Evaluation Report indicated that, in order to efficiently implement cooperation that meets the needs of people with disabilities, it is important to seek the active participation of people with disabilities throughout the entire project cycle - i.e., project formulation, implementation, monitoring, and evaluation.

In August 2002, JICA started the "Asia Pacific Development Center on Disability" project. This is the first JICA project in which people with disabilities get involved and have taken initiative in project-planning and management. The project aims at training human resources to contribute to the independence of people with disabilities, at collecting and transmitting information, and at creating a network of related organizations in the Asia Pacific region.

7. Delegating Authority to and Strengthening the Function of Overseas Offices to Enhance Coordination with NGOs

In FY2002, JICA established NGO/JICA Japan Desks in ten countries where many Japanese NGOs carry out their activities. It aims at promoting networking between Japanese and local NGOs as well as encouraging implementation of NGO-collaborated projects.

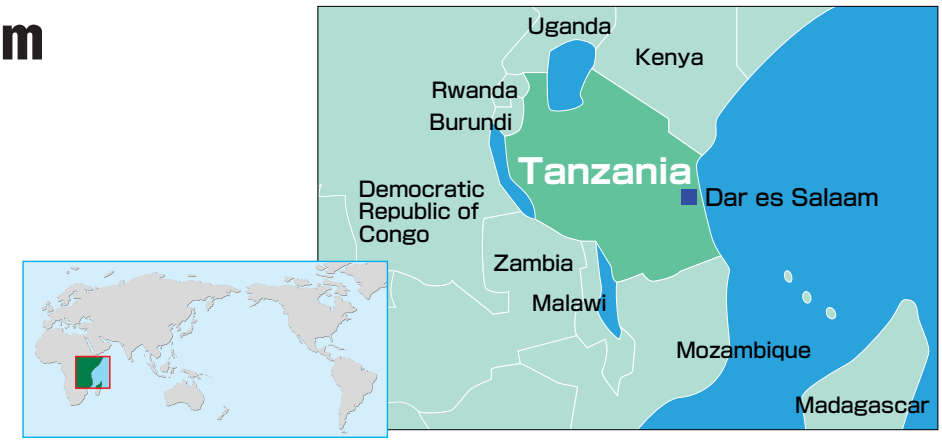
Also, in FY2002, JICA reorganized NGO-collaborated projects as Technical Cooperation at the Grassroots Level by integrating plural schemes used for NGO-collaborated projects, such as the JICA Partnership Program and the Grassroots Partnership Program.

Chapter 2

Ex-post Evaluation

Tanzania

Country-Program Evaluation



Project Sites Tanzania (nationwide)

1. Background and Objective of Evaluation

Tanzania has been one of the priority countries for Japan's ODA since 1996, as well as the model country for the New Development Strategy of DAC. Recently, Tanzania has placed greater emphasis on overcoming poverty, and has established "Vision 2025," which emcompasses the mid- to long-term direction of development, as well as "Tanzania Assistance Strategy" (TAS), which indicates the approaches to assistance, and the "Poverty Reduction Strategy Paper" (PRSP).

Following this background, many donors moved their support from project-type assistance, which is implemented by each donor independently, to program-type assistance, which establishes a priority theme and fields of a development plan and implements many projects in a comprehensive manner. There has also been a harmonization of the cooperation procedure among some donors to enhance the effect.

Japan currently acts as one of the main donors in Tanzania, and had established the country study committee for Tanzania from 1996 to 1997. A High-Level General Economic Cooperation Study Mission was dispatched to discuss the priority development issues with the Tanzania government. Based on the discussion, the Ministry of Foreign Affairs (MoFA) established the "ODA Country Policy," and JICA established a "Country Program" in 1999, which targeted the following as priority areas: agriculture and small-scale companies, basic education, infrastructure for the improvement of basic living standards, basic healthcare and medical services, and forest conservation.

Under these circumstances, Tanzania was selected as the target for country-program evaluation in 2000, to confirm the effects of technical cooperation and seek future approaches for cooperation. The objectives of evaluation are as follows:

1) to comprehensively review the achievements of JICA's cooperation in Tanzania over the past ten years (FY1991 − FY2000);
2) to propose recommendations and lessons learned to improve the "JICA Country Program" for Tanzania, and also to propose recommendations and lessons learned to improve JICA projects.

2. Evaluated Programs / Projects

This evaluation targeted the cooperation project implemented from FY1991 to FY2000 in the fields of agriculture, infrastructure, healthcare and medical services, and education for resolving development problems described in the "JICA Country Program." The projects that were implemented during the abovementioned period were categorized under "program," meaning that the term "program" represents the aggregation of projects falling under each category and conducted during the targeted period. This evaluation takes three programs from the agricultural sector, five programs from the infrasturucture sector, three programs from the healthcare sector, and one program from the education sector - twelve programs in total as shown in the following table.

There were 129 projects included in the above program, excluding Dispatch of Individual Experts and JOCV. (39 projects in the agricultural sector, 50 in the infrastructure sector, 28 in the healthcare sector, and 12 in the education sector.)

There were a total of 263 dispatches of "individual

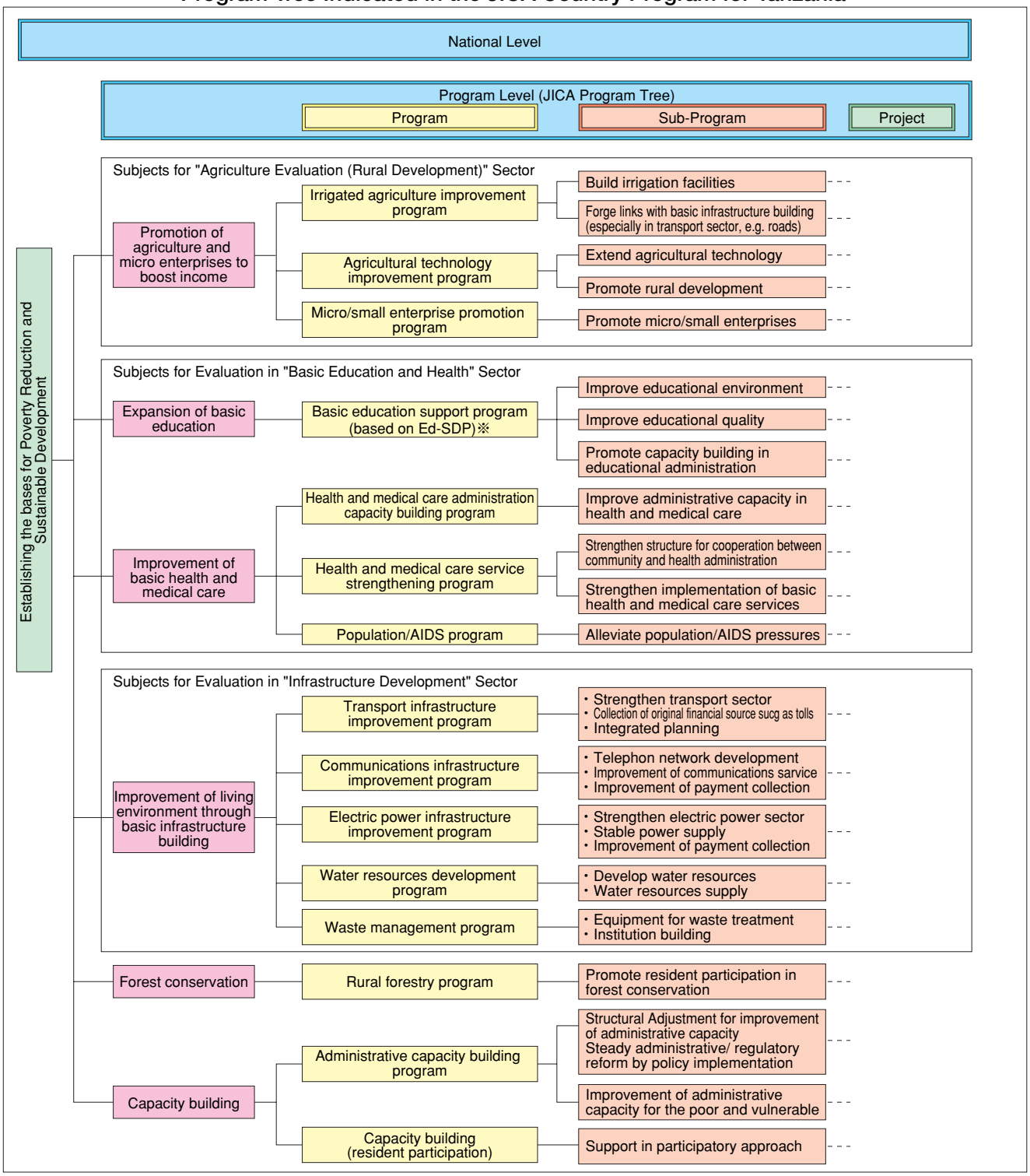
expert" and "JOCV." (29 in the agricultural sector, 29 in the infrastructure sector, 23 in the healthcare and medical sector, and 136 in the education sector.)

3. Evaluation Process

(1) Dispatch of Evaluation Study Team

The evaluation study team was dispatched in two stages. The first study team established a consensus with the Tanzanian government regarding implementation of the country-program evaluation. The team also collected

Program Tree Indicated in the JICA Country Program for Tanzania



※Sector development program on Education

information on the trends of each donor, evaluation methods, and economic and social trends in Tanzania.

Implementation of the second field study was commissioned to the International Development Center of Japan (IDCJ). The second study team was dispatched from February to March 2001. This team summarized the evaluation results by country level and program level, based on information concerning social and economic development trends in Tanzania and an analysis of aid trends provided by the first study team. According to the contracts for the second study team in cases where opinions on a fact or event of the First Party (JICA Departments) and Second Party (IDCJ study team) differed and could not be aligned, both opinions had to be included. Reflecting this, comments from JICA departments are included as footnotes where relevant, in the current document.

1) First Field Study (30 August—8 September 2000)

Team leader: Koichi MIYOSHI, Director, Office for Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

Evaluation planning: Ryoko ABE, Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

Aid coordination: Robin RUGGLES, Donor Coordination Division, Planning and Evaluation Department, JICA (CIDA/JICA Exchange officer).

Aid trend analysis: Kumiko SAKAMOTO, Intem Consulting, Inc.

2) Second Field Study (4 February—11 March 2001)

Team leader/Evaluation methods: Noriyoshi NAGAMATSU, International Development Center of Japan

Macroeconomic analysis: Koichi SAKAMOTO, Dept. of International Economics, Hamamatsu University, (at the time)

Infrastructure development: Kenji TERAHARA, International Development Center of Japan

Poverty reduction/Rural development: Shizuo AIZAWA, International Development Center of Japan

Poverty reduction/Health/Education: Kimiko ABE, International Development Center of Japan

(2) Evaluation Methods

This evaluation focuses on relevance, efficiency, and sustainability among the five DAC evaluation criteria. "Relevance" examines whether the JICA cooperation during the targeted period was relevant in resolving Tanzania's development issues. "Efficiency" examines whether the projects were implemented efficiently, and "Sustainability" relates to whether positive effects gained from the cooperation can be maintained after the project completion. Among these, sustainability is placed as the top priority of this evaluation, since JICA places grave importance on sustainbility of projects. On the other hand, achievement of the project purpose is considered less in this evaluation study.

In Tanzania, where multiple donors have continued cooperating over a long period of time, it is difficult to make any conclusions on the impact of one particular donor's contributions. Due to the limited scope of this evaluation and time period, it is nearly impossible to ascertain the impact solely attributed to JICA. As a result, this evaluation study did not focus on impact as a primary perspective.

Also, we have chosen one program from each of the sectors, agriculture, infrastructure, and health care as case studies to evaluate their sustainability. The education sector was left outside the scope of this study because education cooperation has been implemented quite recently, thus it was considered to be too early to evaluate its sustainability.

4. Evaluation Results

(1) Country Level

1) Relevance

The Structural Adjustment Program (SAP) was launched in Tanzania at the initiative of the World Bank and the International Monetary Fund (IMF) in 1986. SAP was implemented for restraint on demand caused by cuts in government spending aimed at stabilizing Tanzania's economy. However, the aggregate demand-control policy negatively affected economic growth (which could be considered as an alternative indicator for reduction in unemployment), and brought about a significant increase in unemployment. Unemployment skews income distribution in the medium-to long-term. Thus, SAP has had considerable effects on the policy goal of reducing poverty. On this point, the JICA aid programs in the 1990s were oriented toward the poverty group, which suffered the most from the negative effect of SAP. Therefore, the aim was to alle-

viate those negative effects that the programs deemed relevant.

Regarding cooperation in the late-1990s, five areas were agreed upon as priorities for economic cooperation for Tanzania in 1997, as concluded from discussions between the Tanzanian government and Japan's High - Level General Economic Cooperation Study Mission. After 1999, JICA Country Program's focus on these sectors was established, and remained as the priority cooperation issues for Tanzania until the time of this evaluation. For these issues, the cooperation brought about a program that designated the form and timing of each project implementation with a view to maximize complementary and synergistic effects between each project. This selection process is assumed to have improved relevance of JICA cooperation.

2) Efficiency

Throughout the 1990s, the amount of Japanese aid comprised a significant portion of development expenditure in Tanzania. On the other hand, throughout the same period, Tanzania accumulated fiscal deficits, and was unable to provide even a portion of development expenditures on domestic currency [1], which was deemed to affect the efficiency of aid projects. Also, regarding the efficiency of coordination with other donors, Japan was highly evaluated for its recent active involvement in various donor meetings. Japan's policy on aid projects has also been sufficiently clarified.

(2) Program Level

Relevance and efficiency were evaluated at the program level for each of the following sectors: 1) agriculture, 2) infrastructure, 3) health care and 4) education. With the exception of the education sector, which evaluation is difficult due to the short cooperation period, the projects in each of the sectors were closely examined for sustainability in case studies.

1) Agricultural Sector

In the agricultural sector, the programs were classified under programs as the Agricultural Technology Improvement Program, and the Micro/Small Enterprise Promotion Program, and were implemented in line with Tanzania's agricultural and rural development policies.

a) Agricultural Technology Improvement Program

With some exceptions, the program was mostly relevant. The program ensured consistency between the plans and policies of both Japan and Tanzania for the most part - especially plans and policies related to agricultural and rural development with relevant projects involved. Also, each project in the program has made efforts to understand the needs of the beneficiaries. Most of the projects achieved their original objectives, and the efficiency in each step of implementation of the projects included in the program was generally high. The series of inputs in the Lower Moshi district, which had been implemented since the 1970s up until a project-type technical cooperation, the "Kilimanjaro Agricultural Development Program" (KADP) (1986－1993), was evaluated as having made significant progress in improving agricultural productivity and increasing farmers' income. However, the amount of input was quite large and there was room for improvement in terms of the extension of techniques transferred. Concerning the income-output balance, it was not necessarily efficient.


Participatory Workshop facilitated by agricultural extension workers

b) Micro/Small Enterprise Promotion Program

The various cooperation activities included in the program were mostly relevant as they were planned and implemented under a common goal. "The Project for the Supply of Training Equipment to Mtwara Vocational Training Center" (2000), provided through

[1] Depending on the currency that project implementers use to pay contractors, funds for projects are classified as costs in foreign currencies and in domestic currency. Costs in domestic currency are the portion paid in the currency of the recipient country, including such items as local labor costs, domestic transportation costs, land expropriation fees, and living expenses for overseas experts dispatched locally.

grant aid cooperation, was implemented after sufficient consideration of the diffusion and use of the technology acquired by the trainees for revitalizing small-scale companies. Therefore, the project appears to be quite relevant. However, as the cooperation has just started, its achievement of the objective should be monitored.

Also, in the "Kilimanjaro Industrial Training Center (KIDC)" project (1986－1993), the objective was for the most part achieved except for the improvement in factory management skills. Moreover, policy planning on the revitalization of small and medium enterprises yielded a high-quality outcome. Therefore, the original objective was achieved. However, Phase 2 of KIDC did not disseminate technology sufficiently due to limits on the number of trainees, so the objective was not sufficiently achieved.

c) Case study

JICA's cooperation in the rural development sector focused on raising productivity and incomes by improving irrigation. Hence, the cases for the evaluation study on sustainability were chosen from those related to irrigation agriculture. Among the main projects related to irrigation that JICA has implemented in the past 10 years, the following two projects aimed at improving agricultural productivity and raising farmers' incomes were examined for sustainability.

① "Kilamanjaro Agricutural Development Project" (KADP)

Although the KADP attained technological sustainability, financial and organizational sustainability were deemed low. The farmers' rice cooperative, CHAWAMPU, (established in March 1993) took over KADP operations when the project was completed, but it still operates with help from the KADP division of the Kilimanjaro government and JICA experts. Regarding financial aspects, as only 50% of farmers in the area registered with CHAWAMPU, the cooperative was not able to secure sufficient funds for its activities. The primary reason for the low registration rate of farmers has been the water shortage. Water shortage limited the benefits of rice cultivation to farmers of the irrigated areas. Consequently, farmers outside the irrigated area did not have incentives of participation in CHAWAMPU and payment of registration and member fees.

② "Bagamoyo Irrigation Development Project"/ "Extension Program of the Bagamoyo Irrigation Development Project"

Sustainability could be assumed to be high. The farmers' organization, TFICS, looked after maintenance as cooperative associations. Although there has been some uncertainty about TFICS's financial management capabilites, the organization covers 100ha of the project site and operates trouble-free. TFICS also operates with its own revenue, with membership fees from farmers covering maintenance costs, expenditure for agricultural machines, and costs related to purchasing fertilizers and pesticides. Although a certain technical level was attained through project implementation, further improvement in knowledge and techniques for processing after harvesting, and for distribution systems is expected.

Mkwaya bridge (Project for Improvement of Bridges on Trunk Roads)

2) Infrastructure Sector

The following list of programs were chosen, including two sub-programs from the Transportation Infrastructure Program: (a) "Dar es Salaam Urban Road Sub-Program," (b) "Trunk Road Bridges Sub-Program," [2] (c) "Electric Power Program," (d) "Communications Infrastructure Program," (e) "Water Resources Development Program," and (f) "Waste Management Program." All are consistent with Tanzania's "Vision 2025." [3]

[2] The Transportation Infrastructure Program conducted by JICA is regarded as a comprehensive program. As components, sub-programs were established, focusing on: a) reinforcing the transportation sector, b) securing funding from roadway fares, and c) comprehensive planning.

[3] Vision 2025 is a long-term national development plan established by the government of Tanzania. It states that constructing road networks is the most important issue, as it will stimulate rural development, dispersion of energy, water, and telecommunications, local and foreign investment, and employment and wealth.

a) Transportation program: Dar es Salaam urban road sub-program

This program improved roads in the city of Dar es Salaam, and consisted of two development studies and a two-stage road construction project funded by grant aid, "Dar es Salaam Road Improvement and Maintenance Project" (DRIMP), "Dar es Salaam Road Improvement Project" (DRIP), and expert dispatches. In the Integrated Roads Project (IRP) of the Ministry of Works (MoW), the overall project of the sub-program, JICA projects were not initially included as subordinate projects; but at the end of the cooperation, some of the DRIMP projects became components of IRP. However, IRP set its main goal as the maintenance of trunk roads throughout the country, and these evaluated programs, which focus on the maintance of urban road networks, were less relevant to IRP. These projects were implemented around 1990 to improve the conditions of severely degraded roads in Dar es Salaam. In that respect, it had extremely high relevance.

Each project was conducted in coordination with other projects in the sub-programs, and the efficiency was very high.

b) Transportation program: Trunk Road bridges sub-program

As many trunk road cross rivers in Tanzania, road bridges have an important role in transportation. In the 1990s, deteriorated bridges suffered from heavy rain caused by the El Nino phenomenon, and many bridges were washed away. Even at the time of this evaluation study, most of the bridges were temporary. The Trunk Road Bridges sub-program consisted of a long-term experts-mission and grant aid cooperation for the construction of bridges.

The program was highly relevant in the planning stage, but due to external factors such as procrastination in implementation (road construction) by other donors, the objective was not sufficiently attained.

Also, the construction of four bridges through grant aid enabled compensation for Tanzania's budget shortfall, and by constructing bridges that were technically difficult, the project was able to provide on-site training for Tanzanian engineers. However, building four full-scale bridges in areas with little traffic could not be deemed efficient [4].

c) Electric power infrastucture program

Under the World Bank's "Sixth Electricity Project," tasks were divided among the donors, which clarified Japan's areas in charge. In this way, Japan's cooperation could focus on electric lines for transmission and distribution in Dar es Salaam, Tanzania's biggest city. This made the project extremely efficient.

d) Communication infrastructure program

The phone diffusion rate in Tanzania in 1997 was 0.33 units per 100 people, far below the 1.97 units per 100 people average for Africa as a whole. The diffusion rate in Tanzania was thus extremely low, so in this respect the program was very relevant. Under the "Telecommunications Restructuring Program" (TRP started in 1994) implemented in Tanzania by eight donors and international organizations including JICA and the World Bank, the program operates with high efficiency in coordination with other donors.

e) Water resources development program

The water resources development program consisted of five development studies and one grant aid cooperation. Each project was relevant in its response to occasional issues. But, although the various projects could be embraced as water resources programs, internal coordination was weak, Thus, it was not very efficient overall. Counterparts were separately chosen for each of the projects or studies, such as the public water supply corporation, the Ministry of Water Resources, and local development agencies.

At the same time, evaluation of the development study itself was high. For example, the "Study on the Rehabilitation of Dar es Salaam City Water Supply" (1989 − 1991) will get in operation by the World Bank.

f) Waste management program

The waste management program consisted of the development study, "the Study on Solid Waste Management for Dar es Salaam" (1996 − 1997) and the succeeding grant aid cooperation, "Project for Improvement of Public Sanitation" (1997 − 1998).

4) Comment from the JICA project department: The four bridges are located on the southern section of the mainline roads as a base for Tanzania's third port city, Mtwara. These bridges were recognized as important for consumer goods industries. The bridges, which were in a temporary state of construction at that time due to major floods in April 1990, were designed to be more durable.

Dar es Salaam is a city with an extremely large population, which is outstanding in Tanzania. In recent years, living standards have improved and amount of waste have dramatically increased. At the same time, only 8.1% of the 1,722 tons of solid waste produced per day was collected by the city administration. Consequently, the waste problem had become an urgent and crucial concern. Also, the city of Dar es Salaam, a direct counterpart, had a very weak financial base and there were many problems in waste collection and processing. The program was therefore very relevant.

As a result of the development study, the internal rate of return of the proposed project in the study report was very high at 20-25%. Since several preconditions were not fulfilled, the project was not materialized. On the other hand, after the development study, the city government was dramatically restructured and many undertakings were privatized through the introduction of a commissioner system [5]. It was determined that cleaning work would be operated on a BOT [6] base, and it was no longer consistent with the proposal of the development study. Also, the procurement of equipment through grant aid cooperation did not have direct relationship to the results of the development study, and therefore coordination within the program was not efficient.

g) Case Study

① Transportation infrastructure program: Dar es Salaam Urban Road Sub-Program

This program faces some problems concerning technical sustainability in terms of road construction, and there are many issues left for Tanzania to resolve such as quality control and management. In road construction, middle ring road is particularly difficult, and it will be relatively difficult for the Tanzanian side to replicate this kind of construction.

As for the maintenance of the roads, yearly current expenses and maintenance costs once every five years are the minimum requirement. Current expenses are not so high, but maintenance costs would be necessary after project completion every five years, estimated 123-246 million yen. This is equal to 5-10% of the annual budget of TANROADS, the agency in charge of maintaining Tanzania's roads, and was expected to be very difficult to raise [7]. Therefore, as long as there are insufficient funds, sustainability of the project does not have bright prospects.

② Transportation program: Trunk Road bridge sub-program

Aid from Norway made organizing the ledgers for the maintenance and control of bridges possible in Tanzania, and JICA experts prepared inspections and repair manuals. Therefore, there was a systematic framework for maintenance.

The four bridges in the southern region of Tanzania provided through grant aid cooperation are short thus will not require large maintenance costs. However, for the sixty bridges under the jurisdiction of the Mtwara office of TANROADS, there would be insufficient funding for maintenance. [8]

Mpapura bridge (Project for Improvement of Bridges on Trunk Roads)

5) By paying commission fees, the undertakings are charged to external bodies.

6) Private-sector companies build infrastructure and operate by themselves for a specified period of time to turn a profit. After making a return on their investments, the possession rights to the facilities are turned over to the relevant country's governmental institutions.

7) Comment from JICA division in charge: At the time of the basic design study in 1996, TANROADS had not been established, and MOW took care of maintenance and administration. The FY96 budget for maintenance costs for road construction was 6.1 trillion yen, and the sufficiency of the budget was ascertained since the maintenance cost should be put aside every year equal to 2-4% of the annual budget.

8) The bridges in the southern region of Tanzania are mainly made of steel. Thus, most of the maintenance expense is allocated for replacement of components of the temporary bridges. The bridges constructed in this project only need regular check ups and cleaning for maintenance, rather than large-scale periodical reconstruction. Hence, it should be a minor problem in terms of sustainability.

3) Health care sector

In the health care sector, a) the Health and Medical Care Administration Capacity-Building Program, b) Health and Medical Care Service Strengthening Program, and c) Population and HIV/AIDS Program were three programs implemented in line with the develop-

Projects Included in the Healthcare and Medical Sector

Program	Sub-Program	FY	Project Name	Scheme
Health and Medical Care Administration Capacity- Building Program		1999	Health and Medical Care	Overseas Project Formulation Study
		1999	Strengthening of District Health Management	In-country training
		2000	Morogoro Health Administration Strengthening Plan	Project-type Technical Cooperation
Health and Medical Care Service -Strengthening Program	Strengthening structure for cooperation between community and health administration	1991	Mother and Child Welfare Promotion Program in Kilosa	JOCV (team dispatch)
		1991	Provision of Medical Equipment for the Hospital in Muhinbli	Provision of Equipment
		1994	Maternal and Child Health Project (Follow-up)	Project-type Technical Cooperation
		1999	Integrated Reproductive Health and Vocational Skills Training for Youths in Peri-Urban Dar es Salaam	Community Empowerment Program
	Strengthening implementation of basic health and medical care services	1991	Special Provision of Equipment against Contagious Diseases (Multi-bilateral)	Provision of Equipment
		1991	Basic Study of Contagious Diseases (multi-bilateral)	Provision of Equipment
		1991	Malaria Control Program (4/5 term)	Grant aid
		1993	Provision of Equipment against Contagious Diseases (multi-bilateral)	Provision of Equipment
		1993	Malaria Control Phase 1	In-country training
		1993	Malaria Control Program (5/5 term)	Grant aid cooperation
		1994	Special Provision of Medical Equipment (multi-bilateral)	Provision of Equipment
		1994	Medical Equipment Supply Project for National Referral Hospitals	Grant aid
		1996	Project for Eradication of Poliomyelitis (1/2 term)	Grant aid
		1997	Project for Eradication of Poliomyelitis (2/2 term)	Grant aid
		1998	Malaria Control Phase 2	In-country training
		1999	Special Provision of Equipment against Contagious Diseases (multi-bilateral)	Special Provision of Equipment
		1999	Special Provision of Equipment: Mother and Child Health (multi-bilateral)	Special Provision of Equipment
		1999	Provision for Equipment for EPI and Nutrition Improvement	Grant aid
		1999	Anglophone Africa Region Medical Equipment Management and Maintenance	Grant aid
		2000	Special Provision of Medical Equipment (multi-bilateral)	Provision of Equipment
Population/AIDS Program		1995	Population and AIDS	Overseas Project Formulation Study
		1996	Population and AIDS	Project Formulation Study
		1996	Provision of Equipment Concerning Family and Population (Front-line plan) (Multi-bilateral)	Provision of Equipment
		1997	HIV/AIDS Control and Blood Test Provision of Equipment	Provision of Equipment
		1997	Special Equipment Provision: Population and Family Planning (multi-bilateral)	Special Provision of Equipment
		2000	Japan-U.S. Common Agenda Joint Project Formulation Study (Population and AIDS)	Project Formulation Study

ment plan for the health sector of Tanzania, which emphasized the expansion of primary health care (PHC).

a) Health and Medical Care Administration Capacity-Building Program

This program includes two projects: the project formulation study, "Healthcare and the Medical Sector" (1999) and the in-country training program, "Strengthening of District Health Management" (1999－2000). The program aimed to support the reform of the health sector, especially the in-country training program to strengthen administrative ability at the district level. In Tanzania, decentralization has been an important issue, and there has been an awareness that reform in the health sector could not be separated from decentralization. Therefore, this program had high relevancy on the point of consistency with the decentralization trend.

b) Health and Medical Care Service Strengthening Program

Projects in the first half of the 1990s varied, from addressing maternal and child health, countermeasures for malaria, to provisions of medical equipment. However, in the second half of the 1990s, the focus seemed to be narrowed down to strengthening PHC services. This program involved many projects providing medical materials. As both qualitative and quantitative improvements were necessary to strengthen healthcare and medical services, the project's relevance was very high as it aims to cope with the lack of medical products in Tanzania in the 1990s under the effects of a budget shortfall. Also, the program was highly consistent with the sector's development plan.

This program included not only JICA's own project but also projects that were implemented jointly with other donors. In terms of numbers, joint projects outnumbered non-joint projects.

In non-joint projects, the organizational and individual capacity, and the condition of basic infrastructure needed to be dramatically improved, in order to accomplish the project purposes. Accordingly, in the implementation phase, of the people concerned with the project, the Japanese experts dispatched had to make far greater efforts than initially expected. Also, some projects consisted of multiple components to cope with various issues, while others adopted several approaches for the same issue. By adopting a number of approaches, these projects exceeded above the counterparts' capacity (such as in number and ability). As a result, it had a negative impact in terms of efficiency.

In joint projects, the know-how of each donor was utilized, which meant that the efficiency was high in the overall implementation process. However, differences in the administrative procedures of other donors and Japan sometimes triggered problems in efficiency.

c) Population and HIV/AIDS program

This program was composed of three research study projects and three equipment provision projects. Among the three provisions, two were joint projects with other donors. There was one non-joint project in the field of HIV infection prevention, the "HIV/AIDS Control - Blood Test Provision of Equipment Project" (1997－1998), which was consistent with Tanzania's priority issue, countermeasures against HIV/AIDS. Medical equipment donation to prevent HIV infection was carried out as a joint project, and supported the country program of the United Nations. Therefore, relevance with Tanzania's AIDS program, the superordinate plan, was very high.

As for the cooperation in the HIV/AIDS field, since direct infections (through blood transfusions) and secondary infections (the further spread of infection from original blood transfusion recipients) was prevented to a high degree, it was assumed to be highly efficient. As for population and family planning, it was difficult to evaluate efficiency at the time because it would take a long time for the effect to appear on

Expert advising inidwives at local health center (Maternal and Child Health Project)

the statistical indicators.

d) Case study

The sustainability of the program, which includes 20 projects for strengthening implementation of health-care and medical services, was examined. A broad range of cooperation schemes were applied, such as JOCV team dispatch, project-type technical cooperation, community empowerment program, provision of equipment and vaccines, and technical training.

Overall, sustainability of the projects is ensured, since the maintenance for installed equipment was not extremely difficult, and JICA had implemented technical transfer of maintenance and control management. But in the "Medical Equipment Supply Project for National Refferal Hospitals" (grant aid cooperation in 1994), it was indicated that some of the hospitals that had received equipment lacked maintenance and management capabilities. Thus, after the completion of equipment provision, a short-term mission of Japanese experts was sent to strengthen maintenance abilities.

Generally, Tanzania's public health and medical institutions are suffering from financial difficulties. As a result, in JICA projects, there were many cases where additional input by JICA were necessary to continue the project. Although this seemed unavoidable to achieve the goal, there is uncertainty over financial sustainability since activities implemented by the projects are difficult to sustain without JICA input.

Projects included in Education Sector

FY	Name of project	Scheme
1993	Education	Dispatch of Project Formulation Advisor
1996	Education	Project Formulation Study
1998	Education	Dispatch of Project Formulation Advisor
1998	Overseas Project Formulation Study, Sector -Wide Approach and Donor Coordination	Overseas Project Formulation Study
1999	Sector program (education)	Dispatch of Project Formulation Advisor
1995	Provision of Equipment for Information - Processing	Provision of Equipment
1998	Provision of Education Equipment for Architectural College	Provision of Equipment
1999	Study on School Mapping and Micro Planning	Development study
2000	Project for Strengthening Radio Broadcasting for School Education by Improving the Quality of Education and Promotion of Equal Access to Education	Grant aid
1994	Television Zanzibar Rehabilitation Project	Grant aid

4) Education sector

In the education sector, the a) Basic Education Support Program was implemented in line with the development plan of Tanzania's education sector.

a) Basic Education Support Program

"Strengthening Regional Education Administration/ School Mapping-Micro Planning"[9], the core study of the program, and its foundation, the "Sector Program (Education)" study by the Project Formulation Advisor were extremely relevant as they placed emphasis on the sector development program (ED-SDP) that Tanzania adopted in the education sector. In addition, since Tanzania had to implement school mapping as it is one of the eligibility requirements for debt reduction under the HIPCs. In this respect, the program was highly relevant for contributing to poverty reduction. Also, this project aimed for the capacity-building of regional administrators in education, which is consistent with Tanzania's ongoing decentralization.

"School Mapping and Micro Planning in Education" implemented school mapping and micro-mapping (establishing education plans at the district level) in a short period, so it is assumed to be very efficient in this regard. On the other hand, concerning the project purpose of capacity-building, too many of the components were implemented in too short a period. If more time had been taken, it would have been possible to increase the quality of the contents, such as through greater participation of local residents and administrators.

5. Lessons Learned from Evaluation Results

(1) Progress of program-type aid

JICA Country Programs have made great progress in the clarification of priority fields from a project-based approach. The programs could also be regarded as core

9) This method charts the position of the school, the number of students, number of teachers, percentage of teachers with degrees and percentage of students going on for higher degrees, so that any gap in needs and the level of educational services can be analyzed. Based on this, plans for regional education can be established.

plans for promoting program-type aid in Japan's international cooperation. Furthermore, it is essential to choose and concentrate input into three or four priority issues/ sectors to bring about efficiency in program-based assistance.

Current JICA programs aim to resolve and address development issues by combining several complementary projects that were chosen as priority issues in each sector. This approach is very useful when program purpose is clarified and each project is planned in terms of proper timing and form. In that way, the complimentary nature of the projects is secured.

In the future, to make the program approach more effective, programs should be prepared and implemented using the following process.

- **Sector analysis:** Review the sector development process, analyse the sector's current state and issues, prioritize issues within the sector
- **Analysis of other donors:** Review the aid policies of other donors (or donor groups) in the sector concerned, in terms of consistency with sector assistance plans, project plans and other plans
- **Program formulation:** Set the program goal while taking into account the above information, select the project components, prepare a logical framework for the program
- **Sector coordination:** Explain JICA aid programs for the recipient government (the owner) and other donors, coordinate with sector plans

In addition to regular monitoring, a review by multiple experts from the relevant sector every five years (or according to breaks in the projects included in the program) is conducted to revise the programs,

- **Monitoring:** Conduct sector review (including review of the progress of the program of government and other donors), review of program implementation status, confirmation of consistency with both, and if necessary correction and new input for JICA programs.
- **Evaluation:** Terminal evaluation and ex-post evaluation in proper timing according to the program implementation period

Mpapura bridge (Project for Improvement of Bridges on Trunk Roads)

(2) Program Level

The "JICA Country Program" prepared for internal consumption, should be made open to the public, and also used in coordinating aid programs with the government of Tanzania and other donors.

Compared to other donors, Japan placed a wider range of sectors as priorities for aid, and this is reflected in the "JICA Country Program." Program assistance is determined through discussion with Tanzanian governmental institutions and other donors, based on more thorough analysis in each sector. The program approach will become a major trend and thus it might be difficult to continue projects in a wide range of sectors, unless the number of staffers in the overseas office is greatly increased. If it is difficult to increase the staff number in short-term, narrowing down the prioritized sectors should be considered.

In which cooperation scheme and how to collaborate with other donors will be key issues in the future. The Japanese approaches for the sector program are likely to involve, principally, project-type assistance based on the best-mix approach. Whatever modality it may take, Japan has to prepare and implement the program within the framework of a strategy determined by the government of Tanzania and must also discuss and share information with other donors. If Japan adopts direct financial support or common-basket type aid, careful review should be made regarding improvement of the financial management capability of Tanzania, and the disclosure system for the use and process of the input funds.

6. Recommendations from Evaluation Results

(1) Agricultural sector

In irrigation projects, it is necessary to create a sense

of ownership in the farmers' cooperatives at an early stage of the project. In so doing, the following points should be consciously targeted: ① whether the establishment, participation, and registration of the association are conducted with the free will of the farmers, ② whether the technical instruction from the extension staff is sufficient, ③ whether construction of irrigation facilities is carried out by the farmers themselves, ④ whether the project includes the improvement of existing irrigation facilities, and ⑤ whether the project scale is appropriate to the farmers and the organization's capacities for operation and management.


Mbuo bridge (Project for Improvement of Bridges on Trunk Roads)

(2) Infrastructure sector

In the infrastructure sector, the privatization of public corporations is in progress as a result of SAP. Since Japan's cooperation in the relevant field was provided only by grant aid or technical cooperation, it has not sufficiently caught up the change in preconditions of the cooperation.

In the future, technical aid for the management of the shift to privatization and effective collaborations with Japan's private sector should be considered to be included in the project.

(3) Health care sector

The beneficiary should be more carefully considered at the planning stage. Further, the targeted issue and appropriate approach should be carefully chosen, with due consideration to the level of development of the recipient country's healthcare and medical systems, services and resources as well as the country's social, economic, and cultural conditions.

(4) Education sector

For cooperation aimed for capacity-building, the design of the cooperation should reflect the distinctive nature of capacity-building, allowing the difference from the conventional approach, as in the "Study on School Mapping and Micro Planning." In such cooperation, it takes a long time for the output to appear. In other words, it is difficult to see immediate changes in capacity-building. Consequently, the Japanese study group, even in a small group, should monitor and respond on site over a long period of time to improve capacity of the target group. This approach is rather different from the conventional implementation system, in which a study group was sent periodically to gather information and write reports.

Bolivia

Country-program evaluation

Project Sites Bolivia (nationwide)

1. Background and Objectives of Evaluation

Japan has extended cooperation for development of Bolivia, reflecting a traditionally close relationship between the two countries and the fact that Bolivia is one of the least-developed countries in South America. Bolivia gained eligibility for debt-relief under the Heavily Indebted Poor Country (HIPC) initiative in September 1997 and the enhanced HIPC initiative reaching the Decision Point in February 2000. Under these initiatives, resources made available through debt relief are to be allocated to anti-poverty programs outlined in the Poverty Reduction Strategy Paper (PRSP) [1]. Bolivia has been making efforts to reduce poverty accordingly. Against this background, the program-aid approach is becoming more important, with the Bolivian government and the donors establishing common priority topics and sectors by sharing targets, and harmonizing procedures for development, and then implementing multiple projects with a shared objective to improve the effectiveness of the aid.

Based on the policy discussion of the mission that the Ministry of Foreign Affairs (MoFA) sent in October 1997, JICA, the implementing agency, has extended assistance using a wide range of cooperation schemes for five important issues/sectors, namely; basic human needs (health and medical care, basic sanitation), agricultural development, infrastructure, environmental conservation and resource development.

JICA decided to implement country-program evaluations to consider how effective the cooperation was and to determine the future of the cooperation, taking into account the PRSP described above.

The goals of this evaluation study are:

(1) to provide a holistic evaluation of JICA's cooperation in Bolivia, including relevance in choosing sectors and topics that have been provided aid intensively;

(2) to gain feedback on evaluation results for future implementation of JICA projects including strengthening the country-specific and issue-specific approach by devising lessons and suggestions.

2. Evaluated Programs/Projects

The present study deals with technical cooperation and grant aid projects from FY1985 to FY1999. Individual evaluations are conducted for the total of 27 projects: 11 in the basic human needs sector, 9 in the agricultural, forestry, fishery and livestock sector, 5 in the infrastructure sector and 2 in the environmental conservation and mining sector [2].

3. Evaluation Process

The evaluation study team conducted two studies in Bolivia. In the preliminary study, the study framework was discussed with the Bolivian government. In the full-scale study that was conducted after preparation based on existing documents and data, consultants implemented a detailed evaluation study and analysis focusing on interviews with various participants.

1) PRSP is the acronym for "Poverty Reduction Strategy Paper" and is a document that enables the World Bank and the IMF board to determine if the country in question should be applicable for debt reduction and is fulfilling basic prerequisites such as policy reform. The PRSP includes the country's economic policies and measures to alleviate poverty. Bolivia's PRSP was prepared based on their national development plan and the Citizen Dialogue 2000 held in August 2000, and it was formally presented to the board as the March 2001 edition.

2) The projects falls under the category of Basic Human Needs in this evaluation covered from FY1980. This is because most of the cooperation combined Grand Aid and Project-Type Technical Cooperation began in the early 1980's.

(1) Preliminary Study (1 July, 2000—15 July, 2000)

Head of the Mission:
Masami SHUKUNOBE, Deputy Director, Planning Division, Regional Department III, JICA

Analysis on Development Plan:
Robin RUGGLES, CIDA/JICA exchange member

Evaluation Planning:
Hajime NAKAZAWA, Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

JICA Country Program:
Naotaka YAMAGUCHI, South America Division, Regional Department III, JICA

Interpreter:
Mitsuo YOSHIDA, Japan International Cooperation Center

(2) Full-Scale Study (3 March, 2001—1 April, 2001)

Head of the Mission:
Ryujiro SASAO, IC Net

Deputy Head/Public Health & Sanitation, Poverty and Gender:
Eimitsu USUDA, IC Net

Agriculture/Fisheries/Stock Farming:
Takeaki TOMIOKA, IC Net

Infrastructure:
Hiromi OSADA, IC Net

Interpreter:
Yoshimi SUGANO

Supervisor:
Hajime NAKAZAWA, Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

4. Framework and Method of Evaluation

The framework of this evaluation study, as shown in Figure 1, is comprised of three steps: (1) review of social and economic development and the current situation, (2) project evaluations, sector evaluations, cross-sector evaluations, and comprehensive evaluations and (3) devising lessons and obtaining recommendations. Step (1) and (2) elicit basic information, the analysis of which yields (3).

(1) Review of social and economic development and the current situation

The study examined the relevance of the choice of sectors that JICA intensively supported, by studying Bolivian social and economic trends, the government development policies, trends of donors and NGOs, and JICA's activities.

(2) Evaluation

For the second step of the evaluation study, the following were conducted.

1) Project evaluation

Each of the 27 projects were rated using a five point system, for the five evaluation criteria as shown in Table 1. Each of the evaluation criteria is divided into large (five items), medium (sub-items for each large item) and small (sub-items for each medium item) components. Evaluation points for "effectiveness" and "relevance" were derived by weighing medium sub-items.

Table 1 Evaluation Criteria

Five Evaluation Criteria	5	4	3	2	1
1. Relevance	Considering the four factors, (1) appropriateness for Bolivia's needs, (2) appropriateness of plan, (3) participatory nature when plan was created and (4) external factors for linking the purpose to the overall goal, the relevance is				
	very high	high	generally relevant	weak	very weak
2. Effectiveness	The originally planned goals were achieved to a level of				
	about 100%	more than 90%	more than 80%	more than 60%	less than 60%
3. Efficiency	From the perspective of outcome (project goal), inputs are used				
	very effectively	effectively	generally without waste	with some waste	with quite a bit of waste
4. Impact	The project has realized				
	a very significant outcome in terms of overall goal.	significant outcome in terms of overall goal	an outcome to some extent	not much outcome	almost no outcome
5. Sustainability	In terms of the financial and technical capacity, the project's implementing institutions are				
	independent and developed	independent	generally independent	not very independent	not independent at all

2) Sector evaluation

The evaluation team conducted interviews with governmental agencies regarding the sectors targeted for the two described above, and reviewed reports of the World Bank and of other international institutions to clarify sector outlines of the last 15 years. Prioritized development issues in the study period were then verified for examining (1) the effect of aid by using sector and sub-sector indices and (2) the appropriateness of Bolivian prioritized development issues and JICA operations.

3) Cross-sector evaluation

To supplement sector evaluations, each project was evaluated and analyzed from a scheme-wise and poverty/gender perspective. The schemes targeted were Project-type Technical Cooperation, Grant Aid and Development Studies. The poverty/gender perspective was obtained from the results of questionnaires and interviews with communities in project areas.

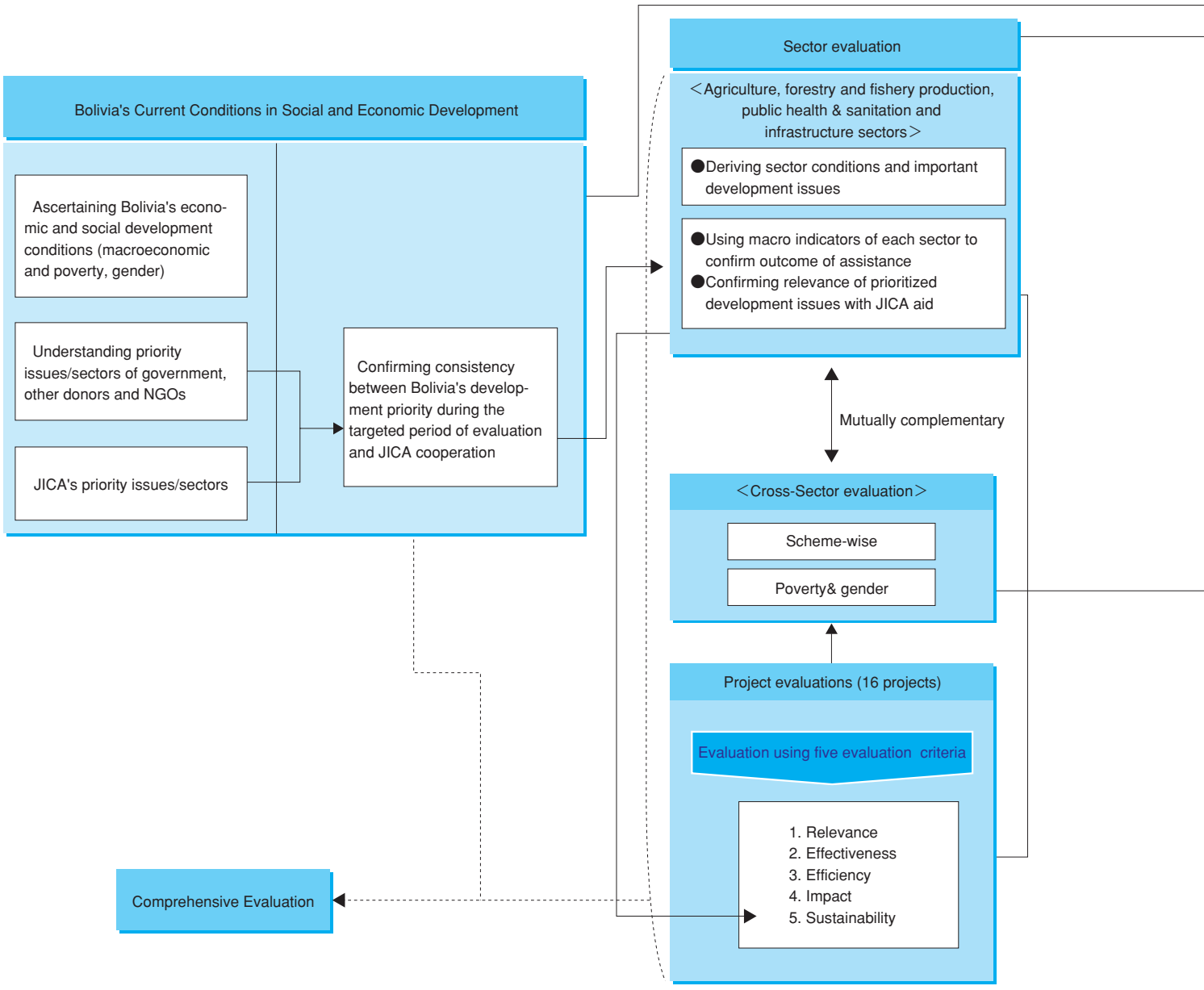
4) Comprehensive evaluation

Based on the results of evaluating 1) to 3), the evaluation team conducted a comprehensive evaluation to make an overall assessment of its cooperation.

(3) Recommendations

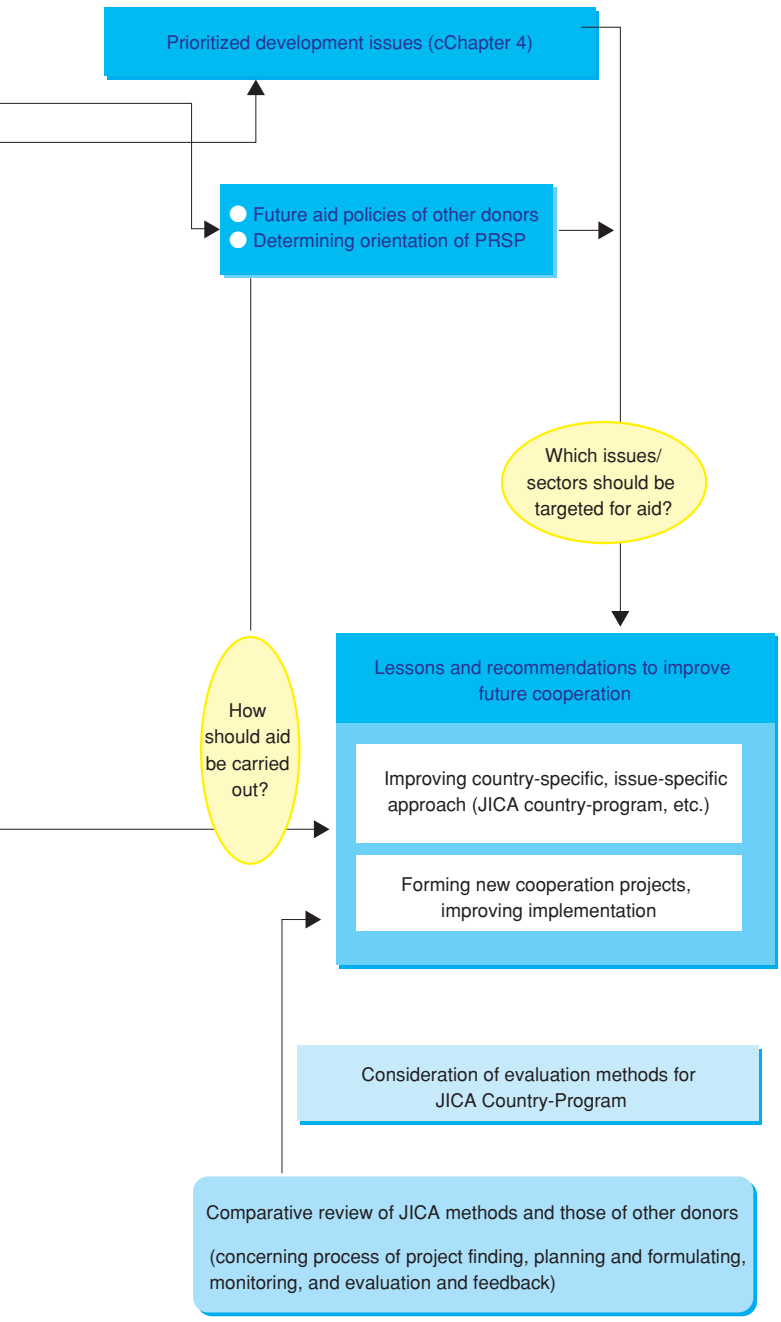
The following kinds of lessons and recommendations

Figure 1 Framework of Bolivia's Country-Program Evaluation



were derived, based on the results of evaluating the results described above, the future development issues of Bolivia, formulation of PRSP and trends in donor communities, as well as the need to reduce regional disparity.

1) Review of JICA Country Program and recommendations for sectors that should be prioritized
2) Improve the formulation and implementation of cooperation projects
   - Recommendations regarding introduction of the program approach
   - Recommendations regarding improvement of existing cooperation schemes



5. Limits of Evaluation Study

Because of the limitations in conducting the evaluation study mentioned below, this report does not necessarily display full-fledged analysis.

(1) There were several projects where the extent to which project purposes were achieved was difficult to value. This is mainly because the initial indicators of the project purpose were not clear or because measurements of the level of achievement at the time of terminal evaluation were insufficient.

(2) Planning had been done more than ten years ago in many projects, where indicators of the overall goal at the initial level were not clear and baseline surveys were not implemented beforehand. As a result, measurements of the impacts were insufficient.

(3) Project implementing institutions, overall institutions and local communities participated in the evaluation study through interviews and questionnaires. However, not many Bolivian government officers, experts or academics participated in the analysis. The analysis of the study results might have the excessive influence of the Japanese perspective.

(4) Since it was not possible to precisely sum up the expenses of each project, the total cost difference of each project was not reflected in the calculation of evaluation points for project, scheme and sector.

6. Results of Project Evaluation

In JICA's prioritized development sectors (public health and sanitation; agriculture, forestry, fishery and stock farming; infrastructure and environmental conservation and mining) for Bolivia, each project was evaluated based on the five evaluation criteria on a five-point scale. The evaluation point for each sector is the average of the score of the projects categorized in the said sector. This rating indicated that JICA projects showed relatively high impact in the public health and sanitation sector, while it showed moderate impact in infrastructure along with the agriculture, forestry, fishery and stock farming sector, which has relatively low sustainability compared with the other three sectors. One of the reasons why is that a great deal of technical cooperation emphasized research and development in agriculture sector, while direct support for industries was very limited, such as spreading techniques to farmers and fishermen or improving distribution.

1) Basic Living Standards (11 projects)

①National Public Health College Construction Project (Grant Aid)
②Trinidad Maternal and Child Health Hospital (Grant Aid)
③Construction of Santa Cruz General Hospital (Grant Aid)
④Project on Santa Cruz General Hospital (Project-type Technical Cooperation: PTC)
⑤Health and Medical Care Delivery System in Santa Cruz (PTC)
⑥Gastrointestinal Disease Control Project (PTC)
⑦Project for Cleaning Equipment for La Paz City (Grant Aid)
⑧Project for Urban Cleaning Equipment (Grant)
⑨Study on Provincial Ground Water Project (Development Study)
⑩Project for Ground Water Development in Rural Areas (Grant Aid)
⑪Environment and Hygienics (Public Health Nurse) (Region-focused Group Training)

Overall: Relevance and sustainability of the sector were relatively high. Although the achievement of the project purposes was comparatively high, there was still room for improvement in the use of inputs. The long-term impact of the projects appeared good overall.

Relevance: 3.6 Relevance of the health sector was relatively low, while relevance of the public health and sanitation projects was generally high. This is because this subsector had insufficient confirmation regarding consistency with local policies and lacked clear definition of beneficiaries at the planning stage.

Effectiveness: 3.4 The overall effectiveness was relatively high. The Santa Cruz medical system projects (③, ④ and ⑤) aimed to build up the facilities and functions that would form the core of local healthcare system. In this respect, goals were achieved. However, the construction of the health system as a whole was not sufficiently achieved.

Efficiency: 2.9 Efficiency was fair in general. However, efficiency of the Santa Cruz Medical Supply System project (⑤) was evaluated rather low, as the maintenance staff frequently replaced, the allocation of Bolivian counterparts was not appropriate, and input tended to be biased.

Impact: 3.8 After the project implementation, those involved in the healthcare project noted many positive impacts such as an increase in the number of cumulative patients, improvement in patient satisfaction, and prevention of infection to others during treatment. Meanwhile, it was reported that the Urban Clean Equipment Plan (⑧) had inadequate equipment maintenance that resulted in burdening the city with repair expenses.

Sustainability: 3.5 Most of the projects were evaluated relatively highly, except some project rated low because of the weak organizational structures and insufficient equipment maintenance.


Slum district of La Paz City

2) Agriculture, Forestry, Fisheries and Stock Farming (four projects)

①Livestock Improvement Project (Grant Aid, PTC)
②Aquaculture Development Center (Grant Aid, PTC)
③Multiplication and Extension of Superior Vegetable Seeds (Grant Aid, Expert Team Dispatch Program)
④Master Plan Study and Feasibility Study for Agricultural Marketing System in Santa Cruz (Development Study)

Overall: In this sector, the effectiveness was rated relatively low, while the relevance of the projects was fairy moderate. Much room for improvement was found in the use of inputs. The efficiency of project implementation was below the middle range because of the weaknesses in extension. Despite the positive results in research and development and technical transfers, the extension was not as successful, resulting in low achievement of project purposes. Consequently, impacts on ordinary farmers were less than expected.

Relevance: 3.1 All projects were consistent with Bolivian development needs. However, external factors were not sufficiently confirmed, which were necessary to link the achievement of the project purpose and overall purpose set at the national level. In concrete terms, confirmation of a route was insufficient to let technical extension to result in increases in production amounts and income.

Effectiveness: 3.1 Overall, research and development objectives and technical transfer to counterparts were sufficiently achieved. However, technical transfers to end ben-

eficiaries, such as farmers and fishermen, has yet to be completed.

Efficiency: 2.6 The efficiency was deemed to be low due to the timeloss caused by the followings: delay in facility construction, expert dispatch and absence periods of experts, as well as the low retention rate of counterparts.

Impact: 2.5 Activities linked to the overall goal, such as improving domestic productivity (e.g. strategic extension activities) were insufficient. Therefore, there was little significant impact that could be attributed to project implementation. There have been no negative impacts so far.

Sustainability: 2.6 In most of the projects, technical transfer has been carried out within the organization, despite low retention rates of counterparts. On the other hand, funds for maintaining facilities and developing activities were insufficient.

3) Infrastructure (three projects)

①Road Improvement between San Borja and Trinidad I and II and Environmental Impact Assessment (Development Study)

②Public Road Repair and Factory Plan (Grant Aid)

③Plan for Bridges of Construction in Northern Department of Santa Cruz (Grant Aid)

Overall: In this sector, both the relevance of the projects and the effectiveness was comparatively high. The efficiency of project implementation was in the middle range but there was a great deal of variance. Similarly, the impact was evaluated to be in the middle range on average with projects scattering result of high and low impact. Sustainability rated a little lower than the medium range.

Relevance: 3.7 All projects met Bolivia's needs and had high relevance.

Effectiveness: 3.5 In the Public Road Repair Factory Plan (②) the reform of the organizations responsible for road maintenance inhibited proper operation of the repair factory, and therefore prevented the project from achieving its goals. In other projects, high-quality inputs and appropriate plans enabled achievement of the initial purpose.

Efficiency: 3.0 There were discrepancies in the level of efficiency between the projects. For example, some study recommendations in development studies could not be used due to changes in external conditions. This change reduced the validity of a part of the study results and had a negative effect on the efficiency of the study.

Impact: 3.0 Among development studies, only 11% of the recommended projects in the final reports were carried out. Others have failed to secure funding, making their impact very low.

Sustainability: 2.5 The organizational, technical and financial sustainability of the projects were deemed to be low due to the downsize of organization, retrenchment in finance, and the transfer of employees who had acquired transferred techniques.

"Construction of Bridges in NorthernDepartment of Santa Cruz" (Okirawa Payrón Bridge)

4) Environmental conservation and mining (two projects)

①Control of Water Contamination of the Rivers in the City of La Paz (Development Study)

②Study on Evaluation of Environmental Impact of Mining Sector in Potosi (Development Study)

Overall: Relevance was generally high, inputs were effectively used and goals were achieved. On the other hand, these studies had rather abstract recommendations, so that a more effective examination of external conditions was required in order to carryout its action plan. Actual impacts were rather low.

Relevance: 3.8 Recommendations from the development study were very important both in term of policy and social development.

Effectiveness: 3.3 Technical transfer was relatively smooth, and reports were made user-friendly. However, specific recommendations such as methods for fund procurement could have been improved.

Efficiency: 3.3 There could find no problem in the use of inputs in implementation of the studies.

Impact: 2.3 Recommended projects in a study did not materialize because of a drastic reform (privatization) in the counterpart organization. However, the results of the other development study, the "Mining Environmental Research Center" were to be processed as JICA project-type technical cooperation.

Sustainability: 2.5 In the Plan for "Control of Water Contamination of the Rivers in the City of La Paz" (①), opinions on the applications of study results are subject to change due to the privatization of the counterpart organization. Though the transferred techniques were handed

down relatively well, it would be very difficult for the projects reccommended in "Study on Evaluation of the Environmental Impact of the Mining Sector in Potosi" (②) to be launched with Bolivian funding.

7. Results of Sector Evaluation

1) Public Health and Sanitation

a. Public Health sector

For the last 20 years, JICA has placed emphasis on providing primary health care services and strengthening its service network. The issues included were: basic healthcare and medical services for children, with diarrhea, and nutritional disorders, vaccines maternal care both pre- and post-labor, and treatment of cholera and malaria. The average life span increased from 48 years in 1980 to 62 in 1999, while the infant mortality rate fell from 151 per 1,000 infants in 1976 to 62.6 in 1999. The maternal mortality rate fell from 416 per 100,000 births in 1984 to 390 in 1990. These results can be attributed to the efforts of the Bolivian government and major donors such as JICA. On the other hand, tuberculosis increased from 4,777 cases in 1982 to 9,272 cases in 1999 and AIDS increased from one case in 1985 to 225 cases in 1999. Infectious diseases are likely to become more of a problem.

JICA's projects were concentrated on strengthening secondary and tertiary health and medical services. Secondary services offer basic in-patient hospital services, while tertiary services offer advanced specialized treatment and serve as reference/technical aid centers. In many cases, facilities and equipment were provided to one organization along with technical cooperation. Development and extension to surrounding area were left to the Bolivian side.

Internship of medical student at the project site of "Gastrointestinal Disease Control Project"

In the future, it is necessary to conduct projects that provide better services to rural and suburban areas, along with operations that redress disparities in qualities of services between that of cities. This has been one of the major issues since basic health care insurance was first introduced around 1995, based on the concept that all Bolivian people should benefit from basic health and medical services. Therefore, sector analysis should be used in the discussion with recipient countries and major donors to confirm the position and role of projects.

b. Water and sanitation sector

One of the key issues for the Bolivian government has been redressing the gaps in access to sanitation services, such as water supply facilities in cities and rural villages, sanitary facilities (toilets) and garbage collection. The water supply rate increased from 36.5% in 1980 to 58.2% in 1995, while the diffusion rate for sanitation facilities rose from 18.4% in 1980 to 66% in 2000. The water supply rate in rural areas remained low, though it increased from 10.1% in 1980 to 24% in 1997. JICA implemented projects to improve residents' access to safe water, targeting rural villages with populations of over 200 people, where ground water development was technically possible. This was consistent with the targets of the Bolivian government to resolve technical problems in water resource development in rural villages to improve the water supply. Further efforts will be needed by the Bolivian government and aid organizations for waste disposal, since it is an infrastructure and social service that control the deterioration in living environment caused by the rapid increase in urban population. Improvements in the waste disposal system and technical abilities of major cities were achieved by the initiatives of donors, including those from Japan.

There is growing importance in the dissemination of water supply and sanitation facilities in the suburbs and rural areas, as decentralization progresses and more concrete measures are taken to redress gaps in social service delivery. Garbage sorting and recycling services are also becoming increasingly important as industry and lifestyles in cities become diversified, and as concern for environmental conservation has increased. In addition, problems with water supply, waste disposal and sewage treatment would increase with the rapidly increasing flow of the urban population into suburban areas of the lowland cities.

2) Agriculture, Forestry, Fishery and Stock Farming

All of these sub-sectors observed some outcomes of development. However, the growth of outputs by the overall sector is less than that of the whole economy. Important issues for the agricultural sector have been the improvement of production, establishment of quality control standards, establishment of a financial system for farmers and development and extension of substitute crops for narcotics. In the forestry sub-sector, it was regarded as important to establish sustainable forestry. The stock farming and fishery sub-sectors needed to increase their international competitiveness. The fishery industry has also been targeted to reduce poverty by encouraging the entry of poor farmers.

In the agriculture sub-sector, recognizable outcome from projects could not be observed. Production of grain, vegetables, fruit and root crops did not show much change on average. Average production in 1990 was 6,342 kg/ha, while that in 1990 was 6,222kg/ha. During this period, total outputs increased from 7 million tons to 8 million tons. However, this was mainly because the area under cultivation increased from 1.25 billion hectares to 1.88 billion hectares. Although the spread of irrigation agriculture was a major contributing factor for increasing unit production, donors have not been proactive, and JICA had not been involved until 2000. This was mainly because the targeted area was too large and the amount of investment needed for water infrastructure too large.

Although prioritized development issues have been basically applied to JICA's cooperation, several issues remain. Project-type technical cooperation has put emphasis on research and development, but not on the process of extending production techniques to farmers. Moreover, high-skilled agricultural technology was transferred, but there remain difficulties in actual learning and application for poor farmers. It would have been better to incorporate technical development and extension methods that were more accessible to poor farmers.

In the forestry sub-sector, major Western donors are involved in forest conservation using afforestation and soil erosion prevention methods. However, no slowdown is evident in the rate of deforestation, as its average rate from 1980 to 1990 remains the same as that from 1990 to 1995 at 1.2%.

At the same time, the amount of lumber produced increased from 328,000 tons in 1990 to 419,000 tons in 1999. This indicates that the forestry industry is growing, but could also mean that it still depends on a wasteful method by cutting down forest resources. As JICA cooperation, one development study was conducted and another is currently being implemented. However, as the scale of inputs of these projects have been small, their outcomes are too limited to measure.

Recollection of Seeds ("Multiplication and Extension of Superior Vegitable Seeds")

The stock farming sub-sector has become more effective. A comparison of indicators in 1990 and 1999 shows that meat production has increased by 20% and number of cattle by 18%, while land use increased by only 2%. JICA has conducted technical cooperation in the Santa Cruz Province on the fields of improvement of both dairy and beef cattle varieties, breeding, fattening and feeding. The JICA project presumably contributed to the increase of indicators in the above fields, but it is difficult to see its direct effect since the project only targets farmers in one province.

In the fisheries sub-sector, there are commercial fisheries such as trout aquaculture, small-scale fishing of Amazon water catfish in Lake Titicaca, and carp and pejerrey fish in major rivers and dam lakes.

JICA implemented a rainbow trout aquaculture project through project-type technical cooperation and grant aid. As a result of the cooperation, the Fisheries Research and Development center acquired basic techniques, and as the extension of aquaculture techniques activity was added during implementation, the catch of rainbow trout increased significantly, though in a small scale. However, production fell after the project termination in 1996, as aquaculture industry suffered international competition against Peruvian products and escalating feed prices. In order to transform aquaculture into a vital industry, the center, the implementing organization, should strengthen its extension and distribution functions, as it is currently making efforts to achieve.

3) Infrastructure

A comparatively good development effect was

achieved in transportation infrastructure in terms of the regional roads and airport sub-sector. However, since the railway management was privatized in 1996, it has come under the ownership of a Chilean private company. Due to this, operations have been in diminishing trend as unprofitable routes was abolished. In addition, the railway network remains divided into western and eastern sides. Because of these reasons, aid outcome from donors including JICA cannot be seen.

From 1990 to 1999, total road length were extended by 25%. As a result, road traffic increased by 83% for cargo and 101% for passengers. Moreover, 2,630 km of regional roads were repaired from 1990 to 1992, using construction equipment provided by Japanese grant aid. This is equivalent to 72% of the total length of road that was repaired during that period.

JICA provided aid for constructing highways by means of plans and designs through a development study and for national road bridge construction through grant aid cooperation. Since the IDB has been the major donor for improving highways, JICA cooperation has not had a significant impact on a nationwide level. In the road maintenance sub-sector, equipment was provided to the repair plant of the public highway corporation. However, it was almost impossible to measure the impact; indicators could not be obtained because road-related organizations were reorganized under a decentralization policy.

Regarding air transportation, international line traffic volume (the sum of arriving and departing passengers and tons of cargo) for the three Bolivian airports increased by 101% from 1990 to 1998. At the same time, domestic line traffic volume for the domestic airports, including the aforementioned three, increased by 82%. Two out of these three airports were repaired after implementation of JICA development studies.

JICA has implemented two development studies concerning railways. However, projects recommended by these studies have not been implemented since the number of rail passengers is declining and the national railroad was privatized in 1996. Aid from other donors only offered loan cooperation to repair locomotives.

8. Results of Cross-sector Evaluations

1) Evaluation by Scheme

In this section, aforementioned JICA's cooperation were divided into (1) Project-type Technical Cooperation and Expert Team Dispatch, (2) Grant Aid and (3) Development Studies, and each of which was evaluated according to the five criteria and a rating in a five-point scale. Results are as follows.

＜Project-type Technical Cooperation and Expert Team Dispatch (seven projects)＞

The plans and input were generally relevant, and the management also comparatively appropriate. However, effectiveness was rated as 3.0. This is mainly because of changes in external conditions that affected the achievement of project purposes. The project implementation more or less contributed to the achievement of overall goals, despite the severe effect of the external environment. This implies that even though the effectiveness was low when the project was completed, cumulative effects may arise if the recipient country's implementing institutions were sustainable, and project activities continued after completion. Negative impact from these cooperation was not be seen. Without negative influence of external factors, the extent to which the project purposes were achieved would have been higher.

＜Grant Aid cooperation (twelve projects)＞

Plans were appropriate for many projects, inputs and management were adequate. Despite a slightly negative influence from the external environment in accomplishing project purposes, they were generally achieved. Furthermore, sustainability of the counterparts can be also seen, and the impacts were relatively high. Regarding Plans to Provide Equipment for Road Repair, due to inappropriate goal-setting, insufficient consideration on selecting equipment and project design, the plan's relevance was lower than it could have been. If external conditions that linked the project's purpose to the overall goal were further confirmed, a greater impact may have materialized.

＜Development Studies (eight projects)＞

The relevance of these projects was very high in terms of consistency with Bolivian needs and the appropriateness of plans prepared. The effectiveness was rated at 3.4, though inputs and management were adequate. Due to the reorganization of counterpart institutions and counterpart transfers, it was very hard to secure organizational and technical sustainability. In particular, the financial foundation was rather weak and the external conditions necessary to link project purposes to overall goals were not ascertained well enough. Conditions were not very favorable for realizing recommended projects in the final reports of the studies, so impacts were more limited than initially expected.

2) Poverty and Gender Perspective

From the perspective of poverty and gender, JICA

conducted macro-evaluations targeting all the project and evaluations on groups of individual projects that shared the same purpose.

The only project implemented specifically to address poverty was the Santa Cruz Medical Cooperation Project. However, as national health insurance covered basic healthcare service including maternal and child check-ups and AIDS and tuberculosis treatment, the extent of the direct contribution of the project was rather low. Also, the project did not particularly perceive the issue of poverty with clear indicators or priorities. Road-related projects seem to be the only examples that did not only revitalize overall society but also encouraged opportunities for social service and participation in development as well as contributed to redressing regional disparities. Cooperation in agriculture, forestry, fisheries, and stock farming sectors is regarded as having made it possible to reduce poverty by increasing rural incomes. As projects in the public sector and sanitation were concentrated on urban areas, they could not contribute to redressing regional disparities. The regions targeted for environmental projects were broad, including rural villages. However, these did not particularly aim to redress regional gaps.

Two projects employed a gender perspective: the Grant Aid for the "Trinidad Maternal and Child Health Hospital" and the "Santa Cruz General Hospital Project". These two projects helped to improve women's access to basic healthcare services and encouraged efforts for reproductive health. The gender contribution in the evaluated projects was rather low, except these two projects.

Of the targeted projects, those that aim to reduce poverty and alleviate gender disparities were not many. This is mainly because projects evaluated were planned and designed when poverty and gender were not regarded as the most prioritized issues for development among donors including Japan. This can be regarded as a limitation of timing.

9. Results of Comprehensive Evaluation

A comprehensive analysis of JICA's technical cooperation based on the results of evaluations 6. to 8. is shown in Figure 2.

Ideally, JICA should carry out projects regarding important sectors and development issues, and produce sufficient effects through appropriate management. These effects should also be gauged by the degree of development and improvement in these sectors by indicators and statistics.

Pediatric Ward of Trinidad Maternal and Child Health Hospital

From macro-evaluations, the relevance of JICA's cooperation for Bolivia is high in allocating them to important sectors, and development issues. The impact from each project was roughly associated with development conditions of each sector to which it belongs, and the results of the five-grade ratings were fairly high for the public health and sanitation sector and were in the medium range for the infrastructure and agriculture, forestry, fisheries and stock fostering sectors.

Overall, there were not many successful projects that aimed to reduce gaps in poverty and gender. This was largely due to the timing limitations as described in the previous section.

10. Lessons and Recommendations

(1) Sectors and issues for future JICA cooperation

Reviewing the JICA Country Program was conducted by using the following seven steps to clarify issues that JICA should prioritize for future implementation. Results of the reviews are shown in Table 2.

1) Ascertaining basic direction of Bolivia's development

The five goals summarized in the March 2001 PRSP, (①expanding opportunities for employment and income generation for the poor, ②capacity-building for the poor, ③promoting social participation for the poor, ④improving safety and protection for the poor, ⑤promoting overarching issues of gender and poverty) were ascertained as an outline for Bolivia's development orientation.

2) Setting prioritized development issues by sector

Based on the future issues prioritized for development, as ascertained in this evaluation, priority levels of issues described in the PRSP, version issued in March 2001, were evaluated in two stages (high and low) in

order of importance.

3) Identifying issues in which Japan has technical advantage

From the issues described in the PRSP, sectors in which Japan had technical advantage were identified and a two-stage evaluation was conducted. Taking into account Japan's past aid performance and comparative advantage, the issues in which Japan had great technical advantage were identified as "high," and those in which Japan had relatively high technical advantage as "low."

4) Setting issues (first proposal) prioritized for aid from Japan

Here, "Japan's technical advantage" was emphasized, and no matter how important the development issues were, if Japan did not have technical advantage in the issue, it would not be included as a "priority issue for Japanese aid." Conversely, if Japan did have technical advantage, it would become a "priority issue for Japanese aid," even if it had not been recognized as a priority development issue in the previous phases 1) through 3).

5) Confirming prioritized issues and sectors of other aid donors

Of the issues described in the March 2001 PRSP, the study team interviewed major donors and clarified which issues and sectors were being prioritized by other donors. A two-stage evaluation was then implemented, according to thier importance.

6) Setting priority issues for Japanese aid (final proposal)

Taking into account an efficient division of roles among donors, the results of 4) and 5) were integrated, and issues deemed of slight importance in the review conducted in phase 4) would be prioritized if other donors were not covering them. Conversely, issues judged to be of high priority in 4) would not be prioritized if they were already prioritized by other donors.

7) Organizing recommendations for the JICA Country Program by comparing Japan's priority aid issues (final proposal) of the study team and those of the existing country-program

Referring to the final proposal in 6) and the JICA Country Program, issues were divided into three categories: A, B and C. Category A represents development issues described in the Country Program and are issues in the final proposal of this evaluation. Category B also represents development issues described in the Country Program, but are not included in the final proposal. These issues should be reconsidered whether to continue support as development issues. Category C does not represent development issues described in the Country Program, but those prioritized as significant in the final proposal. These should be reviewed for inclusion into

Figure 2 Bolivia Country-Program Evaluation・Results of Comprehensive Evaluation

<Bolivia's prioritized sectors up until this point and appropriateness of JICA cooperation>

Overall, JICA has offered cooperation to the sectors on which the Bolivian government and major donors have prioritized and focused their resources as well. This would suggest that Bolivia's priority sectors and JICA's cooperation efforts were highly consistent.

【Sector evaluation】

①Aid effects as shown through sector's macro-indicators

②Consistency between important development issues in each sector and JICA aid

Public health and sanitation	Agriculture, Forestry, Fisheries and Stook farming
①In the health care sector, the average life span, infant mortality rate and maternal mortality have clearly fallen over the past 20 years, due to the efforts of the Bolivian government and donors including JICA. In the water and sanitation sector, some outcome has been seen in providing a living environment in terms of sanitation.	①A certain level of development impact has been emerged in the agriculture, fishery and stock farming sub-sectors, but growth in the sector's gross product is less than that of the overall economy.
②In the health care sector, JICA projects aided the prioritized development issues. In the future, projects focusing on strengthening basic health and medical services in rural villages and areas surrounding cities–an issue gaining importance since 1994, when the Citizen Partici-pation Law was announced–and redressing disparities between those of conditions of cities will be important. JICA has responded well to the prio-ritized issues in the water and sani-tation sector.	②JICA cooperation responded to important development issues at the sub-sector level. However, a look at responses to more detailed issues shows that most of the JICA projects emphasized R&D, and cooperation that helps to turn agriculture into an industry by extending techniques to the beneficiaries was rather weak.

【Evaluation of Individual Projects】

Among the three sectors, the impact of the projects was particularly apparent. Although JICA project imple-mentation was limited to surrounding areas and the health care sector, they contributed to the high score in impact.

Among the three sectors, impact and sustainability were rather low. Although JICA projects had some contribution in increasing nationwide catches in the fisheries sub-sector, in the agricultural sub-sector, there was only a small contribution.

Five evaluation criteria		Grades evaluation
1. Relevance		3.6
2. Effectiveness		3.4
3. Efficiency		2.9
4. Impact	Overall goal	3.8
	Negative Impact*	4.6
5. Sustainability		3.5

Five evaluation criteria		Grades evaluation
1. Relevance		3.1
2. Effectiveness		3.1
3. Efficiency		2.6
4. Impact	Overall goal	2.5
	Negative Impact*	4.8
5. Sustainability		2.6

＊「Negative impact」indicates negative results that were not initially expected. Since it is better when no negative outcome impact appears, 5 is chosen from the five-step evaluation when it does not appear at all.

JICA Country-Program. Table 3, showing the results of these categorizations, revealed that 16 out of the 18 issues[4] were recognized as important issues and continued aid is relevant. Furthermore, three additional issues were recommended as issues for future JICA cooperation. However, consideration of necessary costs and

[4] 16 issues include those issues which initially identified as category B, but were regarded as important after detailed examination.

Infrastructure

①The regional road and air sub-sectors saw relatively high indicators for development impact, which JICA projects contributed significantly. However, in the railway sub-sector, the railroad networks have still not been con-nected, and the aid from JICA and other donors has not shown a clear outcome.

②JICA projects responded to important development issues and were appropriate. In particular, through multiple JICA schemes and ODA loans, JICA was able to contribute in providing efficient aid to establish an infrastructure for maine airports.

Overall, the score was the same as that of the public health and sanitation sector, but the outcome was rather low. JICA projects took a large part in boosting the infrastructure rate for airport repair and regional road repair, but it did not observe outcome in other subsectors.

Five evaluation criteria		Grades evaluation
1. Relevance		3.7
2. Effectiveness		3.5
3. Efficiency		3.0
4. Impact	Overall goal	3.0
	Negative Impact*	3.5
5. Sustainability		2.5

Scheme	Five evaluation criteria		Score	Comments
1. Project-type technical cooperation	1.Relevance		3.1	The plan was generally relevant, and the appropriateness of management was relatively high. However, the external environment had a negative influence on achievement of the project purposes, and in the end effectiveness was rated only 3. Nevertheless, the recipient's implementing institutions were sustainable, and although the external environment hindered the ability to achieve overall goals to some extent, there were no negative outcomes. If there had been less negative influence from the external environment, the effectiveness would have been higher and the overall goal would have been achieved. However, the goals should have been more clearer in terms of relevance, and the external conditions should have been better ascertained when the project was planned. Efficiency should also be improved by ensuring that input was not wasted.
	2.Effectiveness		3.0	
	3.Efficiency		2.6	
	4.Impact	Overall goal	3.4	
		Negative impact	4.7	
	5.Sustainability		3.1	
2. Grant aid cooperation	1.Relevance		3.9	Most of the project was relevant, and the relevance of input and appropriate nature of management ensured a satisfactory level of achievement of project purposes despite some negative influence from the external environment. The recipient's sustainability was good, and although there were some negative influences on the way to meet the overall goal, impact was relatively high. In this scheme, there was more to improve in the project relevance. In other words, when the plan was drafted, the external conditions (legal system, organization and financial aspects of the implementing institutions and capacity of beneficiaries) that link the project purposes to the overall goal should have been better ascertained. This would have raised the level of impact achieved.
	2.Effectiveness		3.9	
	3.Efficiency		3.5	
	4.Impact	Overall goal	3.6	
		Negative impact	4.2	
	5.Sustainability		3.1	
3. Development study	1.Relevance		3.8	The proposal relevance was quite high, given the consistency with Bolivia's needs and the appropriateness of the report preparation. In addition, the relevance of the input and appropriateness of management were fairly good, and the score for effectiveness marked 3.4, signifying that project purposes were generally achieved. However, there are problems with the sustainability of the implementing institutions. In addition, the external conditions that link the project purposes to the overall goal were not well executed proposals ascertained. This made the share of the in the study reports low, and thus impact as initially planned was not attained. In this scheme, definite confirmation of the external conditions that link the project purposes to the overall goal and improvement of the quality of recomendation are necessary.
	2.Effectiveness		3.4	
	3.Efficiency		3.0	
	4.Impact	Degree of materialized proposals	2.8	
		Overall goal	2.2	
		Negative impact	5.0	
	5.Sustainability		2.7	

【Poverty and Gender Evaluation】

1. Public health and sanitation sector: With the exception of regional groundwater development, the projects were executed primarily in cities, hence the attempt to redress and ease the disparities in urban and rural poverty could not be regarded as active. As for the alleviation of gender gaps, the systematic efforts with the Grant Aid for the "Trinidad Maternal and Child Health Hospital" and the projects on Santa Cruz General Hospital were implemented.
2. Agricultural sector: All the project areas targeted for were rural villages, areas with large strata of the poor. The project goal was to improve production for agriculture, forestry, fishery and stock farm ing products, and this was related to improving the income of local residents. However, it did not particularly focus on eradicating poverty or redressing inequalities. It did not particularly address gender issues.
3. Infrastructure sector: Road projects linked urban areas to rural villages along the way, and therefore were directly involved in redressing regional qualities in transportation and access to social services. The projects related to the environment covered a wide area, including rural villages, while did not specifically aim to redress disparities between cities and rural areas. It did not particularly address gender issues, either.

Table 2 Prioritized Areas and Review of Issues in JICA Country-Program 1

	PRSP issues			1. Important development issues by field (◎、○)	2. Issues in which Japan has technical advantage (◎、○)	3. Priority issues that Japan should support (1) (◎、○)	4. Priority issues of other donors (◎、○)
	Major issues	Middle issues	Small issues				
Goal 1: Expanding opportunities for employment and income generation	1. Rural Development	Expanding productive infrastructure	Construction, maintenance and management of village roads	◎	◎	◎	
			Construction, maintenance, and management of irrigation and micro-irrigation	◎	○	◎	○
			Expansion, maintenance and management of electricity network	○	◎	◎	
			Development of telecommunications network in villages		○	○	
		Diversification of non-agricultural employment opportunities, income generation	Small-scale processing agricultural products and commercialising promotion of rural tourism vocational training		○	○	◎
	2. Aid for micro small-sized companies	Rising competitiveness of small companies			○	○	◎
		Promoting Non-financial services that meet needs (aid for market research, etc.)			○	○	
		Strengthening organization and Management of micro companies			○	○	
	3. Technical guidance support	Sistema Boliviano de Tecnología Agropecuaria (SIBTA)		○			○
		Technical aid and training through private sector					
		Creation of technical aid supply/demand information system					
		Creation of technical aid consultant system					
		Implementation of business guidance service for micro companies			○	○	
	4. Promotion of micro-finance	Diversification and improved dissemination of micro-credit		◎			◎
		Strengthening organizations andlegal framework					
		Raising efficiency of credit					
	5. Improving road infrastructure, maintenance and management	Implementation of traffic master plan			○	○	○
		Introductionof private sector in road construction		○			
		Increased investment for basic road network		◎	◎	◎	
Goal 2: Capacity-building	1. Improving educational environment and access	Curriculum modification					◎
		Reorganization of teacher management and training system					
		Encouragement of decentralization in education sector and community participation in education					
		Strengtheningof supervisory abilities of education management organizations					
		Other strategies					
	2. Improve health care services and access	Appropriate management of health care workers		◎	○	◎	◎
		Expansion of medical and health insurance service		○			
		Strengthening of system for preventing major infectious diseases		◎	○	◎	
		Improvement of citizen's nutrition		◎			
		Introduction of other cultural views in medicine	Improvement of health care service network	◎			
		Other strategies	strengthening of medical institutions	◎	◎	◎	
				○	◎	◎	
	3. Improvement of living environment (waste, sewage, housing)	Strengthening of management system for sewers, waste disposal infrastructure		◎	◎	◎	○
		Improvement of housing infrastructure and its management		○			
Goal 3: Improving security and health for the poverty group	1. Social health system	Elderly					○
		Youth, infants					
		Food security					
	2. Urgent programs	Natural disaster measures,			○		
		Urgent employment creation					
	3. General children's care						
	4. Securing ownership	Land ownership					○
		Water usage					
		Land registration in urban areas			○	○	
Goal 4: Participation	1. Organization of citizens	Study for participation of citizens in the local government					○
		Establishing Consejo Consultivo					
		Promotion collaboration between local government					
	2. Equal rights for indigenous population	Provide information					○
		Train on the use of natural resources		◎	○	◎	
		Improve access to legislation					
		Strengthen human rights committees					
		Improve education (multiple languages, improve access)					
Cross-sector themes	1. Gender	Promotion of policies and activities that expand women's opportunities					
		Improvement and practice of women's participatory capacities					
		Establishment of women's rights					
	2. Conservation of natural resources	Improvement of efficiency of land and water usage		◎	◎	◎	◎
		Strengthening of environmental reform policies		◎	○	◎	
		Development of method for appropriate management and protection mechanisms for diverse ecosystems		○			
		Encouragement of sustainable use of forest		◎	○	◎	

Notes: 1: Evaluation columns 1-5 and evaluation of geographical priority use ◎ to indicate the most prioritized issues, ○ to indicate prioritized Depending on the criteria, evaluation of geographical priority uses three stages rather than two from which to evaluate. Consequently,
2: Evaluation column 6 uses ○ for JICA country-program and prioritised fields/issues.
3: Evaluation column 7 uses the following as evaluation criteria:
◎: Continues as a development issue. ▲: Continued status as development issue will be reviewed. △: Addition as a development

5. Priority issues that Japan should aid (final) (◎、○)	Geographical priority						6. JICA country program, priority fields/issues	7. Recommendations for JICA country program (◎、△、▲)
	1. Central plains		2. Central valley		3. Low-lying plains			
	Urban areas	Rural areas	Urban areas	Rural areas	Urban areas	Rural areas		
◎		◎		◎		◎		△
◎		◎		○		○		△
◎		○		○		○	○	◎
○		○		○		○		
○							○	◎
○	○		○		○		○	◎
○	○		○		○			
○	○		○		○			
○	○		○		○			
○		○		○		○	○	◎
◎		○		○	○	◎		
○		○		○		○	○	◎
○	○	○	○	○	○	○	○	◎
○		○		○		○		
○		○		○	○	○		
◎	○	○	○	○	◎	○	○	◎
○	○		○		○			
◎								△
○		◎		○		○	○	◎
○		○		○		○	○	◎
○		○		○		◎	○	◎

issues and blank to indicate issues that are not particularly important.
issues marked with ◎ are not the most prioritized of all issues.

issue will be reviewed.

expected effects would suggest that there are too many issues. It is desirable to narrow down the focus and number of issues by way of coordinating with other donors and reviewing issues that might better represent Japan's areas of expertise.

(2) Improving formulation and implementation of cooperation projects

Recommendations on what kinds of projects JICA should implement and what methods they should use will be divided into 1) efforts corresponding to PRSP, 2) efforts by program unit (cooperation by sector) and 3) efforts by project unit (cooperation by scheme).

1) Recommendations on efforts corresponding to PRSP

The study team recommends the first issue as "aid for development and extension for technologies in a certain field and policy guidance" and the second as "relatively large-scale infrastructure installations targeting wide-ranging beneficiaries." For the first issue, considering the superiority of Japanese technology and division of responsibilities with other donors, and priorities discussed to narrowdown the issue to be targeted. And then, the cooperation should be carried out maintaining traditional forms of technical cooperation as Project-type Technical Cooperation and Dispatch of Experts. For the second issue, efforts must cover wide area, and since capital invested will be quite large, coordination with other donors would be necessary. For the second issue, the common basket approach should be used as well as implementation of grant aid, if its effectiveness and the way to confirm accountability are secured.

2) Recommendations for efforts at program approach

In order to achieve greater efficiency of resources and secure sustainability, careful examination of alternative options and efforts to formulate better programs are necessary. In doing so, it is required to formulate programs using a logical framework at the planning stage. In so doing, it is necessary to, combine of schemes such as development studies, grant aid and project-type technical cooperation.

As mentioned in 6 (4) "comprehensive evaluation," grant aid and project-type technical cooperation were a very effective combination for improving impact and sustainability. A combination of development study and grant aid cooperation was also effective. In a development study, priority issues are highlighted, beneficiaries are specified, the framework for technical review is set, and then, material and equipment through grant aid

Table 3 Prioritized Areas and Review of Issues in JICA Country Program 2

Field	Development Issue	JICA program	Category (Note)	Recommendation
(1) Improve basic living standards	1. Water supply, sanitation, water resource policies and administration	Drinking water supply program	A	Keep as a development issue. Prioritize suburbs and rural villages.
	2. Improve health and sanitation and maternal and child health care at the city level	Program to improve maternal and child health care	A	〃
	3. Improve clinical examinations as measure to deal with infectious diseases	Program to control infectious diseases	A	〃
	4. Upgrade development of health personnel	Program to strengthen regional health care	A	〃
	5. Disseminate of primary and secondary education and improve quality	Program for education reform	B	Not included as an issue in PRSP program tree, but mentioned in PRSP document as an important issue; should continue to be considered as a development issue.
	6. Revitalize vocational training and aid to small and medium enterprises	Program for vocational capabilities	A	Should continue to be considered as a development issue.
	7. Improve living standards by raising the rate of electricity-use in rural areas	Regional electrification program	A	〃
(2) Agricultural development	1. Institute and strengthen system for plant and animal quarantine.	Program to strengthen system for plant and animal quarantine	B	Not included as an issue in PRSP, but considered essential in future agricultural export; should continue as a development issue.
	2. Improve productivity of superior crops and strengthen organizations of small-scale farmers	Program to generate income of small-scale farmers	B	This is important in the income generation of farmers, but Japan is not strong at extending its technology. This would require an appropriate approach, such as dispatching experts that are superior in extension. Similar projects are implemented by other donors, and more attention should be paid to collaboration and coordination.
	3. Develop technology for agriculture, fishery and stock farming and establish system for extension of the technology	Program to strengthen competitiveness of agricultural products	B	
(3) Infrastructure	1. Establish plan for roads and regular implementation	Program to support transportation agency and administration	A	Should continue as a development issue.
	2. Infrastructure aid	Program to aid plan and establishment of domestic highways	A	Coordination between major donors in the road division, such as the World Bank and IDB, is crucial.
(4) Environmental conservation	1. Prevent of mine pollution	Environmentally-conscious resource development program	B	Should be reviewed to determine its continuation as a development issue.
	2. Conserve of water resources	Program for reduction of water pollution	A	Should continue as a development issue.
	3. Measures against environmental disruption such as forest degrading	Participatory forest conservation and reforestration program	A	Implementation and achievements by other donors is significant, so efficient implementation through coordination is essential.
	4. Improve environmental policies and administration	Program to strengthen environmental administration	A	Should continue as a development issue.
	5. Protect natural heritage and create employment by developing tourist resources and fostering industry	Program for tourism development	A	〃
(5) Resource development	1. Stabilize economy and create employment through mine development and diversification of mineral types	Program for resource development	B	Should be reviewed to determine its continuation as a development issue.
(6) Issues that should be added	1. Training on use of natural resources		C	Very important, and its addition should be examined.
	2. Build and maintain village roads		C	〃
	3. Build and maintain irrigation and micro-irrigation systems		C	〃

Notes

A: Development issue described in the JICA country -program and included in final proposal of "Priority Issues for Japanese Aid"
B: Development issue described in the JICA country -program but not included in final proposal of "Priority Issues for Japanese Aid"
C: Not a development issue described in the JICA country -program but included in final proposal of "Priority Issues for Japanese Aid"

Source: Prepared based on JICA fiscal 2000 country-program and "Prioritized areas and review of issues in JICA country-program 1"

cooperation are provided and a model project is implemented to the necessary and prioritized areas. To improve project impact and sustainability, combining schemes was confirmed effective such as grant aid cooperation, experts and JOCV, whereby offering technical assistance related to newly installed equipment.

Cooperation with other donors should not just involve dividing targeted regions or beneficiaries, but rather it is important to provide aid through in-depth coordination. Also, it is very effective to share one goal and implement aid in different fields in which each donor has expertise. This kind of coordination should not only involve execution, but also planning, monitoring and evaluation as well.

3) Recommendation for efforts at the project level

Very few projects proposed in development studies have been implemented with funding from the Bolivian government, instead many relying on external funding sources. Therefore, currently, not many development study suggestions have been realized in Bolivia. Consequently, it is important to clarify external conditions, of recommended projects analyze implementing capabilities including the concerned organization's capability to raise funds, or suggest specific ways to raise funds in the study report.

In project-type technical cooperation, it is important to set specific and clear project purposes and indicators, and conduct systematic activities that will lead to the achievement of project purposes. It is also essential to set up a system that enforces monitoring and appropriately evaluates outputs at an early stage. In agriculture projects, it is often observed that focus has mainly been placed on research and development but not on the extension of techniques developed, and that there were very few cases that led to development of the industry. As a result, in order for these projects to contribute to development outcomes, such as higher production and income generation for the poor, project design should focus not only on research, development and technical transfer, but also on extension and distribution. In Bolivia, where the retention rate of counterparts at implementing organizations is low, appropriate implementing organizations should be chosen and stregthening the system for management and operation would be essential in order to ensure sustainability. To improve project efficiency, the management of implementing institutions should be strengthened while using inputs effectively.

Equipment installation projects with grant aid are plagued by chronic problems such as delays in equipment customs clearance, theft and damage. The Bolivian government should be fully aware of the influence of these problems. Also, to avoid the problem of defective equipment management after the provision, JICA's participation in monitoring should also be considered.

Seminar targeting the farmers ("Master Plan Study and Feasibility Study on Agricultural Marketing System in Santa Cruz")

Additionally, as an overall recommendation, more consideration should be given to poverty and gender issues. In this study, almost no projects specifically and clearly considered gender and poverty-related issues due to different trends in development at the planning period. It is important to specify a social group from the perspective of poverty and the social gender gap, and to consider whether it could be a target in the project. To improve awareness, the consideration of poverty and gender issues should be made compulsory in reports when planning not only projects focusing on the subject, but also those that do not appear to be directly related to poverty and gender.

11. Feedback of Evaluation Results

After preparing the final report, an evaluation seminar in Bolivia was held in January 2001 to announce the evaluation results to those involved, and discuss the direction of future cooperation based on these results.

The seminar on January 22 in Santa Cruz focused on the agriculture, stock farming and fisheries industry, and the seminar on January 24 in the capital city La Paz focused on the health and medical sector. Bolivian participants, other donors and the media were invited.

The consultants in charge presented an overview of the evaluation results. The explanation followed on activities to be conducted after the completion of JICA cooperation by the implementing organizations. Then the participants exchanged opinions.

Thailand

Alleviating Regional Disparities between the Bangkok Metropolitan Area and the Northeast Region: A Case Study of the Kingdom of Thailand

Project Sites Northeast Thailand

1. Background and Objectives of Evaluation

There are significant disparities between metropolitan areas and rural regions in middle-income countries and newly industrialized countries. Regional disparities are particularly noticeable in the initial stages of economic development. Large disparities can be observed in the middle-income countries with particularly rapid economic growth.

As an unprecedented empirical study by K.G. Myrdal and S.S. Kuznets in the 1950s [1] showed, the developed countries' experiences prove that the income gap among individuals or income groups tends to widen from the initial stage to a certain stage of economic development.

A similar phenomenon can be seen with regional disparities. Many developing countries have been concentrating on necessary resources (e.g., human resources, capital, and information) in metropolitan areas as means of dealing with international competition. Whereas rural areas play an important role as suppliers of human resources and raw materials, those areas have been left behind from the development process. Disparities between metropolitan areas and rural areas widen not only in terms of income, but also in accessibility of social capital and social services such as education and medical care.

Thailand is a middle-income country with serious disparities between metropolitan areas and rural regions. Since the 1960s, Thailand has achieved remarkable economic growth increasing its national income. However, while the Bangkok Metropolitan Area [2] achieved todays prosperity, the rural areas have become impoverished. The inequality of income distribution and distortion of economic structure are now recognized as social problems in Thailand.

This study evaluated how JICA's projects that had been implemented in various sectoral fields (hereafter 'areas') contributed to redressing disparities between the Bangkok Metropolitan Area and rural areas. Therefore, this study targeted the region with the lowest income in Thailand, the Northeast [3]. The study started by analyzing the situation of the disparities and their cause and structure, and then evaluated JICA's projects implemented in the region. The study discussed the issues against capacity-building off the local population, and suggested how JICA should act to redress the regional disparities.

2. Evaluated Projects

Targeted projects are shown in Table 1.

3. Members of Evaluation Team

Representative researcher:

Hiromitsu MUTA, Professor, Tokyo Institute of Technology (Specialty: vocational training)

Joint researcher:

Shoichi YAMASHITA, Professor, Hiroshima University (President of JASID) (Specialty: macroeconomics)

1) K.G. Myrdal, *Economic Theory and Underdeveloped Regions,* Harper and Row, 1957; S.S. Kuznets, "Economic Growth and Income Inequality," *American Economic Review*, 45(1), pp.1-28, 1955. According to Myrdal, in the development process, as market principles begin to work, regional disparities widen. He suggested that this is caused by the fact that economic activity, transportation, trade, universities and economic bodies all center in cities. (Myrdal, op. cit., pp.23-38.)

2) According to the definition given by the National Economic and Social Development Board (NESDB), the Bangkok Metropolitan area consists of the Bangkok Metropolis and surrounding areas such as Samut Prakan, Pathum Thani, Samut Sakhon, Nakhon Pathom, and Nonthaburi.

3) Thailand's northeastern provinces are Amnat Charoen, Buri Rum, Chaiyaphum, Kalasin, Khon Kaen, Loei, Maha Sarakham, Mukdahen, Nakhon Phamom, Nakhon Ratchasima, Nong Bua Lam Phu, Nongkhai, Roi Et, Sakon Nakgon, Si Sa Ket, Suin, Ubon Ratchalhani, and Udon Thani.

Table 1 Evaluated Projects

Sector	Scheme*	FY	Official Names of Projects	Implementing Institution (at time of cooperation)
Macro-economics	M/P	1991～1993	Regional Development Plan for the LowerNortheastand the Upper East Region in the Kingdome of Thailand	National Ecconomic and Social Development Agency
Infrastructure	GAC	1989～1990	Project for Bridge Construction in Northeast Thailand	Public Works Dept., Ministry of Interior
	M/P F/S	1981～1982 1984～1985	Road Development in the Northeast Region Road Development in Northeast Thailand (Phase 2)	Dept., of Highways, Ministry of Transport and Communications
Agriculture & Forestry	PTTC	1984～1991	Agricultural Cooperative Promotion Project	Cooperative Promotion Dept., Ministry of Agricultural Cooperatives
	PTTC	1992～1996	Reforestation and Extension Project in Northeast Thailand	Royal Forestry Dept., Ministry of Agricultural Cooperatives
Vocational training	GAC PTTC	1977 1977～1981	Project for Establishment of the Institute for Skill Development in Northeast Thailand nstitute for Skill Development in Northeast Thailand Project	Labor Dept., Ministry of Intemal Affairs (presently, Skill Development Dept., Ministry of Labor and Social Welfare)
	GAC PTTC	1987～1988 1988～1993	Project for Establishment of the Ubon Institute for Skill Development The Ubon Institute for Skill Development Project	
Health and medical care	GAC PTTC	1982～1984 1982～1989	Project for Establishment of the PHC Training Center The ASEAN Training Center for Primary Health Care	Ministry of Public Health, Mahidol University
	PTTC	1991～1996	Community Health Project in the Kingdom of Thailand	Office of Permanent Secretary Health Planning Div., Rural Health Div.

Joint researcher:
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Joint researcher:
Masahiro YAMAO, Professor, Hiroshima University (Specialty: agroforestry)
Joint researcher:
Minoru MORISHITA, Assistant professor, Tokyo University of Mercantile Marine (Specialty: vocational training)
Research participant:
Takahiro SAITO, Research Associate, Tokyo Institute of Technology, (Specialty: vocational training)
Research participant:
Yoshi TAKAHASHI, Research Associate, Hiroshima University

4. Period of Evaluation

(1) Macroeconomics Group

Preliminary study: 29 October − 8 November 2000
Full-Scale study: 4 − 14 December 2000
Follow-up study: 10 − 24 March 2001

(2) Infrastructure Group

Preliminary study: 29 October − 8 November 2000
Full-Scale study: 28 January − 10 February 2001

(3) Agricultural Group

Preliminary study: 4 − 19 November 2000
Full-Scale study: 16 − 18 December 2000

(4) Vocational Training Group

Preliminary study: 30 October − 16 November 2000
Full-Scale study: 17 − 30 December 2000

(5) Health and Medical Care Group

Preliminary study: 31 October − 8 November 2000
Full-scale Study: 3 − 13 February 2001

5. Methods of Evaluation

JICA has used external institutions to carry out evaluation from 1999. This evaluation study was the first to be entrusted to an academic society. The Japan Society for International Development (JASID) is an academic society established in 1990 primarily consists of researchers in the international development field. JASID selected evaluation mission members in terms of two specialties; regional knowledge (East Asian Countries including Thailand) and field study or evaluation study experience.

The preliminary study, main study, and follow-up study were implemented in each of the five areas: macroeconomics, infrastructure, agriculture and forestry, vocational training,and health and medical care; and the evaluation team was dispatched 11 times during the study process. Local consultants were also used to conduct questionnaire surveys.

JICA generally conducts its own project evaluation

study along with the five evaluation criteria recommended by the Development Assistance Committee (DAC) of the Organization for Economic Cooperation Development (OECD). However, it is rare to see long-term development plans that describe specific quantitative goals, even though the plans include development scenarios and projects. Therefore, there are many cases in which it is difficult to conduct a comparison analysis using indicators measuring achievement. In these cases, five criteria could not simply be adopted for use in evaluation.

Thus, this evaluation study only partially used the five criteria. For cases where it is difficult to adopt five evaluation criteria, a new concept and methodology for evaluation analysis was introduced. The framework will be introduced later together with the analysis for the macroeconomic field.

6. Structure of Evaluation Study Report

Evaluation surveys have been conducted on 13 projects in the following five fields: macroeconomics, infrastructure, agriculture and forestry, vocational training, and health and medical care. Six of the projects were project-type technical cooperation, four were grant aid cooperation, and three were Development Studies. The evaluation targeted projects with different cooperation schemes. This study premised that the targeted projects had a similar overall goal, "to redress disparities between metropolitan areas and the Northeast region," regardless of each project's intention during the planning process.

First, the study examined the disparities between Bangkok and the Northeast region, and then analyzed and evaluated the interim output and impact of the Lower Northeast and the Upper East Region in the Kingdom of Thailand (hereafter "Master Plan"). This Master Plan was one of the evaluation-targeted projects in the macroeconomic field of the study, and the new evaluation framework was used for analysis and evaluation. Based on the results of the analysis, the study pointed out future constraints against redressing regional disparities and recommended appropriate pro-poor policies. This summarizes the evaluation study.

Following this, areas other than macroeconomics were analyzed respectively.

In the field of infrastructure, the study conducted ex-post evaluation on the "Project for Bridge Construction in Northeast Thailand" and the "Road Development in the Northeast Thailand (Phases I and II)" projects, and recommendations were made based on the evaluation. In the field of agriculture and forestry, evaluation analysis and recommendations were made from the "Reforestation and Extension Project in Northeast Thailand" and "Agricultural Co-operative Promotion Project." In the field of vocational training, evaluation analysis of the "Institute for Skill Development in Northeast Thailand" and the "Ubon Institute for Skill Development Project" were conducted. Through the evaluation, various problems of the vocational training center, future issues regarding Thailand's education system and workplace were considered, and recommendations for policy were made. Finally, in the field of health and medical care, evaluation analysis was conducted and recommendations were made for the "ASEAN Training Center for Primary Health Care" and the "Community Health Project."

7. Experimental Study and Recommendations Regarding Alleviating Regional Disparities between the Bangkok Metropolitan Area and Northeast Region

(1) State of Disparities between the Bangkok Metropolitan Area and Northeast Region

1) Difference in GRP Per Person

The Northeast region corresponds to about one-third of Thailand, and the total population of its 19 provinces in 2000 was 20.76 million, equivalent to approximately 34% of Thailand's total population. Figure 1 shows the regional disparities per-capita GRP [4]. The figure gives a value of 1 to the per-capita GRP in the Northeast region, and expresses the magnification of the value of other regions.

Figure 1 shows that Bangkok has the highest GRP per person, and the Northeast the lowest. With rapid growth in the late 1980s, disparities between these regions began growing, and Bangkok's GRP per person increased from 5.3 times that of the Northeast in 1975, to 9.8 times in 1993. According to existing research results, during Thailand's high growth period the country had solid contributions from foreign countries in the form of direct investment from the private sector, exports, and income from tourism [5]. The presence of this external factor in each region determined the

[4] GRP (Gross Regional Product) per person not only indicates the income of residents, but also includes the income of companies and governmental departments.

[5] During this period, the Thai government prioritized and aggressively pursued the acquisition of foreign capital. Including Japanese companies, most foreign investment concentrated in Bangkok and its environs, with the center for exports and imports being Bangkok's Chao Phraya River.

degree of regional disparities [6].

From the mid-1990s, when Thailand's bubble economy came to a burst, the disparity in the two regional incomes narrowed. By shifting out some of the government's functions, promoting foreign investment and tourism in outlying regions, and decentralizing foreign capital policies enacted by the Board of Investment (BOI), the disparity between both regions contracted to 8.2 times in 1998.

2) Comparison of Industrial Structure

The difference in industrial structure is one of the causes of the income gap between the metropolitan area and the Northeast region. The key industry in the Northeast is agriculture, mainly rice cultivation. On the other hand, Bangkok has the largest share of the manufacturing industry, with a 40% share of value-added production. In other words, Bangkok has the highest percentage of industries that are value-added businesses, while the Northeast region has the highest percentage of agriculture, which is with low added value [7].

This suggests that the income gap between these two regions could be caused by discrepancies in the added value of the industries on which they rely.

3) Population Structure and Characteristics of Urbanization

Thailand's urban population account for 21% of the overall population in 1999, which is not high compared to other Asian countries [8]. However, there are significant differences in the percentage of urban populations in each region, according to 1999 statistics. In the Bangkok metropolis, more than 85% of the households reside in urban areas, while less than 10% are city residents in the Northeast. In the Northeast, 80% of household incomes derive from life in a rural village, which is prominent against the population structure in Bangkok.

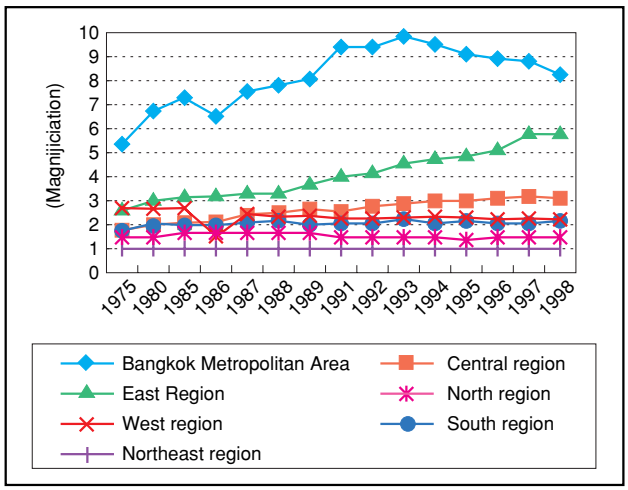
A comparison of birth and mortality rates in Bangkok and the Northeast show that the Northeast has a lower birth rate than that in Bangkok, but a higher mortality rate. As a result, since the mid-1980s, Bangkok's natural population growth has been higher than that in the Northeast, while, the Northeast population has been aging. These factors influenced differences in the regions' industrial structure, productivity, and vitality.

4) Disparities in Living Standards and Social Indicators

As described above, after the burst of the economic bubble in the mid-1990s, income disparities between Bangkok and the Northeast narrowed, but other social indicators still show that a large gap remains. For example in Bangkok, the amount of energy consumption per person was 14.1 times that of the Northeast region and the total savings per person was 22.6 times in 1996.

By examining social indicators, the disparities between the two regions can be seen more precisely. Table 2 shows that the living standard in the Northeast region is extremely low compared with that in the

Figure 1 Regional disparities in GRP per capita



Souce：1975-1985 NESDB, Gross Regional and Provincial Product, each year, and others

Cooperatives in Northeast Region - Cooperative Cultivation of chili peppers "Agricultural Cooperative Promotion Project"

6) Disparities between the two regions were at their most extreme in 1993, when the economy was in its bubble period and regions left behind by the bubble showed widening disparities.

7) However, in the northeast regions, despite reliance on agriculture, income from agriculture only comprised 10.8% of the total household income.

8) Other countries showed a high percentage of urban population; 57% in Malaysia, 58% in the Philippines and 40% in Indonesia.

Table 2 Social Indicators for Bangkok Metropolis and Northest Region

	Doctors per person			Nurses per person			Public phones per 1,000 people			Phone lines per 1,000			Population per a car		
	Bangkok	North-east	Gap (x)	Bangkok	North-east	Gap (x)	Bangkok	North-east	Gap (x)	Bangkok	North-east	Gap (x)	Bangkok	North-east	Gap (x)
1987	–	–	–	–	–	–	1.75	0.07	25.0	3.25	0.32	10.2	–	–	–
1988	519	12,128	23.4	211	3,920	18.6	1.72	0.08	21.5	8.24	0.34	24.2	9.8	355.9	36.3
1989	436	11,691	26.8	174	3,631	20.9	1.68	0.09	18.7	9.30	0.38	24.5	11.4	431.8	37.9
1990	443	11,175	25.2	173	3,280	19.0	1.74	0.11	15.8	10.83	0.44	24.6	8.9	397.6	44.7
1991	455	10,690	23.5	188	2,888	15.4	1.90	0.14	13.6	12.30	0.55	22.4	8.9	355.2	39.9
1992	440	10,526	23.9	178	2,748	15.4	2.11	0.19	11.1	13.74	0.69	19.9	8.1	327.9	40.5
1993	448	10,751	24.0	178	2,597	14.6	2.32	0.24	9.7	16.52	0.83	19.9	7.4	220.6	29.8
1994	450	10,655	23.7	165	2,443	14.8	2.50	0.27	9.3	17.52	0.93	18.8	6.7	205.9	30.7
1995	–	10,746	–	–	2,233	–	2.89	0.31	9.3	17.66	0.95	18.6	6.5	169.6	26.1
1996	–	10,183	–	–	2,232	–	3.20	0.36	8.9	28.25	1.52	18.6	6.2	143.5	23.1
1997	–	9,754	–	–	2,090	–	3.50	0.73	4.8	46.52	1.83	25.4	5.8	120.7	20.8
1998	–	–	–	–	–	–	4.07	0.97	4.2	30.98	2.04	15.2	5.4	116.1	21.5
1999	–	–	–	–	–	–	5.57	1.29	4.3	31.60	2.16	14.6	5.3	103.2	19.5

Source：NSO, Statistical Reports of Region Bangkok Metropolitan and Vicinity, 1998; NSO, Statistical Reports of Northeastern Region, 2000; NSO, Statistical Data Bank and Information Dissemination Division.

Bangkok Metropolitan Area.

(2) Regional Development Plan for the Lower Northeast and the Upper East Regions in the Kingdom of Thailand: Results of Mid-term Evaluation [9] and New Evaluation Framework

1) Goal for the Master Plan

The Master Plan is a 20 year-development plan extending from 1990 to 2010.

It aims to suggest a development scenario for the low-income Northeast region [10] based on three goals: ① raise the income of regional residents and reduce the disparity between the national average, ② feature usage of land and water resources with environmental concerns and sustainable development, and ③ encourage local residents to participate in the development process.

Table 3 New Evaluation Framework for Master Plan

(1) Relevance of direction and goals
a) Master Plans direction and relevance of goals
(2) Evaluation of plan's progress
a) Achievement evaluation in reference to goals
b) prerequisites and their relevance
c) Development strategies and progress of its scenarios
(3) Plan follow-up and policy issues
a) Were the issues proposed in the plan adopted in Thailand's development and implementation plans?
b) Overall evaluation of achievements at interim stage
c) Future issues of Master Plan study. To what extent did the recipient country's govemment follow up policy discussions and plans?
d) Evaluation method for Master Plan study
(4) Setting up conditions for autonomy and sustainability
a) Environmental considerations
b) Greating conditions for sustainable regional development

2) New Evaluation Framework for the Master Plan

In a long-term development plan such as this, even though development scenarios or projects are described, it is not common for specific quantitative indicators to be given. As a result, it is difficult to compare actual indicators in the evaluation, thus it is also difficult to apply the five evaluation criteria.

In the evaluation study of the Master Plan, a new framework analysis was established using four viewpoints and ten criteria as shown in Table 3

3) Evaluation Results through a New Evaluation Framework

a) Relevance of direction and goals

① The goal and direction of the Master Plan meets the requirements of the Thai government, therefore it is considered relevant. However, the true objective for Northeast regional development was the alleviation of poverty, but the plan did not give enough consideration to the poor and to the development of the resident's capacity.

9) Since this evaluation study fell in 2000, the wedium of the master plan period of 1990 to 2010, it is called the "interim report."

10) The master plan targets the Northeast region's seven southern provinces of Ubon Ratchalhani, Mukdahen, Yasothon, Suin, Si Sa Ket, Buri Ram and Nakhon Ratchasima as well as the northern provinces of Prachin Buri and Nakhon).

b) Evaluation of the progress in terms of the plan's implementation

① The economic growth rate in the targeted area, stipulated by the Master Plan, had fallen short of the plan's expectation due to incidents such as the 1997 currency crisis. The suggested scenario has not yet been activated, and as a result the Northeast region still shows lower economic growth than other regions and the productivity of the entire Northeast region has been reduced.

② Due to the currency crisis and the following economic stagnation, the prerequisite of the Master Plan collapsed. The scenario must be revised in the last half of the plan period.

③ The development scenario and direction were established fairly reasonably based on the principle of the growth poles model and reflected regional characteristics, which many field studies had grasped beforehand. However, the progress of the project was not very good.

c) Follow-up of plan and policy issues

① It is difficult to measure the extent to which the principles of the Master Plan were incorporated into Thailand's development plan. With the exception of some projects, government officials in charge did not follow the Master Plan sufficiently. After establishing the Master Plan, future developments should not be simply left to the recipient country; rather, the Japanese and Thai governments should hold policy debates and establish a system for following up the implementing process.

② The achievements and progress at the interim stage were not satisfactory. Since there were many changes in the course of implementing the project, the scenario must be revised in the last half of the project period. As an alternative, the draft of the mid-term development plan should be revised and re-established.

③ In future Master Plan studies, a donor country and the recipient country must set up a system for policy debate, and both must continuously understand the needs of the beneficiaries. A system should be prepared to enable continuous dialogue and instant reaction to the change of needs and conditions.

④ Many complex factors and conditions such as the recipient government's intentions, changes in the external environment and extension of the plan period, have considerable influence in evaluating the Master Plan study. Evaluations cannot simply apply evaluation criteria automatically. It is crucial to consider and analyze outputs using a broad evaluation framework based on a review of the goals and directions.

Pig farm in Phimai "Agricultural Cooperative Promotion Project"

d) Setting up conditions for autonomy and sustainability

① Environmental consideration is one of the goals of the Master Plan, and from the first stages of the plan, land-use, soil conditions, water quality policies, and flood measures during the rainy season were debated. In addition to resource management and natural environmental conservation for sustainable development, the plan should also take into consideration the direction of the future strategy for agriculture development and urbanization problems. Moreover, prior to the implementation of the environmental impact assessment of a project, Strategic Environmental Assessment (SEA) [11] concepts should be included.

② The condition of sustainable regional development is to build the capacity of all actors in the region. The Master Plan has taken the principle of the growth pole model, but to make regional development sustainable, it should concentrate the plan's goal on encouraging the people's participation and honoring the development process.

4) Importance of a Follow-up System

With the current system, after the Master Plan report has been submitted to the Thai government, the

[11] SEA is an environmental assessment that deals with policy planning and programs and is structured to perform a more extensive environmental consideration from an early stage. Introduction of this strategy is discussed.

Japanese government does not follow-up on the progress systematically. When follow-ups such as a dispatch of Japanese experts to governmental agencies and continuation of policy debates are implemented, they raise the effectiveness of the Master Plan. In establishing an important Master Plan, it is necessary to motivate recipient governments for development and to intervene continuously in the implementing process, including technical transfer after establishment of the Master Plan.

(3) Future Issues for Alleviating Regional Disparities: Focus on regional decentralization and supporting local initiative

1) The Necessity of Simultaneous Achievement of Both Economic Growth and Equity

The disparities in regional income mean that − to be extreme − 10% of Thailand's population live in Bangkok to enjoy its prosperity, while the other 90% of the country's citizens live in other regions with no opportunity to demonstrate their capacity, and in poverty with low-quality social services.

If the conditions necessary for drawing out local residents' capacity are improved, more citizens in rural areas can enjoy higher living standards and regional economic activities will regain vitality. This would contribute to economic development of the entire society. To accomplish this, the government needs to establish specific measures to revitalize people who have not fully realized their potential.

2) Progress of Decentralization of Governmental Function and Financial Support

The basic orientation for alleviating regional disparities is to disperse central governmental functions to the regions and equalizing income distribution. In the past Five-year Plan, the Thai government devised a regional development plan and implemented it along with the basic orientation. However, decentralization and equal income distribution still need to be promoted and corresponding governmental mechanisms must be established.

However, Thailand has a structure whereby local governments are subordinated to the central government; for example, provincial governors are appointed by the central government, and central agencies deeply intervene in regional administration. The central government maintains influence over the regions, especially regarding budget allocation and administration. Therefore, revitalizing the regions will not happen merely with financial support from regional tax allocation and government aid. The essential issue is to improve the efficiency of local governmental agencies, and build systems that effectively utilize such financial support. Moreover, this must be accompanied with improved conditions to enable local residents to participate in the development process and sustainable development.

3) Setting up a Support System for Local Initiatives

In the Northeast region, the activities of small-scale NGOs are developing. Among farmers there are cases of self-organization and direct transactions with factories without intermediaries. Some groups of farmers have been successful in switching to crops with higher returns, boosting productivity of vegetables and rice, and raising incomes. In regions with favorable geographical conditions (such as Nakhon Chanma), farmers have further diversified their management to aquaculture.

These developments were assisted by guidance from the Ministry of Agriculture and Cooperatives and aid to cooperatives provided by the Bank for Agriculture and Agricultural Cooperatives (BAAC), and they can also be attributed to the farmers' awareness towards profitability. This can be considered as the start of local initiatives. These facts indicate the necessity of establishing a support system that focuses on local initiatives and ensures the motivation of self-help and self-management.

Local residents trying to undertake initiatives need temporary support from the central government. Grassroots movements concerned with environmental problems and improving of living standards are linking residents of the center and the Northeast region. This kind

Market held on the 'Agricultural Cooperative Promotion Day' "Agricultural Cooperative Promotion Project"

of continuous exchange between the central and regional residents will raise the awareness of the people. When the participation of regional residents in the development processes is low, it is extremely important to rethink the significance and the role of local initiatiives and that support for this be extended.

8. Results of Sector Evaluation

(1) Field of Infrastructure: Outcome for regional development by road and bridge construction projects

This section evaluates road sector projects implemented by JICA in the Northeast region. The targeted projects are a grant aid cooperation, the "Project for Bridge Construction in Northeast Thailand" and a development study, the "Road Development in the Northeast Region " (Phases I and II). The five evaluation criteria were used for the evaluation.

1) Evaluation of the "Project for Bridge Construction in Northeast Thailand"

a) Relevance

This project was implemented in line with one of the priority development issues regarding regional development under the Sixth National Development Plan (1987 − 1991). The project particularly aimed to contribute to road construction in the less developed Northeast region. Currently, from the perspective of redressing income disparities between Bangkok and regional areas, the Thai government has been considering the Northeast region as a priority development region. Thus, this project is still extremely relevant.

However, although priority was given to less-developed regions for bridge construction, the strategy of improving income levels in the entire Northeast region was not considered. As the plan's overall goal did not explicitly redress regional disparities, it was not particularly relevant in efficiently redressing income disparities between Bangkok and the Northeast.

Huai Khum Mum bridge build through the 'Project for Bridge Construction in Northeast Thailand'

b) Effectiveness

Because bridges were constructed, people and vehicles could safely cross the river even during the rainy season, and transportation became more convenient. The improvement has not only provided benefit for residents around the bridges, but also dramatically decreased travel time and distance.

According to the traffic volume survey in 1999, almost all 26 checkpoints on bridges measured 1.5 times more than the expected volume. This shows that the project purposes were adequately achieved.

c) Efficiency

The project constructed 51 steel girder bridges, and the construction period and budget were within the initial plan. There were no problems concerning efficiency, However, Thailand's input to the projects were not made certain through this evaluation study. In conducting terminal evaluation of grant aid cooperation in the future, inputs of the counterpart country should also be researched. It should be noted that as Thailand depends on imports for all of its steel, it makes the steel bridges are extremely expensive to constroct.

d) Impact

People have pointed out the following impact of the bridge construction project: ① reduction in transportation costs, ② reduction in transportation costs for the input goods led to improved agricultural productivity, ③ improvement in agricultural productivity and increase in the amount of production, ④ cropping of cash crops increased, ⑤ reduction of the price of consumables due to lower transportation costs, ⑥ access to workplaces improved, so opportunities for work improved, ⑦ access to schools, hospitals, and administrative services improved, so the quality of life improved, and, ⑧ increased agricultural production and more job opportunities meant that disparities between the Northeast and other regions lessened. These results show that the impact of this project is very high.

e) Sustainability

The Ministry of Internal Affairs' Public Works Department (PWD) monitors the 26 bridges once a year. However, according to PWD staff, since there is no steel bridge technicians, monitoring is not accurate.

2) Evaluation of the "Road Development in the Northeast Region" (Phases I and II) Project

The development study consisted of a master plan and feasibility study. The master plan was established to select roads where high-priority development was needed and followed by a feasibility study. Most of the recommendations in the master plan and feasibility study have been put into effect by the Thai government.

a) Relevance

In this evaluation study, as most of the recommended projects in the master plan and feasibility study have been materialized, the relevance of the master plan and feasibility study was evaluated by assessing the impact of the constructed roads. The direct impact from the maintenance of the road network is seen in agricultural development in the Northeast region. In the plan, it was assumed that road construction would increase the use of chemical fertilizers. However, since the lack of knowledge on fertilizers was not resolved, and the excessive use of fertilizers contaminated the soil, production decreased and the production cost increased. As expected in the master plan and the feasibility study, due to the improvement of the roads, production shift to cash crop such as sugar canes were promoted. Although anecdotal evidence implied that the expanded market also increased producers' prices, the precise benefit to agricultural development was not very clear.

The road construction improved traffic conditions, and as a result, living standards improved. Cases showed that as roads were constructed, public transportation facilities had improved in service, and the social impact expanded.

As a result, road construction achieved expected outcomes, at least in terms of living standards; therefore the development study is very relevant. However, the development study did not adequately foresee the impact on agricultural development, industrial cultivation and income improvement, and it also did not consider the policies needed to promote the impact and prevent negative influence. In terms of these aspects, it was concluded that relevance was low.

b) Effectiveness

The effectiveness looks ① at the adequacy of the review process leading to the srecommendations and ② at the structure and contents of the report. Regarding the first point, the benefit of road construction was measured by economic indicators related to agricultural development, road maintenance, cost of maintenance, and social impact. The evaluation of the structure cannot be given high marks in either the master plan or the feasibility study, due to problems with ① the fact that the master plan was not based on a clear regional development strategy; and ② although the master plan considered the length of road needed to be maintained, a more crucial issue for redressing regional disparity was whether the Thai government would allocate its road budget to the Northeast region. However, the master plan did not refer to this issue.

c) Efficiency

The efficiency of the development study was evaluated on whether ① the study was implemented according to the original scope, ②the input, technical transfer, communications, and data were sufficient, and ③ coordination with other studies and projects was sufficient.

However, as it was not possible to obtain this study's S/W or other work documents, it was not possible to evaluate ① and ②. As for ③, while road-related studies and coordination with projects were sufficient, there was no coordination with fields involving agricultural development and improving the people's livelihood, although the study's objective referred to those issues.

Maintenance of Route 199 'Project for Bridge Construction in Northeast Thailand'

d) Impact

A feasibility study was implemented based on the master plan, and all projects that the feasibility study covered materialized. However, the outputs of the master plan were not totally used when the feasibility study was implemented. Although the feasibility study suggested to the Thai government that a new and improved route should open by 1988, actual construction was done from 1988 to 1996.

Despite these aspects, almost all road projects were completed through the loan of the former Overseas Economic Cooperation Fund (OECF) and the International Bank for Reconstruction and Development (IBRD). As a step for receiving the loan, the role of the feasibility study was quite significant and the outcome was clear.

e) Sustainability

The Department of Highways (DOH) has already completed the rehabilitation of the road length of 90km where the feasibility study recommended, and the IBRD paid for a portion of the project expenses. Through the IBRD funds, the DOH not only built new facilities and improved old ones in the road network, but also took care of maintaining and repairing roads. This shows that this project is sustainable.

3) Lessons Learnt and Policy Recommendations

In order to redress regional disparities, individual projects, development studies, and construction projects that benefited from the studies should contribute to the economic and social development of the region, but this alone is not sufficient. A strategic approach with a nationwide viewpoint that will further develop the Northeast region to redress disparities is indispensable.

(2) Field of Agriculture and Forestry: Contribution of regional agriculture through recovery of natural resources and institution-building

The natural condition in the Northeast region is extremely severe, so the people have suffered with low productivity, low investment, and low income over a long period of time. Here, the evaluation was done for two projects that JICA implemented in this region, the "Reforestation and Extension Project in Northeast Thailand" (REX), and the Agricultural Co-operative Promotion Project (Co-operative Project). REX was an afforestation project in the 1990s aimed at the technical transfer regarding seedling production and its management. The project also included

Nursery tree production in REX tray 'Reforestation and Extension Project in Northeast Thailand'

activities involving distribution of seedlings to residents, and diffusion and education on afforestation. Meanwhile, the Co-operative Project was implemented from the mid-1980s to early 1990s, related to organizing and managing agricultural cooperatives as needed by the farmers' association to promote regional agriculture.

1) Evaluation of REX Activities

a) REX cooperation fields

In 1988, the Thai government established the "Reforestation Plan for Northeast Thailand" and began full-scale afforestation activities. In order to promote the plan, seedling fields were needed to be secured for afforestation projects as well as the technology for the large-scale production of seedlings. The REX encompassed ① a base-line survey, ② developing managing technology for large-scale seedling fields, ③ developing extension methods and strengthening extension systems, ④ establishing training plans that target the local community and government officials, and develop educational materials, and ⑤ creating demonstration and model forests to strengthen afforestation activities, technical training, and extension.

b) Modern and Innovative Aspects of REX

REX prioritized technology transfer and extension of the transferred outcomes. The project goals, were to distribute seedlings to targeted areas and to afforestate the regions promoting a rise in farmers' income. Therefore, REX's goals and activities have the potential to relate to the innovation of agricultural, forestry, and industrial structure in the Northeast region. Further, the project was involved in creating community forests that could provide timber for building villages, schools, and temples. By upgrading

communal properties with this method, demonstration effects, and economic outcomes could be raised. REX showed innovative and advanced characteristic in this field.

c) Transfer of Technologies for Large-scale Nursery Management

REX developed technology related to seeding and pot seedling , in order to improve technology to produce and manage seedlings and developed "REX-TRAY" as a suitable seedling for the environment of the Northeast region. The seedlings, produced by this new technology, were distributed throughout the target villages in the project.

d) Participatory Operation with Local Demand Orientation

The basic principle of REX is to know the demand for afforestation in the target villages and reflect this demand in the production of seedlings. To ensure objectivity and transparency, data prepared by the Ministry of Internal Affairs was used to select recipient villages, and as a result 1,668 villages in the Northeast were chosen. REX seedlings were distributed to over 17,000 organizations (governmental organizations, schools, temples, etc.).

e) Multifaceted outcome from the use of abandoned land

REX enabled the large-scale production and distribution of seedlings, encouraged farmers' afforestation activities, and created economic merits that accompanied afforestation. REX's seedling distribution was very attractive for farmers with unused land. Afforestation was also attractive for poor farmers who had land for limited farming uses and could only produce a limited number of crops. Since the uncertainty in cassava production was a problem, farmers searching for alternative crops or the tree variety, and for employment other than in the agricultural sector were able to attain other jobs while receiving income from afforestation, resulting in a tendency to participate heavily in afforestation activities. Also, afforestation was effective as a means of alleviating 'pressure' to overuse agricultural resources.

f) Conservation and use of communal forests

The community forest that REX attempted to support improved the natural environment in villages and created economic profits for residents. For example, residents came to understand the value of community forests and their profits were used as funds for improving the living environment of villages.

Plantation of seedlings in 'Reforestation and Extension Project in Northeast Thailand'

g) Problems of REX

Promoting afforestation activities by enhancing the awareness of participation among residents, and developing and extending the method of selecting tree types according to needs was an epoch-making project adopted by REX. However, the target areas were consisted of too many villages for Japanese experts and counterparts to get deeply involved in afforestation activities such as those in the community forests. REX has a wide range of activities. In terms of future projects, it is strongly recommended that the target area and techniques be more focused. This is to enable counterparts to transfer technologies for residents autonomously, which makes projects more effective.

2) Activities and Evaluation of Farmers 'cooperative Project

a) Purpose of Farmers' Cooperative Project

The Cooperative Project aimed to ① expand and strengthen agricultural cooperatives (expand organizations and improve the rate of use), ② have cooperatives take a leadership role in regional agricultural development, ③ develop distribution as an equitable transactor in the market, and ④ be actively involved in cooperatives by setting up a system to respond to farmers' financial demands and set up plans for farmers' funding.

b) Characteristics of Cooperative Project

The characteristics of the Cooperative Project were ① its technical cooperation in a "soft" field of fostering an organizational and management

body where village residents can participate, ② its attempts to strengthen a model cooperative [12] management that promotes regional industry, as well as strengthens the model cooperatives' organization and management [13], ③ the target to extend the working plan and principle of the model cooperative, to all agricultural cooperatives, and ④ the risk that the project could have been rendered worthless by competing plans implemented in other groups [14].

c) Activities of model cooperatives
The technical transfer covered business, management and organizations, but the technical transfer for credit was the most successful. This is because most cooperatives had difficulty in collecting loans made to members, which caused financial problems. In the model project, the cooperatives were provided with information on how to use ledgers and inspect and rank the credit-worthiness of members. Through the Cooperatives Promo-tion Department (CPD) these techniques were introduced to all cooperatives.

d) Creating successful compound farm management
Most cooperative members used to be engaged in mono-cultural farming of paddy-field rice production. Farmers used to consider compound farm management too complex, but as the cooperatives' guidance services were established, they became proactive. The model farm groups chose crops based on their members' intensions, and experts provided techniques and knowledge. Small-scale infrastructures were also improved.
The Phimai, Khongsamaki and Paktongchai cooperatives at this time were quite active in pig farming introduced by the activities of REX. In an area with model farm groups, an increasing number of rice farmers purchase compost and use it in their paddies. This increased the profitability of the paddies, and with the launch of livestock farming, agricultural production increased.

e) Agricultural Cooperative Promotion that enabled sustainable regional agriculture
Although there were some disparities among cooperatives, the Cooperative Project introduced unprecedented agricultural activities such as improved credit business, instructive operation, and distribution and processing-related business. In particular, the system for carrying out production credit and a stable supply of agricultural materials were well evaluated. It was made clear that if a stable agricultural cooperative were established through the advancement of cooperatives, and operated activities directly linked to the members' new firming activities, it would be possible to improve farmers' income as well as regional agricultural productivity.


Watering at REX Nursery Tree Center in Udon Thani

f) Supporting paddy field cultivation
When the project started, Thailand's agricultural cooperatives could not participate in distribution operations of non-hulled and milled rice, but the successful experience in the model cooperatives has proved the possibility of cooperatives entering the rice business.

3) Lessons

The experiences of REX and the Cooperatives Plan suggest the necessity of a holistic approach in assisting rural areas. The transfer of technology for the large-scale production management of seedlings through REX was linked with such activities as seedling distribution to the targeted villages and support for community forests, and saw significant results. In the Cooperatives Plan, cultivating cooperatives were linked to transfer agricultural technology, and thus created opportunities for sustainable agricultural development in that region. Furthermore, the evaluation results of both projects show that involving projects in all related sectors is more effective

[12] n this project, the Amphur Muang, Paktongchai, Chakkarat, Khongsamaki, and Phimai cooperatives in Nakhon Ratchasima province were chosen as model cooperatives for this project.
[13] In other words, a model business group is set up, and a cooperative system set up based on the group of producers.
[14] BAAC provided micro-financing, and the Ministry of Internal Affairs and other governmental institutions began organizing village residents, so even if the Cooperatives Plan were successful, it would risk getting lost among the efforts of similar projects, limiting the ripple effect through society.

in encouraging local people's participation than a project dealing with a single sector.

In the future, in technical transfer for the agricultural, forestry, and fisheries fields, the requests for cooperation on management of regional resource and environment for sustainable use is likely to increase. REX methods can be used to recycle and manage environmental resources, and methods similar to that of the Cooperatives Plan can be used to spread economic benefits gained from those activities among local people.

(3) Vocational Training Field: Regional Development Effect of Vocational Training

This section introduces policy suggestions on future problems in Thailand's educational system, workplace, and the Institute for Skill Development (ISD), through the evaluations and analysis of the Khon Kaen Institute for Skill Development (KISD) and the Ubon Institute for Skill Development (UBISD), that were established by grant aid cooperation and project-type technical cooperation.

1) Regional Development Effect of Vocational Training

Originally, it was assumed that strengthening education and vocational training would be effective in redressing the disparities between Bangkok and the Northeast region. However, people with technical skills in the Northeast region have few opportunities for employment, and are able to receive much higher wages in the cities. Therefore, students of training centers in the Northeast region tend to leave for the metropolitan areas once the training is completed. As a result, even after receiving education and training, there is an outflow of graduates to Bangkok, limiting direct effects on the development of the Northeast.

Interview regarding the state of employment of graduates (Ubon Rachathani, TOYOTA)

2) Study Perspective and Methods

This evaluation study used a cost benefit analysis to measure the effect of KISD's and UBISD's contribution to redressing regional disparities. It measured how KIDS and UBISD activities yielded outcomes commensurate with their input. If this analysis concluded that the project improved productivity more than the level commensurate with input, the project could be contributing to regional development.

3) Effect of Questionnaire Study

Based on the questionnaire survey conducted on KISD and UBISD trainees, only 29.2% of the responding trainees were planning to work in the Northeast region after the completion, and 41.4% planned to be employed in Bangkok. On the other hand, for ten years later, 39.4% of the respondents were planning to work in the Northeast region, and the number of those planning to work in Bangkok had shrunk to 23.3%. Further, 15% of trainees planned to work overseas. They initially prefer to work in Bangkok and a few years later return to the Northeast or work overseas.

4) Cost Benefit Analysis [15)]

First, this study calculated the social earning rate, which is an indicator to show social cost/benefit. Graduates can be divided into three groups by the school career. elementary school education, middle-school education and secondary school education. Assuming that half of the graduates of each group work in Bangkok, the social earning rates will be 3.7%, 5.2% and 6.6%, respectively. This is because the students with the higher education have the highest latent abilities, and also their academic background can be a determining factor of their salaries. In looking at the region of employment, in the Northeast region the earnings rate is 0.9%, and 9.8% in Bangkok and its environs, respectively. The overall social earnings rate is 5.5%. Considering the job training that ISD provides as an investment opportunity, it is a worthwhile project.

The cost benefit analysis of the Northeast region shows that, if half the trainees left the Northeast, it would be 2.1%, and, if no one left, 13.4%. If the graduates working in Bangkok remitted one-third of their salaries back to the Northeast, the cost-benefit would be 9.4%. The Northeast has only small-scale industries,

15) This analysis compares the project costs and benefits and determines if the outcome were commensurate with the input. The benefit is derived from the answer regarding salary in the questionnaire given to ISD graduates and the difference to the salary based on the minimum wage.

and the labor market is quite small. Therefore, to work in Bangkok and remit money home is more effective in stimulating indirect demand than to live in the Northeast and be unemployed or become a seasonal laborer.

However, it is a loss for the Northeast development that educated and skilled workers who should have been employed in the Northeast leave to Bangkok.

5) Changes in External Environment

Currently, ISD is facing large changes in the social environment. First, after the currency crisis in 1997, the unemployment rate skyrocketed. In the Northeast region, where there had always been a higher unemployment rate, conditions worsened. The labor market began to improve in 2000, but if graduates were not able to find employment, productivity would not improve in the regional society.

The next point is that educational opportunities have expanded. After the Thai government's 1990 project to upgrade educational opportunities, educational opportunities in the country have increased, and the number of students going on to secondary education rose to 74.2% in 1997. As a result, the position in the labor market of those who are trained in KISD and UBISD is becoming relatively low. Because they are mainly graduates of elementary or first level secondary school, the position of skilled workers which they used to fill is being increasingly replaced by graduates from the second level of secondary school.

Third, there is competition with other vocational training organizations. The Ministry of Labor and Social Welfare's vocational training organizations are being established throughout the country, and the number of students is increasing rapidly. However, organizations providing vocational education and training to graduates of the first half of secondary school are not limited to the Ministry's ISD. The Ministry of Education also runs many vocational training organizations. The merit of programs run by the Ministry of Education is that students not only learn and gain technical skills, but also receive a certificate from the Ministry that has considerable value in the labor market.

6) Conclusion and Policy Recommendations

For KISD and UBISD to contribute more to the development of the Northeast region, basic education should be entrusted to the schools in the jurisdiction of the Ministry of Education, and the prerequisite for the academic background of trainees should be raised. Another alternative would be to aim for skill improvement training for those who have obtained a job.

Second, for graduates to have a fair assessment from the labor market, there may be a measure that they receive a certificate from the Ministry of Education. At the very least, if the Ministry were to recognize ISD's training as credits at its schools, the employment rate would increase and ISD training would lead to greater productivity.

Vocational training requires high costs in general. Consequently, there are limits to what ISD resources are able to do to meet the diverse demands of the labor market and to respond to rapid technical changes. For ISDs to contribute more to regional economic development, ISDs should cooperate with the private sector, while responding to demands in the regional labor market, and function as coordination institution of vocational-training centers.

(4) Evaluation of Public Health Projects: with Regard to the Sustainability of Institutions and Service Provision

In this section, two projects that implemented grant aid cooperation and project-type technical cooperation, "Primary Health Care Training Center" [16] and "Public Sanitation Project" are analyzed and recommendations are offered.

1) Objectives of the Evaluation Study

The reduction of social and economic disparity by supporting the health sector can only be achieved indirectly after complex interaction of various other parameters. Therefore, organization management that is included in the targeted project was focused in this evaluation, and through looking at the relationship between progress in the health policy and the trend of health indicators, the effect on redressing social and economic disparities was considered.

2) Policy Environments

The principles in Thai policy for the health sector have been compiled in a five-year National Health Plan. Unlike same of the other developing countries, the plan is pragmatic and is enforced with an actual strategy.

Currently, the Ministry of Public Health (MoPH) is aiming for better coordination between health and medical resources and services, and is trying to improve people's access to health and medical services. In Thailand, epidemiological shifts and demographic transitions are under way while the birth rate and morbidity rate for infectious diseases are decreasing,

16) "Primary health care" will be abbreviated to PHC hereafter.

and the chronic disease rate has increased [17]. As developed nations have already experienced, this kind of demographic and epidemiological transition raises medical costs. Consequently, management in the health sector must be made more efficient, which includes strengthening mechanism for health financing.

3) Overview of a construction project of the PHC Training Center (ATC/PHC) and Regional Training Centers (RTCs)

ATC/PHC and RTCs were constructed by grant aid cooperation from Japan. As an international education training center, the project aims to foster human resources in the field of public health [18] in ASEAN countries, and was set up in Mahidol University situated in the Bangkok suburbs.

Regional Training Centers [19] were established in four places in the country. The RTC is a technical training center that belongs to the Office of PHC of MoPH. It is responsible for ① researching and studying the model development for health care to conform with the socio-economic status of each of the regions where the centers locate, ② promoting development of educational technology related to PHC, ③ holding PHC and community development training courses for public employees, technical experts, PHC workers, and community leaders, ④ promoting the exchange and collection of information regarding PHC, and ⑤ serving as the supplier of technical support and the PHC coordinator within the regions for which they are responsible.

4) Institutional Performance and Sustainability

Since the ATC/PHC was promoted to a position of the ASEAN Institute for Health Development (AIDH)[20] in 1988, it has grown into a full-fledged institution providing various training courses and master's programs. Since 1993, the third country training program has been implemented with the support from JICA. Development of the project has moved well beyond the initial plan, so AIDH's organizational performance is highly evaluated [21]. In particular, AIDH is currently strengthening education and training programs related to AIDS, and the content has been well received.

Regional Training Centers also carry out various activities, and the RTC in Khon Kaen Province receives trainees from neighboring countries through the program conducted by the United Nations Development Program (UNDP), as well as disseminating knowledge and information through publication of periodical papers.

Regarding the sustainability of both of these organizations, since RTCs are government-affiliated organizations, they will continue to develop with the government's support. AIDH is an independent corporation, and since its inauguration, it has not depended fully on government aid and has actively sought to secure independent funds [22]. AIDH has raised independent revenue that is four to five times greater than the government subsidy it receives, and will likely continue to be a successful example of an independent organization.

5) Framework of the Community Health Project

This project consists of five sub-projects [23] : rural community health services, dental health care, urban community health services, trauma prevention and system research on health insurance. The project is unique in the fact that it uses the Participatory Action Research (PAR) technique to solve problems [24].

Vocational trainings at the Ubon Institute for Skill Development (UBISD)

17) Causes of death by frequency are 1) cardiovascular diseases, 2) accidents and 3) malignant neoplasms.

18) More specifically, 1) to promote training, research, and models for PHC development in rural villages and urban regions, 2) to strengthen materials and programs for training Thai and other ASEAN country's citizens, and 3) to exchange experiences and information on PHC and form a domestic and international network for PHC.

19) RTCs were established in Khon Kaen, Chon Buri, Nakhon Sawan, and Nakhon Si Thammarat provinces.

20) After this, AIDH will be used; when ATC/PHC is used, it refers to the time period before the organization's ascension to AIDH.

21) AIDH functions as the research center for the World Health Organization's (WHO) South-East Asian Regional Office (SEARO). Information and knowledge are dispersed though a published journal.

22) Other than program aid from international institutions, funds come from AIDH's independent revenue sources, such as revenue from publications and fees from the student dorms it runs.

23) The injury prevention sub-project would be upgraded and continued as a new project-type technical cooperation entitled the "Injury Center Project", for five years from 1 January 2000.

24) PAR is a method by which what should be studied either by internal or external bodies is decided, the study is set, and the necessary information is collected.

The main goals of the project are as follows: a) raise the quality of PHC activities, b) strengthen existing district health services, c) strengthen management systems for specific programs such as prevalent communicable disease control, family planning, and maternal and child health, d) develop programs to respond to the emerging health problems due to industrialization and urbanization, e) promote information, education and communication activities at the provincial and district levels, f) implement main programs on PHC through PAR, g) promote education for personnel in the field of community health care management, and h) closely coordinate these project activities for family planning and maternal and child health.

6) Outcomes of the Community Health Project

Although the dental health sub-program did not show clear results, other outcomes including a high coverage rate in the Expanded Program of Immunization, improvement of nutrition indicators, and set up of sanitation facilities were positive.

In this project, the introduction of PAR brought about various outcomes. Within their everyday work, PAR sets issues, looks for ways to overcome those issues and implements them. Then, PAR evaluates its achievement, and further issues are considered. This feedback system itself is a revolutionary attempt to encourage the field staff to set new goals.

One of the purposes of using PAR was to change the behavior of the field staff members, who were used to following top-down instructions. With PAR, they could discover meaning in their work, thus increase their motivation. Many have said that the project made residents feel the necessity to continue activities in the health field started by the project, and that this enabled them to continue those activities.

7) Conclusions and Lessons

The benefits of the health and medical care projects are widely shared in Thailand, and contributed in improving quality of health services and health standards. Consequently, the projects had impact in the fundamental areas needed to alleviate the social and economic disparities between Bangkok and the Northeast.

9. Suggestions from the Perspective of Alleviating Regional Disparities

The evaluation study had difficulty in attempting to re-organize the projects to one program with one goal of redressing regional disparity, and to evaluate the overall effectiveness. The projects were planned and implemented 10 to 20 years before, and thus their immediate purposes did not necessarily refer to the alleviation of regional disparity. Not only are there limits to past data that can be obtained, but the projects targeted for evaluation did not have a country-wide perspective, and instead aimed to put development forward in the Northeast region. The evaluation of individual projects was generally high. Since redressing regional disparities had not been clearly intended as a project purpose in the beginning, it was difficult to exemplify the projects' contribution to the issue.

(1) Suggestions from a macroeconomic perspective

The direction and scenario adopted in the evaluated master plan were based on "the principle of the growth pole model", which are applied in developed countries as well. However, the empirical analysis that applied the "growth pole model" in regional development is still under way, especially in the process from the establishment mechanism to its growth, maturity and decline, and also the promoting factors in the field of development. In particular, in cases when national budget is allocated generously in regions aiming for redressing regional disparities, there remains a concern that disparities within the region would only worsen in cases of developing countries. While preventing and alleviating these regional disparities, it is becoming increasingly important for local residents to display initiatives and to be more involved in the development process. Hence, the conditions that have enabled these attempts should be considered in future regional development models.

Based on the idea that market principles cannot alleviate disparities by themselves, it is important for the national budget to be allocated as financial support to outlying regions and government functions to be delegated to local governments. Furthermore, there was no concrete measure suggested in the Master Plan, although it noted that local resident's participation should be prioritized. In the future, the support should be given to encourage those local initiatives. In addition it is necessary to recognize that the private sector can be relied on to distribute products, funds, information and services. Also, an environment conducive to development of the local private sector should be established and human resources trained.

(2) Infrastructure

It is expected that the infrastructure projects redress disparities. In order to maximize the contribution to regional development, it is important to choose sites for

facilities to be built within a given budget. Goals to be achieved through regional development should be clarified when selecting sites. For instance, it should be decided whether to raise incomes in the targeted region as a whole or to boost relatively underdeveloped areas within the region. All these projects are relevant to regional development, thus a democratic decision-making process should be established so that residents are given several sites to decide on their preferred combination of goals and sites.

(3) Agriculture and forestry

The projects evaluated here have shown that it is fairly effective to create organizations that support and consolidate local residents' economic activities for regional development. Hence, creating collegial organizations such as cooperatives for residents is still an important issue. In addition to creating organizations, technical cooperation related to the efficient use of agricultural infrastructures for distribution and processing of agricultural products should be considered. Also, to prevent regional economies from excessive reliance on specific resources, a structure for regional resource use should be established.

(4) Vocational training

In order for a region to develop, graduates that have received vocational training need to be employed in the region and contribute to the regional economy by spreading the knowledge and technology they have acquired. However, the Northeast has a very small labor market, and it is difficult to prevent the outflow of labor into the urban cities, where wages are higher. Whether education and vocational training can redress regional disparities depend on the capacity of the regional labor market.

(5) Health and medical care

The evaluated projects aimed at establishing a healthcare service model at the prefectural level, and traning and educational institutions in primary healthcare. The projects contributed to improving access to healthcare services and raised the health conditions of local residents. Hence, the projects also created a foundation for ameliorating the disparities between outlying regions and urban areas. In particular, various training and educational activities included in the projects helped to establish human resources in the field of public health.

It is essential to be aware that healthcare in a narrow sense alone cannot support the total healthcare sector − the basis from which regional disparities can be redressed. The Trauma Prevention sub-project for Khon Kaen province's Community Heallth project, provided technical cooperation in transportation management as well as in hospital services. The result implies that an approach to the health sector would be more effective if it incorporated a wider view as seen in this project.

(6) Recommendations

As described previously, although the evaluation study itself has limitations, there are cross-sectoral issues that were indicated from the evaluations of each sector as described below. They have applicability to future projects that aim to alleviate regional disparities.

1) Cross-Sectoral Coordination

Since past projects had insufficient coordination with projects in other fields, the outcome were limited. In particular, to achieve the overall goal of redressing regional disparities, a comprehensive plan that emphasize relationships in different fields, such as infrastructure and medical care or human resource development and regional development, are required.

2) Direct involvement to the region

Since most projects until now have assumed that if the center were developed, results would trickle down to the periphery, there has not been much direct involvement to the local initiatives for regional development or to the poor income group. It will be even more important in the future to include the viewpoint of supporting self efforts of the local residents.

3) Incorporating systems that can respond to the change in external enviromment

Redressing regional disparities requires constant efforts, and while doing so, proper response to external changes is needed. The recipient organization should be independently operated and a framework that can adjust with social change should be in corporated at the planning stage of a project.

10. Follow-up

In FY2000, the evaluation results described above were compiled in a report (in Japanese /main and summary versions).

In FY2001, the study was entrusted to the Japan Society for International Development, and a report in English (main and summary) and in Thai (summary only) were prepared. The evaluation seminars to present the results were held on 28 August 2001 in Bangkok and on 30 August in Khon Kaen. Local participants were invited to attend each seminars and after the evaluation results were presented, opinions were exchanged.

On 18 October 2001, another seminar was held in Tokyo towards the general audience, where case studies from the report were presented.

The results of both seminars were compiled as a seminar report in Japanese, with additional analysis.

Philippines

Population and Health Sector in the Philippines under JICA / USAID Collaboration : Part 1 (Reproductive Health)

Project Sites Philippines (nationwide)

1. Background and Objectives of Evaluation

The Japanese government is actively involved in the population and health sector, with participation in the 1994 Global Issues Initiatives (GII) on Population and AIDS, and the 2000 Okinawa Infectious Diseases Initiative. Japan-U.S. partnership has been promoted since the 1993 Japan-U.S. Common Agenda [1] Announcement, and the Philippines had been a major target for Japan-U.S. ODA. Under these circumstances, JICA has implemented cooperation for the Philippines in the population and health sector, specifically family planning and maternal and child health fields, as well as infectious disease fields such as AIDS, Tuberculosis, and Malaria.

In this evaluation (Part 1), the fields of family planning and maternal and child health were targeted, and the achievement of Japan's cooperation was comprehensively evaluated. Furthermore, based on evaluation results and with the help of USAID, which has a wealth of achievements and knowledge on this sector in the Philippines, the following lessons and recommendations were derived:

1) lessons and recommendations for future cooperation policies of JICA for the subjected sector in the Philippines;
2) lessons and recommendations for introducing the program approach for future JICA projects; and
3) lessons and recommendations for project formulation and evaluation in future coordination with the U.S. and other donors.

Lessons and recommendations for introducing the program approach.

2. Evaluated Projects

This evaluation targeted JICA projects implemented from April 1992 to February 2000, as shown in Table 1. Also included were the grant aid "Project for upgrading of Facilities and Equipment in Selected Field Health Units" and 23 grassroots grant projects as reference. The evaluation focused on projects after 1992 in order to selectively evaluate projects implemented after the Common Agenda Announcement.

In addition, rather than evaluating each project individually, the report considers the coordination between projects with common goals as "cooperation programs," and evaluated them experimentally as "programs."

3. Evaluation Framework

(1) Evaluation items and procedures

Evaluation items and procedures are as follows:

1) Analysis of conditions and policies regarding reproductive health (RH) in the Philippines
2) Achievements and evaluation by JICA cooperation scheme
3) Experimental evaluation of cooperation programs

Experimental evaluation of the cooperation programs is implemented as follows:

a) organize all projects targeted in evaluation as one cooperation program;
b) prepare a Program-approach Logic Model (PLM) as a matrix to show the logical framework for the cooperation program;
c) use the aforementioned PLM, and comprehend achievements; and
d) using the PLM, conduct evaluation based on the five evaluation criteria.

(2) Study method

In gathering information, interviews were held with the

[1] Formally, "U.S.- Japan Common Agenda for Cooperation in Global Perspective"

related divisions of JICA headquarters, the JICA Philippine office, the Japanese Embassy in the Philippines, USAID, the United Nations Population Fund (UNFPA), the Asia Development Bank (ADB), the Philippines Department of Health, regional health departments, NGOs, long-term experts in Project-Type Technical Cooperation, and Japan Overseas Cooperation Volunteers (JOCV). The study group also visited the project sites and interviewed long-term experts and counterparts. Local consultants carried out questionnaires and focus-group interviews to determine the project's impact.

Evaluation indicators used in experimental evaluation of cooperation programs were based on data obtained from existing statistics and informal questionnaires. The questionnaires targeted "direct beneficiary areas" and "non-beneficiary areas" as the "cooperation program" quasi-control group. The direct beneficiary area was the six Rural Health Units (RHU; 180 people) from the pilot RHU of the "Family Planning and Maternal and Child Health Project," while the non-beneficiary area was one RHU (30 people) which had less benefits from the "cooperation program."

4. Study Participants

Group leader:

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Member:

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Member:

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Member:

Christine PILCAVAGE, Donor Coordination Division, Planning and Evaluation Department, JICA

Table 1 Projects Targeted for Evaluation

Scheme name (Managing division)	Project name	Targeted site	Implementation period
Project-type Technical Cooperation (First Medical Cooperation Division, Medical Cooperation Department)	"Family Planning and Maternal and Child Health, Project" Phase 1	Tarlac	1 April 1992—31 March 1997
Same as above	"Family Planning and Maternal and Child Health Project" Phase 2	Region III (six provinces)	1 April 1992—31 March 1997
In-Country Training Program (Southeast Asia Division, Regional Department I)	"Gender and Development towards Improvement of Women's Health and Family Welfare"	All regions in the Philippines	1994—1998
JOCV: individual dispatch (Second Overseas Assignment Division, Secretariat of Japan Overseas Cooperation Volunteers)	No specific name; (coordination with Equipment Supply Program for Population and Family Planning)	All regions in the Philippines	1994—1998
JOCV: group dispatch (Second Overseas Assignment Division, Secretariat of Japan Overseas Cooperation Volunteers)	Front Line Initiative on Population and Family Health Project (coordination with Equipment Supply Program for Population and Family Planning)	Region III (six provinces)	1 October 1998—30 September 2002
Population and Family Planning Special Equipment Donation (Planning Division, Medical Cooperation Department)	Multilateral-bilateral cooperation with UNFPA	All regions in the Philippines	1994—2002
Community Empowerment Program (Southeast Asia Division, Regional Department I)	"Comprehensive Reproductive Health Promotion Package Program" (PNGOC)	Manila metropolitan area, region III	7 February 1999—15 August 1999
Community Empowerment Program (Southeast Asia Division, Regional Department I)	"Strengthening Maternal and Child Health Program in the Municipality of Plaridel, Bulacan" (Regina Carmeli University)	Region III	5 January 1998—30 March 2001
Community Empowerment Program (Southeast Asia Division, Regional Department I)	"Pinaod Community Comprehensive Health Clinic" (Philippine Infant Hospital)	Region III	5 January 1999—30 March 2001
(For reference) Grant Aid (Ministry of Foreign Affairs)	"The Project for Upgrading of Facilities and Equipment in Selected Field Health Units"	Region III	January 1998 (pre-study implementation) —March 2001 (completion)
(For reference) Grassroots Grand Aid (Ministry of Foreign Affairs)	Total of 23 projects (only projects related to relevant fields)	All regions in the Philippines	1995—2000

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5. Period of Evaluation

19 February − 2 March 2001

6. Achievements of Japan's Cooperation by Scheme

(1) Project-Type Technical Cooperation

JICA implemented the "Family Planning and Maternal and Child Health Project" Phase 1 from 1992 to 1997 in the central Luzon Island (Region III) province of Tarlac. To extend these results further, Phase 2 has been underway throughout region III (six provinces) since 1997 and will run for five years.

The project activities have gradually shifted their emphasis from family planning to control the population at the beginning of Phase 1, to RH in Phase 2 (especially after 1999), in response to results of the International Conference on Population Development (ICPD). In Phase 1, methods of activities primarily focused on Information, Education and Communication (IEC) and community organization support, but in Phase 2, the focus is shifting to maternal and child health activities.

At the time of evaluation, projects consisted of the three fields of "maternal and child health," "RH promotion," and "community organization support."

The project is characterized by actively utilizing other JICA schemes and NGOs, as well as functions as a coordinating body among them, and leads to form a "cooperation program."

(2) JOCV

After 1994, JOCV members were dispatched to work in the Philippines' population and health sector in collaboration with the above-mentioned "Philippine Family Planning and Maternal and Child Health Project" Phase 1 focusing on region III. Work related to equipment supply, carried out by experts and project coordinators, was transferred to senior volunteers in FY1997. The senior volunteers' participation in selecting and procuring equipment, and coordinating with JOCV facilitated the team's activities. From September 1998, the "Front Line Initiative on Population and the Family Health Project" started and the JOCV dispatch and equipment supply began to be formally conducted under the initiative.

(3) In-country Training Program

The in-country training program "Gender and Development towards Improvement of Women's Health and Family Welfare" was conducted by the Population Committee once a year for approximately three weeks over a five-year period starting in FY1996. The levels of the training management, instructors, and program planning ability were very high, and thus the training was highly evaluated by the participants.

(4) Multilateral-bilateral Cooperation with UNFPA

JICA supplied basic medical equipment and instruments to medical facilities such as hospitals and rural health units (RHUs), targeting 21 provinces and one municipality in conjunction with UNFPA's fourth and fifth country program. According to standards of the Department of Health, equipment was selected under the initiative of UNFPA and the technical guidance of JICA. Equipment storage, management, and monitoring methods are also secured.

(5) Community Empowerment Program

1) "Pinaod Community Comprehensive Health Clinic": (Philippine Infant Hospital)

The Philippine Infant Hospital provides cooperation in dispatching doctors to the Pinaod Region General Medical Center in San Ildefonso City, Bulacan Province. From FY1998 to FY2000, the hospital was provided with JICA assistance, such as construction of pharmacies and laboratories, upgrading of medical equipment, supply of medical products, and assistance with training expenses for health service personnel in the region.

2) "Strengthening Maternal and Child Health Program" in the Municipality of Plaridel, bulacan (Regina Carmeli University)

Regina Carmeli University offers out-patient medical treatment at the Plaridel Regional Hospital in Plaridel City, Bulacan Province. JICA assistance was offered from FY1998 for a three-year period in order to improve its functions as the region's primary medical care institution. The project involved assistance with the management of Plaridel Regional Hospital, provision of maternal and child health care, training, and education programs.

3) Comprehensive Reproductive Health Promotion Package Program (Philippine NGO Council on Population, Health and Welfare (PNGOC))

Working with an NGO centered in region III, this project assisted in activities to improve education and services related to reproductive health. Activities focused on ①equipment supply, ②distribution of maternal and child health kits to midwives (150 sets), ③preparation and distribution of reproductive health education kits (200 sets) and ④preparation and distribution of puberty peer counseling manuals (400 copies).

(6) Other projects in reference

1) Grant Aid

The grant aid "Project for Upgrading Facilities and Equipment in Selected Field Health Units" built a total of 83 buildings in region III, consisting of 5 maternal and child health care centers, 18 RHUs, and 60 Barangay [2] health centers, and provided equipment.

It should be noted that ① project-formulation was encouraged by the "Family Planning and Maternal and Child Health Project," ② cooperation with the project was built (guidance regarding operations and technology) into the plan and led to success; and ③ small-scale facilities - the focus of regional activities - were built throughout Region III.

2) Grassroots Grant Aid

Grassroots grant aid in the Philippines amounted to 140 million yen in FY2000. In the past few years, approximately 30 projects have been chosen every year from about 700 applications. Interviews and existing documents show that the "Family Planning and Maternal and Child Health Project" has directly contributed to the development, formulation and assistance of 23 grassroots grant aid project from 1995 to 2000.

7. Experimental Evaluation of "Cooperation Programs"

(1) Outline of program

In an experimental evaluation of the cooperation program, the program outline is summarized as follows:

1) Overall Goal

Basic health conditions in Region III is improved

2) Program Purpose

Reproductive health condition in Region III is improved

3) Outputs

1. Foundation for delivering RH services is laid.

Practice at a maternal and child health care center. (Grant aid cooperation)

2.Quality of health workers providing RH services is improved.

3. Services are offered in RH field.

(2) Results of Evaluation

1) Relevance

The overall goal and the program purpose both corresponded to the Philippines' medium-term development plan and the Department of Health's policies, and are considered relevant at this point in time. Furthermore, the high quality of the counterparts at the pilot site level also reinforced relevance. However, the results of questionnaires for women of reproductive age, who were considered as the ultimate beneficiaries, indicated that they were interested in services such as "violence toward women," "legal services regarding medical treatment," and "psychological counseling." If these approaches had been added, the program would have shown higher relevance.

2) Effectiveness

The program purpose was measured by "member of a couple who decides the number of children," "percentage of breast-feeding mothers," "number of prenatal check-ups," and "number of postnatal check-ups." Results showed that the direct beneficiary areas were in a better condition than non-beneficiary areas, suggesting the achievement of the project purpose to a certain extent (Table 3).

Changes in "infant mortality rate" and "mortality rate of children under five" indicators, measuring the extent to which the overall objectives were achieved over five years (1993 to 1998), indicated that region III had worsened. On the contrary, the national average for

[2] Barangay: The smallest administrative unit in the Philippines, which consists of 50～100 households.

Table 2

Program Approach Logic Model (PLM): Philippine Reproductive Health Program
Targeted Regions: Region III; targeted beneficiaries: women of reproductive years, married women and their children; period for cooperation:

Overall objective	Indicator	Program goal	Indicator	Result
Basic health conditions in region III is improved.	S-1 Infant mortality rate S-2 Mortality rate of children under five	RH in region III is improved.	P-1 Birth control use rate, birth control methods P-2 Current number of children, desired number of children P-3 Determinant of number of children P-4 Percentage of breast-feeding mothers P-5 Number of medical appointments before and after childbirth	Result 1: Foundation has been laid to ensure service delivery in the RH field.
				Result 2: Quality of service providers in RH field is improved.
				Result 3: Services are provided in the RH field.

Table 3 Primary Indicators for Program Purpose and Results

Item	Direct beneficiary area	Indirect beneficiary area
Current number of children	2.5	3.2
Desired number of children	3.4	3.7
Proportion in which there is gap between above numbers	64%	53%
Reason (all applicable reasons were marked)	1. Financial difficulty, 33%; 2. In the process of completing family, 25%; 3. To be able to rear children properly, 9%, etc.	1. Financial difficulty, 44%; 2. Desire large family, 19%; 3. No Family Planning available, 13%; 4. Desire one more boy or girl, 13%; 5. To be able to rear children properly, 13%.
Percentage practicing contraception[1]	70%	67%
Birth control methods[2]	1. Injection, 26%; 2. Pills, 23%; 3. Withdrawal, 19%; 4. Other natural methods, 20%	1. Pills, 50%; 2. Withdrawal, 28%; 3. Other natural methods, 17%
Who determines the number of children in a couple	Both , 85%	Both , 67%
Percentage of breast-feeding mothers	93%	79%
Number of prenatal check-ups	More than 5 times, 73%	More than 5 times, 55%
Number of postnatal check-ups	More than one time, 56%	More than one time, 41%

Notes: 1. Women who were not pregnant at the time were the parameters for birth control methods (direct beneficiary area: 139 people, indirect beneficiary area: 27 people).
2. In this survey, many were pregnant and therefore it is assumed that none had undergone surgery for sterilization.
Source: Questionnaire results

1999 - 2002

Indicator	Primary Projects Receiving Input
1-1 Appropriate allocation of RHU 1-2 Appropriate waiting time for appointments 1-3 RHU facilities 1-4 Sufficient RHU staff 1-5 Sufficient RHU medicine	1. Project-type Technical Cooperation "Family Planning and Maternal and Child Health Project," phase 1 2. Project-type Technical Cooperation "Family Planning and Maternal and Child Health Project," phase 2 3. Community Empowerment Program "Pinaod Community Comprehensive Health Clinic" (Philippine Infant Hospital)" 4. Community Empowerment Program "Strengthening Maternal and Child Health Program in the Municipality of Plaridel, Bulacan" (Regina Carmeli University)" 5. Grant aids 6. Grassroots grants (eight projects)
2-1 Appropriate RHU appointments 2-2 Appropriate RHU treatment 2-3 Sufficient information provided by RHU employees	1. Project-type Technical Cooperation "Family Planning and Maternal and Child Health Project," phase 1 2. Project-type Technical Cooperation "Family Planning and Maternal and Child Health Project," phase 2 3. On-site domestic research 4. Community Empowerment Program "Pinaod Community Comprehensive Health Clinic" (Philippine Infant Hospital)" 5. Community Empowerment Program "Strengthening Maternal and Child health Program in the Municipality of Plaridel, Bulacan" (Regina Carmeli University)" 6. Community Empowerment Program "Comprehensive Reproductive Health Promotion Package Program (PNGOC)" 7. Grassroots grants (one project)
3-1 Childbirth assistant 3-2 Rate of use of maternity passbook and growth chart 3-3 Access to IEC	1. Project-type Technical Cooperation "Family Planning and Maternal and Child Health Project," phase 1 2. Project-type Technical Cooperation "Family Planning and Maternal and Child Health Project," phase 2 3. JOCV 4. Community Empowerment Program "Pinaod Community Comprehensive Health Clinic" (Philippine Infant Hospital)" 5. Community Empowerment Program "Strengthening Maternal and Child health Program in the Municipality of Plaridel, Bulacan" (Regina Carmeli University)" 6. Community Empowerment Program "Comprehensive Reproductive Health Promotion Package Program (PNGOC)" 7. Grassroots grants (ten projects)

both indicators had improved, and thus the cooperation program had yet to have significant impact on the overall goal (Table 4).

Regarding output 1, it was clear that the direct beneficiary areas had a higher level of satisfaction with RHU "facilities" and "medication" among residents, but there was little difference in "waiting time before medical examinations" or "number of RHU staffers." It showed that items showing immediate results due to input appeared to have a high degree of achievement, but other items did not (Table 5).

Regarding output 2, there was essentially no difference in the degree of satisfaction with RHU among direct beneficiary areas and indirect beneficiary areas; therefore it must be concluded that the contribution of the project was not significant. (Table 6).

Regarding output 3, the indicators "ratio of maternity passbook usage" and "ratio of growth chart usage" were much higher in direct beneficiary areas. Satisfaction with the access to IEC activities was also higher in direct

Table 4 Indicators for Overall Goals and Results

	Infant mortality rate		Mortality rate of children under 5	
	1993	1998	1993	1998
Region III	22.2	28.7	54.9	39.4
Domestic average	38.4	36.0	63.5	54.9

Note: Units are per thousand births

Source: DOH, National Demographic Survey 1993, National Demographic Survey 1998

Table 5 Primary Indicators for Output 1 and Results

Item	Direct beneficiary area	Indirect beneficiary area
Distance to RHU	3.05	3.17
Waiting time until consultation	2.06	3.03
Facilities of RHU	3.07	2.50
Number of RHU staffers	3.01	2.90
Delivered drugs	2.74	2.27

Note: "Very satisfied," "satisfied," "relatively satisfied," and "dissatisfied" received scores of 4, 3, 2 and 1, respectively.

Source: Questionnaire results

beneficiary areas. As these services were main activities of Project-type Technical Cooperation and JOCV, the difference in satisfaction could be attributed to the cooperation program (Table 7).

Outputs 1 and 3 showed a certain level of achievement. However, it is clear that family values and birth control methods remained unchanged. The reasons could be an unsatisfactory achievement in output 2 as shown in the primary indicators for the program purpose. In addition, the strong influence of Catholicism worked as an inhibiting factor.

Table 6 Primary Indicators for Output 2 and Results

Item	Direct beneficiary area	Indirect beneficiary area
RHU consultation	3.13	2.97
RHU treatment	3.13	3.07
Information provided by RHU staff	3.07	2.50

Note: "Very satisfied," "satisfied," "relatively satisfied," and "dissatisfied" received scores of 4, 3, 2 and 1, respectively.
Source: Questionnaire results

Table 7 Primary Indicators for Output 3 and Results

Item	Direct beneficiary area	Indirect beneficiary area
Delivered location	1. Hospital 52%	1. Hospital 41%
	2. Home 47%	2. Home 59%
Childbirth assistant	1. Midwife 55%	1. Midwife 59%
	2. Medical Doctor 36%	2. Medical Doctor 41%
	3. Nurse 1%	
Use of maternity passbook	69%	38%
Use of Growth Chart	73%	44%
Extent of access to IEC[1)]	1294%	683%
IEC institutions :RHU[2)]	1294%	683%
IEC institutions :schools	152%	107%
IEC topics	1. Family Planning 166%	1. Family Planning 100%
	2. Nutrition 149%	2. Nutrition 77%

Notes: 1) Extent of greater access to all institutions offering methods and topics
2) Extent of greater access to all institutions offering all topics.
Source: Questionnaire results

Waiting room of RHU (RHUⅢ, Lubao, Pampanga Province)

3) Efficiency

The amount of cooperation program input was approximately 3.3 billion yen (excluding the expenses for dispatch of a short-term experts training program in Japan, and in-country training). The amount of input was estimated to be approximately 1.9 billion yen for output 1, 50 million yen for output 2, and 250 million yen for output 3, with the remaining 1.1 billion yen beyond classification among outputs. As just described, the ratio allocated to output 1 for facility upgrades was comparatively large, and the input for human resource development in output 2 was small. Although it is not appropriate to assume that the extent of achievement is in proportion to the amount of input, it could be considered as one reason for the low achievement of output 2. Also, while it is natural that output 1 should show a high degree of achievement given its large input for basic facilities, it will be a future issue to examine whether such large input was really necessary, by referring to the evaluations results of similar programs.

A past chronological performance of input shows that initial input was very limited, and schemes apart from Project-Type Technical Cooperation began to be implemented in 1995. If facilities with grant aid had been completed a couple of years earlier, technical assistance and monitoring from Project-type Technical Cooperation, "Family Planning and Maternal and Child Health Project," and JOCV, would have been implemented and would have probably led to more significant results. When designing future program plans, the type, scale, and timing of inputs should be carefully considered.

This cooperation program had various combinations among the schemes, including a coordination between Project-type Technical Cooperation and grant aid, Project-type Technical Cooperation and JOCV, JOCV and a special provision of medical equipment, Project-type Technical Cooperation and grassroots grants aid, and JOCV and grassroots grant aid. The series of coordination was confirmed to have had synergy effects, and contributed to high efficiency.

The cooperation program also had on-site coordination with other donors. There was collaboration with USAID in creating educational materials for health workers. USAID distributed 100,000 maternity pass-

books made by JICA Project-type Technical Cooperation, in their program. Also, UNFPA distributed videos made by "Family Planning and Maternal and Child Health Project," and exchanges of technology between counterparts of the both sides were often seen.

However, coordination with other donors was not seen in the second half of Phase 2 in "Family Planning and Maternal and Child Health Project." It is because the coordination relied on individual networks and efforts, and was not based on a systematic and long-term plan.

4) Impact

The program still had not led to an achievement of the overall goal as explained in 2). Some unexpected impacts also came about. The video made in the "Family Planning and Maternal and Child Health Project" acquired a favorable reputation, and more than 200 videos were distributed at the request of health and medical facilities nationwide. Counterparts in the Philippines, Indonesia, and Thailand doing projects in the same field visited each other's project sites, leading to an active technical exchange. Also, the participatory activities that were developed through Project-type Technical Cooperation had drawn attention and received an unexpectedly high number of observation groups and study teams from Japan.

5) Sustainability

Although some concerns remained, sustainability in policy and technical aspects could be expected. However, there is uncertainty in institutional sustainability since health care administration could largely be affected by the attitude of local governors and the RHU directors. Meanwhile, it would be difficult to secure financial sustainability since it would be difficult to obtain the same amount of financial resources once the cooperation has been completed.

Instructional material for health workers, which was jointly created by the "Family Planning and Maternal and Child Health Project" and UNFPA


Instructional material of the "Family Planning and Maternal and Child Health Project"

8. Lessons and Recommendations

Lessons and recommendations for future assistance based on these evaluation results are listed below.

(1) Lessons and recommendations for future JICA cooperation policies for the sector in subject for the Philippines

1) Reconsideration of program design

Since human resource development for service providers in the reproductive health field did not yield the expected results, input amounts and methods should be reconsidered. As extensive use of IEC as means to improve women's awareness and promote changes in behavior was not effective, improving the quality of service providers through human resource development could be a better way to achieve the same goal.

With regard to the IEC activities, the following activities should be added since there was demand for IEC in services in areas such as "violence toward women," "legal services regarding medical treatment," and "psychotherapy counseling."

2) Necessity for an approach covering multiple sectors

Comprehensive efforts involving various related sectors will yield greater outcomes in the reproductive health field. Accordingly, JICA's cooperation should make more effective use of schemes that extend across more than one JICA department, allowing these projects to work closely together.

It is also important to consider the dispatch of experts in areas of development, economics, and administration, in order to strengthen the project's management system and for capacity-building in counterpart institutions.

To accomplish this, further introduction of the program approach would be effective. Meanwhile, the existing projects should be organized as a cooperation program for a temporary measure, and efforts should be made to coordinate in order to yield greater results and greater effectiveness.

3) Cooperation approaches for countries promoting decentralization

Initially, the "Family Planning and Maternal and Child Health Project" was designed to expand the scope of beneficiaries by using results gained at the project site as a model, and expanding activities throughout the country using counterpart institutions in the central government. However, the Philippines had been in a process of decentralization, delegating the Department of Health's authority and function to local governments; and since the local governments responsible for health administration have not had sufficient administrative capacity, the whole structure has yet to start functioning. Similar conditions in other recipient countries taking steps toward decentralization are expected, therefore new approaches must be developed in order to diffuse technology in decentralizing countries.

Dentist's Office at RHU

Equipment provided to RHU

4) Coordination with NGOs

In the Philippines, where NGOs play important roles as providers of social services, it is effective to cooperate with NGOs. In current JICA schemes, it is difficult to directly assist NGOs, other than through the Community Empowerment Program. Therefore schemes should be, improved in this regard.

5) Establishment of plans based on long-term perspective

In cooperation fields that require changes in public awareness and behavior such as reproductive health, plans must be established from a long-term perspective. As a project, planning shold be done by the five-year period, where as a project, it could be done with objectives based on a long-term perspective over ten years.

(2) Lessons and recommendations for introducing program approaches for future JICA projects

1) Necessity of program implementation

European, U.S. and international aid organizations are promoting a framework that emphasizes results-based management.

Currently, JICA needs to organize projects as cooperation programs, and readjust future development plans. Effective and efficient programs should be formulated based on the "country-specific project implementation plan."

2) Organizing program implementation structure

A comprehensive understanding of on-site information and close coordination with counterparts is essential for implementing effective and efficient programs. Thus authorities should be transferred to overseas offices and regional departments.

Also, before introducing a full-scale program, it is an urgent task to build up an integrated system for program formation, implementation, monitoring and evaluation. When creating such system, the points outlined below should be given due consideration.

a) Strengthening ownership

It is essential to have a mechanism for counterparts to take initiative in planning when implementing a program, in order to strengthen their ownership. To ensure this, it is necessary to present guidelines on mechanisms for project finding and formation, and on how experts should be involved in a program.

b) Utilization of local experts

The appointment of local experts should be considered, as it would bring greater effectiveness to the program and strengthen ownership. These experts would be program officers who have local networks and would be able to make decisions from their respective expertise.

c) Establishment of program management and coordination functions

In the cooperation program targeted in this report, the Project-type Technical Cooperation virtually played the role of management and coordination. In full-scale programs, these management and coordination roles are essential. The counterpart should play the coordinating role.

3) Improvement of the environment for program implementation

The most important and pressing issue for reform is establishing a system for documenting JICA projects. Project documentation should preferably be in a standardized format.

Also, it is desirable to organize information of human resources to correspond to the Knowledge Management system currently being introduced by JICA, which would help to secure experts.

Furthermore, since experts will be expected of further comprehensive knowledge and leadership, the predispatch group training of experts needs to be upgraded, and a system that provides necessary information and support to experts during the period of dispatch is required. Flexibility in dispatch period is also needed, so that the initial period of a maximum two years could be extended if necessary.

4) Establishment of monitoring and evaluation methods

When implementing a program, after management and coordination functions of the programs are handed over to regional departments and overseas offices, a concrete monitoring and evaluation method should be established. For management and coordination, all schemes should use a unified form for project documentation and an integrated method for monitoring and evaluation.

RHU busy with patients. (RHU Ⅰ, Abucy, Bataan province)

(3) Lessons and recommendations for project formation and evaluation in future coordination with the US and other donors

1) Japan-U.S. coordination (USAID coordination)

The coordination in the Family Planning and Maternal and Child Health field in this report significantly depended on the network of individual experts, and the experience and lessons aquired from the collaboration were not adequately recorded. As a result, once the experts changed, active coordination did not function.

There are many that can be learned from USAID, such as strategies strictly based on result-based management, methods to strengthen ownership, and a monitoring and evaluation system. Considering the financial conditions of ODA in both countries, it is important for JICA and USAID to complement each other's activities, and build a stronger organizational coordination framework.

2) Coordination with other donors

Coordination among donors is originally the responsibility of the Filipino central government. However, since the current Department of Health does not have sufficient authority or ability, opportunities for discussion and coordination among donors are limited. Even if other donors want to obtain information on JICA activities, since the contact is not formalized, opportunities for coordination are lost. Therefore, a system for coordination and cooperation should be promptly established to bring forth greater effectiveness and efficiency.

Thailand

Participatory Evaluation —Case Study in Thailand—

Project Sites Lampang

1. Background and Objectives of Evaluation

In recent years, a concept known as participatory evaluation has been attracting growing attention. Participatory evaluation stresses the importance of the beneficiaries' participation in the field of development assistance, and raises their sense of ownership. Although the definition of this concept has yet to be established, JICA defines it as "an evaluation [1] in which a wide range of stakeholders, including end beneficiaries, participate as much as possible to design evaluation plans, to provide, gather, and analyze information, and to revise initial project plans and other project activities." [2] JICA also listed the following four objectives (expected results) of participatory evaluation:

(1) enhancement of management capacity;
(2) development of ownership;
(3) promotion of effective feedback; and
(4) improvement of accountability.

Despite the increasing attention, however, the method for participatory evaluation has not been established, and JICA has not yet implemented this type of evaluation.

In this context, as an attempt to review the concept of participatory evaluation, this evaluation study applied the Northern Ceramic Development Center Project in Thailand, which aimed at improving the local industry, as a case study to introduce a participatory evaluation approach. At the same time, drawing lessons learned and recommendations for future participatory evaluations were included in the study objectives.

The two primary objectives of this study are as follows.

1) Evaluation of the Northern Ceramic Development Center Project in terms of sustainability and impact among the five evaluation criteria.
2) Provision of recommendations for research and development of participatory evaluations applicable to JICA.

2. Evaluated Projects

(1) Project Name:

Northern Ceramic Development Center Project

(2) Type of Cooperation:

Project-Type Technical Cooperation

(3) Period of Cooperation:

14 October 1992 − 13 October 1997

(4) Partner Country's Implementing Organization:

Ceramic Development Center (CDC)

(5) Partner Country's Competent Authority:

Department of Industrial Promotion (DIP)

(6) Narrative Summary:

1) Overall Goal

Quality of Northern Thai ceramics is improved

2) Project Goal

CDC provides information and technical training regarding material use and production techniques to the northern Thai ceramic factories.

3) Outputs

a) CDC's managerial and operational systems are established.
b) Equipment for research and development on material use, and production are installed and maintained properly.
c) Counterparts are trained in material use and production techniques.

[1] Evaluation" in this context is inclusive of ex-ante evaluation, mid-term monitoring, terminal evaluation, ex-post evaluation. It does not refer to evaluations at completion alone.
[2] Institute for International Cooperation, *Participatory Evaluation and International Cooperation,* 2001.

d) Result of research and development is disseminated through publications, training, and seminars.
e) Technical guidance for ceramic factories is provided individually.

3. Study Participants

In addition to the Japanese evaluation team, two members from the DTEC (Department of Technical and Economic Cooperation; Thailand's agency in charge of international cooperation) joined the study at the request of the Japanese side. The Thai side prepared a separate evaluation report.

Japanese Side

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Evaluation Planning:
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Analysis of Impact:
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Vishinu SANITBUROOT, Japan Sub-division, External Cooperation Division, DTEC

4. Period for Dispatch of Study Group

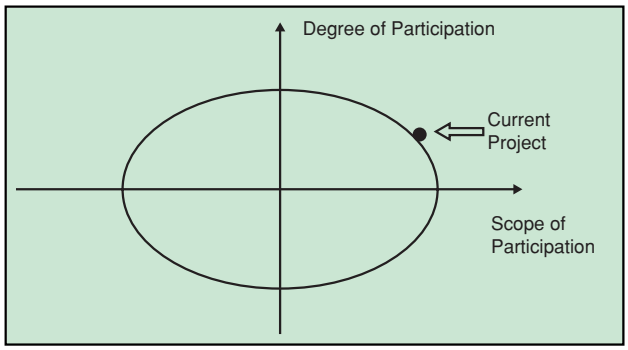
30 October 2000 − 8 November 2000

5. Method of Evaluation

(1) Position of this evaluation as a participatory evaluation

In order to implement participatory evaluations, there are two aspects that must be considered: namely, the scope of participation and the degree of participation (Figure 1).

Figure 1 Position of this Evaluation as a Participatory evaluation



The scope of participation concerns the question of who among a wide range of stakeholders including beneficiaries should be included in the evaluation process in addition to those who implement the project in question. On the other hand, the degree of participation involves the question of how far stakeholders should be involved in each evaluation process, such as designing evaluation plans and providing, gathering and analyzing information.

This evaluation emphasized expanding the scope of participation. More specifically, the evaluation was carried out to reflect different views by involving a broad range of stakeholders. The degree of participation was of a lower priority, considering that the project was not being planned and implemented as a participatory project. Time constraint was also a factor in deciding the degree and scope of participation.

(2) Method of Evaluation

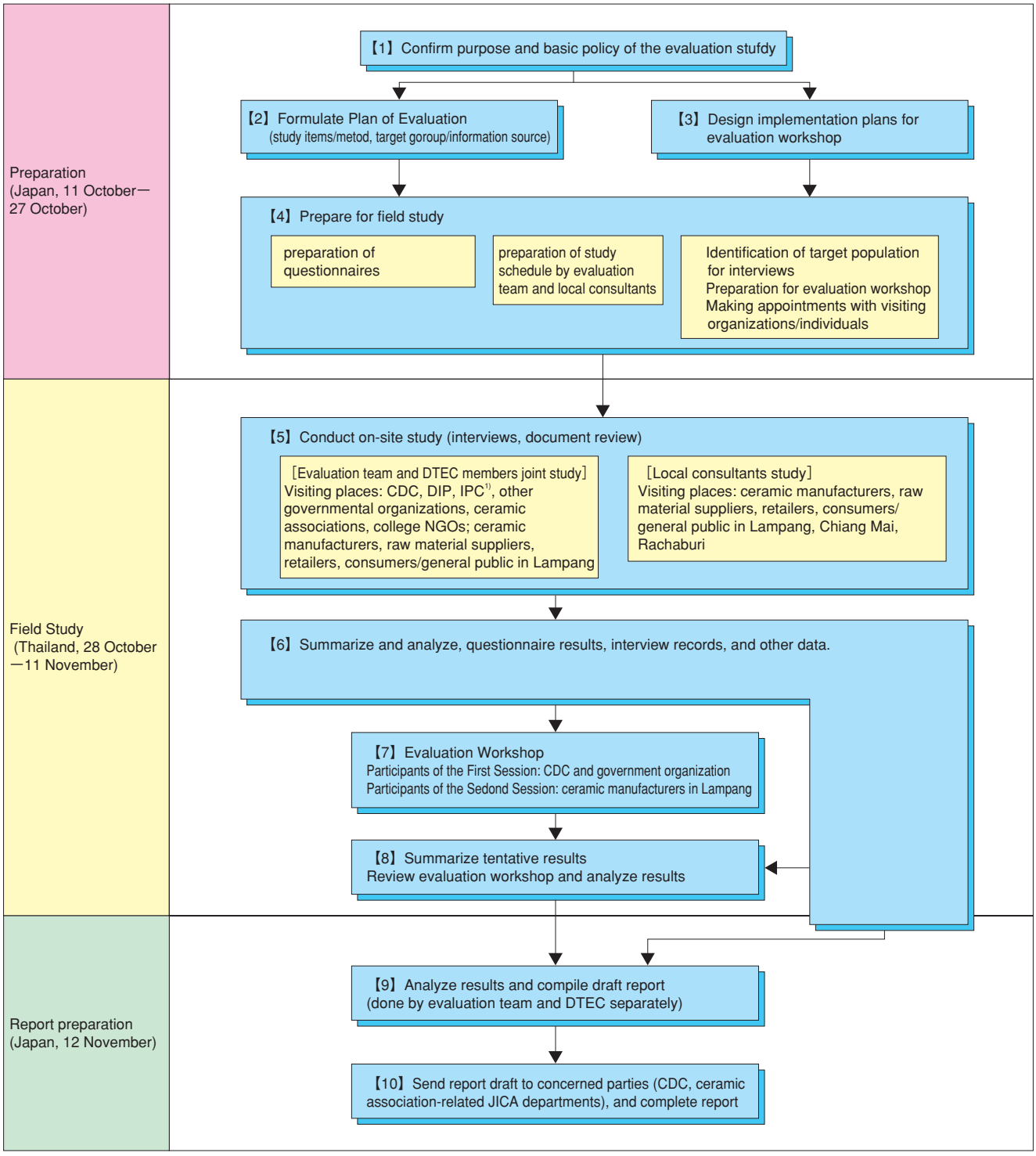
Although JICA's cooperation period had already been completed, CDC activities were still in progress. In this evaluation, therefore, rather than evaluating JICA's cooperation activities in the past, it was decided to have the ceramic vendors (beneficiaries) evaluate CDC activities from the viewpoint of beneficiaries, then based on the results of this evaluation, analyze a cooperation approach. The flow of the evaluation process is described in Figure 2.

Notably, the field study was conducted in three steps.

Step 1: Project stakeholders shared their views on the CDC. This was done through interviews with the CDC, ceramic venders, and experts.
Step 2: Project stakeholders discussed the results gained from Step 1. CDC staff and ceramic firms freely discussed this in evaluation workshops.
Step 3: Evaluation based on the results of the previous two steps and statistics from a wider perspective. Thai and Japanese sides evaluated separately.

The final evaluation result was prepared by the

Figure 2 Flow of Evaluation Study



1）IPC：Industry Promotion Center

Japanese side.

6. Procedure of Evaluation

(1) Document Review

The following documents and reference materials were obtained and analyzed. (Sources in parentheses)

- Various reports concerned to the Project and reports of Development Studies (JICA)
- Export Statistics on the Ceramic Industry (Customs Office in Chiang Mai)
- Various Statistics on the Ceramic Industry(Industrial Department of Lampang Province)
- Trend of the Exchange Rate of the Thai Baht (Bank of Thailand)

(2) Interview Research

In order to verify the impact of the project, interviews were conducted in Chiang Mai and Rachaburi in addition to Lampang (project site) for the purpose of comparison. The criteria for selecting target areas to compare was as follows: (1) not a direct target area of this project; and (2) a relatively high degree of location of ceramic firms are present [3].

Targets of the interview were as shown in Table 1. Organizations, groups, and individuals that fall under one of the following six categories were interviewed: (1) project implementing organization; (2) competent authorities; (3) direct beneficiaries; (4) indirect beneficiaries; (5) implementing parties (former dispatched experts); and (6) other concerned parties (ceramic associations, college instructors etc.) Interviews with categories (3) and (4) were conducted in three different areas by students of local universities under the supervision of local consultants.

(3) Evaluation Workshop

Based on the results from (1) and (2), a workshop for participatory evaluations was held. Main purposes of the workshop included: (1) sharing the results with the project's shareholders and concerned parties, (2) discussing project evaluations in response to the results, and (3) considering the CDC's future role through discussions on evaluations.

There were two workshop sessions: one in the morning and one in the afternoon. The morning session had a total of 36 participants (33 CDC members, 1 DIP official, and 2 IPC staff), while the afternoon session had 19 participants including manufacturers.

A member from the DTEC facilitated the workshops. After the evaluation team shared the research results with other participants, a discussion followed in response to the results.

Interview with ceramic vendors

7. Trend in the Ceramic Industry in Northern Thailand

(1) Overall Trend

Changes in export values (Figure 3) show the following trends nationwide and in northern Thai (including Lampang, Chiang Mai) ceramic industries.

After project implementation, the exports doubled nationwide, and tripled in the northern area including Lampang, one of the project sites. Although there has been a significant increase in exports since 1997, according to the interview research, the increase was deemed to be a result of rising price competitiveness due to a depreciation of the baht brought about by the economic crisis.

Table 1 Interview Research Targets

Category	Organization Name	Participated Steps of Evaluation (shown in 5.(2))	Evaluator (sample number)	Evaluation Points
Project Implementing Organization	CDC	Step 1 Step 2	Evaluation Team	CDC activities after project completion and impact on ceramic industry
Competent Authorities	DIP, IPC	Step 1 Step 2	Evaluation Team	Same as above
Projects Direct Beneficiaries	Ceramic Manufacturers	Step 1 Step 2	Local Consultants (103) Evaluation Team	Recognition of CDC, service utilization level, evaluations on service, requests for CDC
	Raw Material Suppliers	Step 1	Local Consultants (4), Evaluation Team	Same as above
Projects Indirect Beneficiaries	Retailers	Step 1	Local Consultants (17)	Evaluation of ceramic quality, impact made by ceramic industry
	Customers/General Public	Step 1	Local Consultants (99)	Same as above
Projects Implementing Parties	Former Dispatched Experts		Evaluation Team	Implementation process of the project
Other Concerned Parties	Ceramic Associations, College Instructors, etc.	Step 1	Evaluation Team	CDC activities after project completion and impact on ceramic industry

[3] At the time of this research, Rachaburi had the second-most and Chiang Mai had the fourth-most ceramic firms.

(2) Changes in the number of ceramic manufacturers

1) The number of firms has also been increasing since the project began in 1992. The number has increased from about 50 (before the project began) to 230 in 1999 (Figure 4). At the same time, the number of employees has also been on the rise.

2) Characteristics and Issues among Ceramic Manufacturers in Lampang (by size).

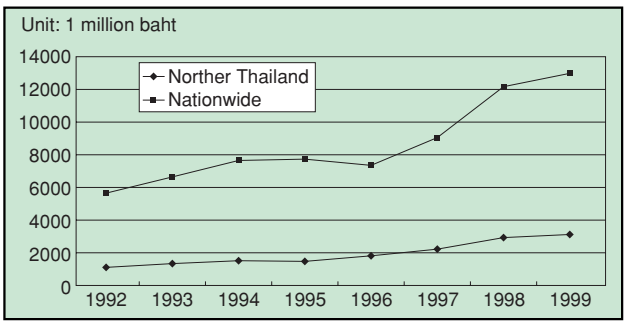
Extensive interviews were conducted on ceramic manufacturers (direct beneficiaries) during this research. Prior to the interviews, the manufacturers were classified into four categories according to size: large/medium, small, micro, and cottage. The classification by the Thai Ministry of Industry was used as a reference to set up these four categories. Refer to Table 2 for details of each category.

Problems faced by ceramic manufacturers in Lampang are shown in Figure 5. According to this figure, a very large number of large/medium-scale manufacturers are facing management problems. The most common problems faced by small-scale manufacturers are related to marketing and manufacturing processes, followed by funding. Likewise, micro manufactures identify marketing, fundinng and production techniques as their major issues. As for the cottage industry, marketing is perceived as an extremely serious issue, followed by funding.

Trial Products manufactured at CDC

The company scale makes a difference in terms of information sources for manufacturing techniques. Large/medium scale manufacturers obtain such information from overseas ceramic venders and brokers, while small-scale manufacturers rely on a relatively wide range of sources, including the CDC and publications. Micro manufacturers obtain such information

Figure 3 Changes in Export Values of Northern Thai Ceramics



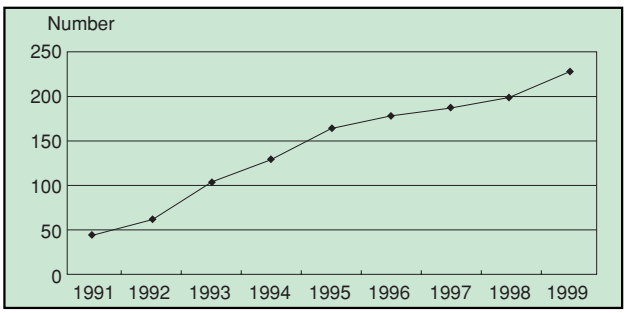
Source: Customs Office in Chiang Mai, the Ministry of Finance, Bureau of Customs

Table 2 Characteristics of Ceramic manufacturers by Size

Size of companies	Number of companies	Number of employees (average)	Capital fund[1)]	Annual Sales[1)]	Share of Exported Products
Large/medium	4	505.0	26,750	141,500	0.76
Small	30	64.6	2,050	6,208	0.70
Micro	18	28.2	339	1,961	0.43
Cottage	7	4.6	343	262	0.00
Unknown	7	63.0	3,000	3,950	0.00
Average/total	66	74.8	3,000	13,065	—

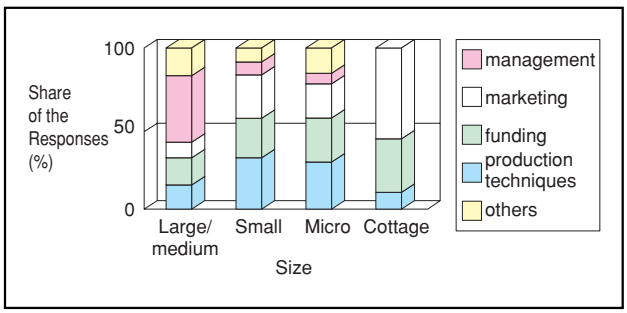
Notes: (average; unit: baht)

Figure 4 Change in Number of Ceramic Manufacturers



Source: Department of Industry of Lampang Province
In this figure, northern Thailand refers to Lampang, Chiang Mai

Figure 5 Problems of Ceramic Manifacturers by Company Size



from domestic ceramic vendors/associations, and domestic companies, in the case of cottage manufacturers, mainly from the CDC.

8. Results of Interview Research

(1) Sustainability

Results of the interview research on CDC staff regarding sustainability are as follows.

1) Organization: There were no major changes in the organization systems/staff after the completion of the JICA cooperation period. Many of the staff members were finding their work rewarding, but expressed dissatisfaction about their salaries. Regarding the effect of the decision that temporary staff (accounting for half of the entire workforce) would be laid off in fall 2000, there were differing opinions between top and lower level employees.

2) Finance: The budget has been decreasing since the 1997 economic crisis, which had affected CDC activities.

3) Technology: Training sessions and seminars has been conducted with a certain scale since completion of the project. Results of the evaluation on technology levels by ceramic venders were as follows.

Results of the four-grade evaluation by company size are shown in Table 4. In the evaluation of CDC's technology services, over 80% of respondents rated them as either "excellent" (36%) or "good" (46%), (Figures 6 and 7).

The result of the evaluation team's interview revealed user companies' opinions. These opinions were listed in Table 3 as comments to the CDC. As can be seen, there are differences in opinion depending on the scale of the companies.

(2) Impact

The following are the results of the interview conducted mainly on ceramic manufacturers as beneficiaries. In this interview, the manufacturers were asked the degree of accomplishment of the overall goal "the quality of Northen Thai ceramics is improved" and the CDC's impact on the ceramic industry.

1) Degree of Utilization of Techniques Learned from CDC

The interview research was conducted on a total of 103 ceramic manufacturers at three sites (Lampang, Chiang Mai, and Rachaburi). Looking at the "degree of utilization of techniques learned from the CDC," which is the premise of quality improvement, 65 manufacturers (63%) responded that they had received

Figure 6 Evaluation of CECs Technology Services (overall)

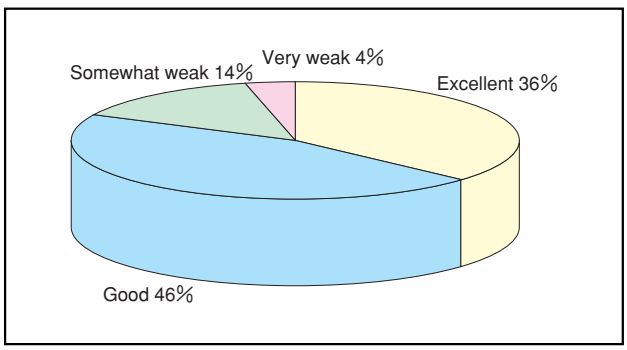


Figure 7 Evaluation of CDC's Technology Services (ceramic manufacturers only)

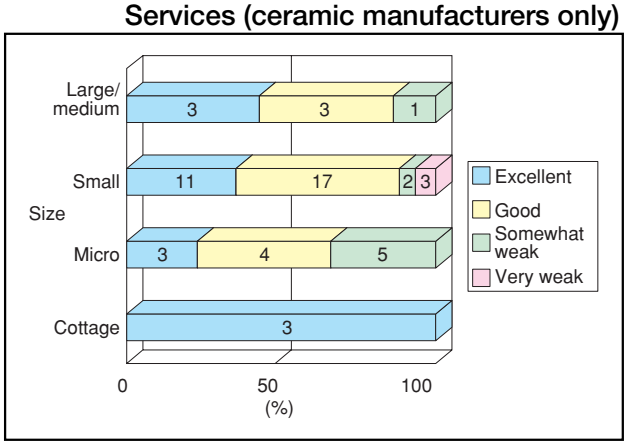


Table 3 User Companies Comments to CDC

<Large/medium manufacturers>

We occasionally contact the CDC when testing needs to be done on a laboratory scale. The CDC lacks factory-level knowledge, making it difficult to provide technology and other things necessary to manufacture products of better quality.

Training on such issues as quality management and factory management are useful to improve productivity. The presence of the CDC helped us save the time and costs necessary to reach the current level.

<Small manufacturers>

The level of technology remains the same although technologies used at other places are changing. We are using its testing services, and its machines are good.

Our staff has taken training courses and also consulted the CDC by bringing our samples. We would like CDC staff to visit our facility for on-site training. However, this has not yet been realized.

<Micro manufacturers>

CDC staff visit us two or three times a year to check our kiln and explain about glazes and paints to us. Their instruction actually helped us to solve problems.

I took training courses at the CDC. I often take their courses, as they are short (one week) and theme-specific. The course on cover coating was interesting. The content of the design course was too technical for me, as I did not have basic knowledge. I prefer onsite instructions in our factory to those training courses, though.

CDC's services, and, of those, 60% answered that they utilized techniques learned from the CDC "to a great/considerable extent."

2) Extent of Quality Improvement Realized by CDC's Assistance

Among the total of 103 ceramic manufacturers at three research sites, 55 manufacturers (70%) responded that the quality of their ceramic products had "improved to a significant/considerable degree." Therefore, it can be concluded that the CDC did contribute to improving their production quality to a certain extent.

3) Evaluation by Retailers and Consumers

In addition to the above results, 47% of 17 retailers and 72% of 99 consumers/general public at the three sites mentioned that the quality of Thai ceramics had improved in recent years. This response confirmed abovementioned ceramic manufacturers' self-evaluations to a certain extent (Figures 8 and 9).

9. Evaluation by Evaluation Workshops

In this evaluation, a workshop were held to explore the CDC's future role. This was performed by having the project-implementing parties and other stakeholders participate at the venue where evaluation results were gathered and discussed. However, in reality, the workshop could not be carried out in the way intended due to the fact that too much time was spent verifying facts, as well as other problems in organizing the information presented in the workshop and time constraint.

There were not so many comments on the workshop. However, these comments revealed that the most remarkable difference in opinions between CDC staff and manufacturers was about the CDC's visit to manufacturers' factories for on-site training. In the interview, many manufacturers voiced their wishes to receive training in a manner whereby the CDC would visit their factories and inspect their manufacturing processes to improve the quality of their products. In contrast, CDC senior staff indicated that the manufacturer side should visit the center for consultation, since the center is a governmental organization (however, in some departments in the CDC, therre were cases which staff visited manufacturers for on-site training).

Figure 8 Qualiity of Ceramics Evaluated by Retailers

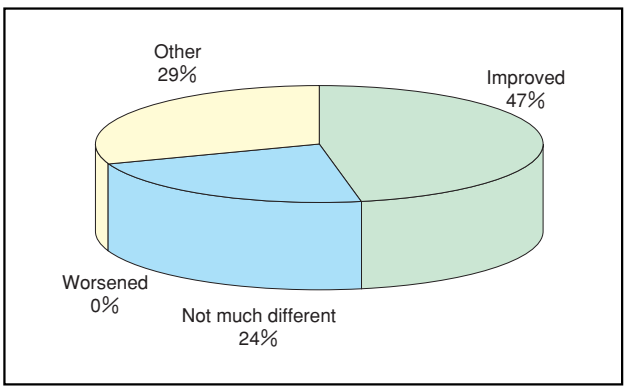
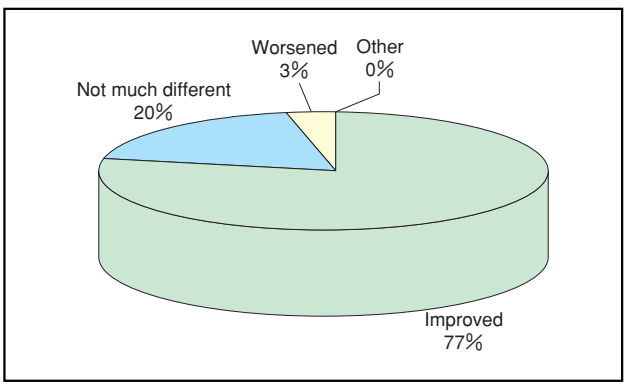


Figure 9 Quality of Ceramic Evaluated by Consumers / General Public



10. Evaluations by the Japanese Evaluation Team and DTEC Team

Finally, the Japanese evaluation team and DTEC conducted the second last step of evaluation. This evaluation took the results from the workshop discussions into consideration. The summary of the evaluations by the Japanese and Thai sides is shown in Table 4.

Although both sides had agreed to prepare separate evaluations since it was apparently acceptable to have differences in opinion from the same observation. However, it turned out that there was not much difference between the conclusions of the two sides. The fact that both sides exchanged their opinions after the completion of the research seems to have contributed to this result. The major reason for this, however, seems to be the fact that both evaluations results were prepared on highly neutral ground, as there was little involvement of the those actually implemented at both sides of the process.

Table 5 shows the final evaluation by the Japanese side, taking all other results into consideration.

Table 4 Summary of Evaluations by the Japanese and Thai Sides

	DTEC Team	Japanese Evaluation Team
1) Sustainability		
Organization, human resources, Institution	Somewhat weak	Somewhat weak
Technology	Not so high	Inadequate
Finance	No clear judgment	Somewhat weak
2) Impact	Fair	To some extent

11. Review as a Participatory Evaluation

(1) Review on the Evaluation Method

1) Differences in Study Results - Questionnaire vs. Open-ended Interview

In the evaluations on "CDC's Technology Services" conducted for ceramic manufacturers, there were differences between answers in the interviews based on questionnaire and those in the open-ended interviews. Specifically, while CDC's technology services were rated excellent in the questionnaire, there were severe comments against the CDC (no change in technology levels, limited on-site training at manufacturers' factories, etc.) from the open-ended interviews. The fact that the questionnaire results were somewhat more favorable than how the respondents were actually feeling seems to be explained by Thai people's hesitancy to give harsh ratings in their evaluations. Therefore, it seems important to use not only a questionnaire, but also an open-ended style or questions that do not limit respondents' answers.

2) Differences in Views Found in Responses from a Wide Range of Stakeholders and in Responses from Different Positions within a Same Category of Stakeholders

By interviewing a wide range of stakeholders, this study uncovered various parties' views on the Thai ceramic industry and the quality of ceramics. It also exposed discrepancies in views on CDC activities (such as the necessity of CDC's on-site training at manufacturers' factories) between the CDC itself and ceramic manufacturers. Moreover, an analysis by company size on manufacturers' characteristics, major issues, and relationships with the CDC clarified that the CDC was playing different roles [4] depending on the scale of the companies.

Facility of a large/medium-sized manufacturer. Products shown here (mugs, etc.) are packaged for export

Table 5 Final Evaluation by the Japanese Evaluation Team

1) Sustainability

A. Human Resource/Organization/System

The current total number of staff remained the same (50 staff members) as that of at project completion. However, the sustainability in this category seemed weak, as it was planned that temporary staff (accounting for half of the entire workforce) would be laid off in fall 2000 due to budgetary concerns.

B. Finance

The budget had been decreasing since 1997, due partially to the economic crisis. Since this decline had been affecting the Center's activities, financial sustainability seemed somewhat weak.

C. Technology

Despite a certain level of sustainability in terms of technology, it was not sufficient enough. As for the CDC's external technology services, training and technical training activities were being offered at about the same level as they were during the project period. However, since the technological level of factories (CDC users) had been improving, it seemed necessary for the CDC to constantly innovate its technology to maintain its current function.

2) Impact

A. Achievement of the Overall Goal

The overall goal of this project was assessed to have been achieved to a certain extent. However, the CDC's (this project's) degree of contribution was not clear enough, since there were somewhat severe responses in the interview research.

B. Other Effects

a) Visibility

The CDC was well recognized. 64% of the total 223 researched targets (manufacturers, retailers, consumers/the general public) knew of the CDC.

b) Promotion of the Ceramic Industry

Judging from the opinions of concerned parties, promotion of the ceramic industry in northern Thailand was due more to increased price competitiveness brought about by the depreciation of the baht than to CDC activities. Nevertheless, the CDC, albeit to a limited extent, seemed to have partially contributed to the promotion of the industry. This could be said because there were many responses indicating that the presence of the CDC helped to save time and costs to bring the industry to its current position. Also, about half 26 of the 55 companies of the three research sites responded that the CDC's technological assistance helped to increase their sales.

[4] For large/medium-sized companies, this includes sample products and analysis tests, and for relatively small-sized companies, training/seminars and instructions on techniques. As for the micro or cottage companies, the lack of knowledge and/or funding for facility improvements on the company side often prevents favorable effects.

From the wider perspective, the research conducted with the CDC staff also exposed differences in views between permanent staff (managers/general staff) and temporary staff regarding the continuation of CDC activities. The planned layoff of temporary staff in September 2000 might have affected this result.

Furthermore, other organizations that provide technology information, such as colleges, were also interviewed. The responses to these interviews clarified the position of the CDC among those organizations. In addition, it also revealed that the DIP had implemented a project to provide small and medium enterprises with training by utilizing the knowledge of private-sector experts (from large-scale ceramic manufacturers) in Lampang. In finding abovementioned information a study method whereby an interviewee refers the study team to the next interviewee proved to be effective. In this evaluation, one of the manufacturers introduced the public-sector experts and the experts then introduced the DIP staff in charge, whom the evaluation team visited accordingly.

3) Comparison between Areas with CDC (Lampang) and Areas Without (Chiang Mai, Rachaburi)

A rigorous comparison could not be made, as the ceramic industries in Chiang Mai and Rachaburi actually have a sort of relationships with CDC, and also as the types of ceramic products in Ratchaburi and Lampang are different.

12. Lessons Learned and Recommendations

(1) Recommendations for Future Role of CDC

As described in the evaluation results, the improvement of ceramic exports and the ceramic industry in northern Thailand has generally been progressing in line with the purpose of this project. On the other hand, however, the sustainability of the project itself has been weakening from the organizational, technological, and financial points of view, making it uncertain whether the effects seen thus far will be maintained and expanded in the future.


Inside of a factory of a small-sized manufacturer

The following two points seem important for the CDC to become an organization that is further needed by society.

1) Reconstructing the CDC's appropriate role (functions/external services) by analyzing the status quo of the external environment and internal organizations, and clarifying its issues to be addressed.
2) Strengthening on-site training for companies, improving training quality, strengthening functions as a center to serve the industry (such as improvement of its catalyst-like role to support business activities).

(2) Recommendations for the Implementation of Participatory Evaluation

1) The results of the study revealed differences in views between companies and the CDC. In other words, while companies consider it necessary for the CDC to visit their factories, the CDC does not share this view. Since this kind of difference seems typical in Thailand's governmental organizations, it implies that the project's initial intention to "raise technological levels during the project and transfer such technologies to external organizations after the completion of the project" is rather unrealistic in this country. This project is not neglecting to provide information to external entities, and in fact, seminars and training courses are still being offered on the same scale as they were during the project. While these seminars/courses have been held on the CDC premises since its establishment in 1993, there might have been a growing corporate culture among CDC staff that regards on-site training as out of the scope of its activities. As such, it is necessary to ensure a mechanism where information is also provided to external organizations through on-site visits during the project.

In order to meet the needs on the user side, which have been becoming increasingly varied, it is vital to establish a system where users' and other organizations' demands and opinions are directly heard and reflected in activities during the project. The examples of the components of the system are namely: CDC staff visits companies, collaboration with colleges and evaluation of training courses by trainees, etc.

There seems to be an expectation that JICA, as an organization in charge of technical assisstance will serve

as a bridge between the CDC, which is part of the bureaucracy, and beneficiaries to realize the establishment of the above-mentioned system. Concrete measures are required to meet this expectation.

2) It would be meaningful to involve a wider range of stakeholders for participatory evaluation. It is also important to employ this method as much as possible when conducting JICA evaluations in the future. On the other hand, it is not easy to increase the degree of participation (partner country's participation in the evaluation and holding participatory workshops) within a limited time frame. Moreover, there are some cases where its effectiveness can be limited. For example, participants may not feel free to express their honest opinions in a society where there are social strata and/or status gaps between public officials and private citizens. At the same time, it is not easy to apply the participatory method under a situation in which stakeholders, who have not participated in the planning and implementation phase of a project are asked to express their opinions only at the evaluation stage. As such, the use of the participatory method requires a project-specific, case-by-case consideration.

3) Participatory Evaluation by JICA

One of the purposes of participatory evaluation is to strengthen the ownership of a cooperation project by encouraging the partner country to learn. For this, it would be desirable for counterparts in the partner country to implement a "self-evaluation," which includes establishment of evaluation criteria and the collection of evaluation information on their part. On the other hand, the purpose of the evaluation by a donor organization includes accountability and feedback to other projects as well. Therefore, a participatory evaluation for this type of project requires as many elements of the participatory method as possible, but only to an extent so as not to undermine such objectives.

Also, to meet these two objectives, in addition to the counterpart organization's self-evaluation, it would be effective to include an evaluation on the role of the counterpart organization from the viewpoint of beneficiaries.

Local employees in production

Transition to a Market Economy in Eastern Europe

Project Sites Poland, Hungary

1. Background and Objectives of Evaluation

Since 1989, Central and Eastern European countries, including Poland and Hungary, have been in the process of transition from planned economies to market economies. The common goal for these countries has been to gain membership to the European Union (EU).

Based on the framework of the agreement for Poland and Hungary by the G24 [1] developed nations, Japan provided these two countries with cooperation focusing on the transition to market economies. Japan's cooperation began with the acceptance of trainees from Poland and Hungary in 1990, followed by an expansion of target countries to Czechoslovakia, Romania, Bulgaria, Yugoslavia, and Albania. At the time of this evaluation, JICA's cooperation in Central and Eastern European countries was led by the acceptance of trainees, and expanded to the dispatch of experts, development studies, project-type technical cooperation, and the Japan Overseas Cooperation Volunteers (JOCV). Currently, grant aid cooperation schemes are also being implemented.

Ten years has passed since the efforts designed to bring market economies to Central and Eastern European countries begun. The transition in Poland, Hungary, the Czech Republic, and Slovakia[2] has shown significant progress, and joined the OECD. However, there are countries where economic transition is slow, and still under way.

Against this background, this evaluation targeted past JICA cooperation related to the transition to market economies in Poland and Hungary. The objective is to utilize the evaluation results to improve future cooperation policies related to the transition to market economies in Central and Eastern European countries, and also derive recommendations and lessons to improve the formulation and implementation of future cooperation projects.

2. Evaluated Projects

The following projects were targeted for evaluation:

Scheme	Name of Project
Project-type Cooperation	
Poland	The Japanese Cooperation to Support the Formulation of Key Government Policies "Small and Medium Sized Enterprises Development"
Hungary	Project-type technical cooperation "The Hungarian Productivity Development Project"
Development Study	
Poland	Study on Restructuring Plan of Enterprises Controlled by the State
	Master Plan Study for Energy Conservation
	Study on the National Transport Plan
	Study on Privatization on Polish State Railways
Hungary	Study on Restructuring of the State-Owned Automobile Parts Company
	Feasibility Study on Facility Improvement and Environmental Protection of Borsod Power Plant
	Study on the Rational Use of Energy
Group Training (for Poland, Hungary)	
Country-focused Training Courses	Production Management
	Comprehensive Quality Management
	Business Management
Country-focused Group Training Courses for Eastern European Countries	Development Finance
	Industry Policy in Japan
	Macroeconomics
	Small Business Policy in Japan
	Environment
	Prevention of Industrial Pollution
	Industrial Pollution Control
	Energy Efficiency
	Industrial Air Pollution Control Technology
	Environmental Administration
	Waste Disposal
	Sanitation Administration
	Foreign Trade Promotion
	Agricultural Production and Distribution
	General Transportation
	Telecommunication Business Management
Individual Expert Dispatch	
Poland	Fiscal and Financial System
	Financial Policy
	Insurance
Hungary	Research on Air Pollution

3. Evaluation framework

(1) Studies were carried out concerning the following items related to the transition to market economies in Poland and Hungary.

1) Understanding the policies and strategies of the recipient countries
2) Obtaining records of cooperation by other donors
3) Understanding the progress of the transition to market economies
4) Evaluation on JICA's cooperation

① Project Evaluation

Acceptance of trainees as the mainframe of cooperation, development studies, project-type technical cooperation, and individual expert team dispatch were evaluated using five evaluation criteria. Contributing and inhibiting factors were also identified.

② Comprehensive Evaluation

Based on the above 1) to 3) and project evaluation, JICA's cooperation in the transition to a market economy was comprehensively evaluated.

(2) Based on the evaluation of Poland and Hungary, lessons related to improving the future cooperation policies for Central and Eastern Europe, and formulating and implementing of projects were derived.

4. Formation of Study Team

Term Leader/General:
Yoshiaki NISHIMURA, Professor, Economic Research Center, Hitotsubashi University

Trends on Market Economy Transition:
Etsuo YOSHINO, Professor, Graduate School of Economics, Hokkaido University

Cooperation on Market Economy Transition:
Ken YAMADA, Middle East and Europe Division, Regional Department IV, JICA

Evaluation Planning:
Mitsukuni SUGIMOTO, Senior Assistant to the Managing Director of Planning and Evaluation Department, JICA

Evaluation Analysis:
Yuji AOKI, Tohmatsu Ltd.

5. Period of Evaluation

2 July 2000 − 5 August 2000

6. Issues on Transition to Market Economy and Degree of Achievement

The transition to a market economy involves a shift from planned economy. Under the market principles, the market functions as an important mechanism in adjusting production and consumption, or supply and demand in the economy. Transition to a market economy involves the following seven issues:

1) Privatization of state-owned enterprises
2) Liberalization of domestic and foreign transactions, introduction of currency convertibility, and establishment of free competition
3) Establishment of a banking sector composed of a central bank and commercial banks
4) Establishment of a stock market
5) Establishment of a tax system and public finance based on a market economy
6) Establishment of other institutions necessary for a market economy to function
7) Training of human resources necessary for a market economy

The "Selected Economic Indicators" described in the "Transition Report" (1998) issued by the European Bank for Reconstruction and Development (EBRD) are used to measure the degree of transition to a market economy. According to the indicators, seven countries including Hungary, Poland, the Czech Republic, and Slovakia were regarded as advanced market economy transition countries. Also, as the ratio of production by private sectors in GDP was 80% for Hungary and 70% for Poland in 2000, these two countries have been regarded as the most advanced countries in terms of transition.

Trainees Accepted

JFY	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000*	total
Hungary	50	94	107	100	79	56	41	27	25	23	26	21	649
Poland	50	106	104	98	78	58	51	34	38	36	32	27	702

*Figures for JFY00 are estimated

1) The G24 are the 24 countries in the Development Assistance Committee (DAC) of the Organization for Economic Development and Cooperation (OECD) and international organizations (the World Bank and the EU).
2) In January 1993, Czechoslovakia was divided into the Czech Republic and Slovakia.

7. Donor Cooperation for Development Policies of Poland and Hungary

(1) Poland

Poland is well on the way to fostering its market economy. The country's figures showed considerable progress compared to other former socialist countries. However, inflation remain high, and privatization of state-owned companies has not been proceeding as originally planned. Furthermore, liquidation, which follows the privatization of state-owned companies, has been causing serious local unemployment problems and large regional income disparities, triggering distortion in the transition process.

Major international organizations supporting Poland are the Poland Hungary Assistance for Restructuring Economy (PHARE) program by the EU, the EBRD, International Bank for Reconstruction and Development (IBRD) under the World Bank Group, and the International Finance Corporation (IFC).

Major aid countries, involved in bilateral assistance other than the top donor Germany, are the U.S., the U.K., and France.

In the ten years from 1990 to 1999, the EU provided funds to Poland for administrative assistance through the PHARE program. This cooperation targeted infrastructure, social development, agriculture, private sector promotion, administrative management, environmental conservation, and the privatization of state-owned enterprises.

The EBRD committed to a grant of EUR 1.17 billion worth of credit, focusing the use of this aid primarily on private sector promotion. Meanwhile, the IBRD has granted US$3.74 billion worth of credit to Poland since 1990, and the IFC has provided a loan of US$286 million to private companies, accepting US$124 million in guarantee after 1989, and also offered US$147 million in co-financing.

(2) Hungary

The major international organizations providing cooperation to Hungary include the PHARE program by the EU, the World Bank group, the EBRD, and the International Monetary Fund (IMF). Major bilateral donor countries providing institutional and policy advice include the U.S., the U.K., and Germany. Other bilateral donor countries are France, Switzerland, Austria, the Netherlands, Japan, and Canada. In addition, EU member countries have been offering Hungary advice on the accession to the EU.

Through the PHARE program, over EUR 770 million was granted to Hungary from 1990 to 1997. In 1998, a grant of an additional EUR 87 million was committed.

The World Bank had committed to credit totaling US$3.8 billion up until mid-1998. In addition, the EBRD pledged to provide EUR 10.3 million worth in technical cooperation for 59 projects from 1991 to 1998.

Programs by the U.S. for Hungary involved a total of US$244 million through to 1998, and were completed in September 1999. The U.K.'s know-how fund, a technical cooperation program for transition to the market economy and democratization in Central and Eastern Europe, contributed approximately GBP 2 million up until 1998.

8. Characteristics and Achievements of JICA's Cooperation for Eastern European Countries

(1) Background of Cooperation for Eastern European Countries

For Eastern Europe, JICA initially concentrated on its assistance to Poland and Hungary, then, gradually expanded its target countries. Japan has been assisting Central and Eastern European countries whose ultimate goal is to become EU members as part of the donor coordination under the G24 framework. When Japan's cooperation began in 1990, the then Prime Minister Toshiki Kaifu committed to provide the two countries with cooperation totaling US$1.95 billion (including US$25 million over five years for technical cooperation). However, compared to the cooperation implemented with large sums provided by international organizations such as the EU (comprises more than 60% of DAC aid volume), Japanese cooperation has carried only a supplementary nature since its commencement.

Central and Eastern Europe countries are classified under the DAC List Part 2 [3] which are usually not classified as developing countries. However, it was agreed that the ODA budget would be used for the cooperation to these countries since a large demand of the fund would need to be covered in a short period of time. Therefore, Japan has also been counting its cooperation for these countries as ODA.

Cooperation for the transition to a market economy for Central and Eastern Europe countries is distinctive that their premise is in their orientation to unify the EU system. The system has a substantial difference in cultural, social, political, and economic characteristics from those of Japan. Therefore, there were limits to the efficiency of Japanese

[3] The OECD's DAC divides countries targeted for aid into Section 1 and Section 2, with Section 1 indicating ODA-targeted countries from the least developed countries to high-income nations, and Section 2 indicating ODA graduates with per capita GNP exceeding that of high-income nations (such as Singapore) and CEEC/NIS (Central Eastern European Countries and Newly Independent States).

technical cooperation that are based on the introduction of Japanese systems and policies, narrowing the possibilities of Japan's recommendations to be accepted. Specifically, Central and Eastern European countries set EU membership as their policy objective, therefore social and economic systems must conform to the EU standards. For this reason, some advice originating from the Japanese system had a very limited scope to be incorporated into their policies.

(2) Prioritized Areas of Cooperation for Poland and Hungary

For Poland and Hungary to respond to the important policies previously described, JICA has held cooperation in the following: 1) policy formulation and institutional building in the areas of fiscal, monetary and industrial policy necessary to further strengthen the market economies to cope with the transition 2) rehabilitation and modernization of economic and social infrastructure worn down under the former socialist administration, and 3) countermeasures to address environmental problems that were not taken seriously during the former socialist administration.

1) Support for Transition to a Market Economy

From the perspective of cooperation for reconstruction of the economy, restructuring of stateowned companies were implemented. In order to support the institutional building and policy formulation, cooperation was specifically extended in the areas of fiscal and monetary systems, insurance, economic and industrial policies, promotion of small-and-medium-sized enterprises, productivity improvement, and investment promotion. The Japanese model of industrialization (production management, business management, quality control, labor management, industrial policies) was introduced as a case applicable to consider the issues of transition to a market economy.

2) Support for Economic Infrastructure:

As for infrastructure, support included restructuring of the organizations concerned and repairing infrastructure such as roads and railways built under the planned economy, through development studies. However, as European donors implemented cooperation for telecommunication and broadcasting, Japanese cooperation in that field was limited to those such as the acceptance of

Achievements of Poland's Development Studies

Name of Study	Jurisdictional Ministry	Implementing Organization	Study Period
Feasibility Study on Flue Gas Desulphurization for Kozienice Power Plant	Ministry of Industry	Kozienice Power Plant	Feb. to Mar. 1991
Study on the National Transport Plan	Ministry of Transportation and Maritime Economies	Ministry of Transportation and Maritime Economies	Mar. 1991 to Dec. 1992
Study on Solid Waste Management for Poznan City	Ministry of Physical Planning and Construction	Poznan City	Mar. 1992 to May. 1993
Study on Privatization of Polish State Railways	Ministry of Transportation and Maritime Economies	Poland National Railways	Oct. 1996 to Feb. 1998
Study on Restructuring Plan of Enterprises Controlled by the State	Ministry of Industry and trade	Mielec Engine Company	Nov. 1996 to Mar. 1997
Master Plan for Energy Conservation	Ministry of Economy	National Energy Conservation Corporation	Mar. 1997 to Mar. 1999
General Plan of Regional Development Study of Konin Province	Strategic Research Center	Konin Province	July. 1997 to Mar. 1998

Achievements of Hungary's Development Studies

Name of Study	Jurisdictional Ministry	Implementing Organization	Study Period
Study on the Rational Use of Energy	Ministry of Commerce and Industry	Energy Management Safety Corporation	Sept. 1990 to Mar. 1992
Study on Municipal Solid Waste Management in Budapest	Ministry of Environment and Regional Policy	Budapest City	Mar. 1992 to Aug. 1993
Study on Integrated Air Pollution Control Plan for Sajo Valley Area	Ministry of Environment and Regional Policy	Ministry of Environment and Regional Policy	Sept. 1992 to Jan. 1995
Study on Restructuring of the State-owned Automobile Parts Company	Ministry of Industry and Trade	IMAG Corporation	Dec. 1995 to Sept. 1996
Feasibility Study on Facility Improvement and Environmental Protection of Borsod Power Plant	Ministry of Commerce and Industry, Ministry of Environment and Regional Policy	Borsod Power Plant	Feb. 1996 to Jul. 1997
The Study on the Environmental Improvement of Lake Balaton	PM government	PM Lake Balaton Office	Jan. 1997 to Feb. 1999

trainees.

3) Support for Environmental Improvement:

The environment had deteriorated under the planned economy due to the insufficiency of environmental policies. JICA cooperation in the environmental field included industrial pollution control intensively implemented through acceptance of trainees, development studies, and expert dispatch. Especially, since Japan's loans to the Central and Eastern European Countries were initially limited to the environmental field , development studies were focused on environmental issues in cooperation with yen loans.

(3) Implementation Structure

1) Establishment of New Cooperation Scheme

a) Country-focused Group Training Courses for Eastern European Countries

JICA established a new scheme to cope with immediate needs for human resource development that would enable a large number of personnel (approximately 700 Poles and 650 Hungarians) to be accepted for training in Japan. The training courses were held exclusively for Central and Eastern Europeans.

b) The Japanese Cooperation to Support the Formulation of Key Government Policies

"The Japanese Cooperation to Support the Formulation of Key Government Policies" was introduced in 1995, with the aim of directly supporting the government agencies that played key roles in establishing fiscal, monetary, and industrial policies for countries in the process of a transition to a market economy.

Ex-participant of JICA training program from "The Hungarian Productivity Development Project"

2) Involvement of Wider Range of Personnel in Japan

Many managers from private sector companies were accepted from Central and Eastern Europe in addition to the conventional government official for the training in Japan. Similarly, experts dispatched from Japan were diversified to include consultants in addition to the usual dispatch of personnel from government organizations, technical research laboratories, and universities in the area of technology. This resulted in an expansion of Japanese organizations supporting ODA, to private-sector companies, think tanks, accounting companies, the service sectors, and the financial sector, all of which previously had little opportunity to participate in cooperation.

3) Establishing Overseas Offices

a) Establishment of JICA Austria Office

When the cooperation to Central and Eastern European countries was initially started, JICA did not have a local overseas office to cover that area. Diplomatic establishments abroad carried out necessary arrangements for the implementation of technical cooperation. To assist these establishments, JICA set up an office in Vienna, Austria that provided logistic support.

b) Establishment of JICA/JOCV Offices in Countries Targeted for Cooperation

In the course of expanding cooperation, JICA/JOCV offices were established in Hungary, Poland, Bulgaria, and Romania following the dispatch of the JOCV. They also supported the implementation of technical cooperation of the diplomatic establishments.

9. Results of Evaluation

Primary activities for JICA in Central and Eastern European countries can be summarized into the following four fields: 1) human resource development through acceptance of trainees, 2) assistance through 'The Japanese Cooperation to Support the Formulation of Key Government Policies', 3) transfer of know-how concerning private business management through dispatch of experts and project-type technical cooperation, and 4) policy recommendation and business management consulting through development studies. All four fields of support were implemented in Poland. In Hungary, all fields with the exception of 2) were implemented. Japan's technical cooperation was ranked second in terms of quantity out of all the OECD members next to Germany, and received high praise from both recipient countries.

(1) Human Resource Development Through Acceptance of Trainees

Between 1990 and 1999, over 600 trainees from Hungary and Poland participated in training in Japan, learning topics related to the transition to a market economy. The Task Force for Training and Human Resources (BKKK) that served as a contact in Poland highly praised the training in Japan.

Furthermore, training in Japan in the environmental field had exceeded 100 trainees within Hungary's Ministry of Environment and Water over the ten years. Compared to training courses in other countries, the number of trainees is larger, the period of training longer, and the training topics more comprehensive. As a result, the trainees could learn Japan's entire environmental protection system and the latest technology.

Since Central and Eastern European countries were not used to receiving cooperation from JICA, acceptance of trainees initially started with the training for administrators and corporate managers. They learned Japan's social, economic, and corporate systems, increasing the senior level personnel's familiarity with Japan. Expert dispatch and development studies were then implemented. This approach was efficient and effective in conducting cooperation by using many cooperation schemes within the same field.

(2) Intellectual Support Through Pivotal Support of Important Policies

'The Japanese Cooperation to Support the Formulation of Key Government Policies' toward Poland's Ministry of Economy, was aimed at strengthening international competitiveness and to assist industrial policies to Polish industry. However, the scope of activities was actually limited to three fields, promotion of small and medium enterprises, regional development, and technical development, because the EU was reluctant to encourage industrial policies in fields other than those mentioned above. Nevertheless, the JICA long-term experts had a good understanding of both these limitations and Poland's economic conditions, and contributed to policy formation based on Japan's experiences. This is observable from many cases in which recommendations by JICA experts were directly reflected in policy documents issued by the Polish government [4].

In the technical development field, JICA cooperation helped build up a technical information system that served as an intermediary between demand from organizations and supply of technology. Through JICA expert's advice, the Agency of Technology was established. The Department of Economic Strategy, the Ministry of Economy expressed their satisfaction both in terms of quality and quantity of the cooperation, recognizing the flexibility of the experts' activities as the promoting factor in the cooperation effect. Their realistic advice taking actual conditions into consideration and their acting as in-house advisors were effective and highly praised.

Also in Poland, JICA long-term experts dispatched to the Ministry of Finance gave technical advice on foreign loan issuance and provided knowledge support such as advice on negotiating with the World Bank and the EBRD, which led to the issuance of foreign loans.

(3) Transfer of Corporate Management Know-how Through Expert Dispatch and Project-type Technical Cooperation

Transfer of corporate management know-how was an area where JICA had direct involvement in the transition to a market economy. The project-type technical cooperation, "Hungarian Productivity Center" (HPC), was the most typical case in this regard.

HPC provided technical cooperation through diagnostic checks on enterprises and training of 200 companies over five years, including many foreign-affiliated companies. Foreign capital accounts for 60% of the total capital funds in Hungarian industry, and foreign companies had a definite role in Hungary's transition to a market economy and reconstruction of industries. Of course, foreign-affiliated companies can summon consultants and trainers from their home countries, but it would be costly and the language barrier would be a problem, making the activities of the local HPC further important.

HPC plans to receive further cooperation from JICA and to conduct a third-country training program targeting Central and Eastern Europe, focusing on the promotion of small and medium-size enterprises. As the development of small and medium-size enterprises is essential to achieving an autonomous market economy, this approach is appropriate.

Encouraging the development of small and medium-size enterprises is very important for countries historically lacking experience in the market economy, such as Hungary, particularly given that small and medium-size enterprises occupy 90% of the industry and it is an effective countermeasure for unemployment. Support for this kind of development is crucial. The HPC project indicated that organizations such as the HPC could bear the responsibility for providing support and could actively fulfill the function of management promotion in small and medium-size

[4] These documents include "Programs supporting the development of regional institutions to promote technical transfer", "Process of long-term industrial policy formation through 2000", and "Economic Activities Act".

enterprises.

(4) Policy Recommendations and Business Management Consulting through Development Studies

In Poland, the "Study on the National Transport Plan," the "Study on Privatization of Polish State Railways," and the "Master Plan Study on Energy Conservation" were carried out and various recommendations were made to the government. For example, recommendations in the "Study on Privatization of Polish State Railways" were widely accepted by the Polish government, and based on these, actual preparation for privatization commenced.

A Hungarian case, the "Study on Restructuring of the State-owned Automotive Parts Company" involved the following: transfer of management technology to IMAG Inc., such as learning cost accounting methods for determining capital investment, offering advice on rationalizing the manufacturing process, and the use of recommendations in the development study report as a handbook. In addition, through this process, IMAG Inc. deepened its understanding of cultural and behavioral differences between Japan and Hungary. IMAG Inc. indicated that this was very useful for doing business with Japanese companies.

Other than the development study targeting IMAG Inc., there are several studies implemented relating to the environment, such as the "Study on Municipal proposals Solid Waste Management in Budapest," the "Feasibility Study on Facility Improvement and Environmental Protection of the Borsod Power Plant," and the "Study on the Integrated Air Pollution Control Plan for the Sajo Valley Area." The study in Budapest produced a useful report for reference, but the Hungarian government was not active in implementing recommended projects due to financial difficulties. Since the Borsod Power Plant was privatized, the recommended projects have not yet been implemented. However, as the government of Hungary must satisfy the EU environmental standards for obtaining EU membership, there is still a good possibility that JICA recommendations will be utilized in the future.

(5) Comprehensive Evaluation

The long-term experts in (2) and (3) acted as in-house advisers, providing support with better understanding of the recipient country gained from their long stay. Advice was practical and appropriate, and this became a key factor in promoting technical transfer. Also, the transfer of knowledge and technology was conducted based on mutual trust built on good human relations, increasing the relevance of this cooperation scheme.

JICA's long-term experts transferred knowledge, such as Japanese information usually harder to obtain compared

Measurement of air pollution ("Study on Integrated Air Pollution Control Plan for Sajo Valley", Hungary)

to Euro-American information due to the language barrier. Some of this information served as important data or viewpoints to which administrators referred in the course of policy formulation, influencing policy documents. The knowledge provided was essentially related to the Japanese model for the economic system built after World War II. Therefore this model could not be directly incorporated into Central and Eastern European countries, given their aim of establishing an economy that would guide them to EU membership, and also their different traditions in labor relationships. However, as described earlier, this does not mean that Japan's experiences were completely irrelevant. There are possibilities that applying a part of Japan's past industrial policies would be quite effective, as shown in the cooperation on productivity improvement. The case in the HPC project at least clarifies that the approach to industrial policies could play an important role in the leading countries in transition. It is also possible to find a link between East Asia's approach including that of Japan, and the approach to industrial policies in the countries in transition.

Despite various constraints, JICA experts could continue to offer appropriate advice in a wide variety of areas. In other words, the most essential point of "Core Competence" in Japan's experience is flexibility.

However, when providing technical cooperation in Central and Eastern European countries, Japan tends to have only a few direct links in building up private sector partnership between local and Japanese companies, as compared to when cooperation is carried out by European and U.S. donors. Since this can weaken the impact of the JICA technical cooperation for the recipient country, it should be improved in the future.

When in transition to a market economy, it is necessary to improve the knowledge and skill of the actors in the market, such as experts from the governments of countries in transition and corporate managers. JICA's contribution

through technical cooperation has significant meaning to this goal.

10. Lessons Learned and Recommendations

The lessons learned and recommendations based on the evaluation results are described as follows.

(1) Lessons Learned

1) In a rapidly changing economic environment, there were some cases where a government requested support from Japan, but another donor had already implemented the cooperation while Japan had been in its appraisal procedure. Also, there were other cases where privatization of some counterpart organizations had resulted in cancellation of the project, or cases where privatization of the counterpart institution in the middle of the cooperation period had forced JICA to change the contents of its study ("Feasibility Study on Facility Improvement and Environmental Protection of the Borsod Power Plant" in Hungary). In another case, the content of a development study report became useless due to sudden changes in economic and social conditions, and recommendations were no longer appropriate ("Master Plan Study for Energy Conservation" in Poland). Given these cases, JICA must quickly respond to requests for support by reducing the time taken for appraisal and making final decisions where conditions change rapidly.
2) In order to respond to the expectations of countries in transition, it is important to set up ground that attracts direct investments from private Japanese companies, as well as the cooperation at the governmental level. To achieve this, it is necessary to dispatch experts (business management, production management) who have know-how in entering a new market or shifting production sites in collaboration with the private companies. In so doing, related Japanese organizations should also be involved, and aid strategies should be formed. When providing this kind of support, collaborated cooperation with private sector companies, as done by European and US donors, was very efficient. Thus, more ties with the private sector are necessary in Japan's cooperation. From this perspective, dispatching retired corporate employees as senior overseas volunteers to provide guidance in corporate business management and production management should be considered.

(2) Recommendations

1) Since legislation promoting decentralization is being established in Central and Eastern European countries as part of their bid for EU membership, there is a great need for Japanese support to the local governments (training for local government personnel, dispatch of experts). Furthermore, when it comes to environmental cooperation, the experience and expertise of Japan's local governments in the field of environmental conservation is very useful. Knowledge of Japan's local governments should be utilized.
2) Of the four countries that have joined the OECD but not the DAC (Poland, Hungary, Czech Republic and Slovenia), Poland and the Czech Republic have started development cooperation to nearby Central and Eastern European countries. At the time of this evaluation study, the Ministry of Finance for Poland was interested in setting up a cooperation agency and had requested Japanese assistance. Therefore, third country training programs and third-party expert dispatch schemes in the market economy transition field that target countries near Poland should be expanded. It would sustain cooperation to the emerging donor countries and their organizations to which Japan had previously offered cooperation.
3) In the interest of effectively using the limited funds and resources provided for cooperation of Central and Eastern European countries, the possibility of shifting the focus of cooperation from the abovementioned four countries to other Central and Eastern European countries (Bosnia-Herzegovina, Macedonia, Romania, Bulgaria, Albania and Yugoslavia) should be considered. Future cooperation policies should also be reconsidered given that temporary assistance using the ODA budget is expected to come to an end. It is necessary to review cooperation for Central and Eastern European countries which are included on the DAC List Part 2 (the former Yugoslavia and Albania are on Part 1).
4) The support system in each field of specialization should be upgraded, as shown in Poland's important cooperation "Industrial Pollution Control." JICA had set up the Supporting Committee and the committee supported the experts dispatched through provision of technical advice. Furthermore, to accumulate know-how on supporting transition to a market economy implemented beyond boundaries such as in Europe, Central Asia and Indochina, JICA must strengthen its affiliations with Japanese domestic agencies and related organizations. Therefore, it is crucial that JICA train and retain Japanese personnel specialized in support for a transition to a market economy.

Singapore, Thailand

South-South Cooperation Support

Project Sites Singapore, Thailand

1. Background and Objective of Evaluation

The concept of South-South cooperation was developed in the 1970s focusing on the significance of mutual cooperation among developing countries. The cooperation entails an equal relationship between the South and the South.

Japan's official involvement in South-South cooperation was declared in the "Official Development Assistance (ODA) Charter" issued in 1992. Then in August 1999, the "Medium-term Policy of the Official Development Assistance (ODA Medium-term Policy)" clearly stated that the South-South Cooperation was a distinctive feature of Japan's ODA. In this policy, South-South cooperation support has been advocated in the following three respects: 1) appropriate technology could be transferred between regions that have similar environments and languages; 2) aid resources could be utilized more efficiently, as projects can be implemented at a lower cost compared to the ones implemented in developed countries,; and 3) aid resources could be expanded by encouraging developing countries to take responsibility for development assistance, and to become providers of assistance.

Based on these principles, JICA has consistently placed high importance on assisting South-South cooperation, and a concrete project started under the "Third Country Training" scheme established in 1974. This scheme is designed to re-transfer techniques, meaning that the techniques that Japan transferred to developing countries by technical cooperation would later be transferred to neighboring countries. In addition, the "Third Country Experts Dispatch" scheme involves sending qualified people from developing countries to other developing countries, and has been in operation since 1995.

Furthermore, Japan has been launching partnership programs with Singapore and Thailand since 1994 as examples of South-South cooperation with new donor countries. This comprehensive cooperation framework includes plans regarding joint implementation, cost-sharing of training courses and the dispatch of experts. JICA continuously tries to increase the number of countries to which this partnership scheme can be applied.

As stated above, Japan has played an active role in supporting South-South cooperation. For the purpose of extracting useful recommendations for effective strategies and the implementation of South-South cooperation support, evaluation of the "Third Country Training" and the "Third Country Experts Dispatch" have been carried out, as they are both major parts of South-South cooperation support.

2. Evaluated Projects

The evaluation targeted the Third Country Training programs carried out in Singapore and Thailand from FY1994 to 1999 (11 courses in Singapore and 10 courses in Thailand), and 68 Third-Country Experts Dispatched from Thailand.

3. Members of Evaluation Team

Team Leader:

Koichi MIYOSHI, Director, Office of Evaluation and Post Project Monitoring, Planning and Evaluation, JICA

Cooperation Partnership Management:

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New Donor Country Analysis:

Yasutoshi YAMADA, International Research Center for Social Development (IRCSD)

Evaluation Methods:

Ryoko ABE, Office of Evaluation and Post Project Monitoring, Planning and Evaluation, JICA

Analysis of Evaluation on the South-South Cooperation Assistance:

Satoshi KOJIMA, Pacific Consultants International

4. Period of Evaluation

6 March 2001 − 22 March 2001

5. Methods of Evaluation

(1) The Basic Principles of Evaluation

The evaluation compared the concept and actual performance of support for South-South cooperation, taking historical background and each country's situation into consideration. As a case study, evaluation was carried out on the cases related to Singapore and Thailand, where the Partnership Programs took place for the first time, in the areas of Third Country Training and on the Third Country Experts Dispatch after 1994 from the viewpoint of South-South cooperation.

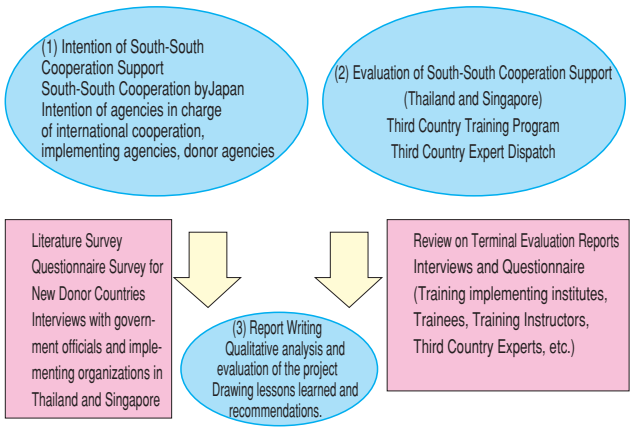
Questions for evaluation are as follows:

1) What is the implementing countries' intention for implementing South-South cooperation?
2) What do implementing countries think of Japan's support for implementing South-South cooperation?
3) How was assistance for South-South cooperation in Singapore and Thailand evaluated in the past?
4) What were the effects for beneficiary countries of South-South cooperation projects carried out by Singapore and Thailand?

(2) The Framework of Evaluation

1) Comparison Between the Concept of Support for South-South Cooperation and the Current Situation

Figure 1 Framework of Evaluation



In this evaluation, as shown in Figure 1, opinions concerning South-South cooperation among cooperation-implementing countries (twelve countries were selected) were compared and examined by reviewing preceding studies and evaluation reports, and distributing questionnaires to donor agencies. Items compared included general concepts and strategies of South-South cooperation, methods of implementation, expectations for Japan, and so on. Furthermore, interviews were carried out on these items with the agencies in charge of international cooperation and implementing agencies in Singapore and Thailand.

2) Evaluations of South-South Cooperation Support (Thailand and Singapore)

Following this, evaluations were carried out on Third Country Training and Third Country Expert Dispatch in Thailand and Singapore as case studies.

As for Third Country Training, meta-evaluation methods were used, and the results of reviewing terminal evaluation reports on each training course were analyzed to identify the overall trends. In order to supplement this literature survey, interviews and questionnaire surveys were also carried out regarding the degree of the utilization of outputs of the projects; namely with officers in charge of implementing agencies, instructors, ex-trainees of the training, and agencies of the beneficiary countries. As for the interviews and questionnaire surveys of ex-trainees of the Third Country Training, those who participated from the host countries were excluded.

Regarding the Third Country Experts Dispatch, evaluations were made not on the contents of cooperation by each expert, but on the dispatch system itself from the viewpoint of South-South cooperation assistance. Interviews were carried out with officers in charge of the experts' parent agencies, agencies that received the experts, and the experts themselves. Also, a survey was carried out on agencies in charge of international cooperation in beneficiary countries.

1) "Beneficiary countries" in this evaluation means the countries that benefit from dispatching participants for Third Country training programs and/or receiving the Third Country Experts.
2) Questionnaire survey was conducted for twelve countries where JICA offices are located, among the countries targeted by the study on "Methods for South-South Cooperation Support" in FY1997. The twelve countries are, Turkey, Indonesia, Malaysia, Mexico, Egypt, Tunisia, Chile, Brazil, Kenya, China, Colombia, and Argentina.

Table 1 Outline of Results of the South-South Cooperation Support by JICA

Activity	FY 2000 (Estimated amount; 100 million yen)	Contents
1. Third Country Training	132 Courses, 2,246 Trainees, (16.7)	Support to developing countries that conduct training for other developing countries.
2. Third Country Expert Dispatch	125 Experts (1.17)	Support to developing countries that dispatch experts to other developing countries.
3. Partnership Programs	6 Programs (-)	Comprehensive framework to collaborate with new donor countries (Brazil, Chile, Egypt, Singapore, Thailand, and Tunisia).
4. Establishing network between institutions	1 (1.11)	Support for establishing network between related institutions for sharing experience.
5. Triangular Cooperation Project	1 (2.13)	Cooperation by dispatching experts for the purpose of developing rural villages in Cambodia with UNDP, UNOPS, and ASEAN countries.
6. Other Activities	—	Experts team dispatch with the purpose of strengthening the system of South-South cooperation in Mexico. Training concerning management and implementation of technical cooperation projects for Argentina.

6. Support for South-South Cooperation by JICA

(1) Current State of the South-South Cooperation Support by JICA

The state of JICA's South-South cooperation support is indicated in Table1. South-South cooperation support, which includes Third Country Experts Dispatch, the Partnership Program, Network Establishment between Agencies, Triangle Cooperation Projects, and so on, was carried out with a major focus on Third Country Training.

(2) Characteristics of South-South Cooperation Support by JICA

Through general observations, the following characteristics have been found in relation to the concept and actual performance of the South-South cooperation supported by JICA.

1) JICA considers South-South cooperation support to be an important scheme, and this tendency is likely to continue in the future.
2) Placing high importance on South-South cooperation is one of the characteristics of Japan's development assistance, as compared to other donor countries.
3) However, South-South cooperation emerged as "a means to supplement and promote Japanese cooperation" by further extending the techniques transferred through the past cooperation of Japan to neighboring countries. For example, Third Country Training is designed to re-transfer the Japan's technology and know-how that are modified to local conditions at the place of receipt. Comparative judgments are also made to decide whether training in a third country is more effective and efficient than training in Japan. Thus, South-South cooperation support is emphasized as a means of complementing the promotion of Japanese cooperation. Furthermore, the Partnership Program is a framework to set Japanese technology in place, and to support new donor countries in taking the initiative in international cooperation. This is regarded as the final stage in international cooperation.
4) On the other hand, there is an increasing demand for efficiency and effectiveness in development assistance. South-South cooperation assistance is not necessarily in response to this tendency with the recent inclusion of country/area-based approaches by JICA, in the sense that it has not been incorporated into the changes of the organization, planning, project implementation, administrative methods, and evaluation.

Third Country Group Training - Study Visit on Cattle farm (diagnostic Technology and Control Measures for Major Levestock Diseases.)

7. Significance of South-South Cooperation for Implementing Countries and that for Other Developed Donor Countries

(1) Agencies in Charge of International Cooperation Implementing Countries

Through this evaluation, it was reconfirmed that each responsible donor organization of the implementing countries was providing the support for surrounding countries or regions according to their diplomatic priority. Originally, South-South cooperation began by finding a unique meaning to the equal cooperative relationship between developing countries, and as a matter of course had a diplomatic and political aspect. It appears that agencies in implementing countries, although engaged in projects with assistance from developed countries, were taking projects into consideration within their own framework. While each country had their own policies, the implementing countries selected projects through an exchange of ideas, discussions and negotiations, and created a cooperative framework in order to collaborate with the developed countries in some form or other.

(2) Implementing Agencies in South-South Cooperation Implementing Countries

Many of the implementing agencies in South-South Cooperation implementing countries are primarily situated as the leading organizations in their fields, carrying out activities as implementing organizations making the most of such a domestic base. As for the international activities, the contents of projects were established through an exchange of opinions and discussion with the developed country organization, and the projects were carried out by modifying their existing services to meet the requirements of the client (customization). Many organizations take activities targeting overseas countries as opportunities to strengthen their ability. The more enhanced the ability and international experience, the more originality can be observed in overseas programs.

(3) Developed Donor Countries and Donor Agencies

Donor countries and agencies apart from Japan do not have concepts such as South-South cooperation explicitly when implementing assistance projects. However, when observing the actual situation, it is clear that similar activities are being carried out through concepts such as regional programs regional cooperation schemes. On the other side of the same coin, the situation suggests that although JICA actually carries out regional programs and regional cooperation, there is a insufficiency of awareness that these programs are being performed.

Practice in the laboratory of the National Waterworks Training Institute

Besides this, there is a tendency for donor countries and agencies to regard this type of cooperation as a method for effectively utilizing existing resources of project areas to solve development issues, rather than supporting implementing organizations. When they set up regional partnerships or programs, donor countries and agencies have made efforts to shift from bilateral cooperation toward multilateral cooperation.

8. Evaluation of the Third-country Training

The current state of Third Country Training was approximated by meta-evaluation through a review of terminal evaluations, conducting interviews of training-implementing agencies, via questionnaire surveys of ex-trainees of the training, agencies to which the trainees belonged, and the agency in charge of international cooperation in the beneficiary country. The situations identified were as follows:

(1) Process Evaluation

There are many implementing organization of Third Country Training that have received technical cooperation from JICA in the past. From observations of the current situation, it is clear that these agencies have their own human resources, equipment, knowledge, and training know-how, as they act as high-level education institutions themselves, or as an affiliated training institutions responding to domestic needs. There are organizations, for example, that maintain an international standard in respective fields, such as the College of Aeronautics in Singapore, and Mahidol University, ASEAN Institute for Health Development. Under such conditions, each organization considered JICA to be a joint implementing agency or a client that ordered training courses. For training implementing organizations,

they considered the planning and implementation of training courses to strengthen their organizational capacity. However, they did not appear particularly aware of the fact that they obtained support from JICA in terms of strengthening their ability.

Among the implementing agencies, there was a common awareness that the trainee's acquisition of a certain level of knowledge and techniques was a goal of the training courses, or, in other words, the expected output. However, the idea on the standard of knowledge or level of techniques to be obtained through a training varied depending on the implementing organization. The level of the achievement of existing courses in each implementing organization would be the baseline of output level for Third Country Training, for cases that the trainees were accepted in degree courses at tertiary educational institutions or specialized educational institutions. However, since the courses were being customized to the level suited to the trainees and also to the purpose of the Third Country Training of JICA, the level often was set to the same or lower than that of existing courses of implementing organizations. On the other hand, there were cases such as the courses held with the Singapore Police, where the output was set to be the exchange of opinions by participants about specific topics. As such, the designs of these courses were naturally different from others.

As the participants of Third Country Training were from surrounding countries of the training implementing country, it seemed likely to have similar characteristics. However, in reality, they often had different backgrounds or levels of economic, social or political development and different parent organizations from central government offices to local public organizations, as well as levels of knowledge and techniques. Their English proficiency also varied. Therefore, it is important for the training implementing organizations to customize existing training courses to meet the levels of the participants, although in reality, this is extremely difficult to carry out. Reflecting this situation, implementing organizations must select trainees by looking at their level of English and technical understanding. In so doing, it is increasingly important that G.I. (General Information, the application form for prospective participants) to be distributed at an early stage.

While implementing organizations showed grave interest in setting the level of training courses, they seemed less interested in possible effects from the output of the training, such as how the knowledge or techniques the trainees obtained was utilized or how it was extended. This is largely because of the implementing organizations' tendency to regard the extension and utilization of training results as the responsibility of the trainees, or the organization to which they belonged. In other words, that is the responsibility of the beneficiary countries, and the responsibility of the training implementing organizations is confined to enabling the participants to acquire knowledge or technological skills to a certain level. This situation derives from a lack of human and financial resources for follow-up surveys by themselves. In fact, many implementing organizations pointed to the necessity for follow-ups.

Among implementing organizations, there were cases where the training curriculum was devised to involve the extension and utilization of what was learned after the participants had returned to their countries, by requesting that they present their action plans at the end of the training course. There were also cases where training courses were utilized to create networks. The Singaporean Aviation Academy and the Singapore Police were promoting networking through the training while recognizing the effectiveness of networking with the participating countries. Moreover, for example, the ASEAN Institute for Health Development of Mahidol University established an alumni association aiming at sharing the experiences of graduates by holding symposiums. There were also cases where trainees and training staff members kept in touch through mailing lists. Implementing organizations regarded active communication through these activities as effective in improving their training ability.

Many implementing organizations have been working on modifying their training curriculum to meet the needs of the various trainees. There were cases that needs were analyzed and courses were reformed based on the presentations of trainees at the beginning of the training course, and based on feedback evaluations carried out at the end of the training courses each year. Other training courses were carried out after separating trainees into different groups based on their needs and technical levels. The procedure of understanding the training needs and reviewing the contents of the training courses has not only improved the level of the implementing organizations, but has also improved the social valuation of the implementing organization itself. Positive responses were thus seen from the implementing agencies. There were also various efforts to improve the training environment, and promote mutual exchange among trainees.

(2) Evaluation of the Performance

Output Level

Most of the terminal evaluations judged the level of achievement by looking into whether the trainees' acquired knowledge or the level of techniques that were expected to

be obtained by the end of the training. This involved self-evaluations using questionnaires that were filled out by the trainees, their supervisors, and training staff members. As for the degree of achievement, all reports stated that it was high.

These evaluation results reached by the implementing organizations are considered to be fairly reliable. This is because they were highly conscious with in the level of achievement reached by their training courses, and since most organizations had experience in carrying out both domestic and overseas trainings if not even Third Country Training, they had some baseline by which to compare the results of their training. As for the training courses that presumed granting of certification, it is reasonable to assume that completion of those courses by the trainees is in itself already an achievement, considering the high international reputation of the certificate of the training courses. In this evaluation, we have attempted comparison with the training of other institutions, however, no outstanding issues were detected, and the outputs themselves seem to maintain proper standards.

However, there were obvious differences in the level of language skills and technical abilities of participants in the training courses, and not all the trainees necessarily achieved the expected results. Therefore, securing English language skills and technological abilities above a certain standard before applying are viewed as important. There were also some indications that because of the late delivery of G.I., the trainees were not able to prepare sufficiently, thereby affecting the degree of training achievements.

Project Purpose

As for the project purpose, most training courses had rather ambiguous purposes to hinder the ability to evaluate them, or it was hard to distinguish between the outputs and the project purpose. However, most trainees noted in their questionnaires that the project purpose was achieved, at the time of terminal evaluation.

Overall, it was not possible to make a precise valuation on how and to what extent the training results were applied and extended.

(3) Evaluation by Five Criteria

As discussed, since the overall goal, project purpose, output and input for each training course were not clear enough, the necessary information for observing the cause and effect relationship of each of them could not be obtained. Thus, it was difficult to analyze or evaluate the relevance, effectiveness, efficiency, impact, and sustainability of each course.

Given the situation, the following are the implications from the results of the meta-evaluation and interviews.

Study trip of the Water Supply Technology

Each training course did not necessarily have a close link to the beneficiary country's development issues. However, as many agencies of the beneficiary countries continuously dispatch trainees for the training, this could at least be regarded as having contributed to increasing the human resources of each agency. Generally speaking, developing countries suffer from a shortage of human resources, and this is a large barrier to carrying out development projects. Under these circumstances, continuous training of their staff members would contribute to enhancing human resources, and would also provide the opportunity to improve their capability to correspond to development issues which might arise. For example, trainees that completed the Primary Health Care Training Course at the Mahidol University currently play responsible roles in their respective countries.

Although the outputs and project purposes of each training course were not clearly separated, it is worth noting that there were cases where networks were established between participants, making it a positive impact of the training courses. By sustaining networks of participants based on shared experiences and the exchange of opinions at the training course, a platform for a continuous exchange of knowledge will be established. This type of development was observed in the Koban System for the Singapore Police Course, the Primary Health Care Training Course at the ASEAN Institute for Health Development of Mahidol University, and others.

9. Evaluation of the Third-county Experts Dispatch

This evaluation attempted to gather information through interviews and questionnaires with people that were previously dispatched as Third Country Experts, and questionnaires to the recipient agencies of the Third Country

Experts. However, since no terminal evaluation was implemented with respect to the Third Country Experts Dispatch scheme, information on the results of implementation was limited compared with those of other cooperation schemes. In addition, the period field study of this evaluation was short and thus insufficient for thorough evaluation. Though there is an apparent limit in the analysis of this evaluation, the following can be observed from the results of interviews and questionnaires.

(1) Process Evaluation

It seemed that not all third country experts had understood the detailed Terms of Reference or purpose of projects when they started their undertakings. Brief explanations were given to each expert about the areas to be dispatched and overall conditions of their work. Hence it was likely that, based on this information, experts generally defined targets and detailed contents of work by themselves.

Meanwhile, many parent organizations of the dispatched experts answered that the motives for dispatching their staff members were to provide cooperation with neighboring countries, and at the same time, enhance the capability and networks of their staff by gaining knowledge and experience.

The possibility of application of the techniques transferred by the Third Country Experts in areas such as agriculture, seemed to be higher than techniques transferred from Japan, in the case where there was a similar climate and social and economic level. Especially in cases such as when a Third Country Expert from Thailand was dispatched to Laos, it was of a great benefit because there is a similarity in language.

On the other hand, the DTEC, which is the donor agency of Thailand, claimed that the Third Country Expert Dispatch often incorporated into JICA's projects, which reflected Japan's policy to the recipient country not necessarily the Thailand's. DTEC regardes this as not in line with the concept of JTPP where both the Japanese and Thai governments should be able to accommodate it as their own policies. This implied that the project target had not been thoroughly coordinated between the two countries. If a Third Country Expert is dispatched to a JICA project, Japan by definition is aware of the project purpose and plan, and it is also clear why Japan provides cooperation. However, for the agency in charge of international cooperation of the implementing country or the organization to which the expert belongs, they may not always have the same policy to the beneficiary country. The Third Country Expert Dispatch scheme obviously has to be coordinated with the policy of the organization that receives the experts in the beneficiary country. Judging from the current situation, necessary discussions for coordination did not seem to be carried out.

Third Country Group Training - Study tour of the seedling tree raising facilities. (Reforestation and Extension Techniques for Lao Foresters)

(2) Evaluation of the Performance

Regarding outputs of the Third Country Experts Dispatch, since the project purposes that the experts should achieve are not clearly defined in the first place, and not fully understood by the experts, thorough evaluation was not possible. However, judging from sources such as interviews, each expert had set their own goals to achieve and had brought a certain level of contribution. Furthermore, the organizations that received Third Country Experts were obtaining the techniques for solving the issues they were facing, and they evaluated the cooperation highly. However, as expressed above, since the criteria of the experts was unclear, the expected output and project purpose inevitably remained ambiguous. In the future, it is necessary to make the project purpose and output clear, and at the same time clarify their detailed undertakings.

10. Lessons Learned and Recommendations

(1) Lessons Related to South-South Cooperation Support ~ Realignment of the concept of South-South Cooperation for the establishment of support based on the beneficiary country's development needs

South-South cooperation involves many stakeholders such as: the agency in charge of international cooperation of the implementing country, the implementing organization of third country training, the agency in charge of international cooperation of the beneficiary country, the agency that dispatches the trainees, the agency that receives the experts, and other concerned parties. However, as men-

tioned before, the ideas on South-South cooperation support are not necessarily the same among concerned parties. Meanwhile, the role of JICA is also not clear enough to provide a framework and direction in such circumstances. To make South-South cooperation support more effective, it is necessary for JICA to re-organize its basic concept of support.

Realignment of the South-South cooperation also means properly placing the support in the policy framework of Japan's assistance. The policy framework consists of policies, programs, and projects. They form one overall framework to achieve the goal while keeping the means and ends related to each other. In JICA, the concept has gradually been embodied through the formulation of JICA country-programs. Concretely, JICA needs to clearly position projects such as Third Country Training and the Third Country Experts Dispatch in its country-programs. In so doing, it is necessary to exchange opinions and hold discussions with agencies in charge of international cooperation in the beneficiary country, organizations that dispatch experts, organizations that receive experts, agencies in charge of international cooperation and implementing organizations.

The following are the points to consider in the process mentioned above:

1) Clarify Relationship between South-South Cooperation Support and Development Issues of the Beneficiary Country

Recently, there has been a stronger orientation for results in international cooperation, and Japan has also been making an effort to shift its assistance method from input-oriented to output-oriented. Also in JICA, development issues are set for each country, then a strategy is planned, followed by selection of projects under the strategy. This procedure is summarized as a JICA country-program, through which JICA endeavors to maintain consistency in its cooperation.

As for South-South cooperation support, project planning or implementation has basically been carried out in the context of the implementing country of the South-South cooperation, and it has been placed in the country-program of the implementing country. Therefore, the relationship between South-South cooperation and the development issues of beneficiary countries was not made clear. However, overall goals and project purpose can be clarified only when South-South cooperation support is positioned in the context of the country-program of the beneficiary country.

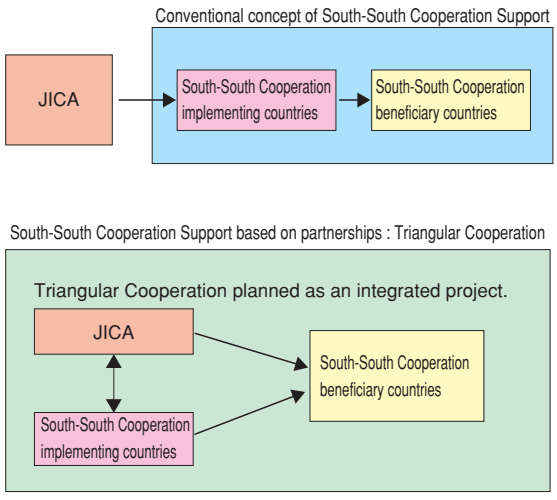
Based on this situation, it is considerably important to carry out South-South cooperation support positioned in the context of the development policy of the beneficiary country, and therefore necessary to further examine South-South cooperation support and its relation to development issues.

2) Clarify Relationship between Resources of the Implementing Countries of South-South Cooperation and Development Issues of Beneficiary Countries

The South-South cooperation support projects has been basically discussed from the viewpoint of the supply side with focus in the resources of the South-South cooperation implementing country. As mentioned in the previous section, this can also be observed from the fact that South-South cooperation has been planned and carried out in the context of the development cooperation policy of the implementing country, rather than in the context of the development issues of the beneficiary country. In order to enhance the effectiveness of South-South cooperation support, departure from this supply-side orientation must be considered. This does not simply mean that a needs survey is carried out. The realignment of the South-South cooperation can be made possible only by clarifying the resources of the implementing agency of the South-South cooperation and utilizing them in the context of the development issues of the beneficiary country.

In the future, it will be necessary to shift the concept toward the direction that most effectively enables the use of development resources of implementing countries in the context of JICA country-program, and to emphasize cooperation based on the development issues of the beneficiary country and regional strategies.

Figure 2 Conceptual Diagram of the Support for South-South Cooperation



3) Clarify Framework of South-South Cooperation Support

There is also a necessity to consider South-South cooperation in the future as a collaboration between developed and developing countries, rather than JICA assisting the project externally. Thus, it is necessary to build a South-South cooperation support system based on a partnership between the donor country and the South-South cooperation implementing country. Figure 2 shows a comparison between the conventional concept and the new concept. For the new concept, it would be more appropriate to use the term, "Triangular Cooperation" (Sankaku Kyoryoku), which encompasses the notion of the two parties having an equal position. Conventional JICA South-South cooperation support has been focused on assisting and enhancing the capacity of the implementing country. Instead, for South-South cooperation in the future, it will be essential for developed countries, cooperation implementing countries and beneficiary countries to all respect each other's situations and comprehensively assist with development issues of the beneficiary countries.

Many developing countries often have common development issues, and it would be effective to share issues, experiences, and knowledge. From this viewpoint, it is effective to set the framework of South-South cooperation in the context of regional cooperation and regional program.

4) Strengthening Cooperative Work

In the above-mentioned comprehensive approach, each group concerned will be required to work in closer coordination and cooperation with each other. If the task is to assist the development issues of the beneficiary country, for example, advanced donor countries and implementing countries will assist the implementing organizations or the experts under the common project or program. This vastly differs from the conventional approach of each individual South-South cooperation project, implemented separattly.

However, under this type of approach, it is possible that each project will yield better results by having connections with other projects. The relations can be closer between the donor agencies in developed countries, and the implementing organizations in South-South cooperation implementing countries. In addition, the network of people and organizations will also develop further by this type of connection and cooperation.

(2) Lessons Related To Third Country Training

1) Flexible Execution of Third Country Training Courses

As for the Third Country Training, the people concerned in the beneficiary countries, or in other words, the organization that dispatches the trainees or the JICA local office in the beneficiary country, have played comparatively smaller roles in implementing the training. It is possible to respond to important issues of the organization that dispatches the trainees with flexible planning, though it is not usually utilized effectively.

To maximize the effect of Third Country Training, it is necessary to examine those trainings in the context of the development issues of beneficiary countries in the future. Conventionally, Third Country Training was not included in JICA's country-program. However, in the future, the resources implementing countries should be seen as resources for international cooperation for the beneficiary countries. By thinking in this way, it will be possible to flexibly plan an appropriate combination of Third Country Training with other schemes such as technical cooperation projects, in-country training, group training in Japan, and country-focused training.

2) Third Country Training as Regional Development

Different from JICA's approach to Third Country Training, implementing agencies of those training courses do not execute them with special consideration as being one of the projects in the South-South cooperation, instead regarding them as being within regional frameworks. Each implementing organization functions as a core for accumulation and extension of the technology in the region, and they emphasize the viewpoint of corresponding to regional development issues also in implementing training courses. Such thinking might have been driven by the other donor agencies or international organizations; both deal with cooperation with implementing organizations in the arena of regional cooperation. Taking this into consideration, it is effective to use JICA Third Country Training as training courses so that they further contribute to resolving regional development issues. Since the implementation of regional programs needs an accumulation of knowledge and technology specialized in that particular region, implementing agencies can be the core of such programs.

3) Establishment of Networks

Some training implementing organizations have actively created networks between trainees and/or training staff members. However, in many cases, this depends

on the spontaneity of the trainees or training staff members, and is not necessarily included systematically in the training. Further utilization of these networks will not only enhance positive impacts of the training, but can also become an asset for JICA. By utilizing networks, it will be easier to understand the development needs or become efficient in gathering information necessary for planning of training courses. Furthermore, the establishment of the networks will enable follow-up training projects after the completion of training courses. Currently, the trainees participating in Third Country Training are not included in the JICA alumni association, which is also a necessary issue to consider.

4) Improvement of Administrative Procedures for Third Country Training

In order to select enough qualified trainees in terms of English and technological levels, to ensure that they get the most out of the training, further clarification of prerequisites is essential.

Generally, the dispatch of the G.I. goes through diplomatic routes, and it has been pointed out that this procedure usually lacks speed. Therefore, it is necessary to examine ways to assist as a partner, and to monitor the administrative work procedures or to give support through JICA offices at project sites.

(3) Lessons Related To Third Country Expert Dispatch

1) Development of a Human Resources Database

It is important to utilize human resources in implementing countries as resources for contributing to the development issues of beneficiary countries from a wider standpoint. For this purpose, it would be effective to develop a human resource database that contains information on third country experts. Since establishing a human resource database is currently promoted for Japanese experts, the database of human resources in developing countries is desired as an extension.

2) Clarifying the Terms of Reference

It is necessary to present clearer Terms of Reference for the experts to achieve output. Many of the Third Country Experts receive only brief explanations about the purpose and outline of the expected activities and are not necessarily given a detailed explanation of the Terms of Reference. Despite this, each expert had been capable of understanding the situation, carrying out activities and making a sufficient degree of achievements vis-à-vis the objectives they had set. However, if the Terms of Reference are clear, the activities could become more results-oriented. By clarifying the Terms of Reference, support at the accepting organization such as early administrative preparation and obtaining necessary equipment will become easier. It will also become possible to further clarify the position of Third Country Experts in the policy of the countries concerned.

Third Country Group Training - Study Visit to Animal Nutrition Research Center. (Diagnostic Technology and Control Measures for Major Livestock Diseases.)

3) Simplification of the International Agreement

There was an opinion expressed about Third Country Expert Dispatch that forming an international agreement for each individual Third Country Expert will require time and money, and it is necessary to streamline the way to form international agreements. Also, the organizations dispatching experts or the agency in charge of international cooperation have pointed out the necessity of simplifying the currently complex system of dispatching experts. Although JICA is already moving toward simplification, it is necessary to simplify procedures immediately.

4) Gaining Understanding of Working Conditions of Experts

As for the treatment of the experts while they are in the beneficiary countries, in Thailand, the rules seem to vary depending on the Department or Agency to which they belong. Basically, it is a matter for the country dispatching the experts; it is necessary for JICA to propose improvement regarding this matter to achieve equitable treatment.

Cooperation of JOCV for Middle-income Countries—Case Study of Malaysia

Project Sites Malaysia

1. Background and Objectives of Evaluation

Japan Overseas Cooperation Volunteers (JOCV) promote international volunteer activities of youths, to offer not only cooperation in technical transfer, but also encouragement in international mutual understanding and capacity development for the participating youths. However, middle-income countries[1)] that have achieved certain technological standards tend to require volunteers of a higher capacity and ability. Thus, the number of cases in which JICA had been unable to recruit qualified volunteers increased. Moreover, the countries expect JOCV to render necessary service rather than technical transfer, hindering the JOCV to implement activities on their own initiative.

To conduct efficient and effective JOCV projects in middle-income countries, JICA should confirm the outcome of projects achieved by JOCV dispatched in the past, organize factors that promote or inhibit outcomes, and review policies for future dispatches.

For the abovementioned purpose, JOCV activities in Malaysia were chosen as a case for this evaluation, as the country has the longest history of JOCV activities among middle-income countries, with 36 years of experience and over 1,000 dispatched JOCV.

The objectives of this evaluation are as follows:

- Consider the future approach for the JOCV projects by conducting a case study on Malaysia a middle-income country that has already reached a certain technological level.
- Derive lessons and recommendations to improve JOCV projects for middle-income countries.

2. Selection of Evaluated JOCV Activities

(1) Selection of Middle-income Countries

In this evaluation study, in order to examine factors that are common to JOCV activities in middle-income countries, six countries (Chile, Mexico, Hungary, Saint Lucia, Poland and Malaysia) were chosen as "middle-income countries possessing a certain level of technology" based on the UNDP human development index (HDI) and per capita GDP (Figure 1, Table 1).

(2) Selection of the Case-study Country and Countries for Comparison

This study chose four countries as cases to collect and analyze information for evaluation through questionnaire.

Although Thailand is not regarded as a middle-income country according to the criteria described in (1), it was selected to provide a regional balance, as it maintains a comparable HDI level in the same region as Malaysia.

Hence, Malaysia is set as the target country of this case study while Thailand, Mexico, and Hungary are set as comparative countries.

(3) Target Fields

Four technical fields, namely Japanese language instruction, social welfare, agriculture, and sports were chosen as study targets, as they had the largest number of dispatches to the six countries chosen in (1) between 1994 and 2000. However, agriculture was excluded from the scope of study because not many in the field had been dispatched to Malaysia in recent years. Conclusively, five

1) Development Assistance Committee (DAC) defines middle-income countries with GDP ranging from US$ 766 to US$ 9,385, with US$ 3,035 as the cutoff point for lower-and higher-middle-income countries. In this report, "middle income country" refers to countries in the upper range of per person GDP of the United Nations Development Plan Human Development Index.

fields were chosen, adding vocational training, which showed an increase in the number of dispatches from the early to mid-1980s, and environment, which number has been increasing recently.

To narrow the focus to current problems and future issues in JOCV activities in middle-income countries, the following numbers of JOCV were selected from those that returned from Malaysia in the five years from 1996 to 2000

(1) Japanese Language	37
(2) Social welfare	38
(3) Sports	4
(4) Vocational training	24
(5) Environment	7

3. Evaluation Team

Team Leader:

Takanori KAZUHARA, Senior Counselor, Ministry of Foreign Affairs

Cooperation Planning:

Kozo ITO, Second Overseas Assignment Division, Secretariat of Japan Overseas Cooperation Volunteers, JICA

Cooperation Outcome:

Hajime ABENO, Former JOCV Coordinator in Malaysia

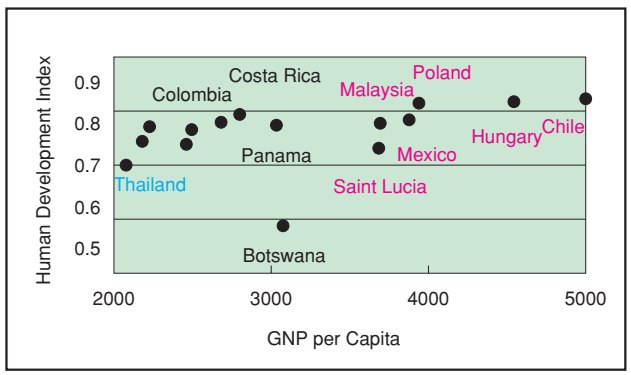
Evaluation Planning:

Haruko KASE, Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

Evaluation Analysis:

Ayako WATANABE, Regional Planning International Co., Ltd.

Figure 1 Type of Countries Receiving JOCVs



At a residential school (RS) where JOCV members were assigned as Japanese language instructors. The ex-counterpart is holding the volunteer-developed Japanese language textbook used in the RS. (Alor Setar, Keda State)

4. Period of Evaluation

25 February − 13 March 2001

5. Evaluation Framework

(1) Evaluation Perspective

The JOCV project is an international cooperation that contributes to the economic development of the recipient country through the self-initiative of young people as well as one of the governmental undertakings to foster youth and international exchange as official tax-funded activities. It is important that the evaluation produces satisfactory results from the perspective of the recipient country, volunteers, and the government project. Taking these into account, the evaluation focuses on the following points.

1) **Effectiveness of technical cooperation**
2) **Effects other than technical cooperation (youth fostering, international exchange, and promoting Japanese citizens' understanding of international cooperation)**

(2) Evaluation Standards

1) **Satisfaction of the recipient country**
   - Are the activities of JOCV highly appreciated?
2) **JOCV's self-evaluation**
   - Is the self-evaluation of the individual's technical cooperation high?
   - Is the JOCV's satisfied with the volunteer experience?
3) **Relevance of project as a government undertaking**
   - Did it contribute in strengthening the relationship between Japan and the recipient country?
   - Does the recipient country have extensive need

for the JOCV?

- Were the JOCV activities efficient?
- Is the effect of JOCV activities sustainable?

(3) Unit of Evaluation

Individual evaluations of each JOCV member were collected and added up according to fields and geographical areas.

6. Study Method

The following studies methods were conducted in the target and comparative countries.

(1) Questionnaire Survey

Accepting organizations of the volunteers (total of 102 institutions in Malaysia alone; 58 respondents)

Returned volunteers (total 335; 45 respondents)

Contract Coordinators, other donors

(2) Interview Survey (Malaysia)

Recipient country's agencies in charge of international cooperation, related central ministries and agencies, assigned institutions (23 in total), JICA Malaysia Office, JOCV technical advisors, Secretariat of JOCV, Contract Coordinators, and JOCV members on-dispatch (29 in total)

(3) Document Survey

Reports from returned volunteers (138)

Various study reports

One of the CBR (Community Based Rehabilitation) centers where the cooperation team of volunteers in the field of social welfare provides care for disabled persons under 18

Table 1 Dispatch of JOCV in Middle-Income Countries

	GNP per person (US$, 1998)	Human Development Index	Year JOCV dispatch started	Number of dispatched volunteers
Chile	4,990	0.826	1997	49
Hungary	4,510	0.817	1993	85
Poland	3,910	0.814	1993	64
Mexico	3,840	0.784	1994	68
Malaysia	3,670	0.772	1966	1,072
Saint Lucia	3,660	0.728	1996	27
Thailand	2,160	0.745	1981	383

7. Tendency and Characteristics of JOCV Activities in Middle-income Countries

The tendency of the direction and result of JOCV activities for the six countries indicated in 2.(1) and Thailand can be categorized into three types based on a review of dispatch records over the past seven years.

1) Type 1: Cases in which cooperation was provided to a specifically poor or socially disadvantaged group of population (Mexico, Chile)

In Mexico, the GNP per capita is high, and the national development policies include sophisticated issues such as privatization of state-owned enterprises and regional decentralization. However, the internal disparities between the poor and wealthy are serious. As a result, many JOCV activities aim to redress the discrepancies in wealth by focusing on agriculture or healthcare for the poor.

Figure 2 Comparison of the Number of Dispatchs in Seven Years

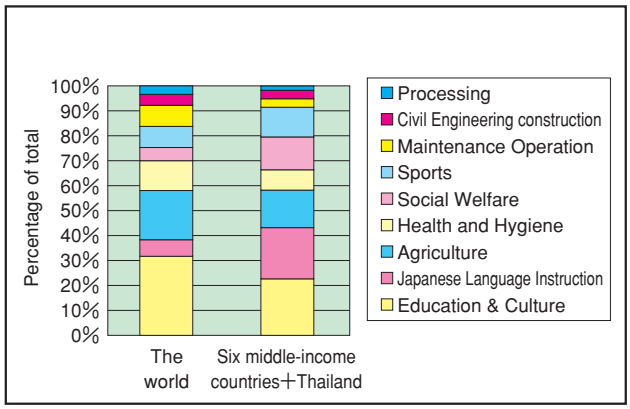
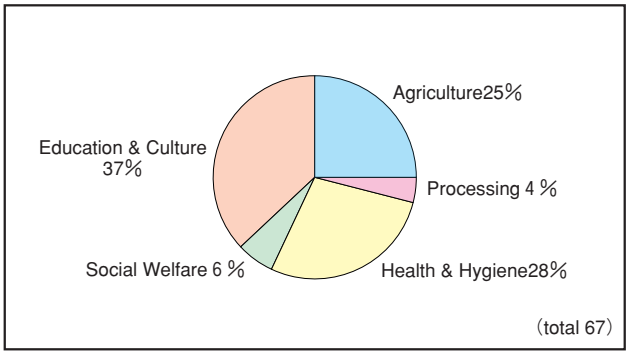
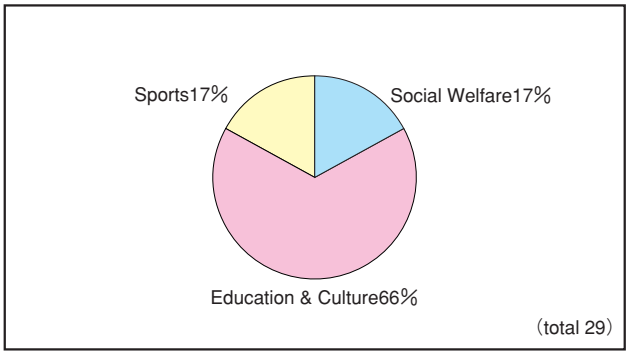


Figure 3 Trends of Dispatch in Countries Studied (1994～2000)

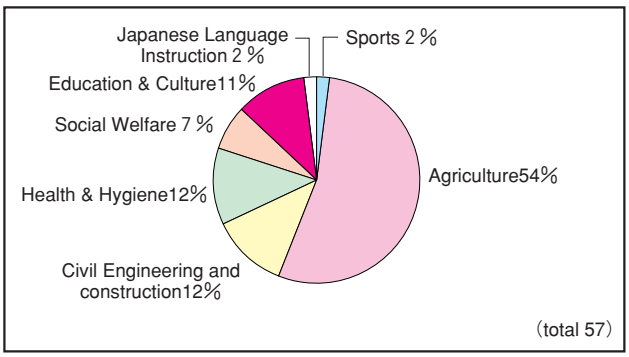
●Mexico



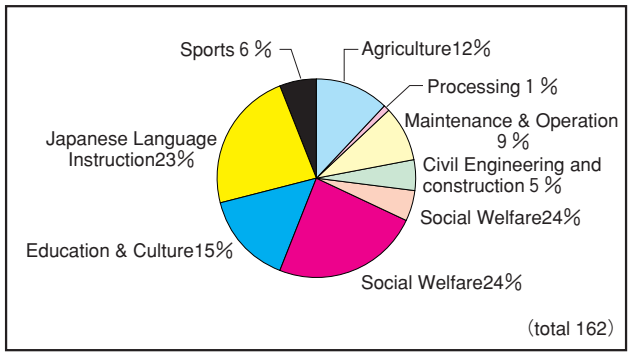
●Saint Lucia



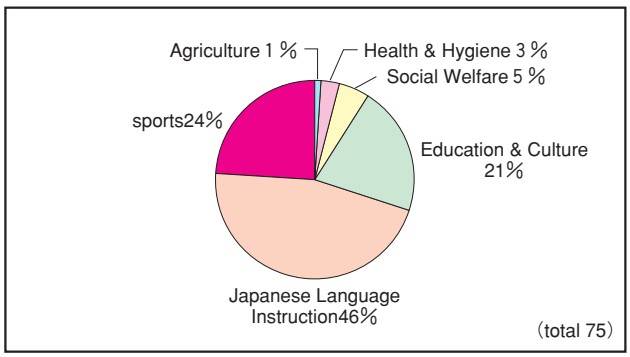
●Chile



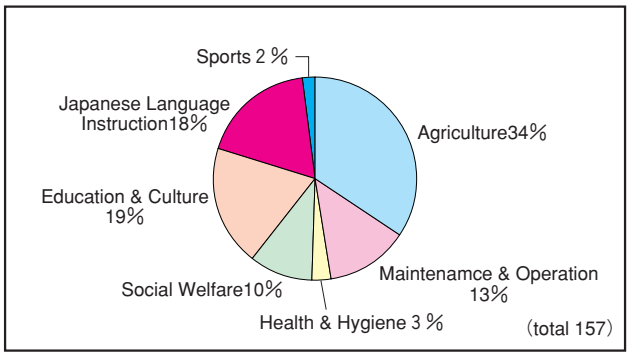
●Malaysia



●Hungary



●Thailand



●Poland

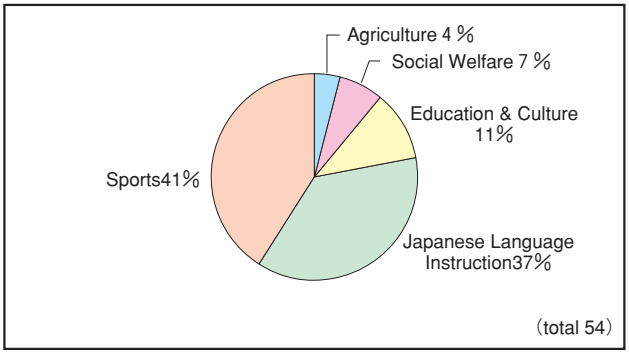
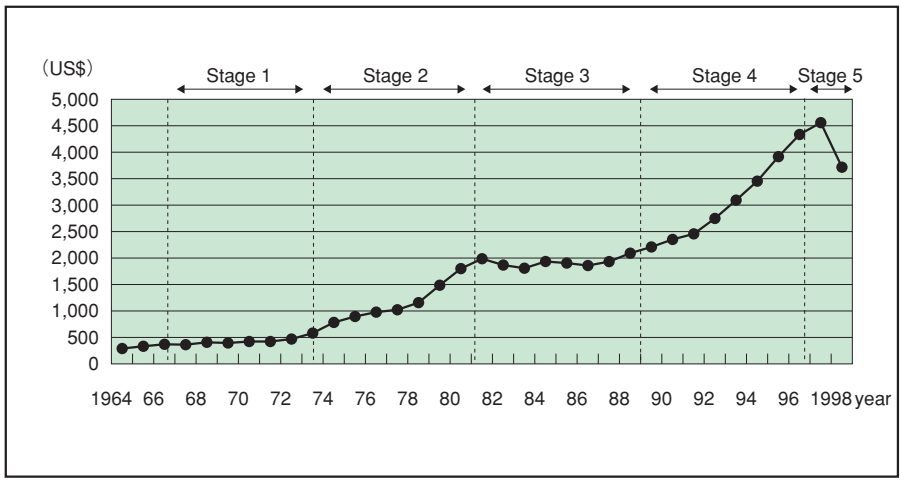


Figure 4 Trend of GNP per capita in Malaysia



2) Type 2: Cases in which cooperation was provided specifically for education and culture (Hungary, Poland, Saint Lucia)

Countries that have raised the transition to a market economy and privatization in their national development plans as their foremost development issue such as the East European countries, already had advanced technology and mature social systems before the collapse of socialist regime. Therefore, they do not require volunteers for technical cooperation. Hence, the focus of cooperation under this category was placed on Japanese language teaching, sports instruction (for sports related with Japan: Judo, karate, and baseball), math and science education, and other educational and cultural areas. International exchange was emphasized in East European countries.

3) Type 3: Cases in which cooperation covered a broad range including 1) and 2) (Malaysia, Thailand)

Cooperation covered a broader range, including Japanese language teaching, sports instruction, and other educational and cultural areas, as well as social welfare and vocational training for socially disadvantaged people. Dispatches were also implemented in newer fields such as environment conservation and information technology (IT), as needs were increasing in these fields.

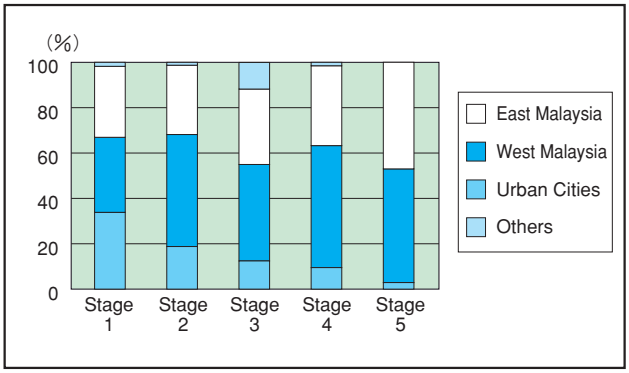
As mentioned, tendencies in dispatch varied even among countries that had similar levels of GNP or HDI.

8. Characteristics of Dispatches to Malaysia

From 1966 when the first five were dispatched to FY2000 1,072 members of JOCV were dispatched. The 36 years of history can be divided into five periods based on the transition of the GNP in the country (figure 4), and the trends and characteristics of each period were analyzed.

Archery class run by Keda State Sport Association where members were assigned. Children get coaching after School

Figure 5 Changes in Areas of JOCV Members' Assignment



(1) Overview of JOCV Dispatch

<Stage 1: 1966 to 1972>

Dispatches started soon after the JOCV scheme was established, experimentally in the initial stage. Reflecting the needs in Malaysia and the supply capacity of Japanese volunteers at that time, cooperation was focused on agriculture, forestry, fishery, and sports unique to Japan.

<Stage 2: 1973 to 1980>

Under the Third Five-year Plan, Malaysia implemented many land reclamation and settlement projects. In the industrial development field, an industrialization policy was promoted by adopting foreign investment, and the rate of economic growth was around 7%. With such high economic growth and industrialization, many of the JOCV were dispatched in the vocational training field.

<Stage 3: 1981 to 1988>

In this stage, per capita GNP reached US$2,000, and the field of cooperation of JOCV began to diversify. Dispatches for social welfare and environmental fields began in this period. Also, cooperation to the Federal Land Development Authority (FELDA) drew attention, and the number of dispatches to the settlements increased. The dispatches to the settlements started mainly on vegetable cultivation and household management, but began to diversify to include kindergarten teaching and public health nursing.

<Stage 4: 1989 to 1996>

In the period of rapid economic growth, the GNP growth rate of Malaysia reached 8% annually. Dispatches in this period, shifted from fields directly linked to industry such as vocational training, to fields of education and culture such as Japanese language teaching, as well as social welfare issues for socially disadvantaged people.

<Stage 5: 1997 to 2001>

As a result of Malaysia's rapid growth, the expectations of the qualifications of JOCV members' rose. The propriety in continuation of dispatches to Malaysia was discussed, and a new direction of the dispatch system was explored. During this period, dispatches for social welfare, sports and Japanese language teaching increased.

(2) Transition of Dispatch Regions

Figure 5 shows changes in the regions where the JOCV were dispatched. There was little change in the ratio of the number of JOCV dispatched to West Malaysia and East Malaysia (a part of Borneo) over the period, with 60-70% of all dispatches sent to West Malaysia. In Stage 5, dispatches to East Malaysia increased to 50% of all dispatches. In addition, large cities used to account for 50% of the dispatches to West Malaysia, but the trend changed with time, with more dispatches shifting to other areas.

A class at Polytechnic institute where a volunteer member was assigned. Currently, a senior volunteer is working there.

9. Evaluation Results

(1) Effect as Technical Cooperation

1) Evaluation from the Recipient Country

The recipient country understood that JOCV activities were basically technical cooperation at the grassroots level. The members of JOCV are not as skilled as other experts and senior overseas volunteers, but recipient countries expect people with higher levels of technical knowledge and experience to be sent. Nevertheless, JOCV activities were rated highly by assigned institutions. In the questionnaires, 94.8% answered that they were either "satisfied" (50%) or "very satisfied" (44.8%).

2) JOCV Members' Self-evaluation

In the questionnaire, 42% responded that they "almost achieved the goal set in the original activity plan," 18% answered that the goal was "achieved considerably," and 9% responded that it was "very much achieved." In other words, nearly 70% of the respondents evaluated themselves rather highly. The more the assigned institution's needs were met and the JOCV

Box

As a result of the overseas education program of the Ministry of Education of Malaysia based on the Look-East Policy, more than 100 Malaysian teachers received education in Japan on Japanese language over five years. As the number of teachers returned gradually increased, the teaching structure changed from two JOCV members per residential school to one JOCV member and one Malaysian teacher. Today, almost every school has a Malaysian teacher who conducts Japanese classes.

technical levels suited the needs, the more successfully the goals were achieved. Thus, it can be said that coordination with the assigned institution was very important. Also, according to the response, the most crucial promoting or inhibiting factor for the activities was "the assigned institution's understanding towards JOCV activities." This suggests that the assigned institution's understanding had major influence on the achievement.

3) Relevance as Government-based Undertakings

Malaysia have a relatively organized systems and clear development concepts, so when qualified JOCV members were dispatched, it was easy for the technical cooperation to be effective. Therefore, the relevance as a governmental undertaking was high. However, there were many cases in which cooperation teams were expected to render services, and activities tended to be polarized into the cases in which the JOCV could take initiative or cases in which they could not.

4) Evaluation by Sector

In the Japanese language teaching field, both the recipient country and volunteers rated the activities highly. In particular, 92.9% of JOCV responded in their self-evaluations that they were generally satisfied, the highest out of any of the fields as shown in BOX. Malaysian teachers succeeded Japanese language teaching activities commenced by the JOCV, showing their sustainability and clear relevante as governmental undertakings. Overall evaluations were high.

In the social welfare field, since there was a shortage of physical and occupational therapists, Malaysia had a high demand for JOCV in this field. According to the questionnaire survey sent to assigned institutions, all respondents replied that they were satisfied or very satisfied, and future dispatches were strongly requested. The JOCV tended to render services to those institutions, but they understood the recipient country's conditions and were therefore highly satisfied in general. On the other hand, a question remained regarding the sustainability as a governmental undertaking since there were no counterparts nor adequate policies to human resources development in this field in Malaysia.

In the environmental field, the recipient country's evaluation and further needs were both high. Volunteers were sent to Borneo, a natural treasury of world wide significance where the needs toward eco-tourism were high. Since most of the local staff did not have any specialized experience, the potential area of contributions of the JOCV was wide ranging. However, the recipients had high expectations for tangible output such as collecting samples and preparing specimens; and technical transfer was subordinated. Although the JOCV were very satisfied with the research, they indicated problems of assigned institutions, such as a lack of comprehensive vision for environmental conservation, vacancy of counterparts, and insufficient coordination between organizations. A governmental undertaking in the environmental field requires coordination with various organizations, and the activities cover a wide scope therefore a clear division of roles within an overarching program is essential. Without such a structure, it is difficult to expect effective outcomes from a technical cooperation.

In the vocational training field, the recipient country's evaluation varied depending on cases, but the overall satisfaction was not very high compared to other fields. This was due to the high technical level already attained by Malaysia and the fact that the counterparts had high academic qualifications and were too busy to be working together. The members of JOCV cited incongruities of technology and difficulty in human relationships as causes for dissatisfaction and did not give high self-evaluations. Although Malaysia had focused on this field, and human resources were in fact short, it was not particularly effective to dispatch volunteers to work in areas that were already so technically advanced.

Regarding the field of sports, the need of Malaysia was to train athletes. Sometimes, the Malaysian side hired professional coaches from other countries. As such, evaluation of the JOCV activities depended on the results of sports competitions, therefore the environment was not too favorable for them. Accordingly, the degree of objective achievement of self-evaluation was lower compared to other fields. As a governmental undertaking, it was the field in which Malaysia could have secured its own human resources, and overall evaluation would have to be considered low.

5) Evaluation by Region

In the volunteers' self-evaluations, there were no significant differences in terms of the degree of objective achievement by region. However, in JICA's country-program for Malaysia, redressing regional disparities had been a key issue, and all assigned institutions were aware of problems in alleviating the gaps between East and West Malaysia, or urban areas and rural areas. Development of the impoverished strata and agricultural rural areas would benefit particularly from the JOCV activities, since they could be most effective as grassroots-level cooperation. This suggests that the emphasis on cooperation should shift to East Malaysia.

(2) Effectiveness Other than Technical Cooperation

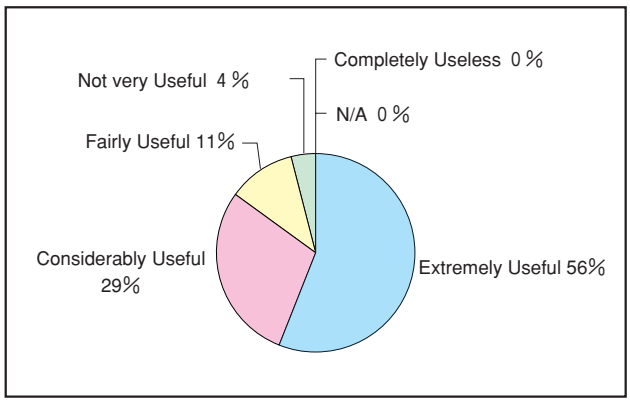
1) Evaluation from Recipient Country

Judging from the questionnaire results, a little less than 90% of respondents felt that they had gained a better understanding of Japan and the Japanese people. Interview results showed that many had felt impressed by the diligent attitude of the Japanese. In the Japanese language teaching field, many responded that having a native Japanese increased student motivation. Also, after returning to Japan, 63.9% of the JOCV members continued exchanges with assigned institutions to some extent. Hence, it can be concluded that satisfaction for projects other than technical transfer was also high.

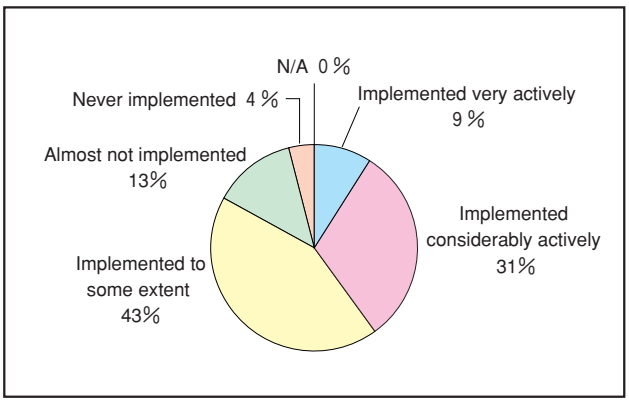
Equipment provided to FELDA from JICA. It has been utilized with transferred technologies after the JOCV members' return to Japan

Figure 6 Results of Questionnaire Survey of JOCV members

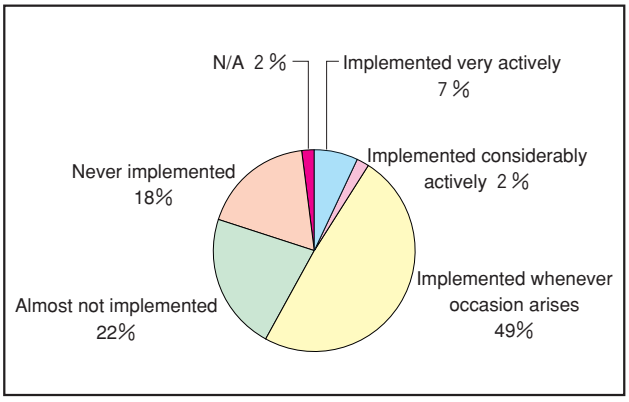
Improvement of Technique and International Cooperation Skills



Activities to Introduce Japan



Activities to Introduce Recipient Countries and International Cooperation



2) JOCV members' Self-evaluation

Over half of the JOCV members responded that their experiences were very helpful in improving their technical and international cooperation skills, and the satisfaction rate was over 80%, when the number of respondents who answered "fairly helpful" was added.

More than 90% said that the activities had a positive influence on his/her maturity, suggesting that the experiences of the JOCV were effective in the human development of young people as well.

During their assignments, 80% initiated activities to introduce Japan as part of an international exchange.

As for introducing their JOCV experiences after returning to Japan, 50% responded that they did so when they had an opportunity, and about 7% said they did so actively. However, 40% said they did not conduct such activities at all because they did not have the time or opportunity.

3) Relevance as Governmental Undertakings

JOCV activities are the only volunteer work being conducted on a governmental basis in Malaysia at this time. Malaysia has adopted the "Look East Policy," aimed to develop the country, looking to Japan as a development model. Through JOCV activities, the two countries are likely to continue establishing their relationship, and JOCV activities are particularly relevant for encouraging mutual understanding and interaction.

(3) Characteristics of Cooperation Activities in Middle-income Countries, in the Case of Malaysia

1) Technology Advancement

As a general characteristic seen in middle-income countries, the technology level is quite advanced. Recently in Malaysia, technology has become more advanced as industries have developed and income risen. Consequently, the technical levels required for JOCV activities have also risen. Regarding vocational training, the knowledge and technology of the JOCV members were not qualified for the needs of the recipient country, as in many cases, counterparts actually had higher academic records and more knowledge.

2) Economic improvement and budget allocation

JOCV activities were greatly influenced by the recipient country's improved economic strength and ability to secure funds independently. As a positive example, in the Japanese language instruction field, the Malaysian government sent over 100 Malaysians to Japan with its own funds to study in Japan for five years. Due to these human resources. The Japanese teaching methods established by the JOCV members could be handed over to the Malaysians. Through securing funds to supplement JOCV activities with its own technology and human resources, Malaysia successfully sustainability.

A negative example was seen in the vocational training field, in those cases where JOCV were dispatched to where Malaysia had already hired necessary professionals with its own funds. Similarly, in the sports field, there were cases in which professional coaches were hired, which reduced the significance of JOCV activities. Despite the recipient country's financial leeway, they often wanted to continue receiving JOCV as free labor force. Such cases are not appropriate for any JOCV dispatch that has its focus on technical cooperation.

Interview to ex-counterparts

3) Redressing Regional Disparities

In Malaysia, redressing gaps in the country is a key issue. Also, Malaysia has three ethnic groups: Malays, Chinese and Indian. The country may have high technical abilities overall, but the ethnic diversity hinders technology diffusion. Furthermore, East and West Malaysia are geographically separated, and since Sabah and Sarawak have a very strong sense of independence, it is often difficult to diffuse technology. Consequently, it is very relevant for JOCV to work directly with the poor.

10. Recommendations for JOCV Dispatch to Malaysia

Recommendation 1: Implement Detailed Background Studies Compared to Lower-income Countries

Since the matching of recipient country's needs on technical levels and type and the ability of the JOCV members will greatly influence the effectiveness of JOCV activities, the background study for requests should be implemented with greater precision. In addition, JOCV coordinators should consult well with the recipient country to comprehend their development policy, request policy, and needs.

Recommendation 2: Planned Cooperation Aiming for Small-scale Takeoff in Each Field

A priority field set with a five-to ten-year perspective for strategic dispatch should be established, and outcomes should be reached efficiently. To select the priority, it is essential to consider whether "the recipient country has needs in the field," "JOCV activities effectively satisfy required technical cooperation" and "it is possible to gain sustainability, or expect sustainability in the future."

A review of the objectives of cooperation and alignment with other schemes are also important in boosting effectiveness. Positioning JOCV projects as one scheme among JICA country programs should be considered.

Further, strategic requests based on a long-term perspective and attempts to secure human resources on the part of the central government are also essential.

Recommendation 3: The Diversity of JOCV Activities Should be Stated Clearly and announced

The stereotxpical image of JOCV activities up until now was of "going deep into the local community," "activities at the grassroots level," and "physically cooperating with local residents in developing countries with harsh

living environments"; and the JOCV members themselves had these in mind. However, the gap between these images and the reality in middle-income countries was wide, and it often led to a temporary decline in motivation. Given this, the JOCV members should be given an understanding of the diversity of the place of assignment and activities, the recipient country's request and needs, and the purpose of the dispatch through the application process and JOCV publicity activities.

11. Lessons for JOCV Projects in Middle-income Countries

In this evaluation study, Malaysia was chosen for the case study in deriving lessons and recommendations for JOCV projects in middle-income countries. However, it became clear as the study progressed that although these countries were technically middle-income countries, the dispatch content differed greatly depending on each country, varying from cultural exchange to aid for the poor.

On the other hand, common issues of cooperation projects in middle-income countries were found, such as: helping the JOCV members to understand the diversity of JOCV activities before dispatch; considering sysmatic cooperation aiming at the small-scale take off from aid for each field; and conducting more detailed background studies for requests based on the fact that there often are regional gaps concerning levels of technology and human resources.