

Japan International Cooperation Agency (JICA)

Guidelines  
for  
Identification and Formulation  
of  
Agriculture and Rural Development Projects  
in  
the Federal Democratic Republic of Ethiopia

Final Report

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International Development Center of Japan (IDCJ)

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## Map of Ethiopia



[http://www.lib.utexas.edu/maps/africa/ethiopia\\_rel99.jpg](http://www.lib.utexas.edu/maps/africa/ethiopia_rel99.jpg).

## Introduction

### Level of “Guidelines” as “Reference Material for Project Formulation”

Depending on the specific circumstances of each country, the demand for “guidelines” as “a reference material for identification and formulation of agriculture and rural development projects” required by overseas JICA offices varies from one office to another. The target countries for the preparation of such guidelines are largely classified into the following four levels based on their specific circumstances. Ethiopia falls under Level B.

**Table 1 Proposal for Weighting of Target Countries for Formulation of Guidelines**

Level	Basis for Level Classification
A	Despite a strong need for assistance in agriculture and rural development, the field ODA task force is not active because of constraints on human resources of the embassy and the JICA office. Countries that require the renewal or review of assistance policies in this field.
B	Although the field ODA task force is working to formulate assistance policies and projects, the formulation of the guidelines in collaboration with the JICA headquarters should prove to be highly significant for the formulation of concrete projects.
C-1	Although the field ODA task force is involved in the formulation of individual projects and a high approval rate of these projects is achieved, the preparation of the guidelines as basic information to diversify assistance should prove to be highly significant.
C-2	Despite a strong need for assistance in the agriculture and rural development, the immediate needs are to conduct macroscopic analysis of the current situation based on the examination of existing information and to indicate the general direction for agriculture and rural development.

Note: It is assumed that the inputs by the JICA headquarters increase from Level C-2 to Level A.

Source: Reference material for the Second Meeting of the Advisory Committee for the Guidelines for the Identification and Formulation of Agriculture and Rural Development Projects by Country.

### Assumed Beneficiaries of the Guidelines

“The poor whose main livelihood is agriculture and who live in a rural area (not an urbanized area)” are basically assumed to be the main beneficiaries of agriculture and rural development projects assisted by JICA. The present guidelines (hereinafter referred to as the Guidelines) are not primarily designed to examine the possibility of assistance limited to landless people as well as the urban unemployed among whom the ratio of the poor is said to be generally high, even though the importance of assistance for them is fully recognized and, therefore, such assistance may be considered depending on the circumstances of individual target areas.

### How to Use the Guidelines

- The Guidelines constitute a guidebook to provide viewpoints and methods for staff members of the overseas JICA office who are responsible for identifying, formulating and implementing projects to identify and formulate agriculture and rural development projects.
- These staff members are expected to formulate realistic projects based on an understanding of the present situation of the target areas through field visits to the target areas to exchange opinions and information with related persons while making full use of their work experience in the overseas office.
- Once projects have been approved, the Guidelines should be used to examine whether or not these projects are being implemented as intended at their formulation stage so that they can contribute to the sustaining and improvement of the livelihoods of people in the target area as well as in surrounding areas.

- The Guidelines should be revised at appropriate times to reflect the knowledge and experience accumulated by the overseas JICA office during the process of project formulation and implementation so that it becomes more practical to suit the specific circumstances of each country.

### **Valid Period of the Guidelines**

In view of Japan's assistance policies (the Country Assistance Programs, the assistance policies formulated by the field ODA task forces, the JICA Country Program, etc.), the valid period is basically assumed to be approximately five years. However, the strengthening of measures (methods) to sustain and improve the livelihoods of people in the target areas often requires more than five years for completion. Accordingly, careful attention must be paid to the possible impacts of projects on the children's and/or grandchildren's generations in the target areas when efforts are made to identify and formulate cooperation projects.

### **About the Guidelines**

#### **Background and Objectives**

In many developing countries, agriculture is the principal industry and the governments of these countries place special emphasis on agriculture for their economic development. As the rural population still accounts for a major proportion of the total population, the governments of many developing countries consider agriculture and rural development to be an important means for poverty reduction. Meanwhile, JICA also considers agriculture and rural development to be an important means of "eradicating extreme poverty and hunger", which is one of the Millennium Development Goals (MDGs) adopted by the United Nations in September 2000.

JICA has been intensifying its efforts by integrating the country/area-specific approach and the issue-oriented approach in view of the characteristics of agriculture and rural development that is considerably affected by the local natural conditions and socioeconomic conditions. As part of its efforts, JICA formulated the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development> (hereinafter referred to as the "Approaches for Systematic Planning") in August 2004, presenting comprehensive assistance policies for various issues as well as a general framework for development methods.

At the same time, JICA is now in the process of transferring the functions hitherto performed by the regional departments of the headquarters to the overseas offices for the purpose of swiftly implementing cooperation projects that are appropriate for the reality of each recipient country. Therefore, the overseas offices are expected to play increasingly a central role in the formulation and implementation of individual cooperation projects in the agriculture and rural development sector in the coming years. This situation has led to a need for concrete guidelines for development assistance work that should prove useful for the identification and formulation of projects fully based on the specific circumstances of individual recipient countries. The efforts of each overseas office should also be based on the Approaches for Systematic Planning and the JICA Country Program.

Under the circumstances described above, the Guidelines have been compiled to arrange the basic information necessary for the JICA office to identify and formulate agriculture and rural

development projects in Ethiopia in the future and also to provide viewpoints and methods for project identification and formulation.

### **Definition of “Agricultural Development” and “Rural Development”**

In the Guidelines, “agricultural development” is broadly defined as development aimed at improving the production and income of the entire spectrum of the livelihoods, including small-scale fish culture using inland water bodies, social forestry, etc., of farming households instead of the narrow definition that only applies to farming activities. Equally, “rural development” is broadly defined as development aimed at improving the quality of life in rural areas, including improved access to basic education, health and medical care, drinking water, etc. for people (especially the poor) living in rural areas.

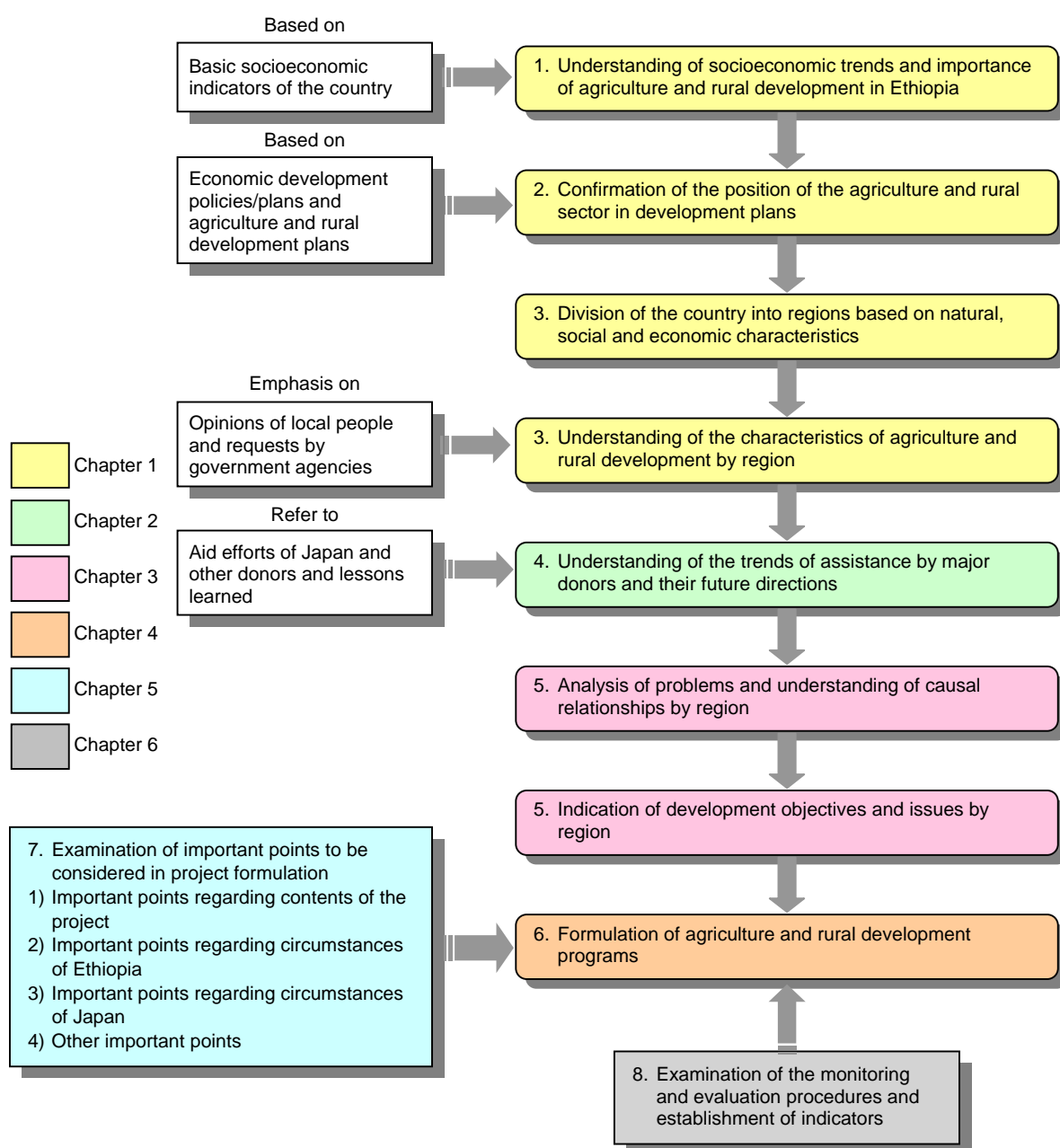
### **Aim of the Guidelines**

The Guidelines are based on the perception that all types of JICA’s cooperation in agriculture and rural development should adopt poverty reduction as the ultimate goal. Poverty is a problem that must be tackled from not only the economic aspect but also from the social, psychological and other various aspects. Although the concrete definition of poverty should be left to each recipient country, the Guidelines have been prepared based on the assumption that a comprehensive approach is necessary to reduce poverty.

The Guidelines, therefore, narrow down the development objectives and issues in a concrete manner while a number of issues in the agriculture and rural development sector in Ethiopia are presented from various aspects. As already stated, both agricultural development and rural development are broadly defined in the Guidelines and the ultimate goal of the intended development assistance is poverty reduction. The Guidelines also include draft approaches and programs associated with JICA’s future ODA efforts with a view to identifying and formulating agriculture and rural development projects that could effectively deal with the development objectives and issues.

## Flow of Work to Formulate Agriculture and Rural Development Programs

The following chart shows the flow of work up the formulation of an agriculture and rural development program. Following this flow, the Guidelines first understand the national characteristics of agriculture and rural development and the trends of assistance by major donors including Japan. The Guidelines then present development objectives and issues and propose draft programs that could effectively cope with the development issues. If changes occur in the future in the socioeconomic trends and/or policies of Ethiopia, or in the Country Assistance Program, draft programs are to be modified accordingly, following this flow. Step 6, i.e. examination of the important points to be considered in project formulation, and Step 7, i.e. examination of the monitoring and evaluation procedures and the establishment of indicators, should be conducted in parallel in the process of establishing the direction for cooperation.



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# 1. Position and Characteristics of Agriculture and Rural Development in Ethiopia

## 1.1 Position of Agriculture and Rural Development in Socioeconomy and Development Policies

### 1.1.1 Socioeconomic Trends and Importance of Agriculture and Rural Development

The agricultural sector in Ethiopia occupies an extremely important position in the national economy, accounting for 85% of employment, 45% of the GDP (2000/01) and some 90% of the total export value. Meanwhile, the productivity of Ethiopian agriculture is low, partly because of its dependence on rainwater and partly because of the small, fragmented farmland. The average annual growth rate of agriculture in the period from 1992 to 2002 was 2.8% compared to 6.1% for the manufacturing industry and 8.3% for the service industry.

As shown in Table 1-1, Ethiopia's economic growth considerably fluctuates from one year to another, reflecting the level of the harvest. The national economy recorded negative growth for the year 1998/99 due to the adverse impacts of the conflict with Eritrea. While the growth has been relatively high since 1999 due to the steady harvest based on a favourable annual rainfall level, the production volume significantly dropped in 2002/03 because of the drought.

**Table 1-1 Real Growth Rates of GDP, GDP per Capita and Agricultural Sector**

Year	GDP Real Growth Rate (%)	GDP per Capita Real Growth Rate (%)	Agricultural Sector Real Growth Rate (%)
1997/98	5.6	2.5	0.4
1998/99	-1.4	-4.4	-8.1
1999/00	6.2	3.6	6.2
2000/01	5.4	3.0	6.0
2001/02	7.7	5.2	9.3
2002/03	2.7	0.5	-4.2

Source: The growth rates are calculated by the Study Team based on the *World Development Indicators* for the relevant years of the World Bank and the *International Financial Statistics*, 2002 of the IMF.

The estimated population of Ethiopia is 67.3 million (2002), of which 84% live in rural areas. The GDP per capita is approximately US\$110, which is less than one-quarter of the average figure for Sub-Saharan Africa. About half (46%) of the total population is classified as the absolutely poor. When a drought occurs, up to 45% of the total population experience a food shortage. In the last 10 years, an average of five million people every year have been in constant need of food aid. Ethiopia imports an average of 700,000 tons of food a year. Drought is said to occur in a three-year cycle and the last major drought occurred in 2002. This situation clearly indicates that food security at the household level is an urgent problem in the agricultural sector. Using UNDP's HDI, Ethiopia is ranked 170<sup>th</sup> among 175 countries and the slow progress of development is evident with the indicators shown in Table 1-2.

**Table 1-2 Major Development Indicators of Ethiopia**

Indicator	Ethiopia	SSA
Average life expectancy at birth (years)	42	46
Infant mortality (per 1,000 live births)	116	105
Child malnutrition rate (percentage of children under five years old)	47	-
Access to improved water sources (percentage of the population)	24	58
Illiteracy (percentage of the population aged 15 years and over)	58	37
Gross primary enrolment (percentage of the school age population)	64	86
Boys	76	92
Girls	52	80

Source: World Bank Home Page, Ethiopia at a Glance, 2003.



### **1.1.2 Position of Agriculture and Rural Development in Development Policies**

#### **(1) Sustainable Development and Poverty Reduction Program (SDPRP)**

The most important policies to be referred to for agriculture and rural development in Ethiopia are stated in the Sustainable Development and Poverty Reduction Program (SDPRP), which is the Ethiopian version of the Poverty Reduction Strategic Paper (PRSP) announced by the Ministry of Finance and Economic Development (MOFED) in July 2002. The SDPRP upholds poverty reduction as the central issue for national development and indicates the following strategies to achieve this goal.

- 1) Agricultural development-led industrialisation (ADLI) and food security
- 2) Justice system and civil service reform
- 3) Governance, decentralisation and empowerment
- 4) Capacity building of public and private sectors

The ADLI strategy regards industrialization as a long-term goal for national development and considers agriculture-led economic development important as the first step. It also calls for a shift from self-sustenance agriculture to market-oriented agriculture and points out the necessity for the export of some products through the development of agricultural products with a high commodity value and international competitiveness. Agricultural development here is conceived as the labor-intensive type coupled with improvement of the land productivity with the input of fertilizer and improved seeds.

From the viewpoint of food security, while the absolute volume of food at the national level is considered to be sufficient, food security at the household level is still regarded as critical due to the impacts of frequent droughts. Even though dependence on food aid is considered inevitable in the short term, the strategy aims at reducing the size of the population with an insufficient supply of food to depart from the country's dependence on foreign food aid.

#### **(2) Food Security Program**

In 2003, the Government of Ethiopia and its development partners jointly launched the New Coalition for Food Security Program to improve the country's chronic food shortage and unstable food supply. In the same year, the Technical Working Group, members of which consist of experts of the government and development partners, was established and the Food Security Program was formulated. Recognizing that food security is an essential part of the poverty reduction strategy, this program puts forward a whole range of actions to be implemented in a period of 3-5 years.

## **1.2 Characteristics of Agriculture and Rural Development**

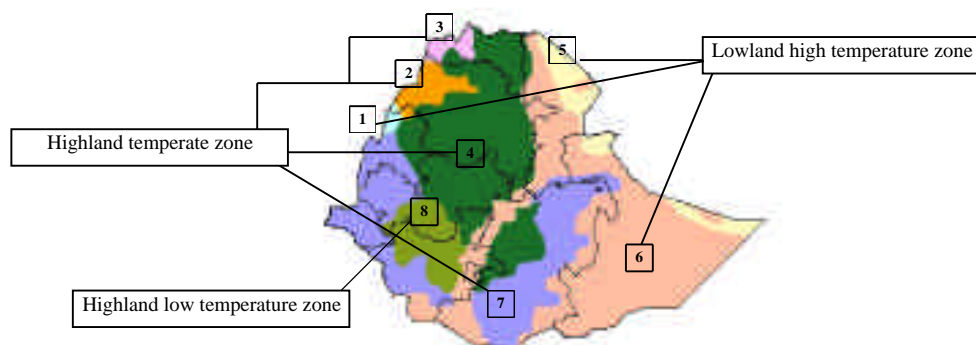
### **1.2.1 Zoning for Formulation of Development Strategy**

For agriculture and rural development in Ethiopia, it is necessary to understand the present conditions and problems at the state level to formulate a development strategy for each state that reflects the agricultural characteristics and degree of decentralization in each state.

#### **(1) Different Agricultural Conditions of Each Zone**

Because of the complicated topographical conditions, the agricultural ecosystem consists of 18 zones and 49 sub-areas and can be largely classified into three zones, i.e. highland low temperature zone (dega), highland temperate zone (weina dega) and lowland high temperature zone (kolla). Meanwhile, it is possible to classify the farming system into eight types

corresponding to the administrative division (i.e. states) (Figure 1-1 and Table 1-3). This classification is based on such parameters as the agricultural ecosystem zones mentioned above and the major cultivable crops in view of the elevation, rainfall and temperature.



**Figure 1-1 Types of Farming Systems**

**Table 1-3 Characteristics of Farming Systems by Type**

Agricultural Zone	No.	Farming System	Elevation (m)	Rainfall (mm)	Temperature (°C)	Farming Type	No. of Animals Raised (head)	Vegetation
Lowland high temperature zone (kolla/dega)	1	Irrigated farming	<500	1,000-1,500	20-35	Grains (rice) + horticultural crops	0-5	Savannah
Highland temperate zone (moist weina dega)	2	Mixed dry field farming	500-1,500	1,000-1,500	20-35	Grains + root crops	0-5	Savannah
	3	Agropastoral	1,000	700-1,000	20-35	Miscellaneous grains + stock raising	0-5	Savannah
	4	Dry field farming (annual + perennial crops)	>2,000	1,000-1,500	15-20	Grains + vegetables + fruits >60%	50-100	Savannah
Lowland high temperature zone (bereha)	5	Stock raising (grazing)	200-500	150-250	20-35	Cattle + sheep + goats	0-5	Waste land
	6	Stock raising (nomadic)	200-1,000	250-500	20-35	Sheep + goats	0-5	Shrub
Highland temperate zone (moist weina dega)	7	Dry field farming (annual + perennial)	500-1,000	1,000-1,500	15-20	Grains + vegetables + fruits >60%	50-100	Savannah
Highland low temperature zone (dega/wurch)	8	Perennial crops (highland)	>2,000	1,500-2,500	15-20	Fruits + grains >60%	50-100	Evergreen forest

Source: Both Figure 1-1 and Table 1-3 are based on Country Profile and Mapping Information System, Ethiopia of the FAO.

## (2) Agriculture and Level of Poverty

The different agricultural conditions have resulted in gaps between the zones in terms of poverty. In the case of highland zones with favorable natural conditions for example, an increase of the agricultural production can be easily achieved. In addition, the development rate of such agriculture-related infrastructure as roads, storage facilities and market facilities for better distribution and marketing tends to be high in these zones because of the proximity to major consumer markets, i.e. Addis Ababa, the capital). In contrast, in the lowland high temperature zone (bereha) with poor natural and marketing conditions, the limited crop production prospects result in a high dependence of local people on livestock keeping. At the same time, the level of poverty in this zone is high and the level of nutrition is also low. Both the arable land utilization rate and the agricultural productivity tend to be higher in those zones with favorable natural conditions, presumably resulting in an income gap at the farm household level.

### (3) Progress of State-Led Development Policies Reflecting Social Diversity

Taking the opportunity of the shift to a market economy in 1992, the Government of Ethiopia has adopted a decentralization policy to depart from the centralized regime. With the promotion of decentralization, the development budget and some of the administrative power is being transferred from the federal government to state governments and a system is emergency under which the independent development policies of each state are respected. One important question for agriculture and rural development in Ethiopia is how much planning and implementation capacity individual state governments have.

#### 1.2.2 Overview of Farming

An average farm household has a rather small farmland area of 1.03 ha of wheat, maize and/or teff. The number of family members per farm household is approximately 4.0 and it is inferred that grain production is about the level of self-sufficiency. The number of cattle is large but that of sheep, goats and chickens is small. It is inferred that cattle are kept as assets or as a source of cash income based on the traditional concept while small animals are raised for self-consumption.

#### 1.2.3 Life in Rural Areas

Almost half of Ethiopia's population is classified as absolute poor and the population growth rate is as high as 2.4% a year. For these reasons, the social services provided by the government have been in a state of insufficient supply for many years. Many people in rural areas have a number of problems related to health and education. Meanwhile, the chronic food and water shortages caused by drought have accelerated the worsening health situation of the people. Human capital in Ethiopia shows the following tendencies by state.

- School enrolment: The enrolment rate is low in grazing areas while it is high in areas with high agricultural potential or vigorous economic activities.
- Nutrition: The level of nutrition is poor in grazing areas and areas suffering from a chronic food shortage.
- Disease prevention: The prevention of diseases is insufficient in grazing areas.
- Hygiene: The level of hygiene is generally low because of the poor access to water.
- Gender: The gender gap is generally large and particularly conspicuous in grazing areas.

**Table 1-4 Basic Indicators for Human Capital by State**

State	Popula- tion (‘000)	Basic Education Enrolment Rate (GER)			Repeater Rate			Drop-Out Rate			Hypo- plasia Rate	Hypo- sthenia Rate	Under- Weight Rate	Infant Vacci- nation Rate*	Access to Clean Water
		M	F		M	F		M	F						
Tigray	3,901	73.7	74.2	73.1	5.9	5.0	6.8	17.1	17.2	17.1	55.3	11.1	47.9	73.86	14.9
Afar	1,272	13.8	15.7	11.5	7.5	6.1	10.0	19.5	19.8	19.1	47.6	12.6	50.5	N/A	16.8
Amhara	17,205	58.5	62.9	53.9	6.6	5.5	7.8	14.7	13.8	15.8	57.0	9.5	51.8	35.21	29.2
Oromia	23,704	66.9	82.6	51.0	5.1	4.6	6.0	17.8	17.3	18.6	47.4	10.4	42.4	27.21	27.3
Sumale	3,898	15.1	19.4	10.0	2.5	2.6	2.2	17.8	12.4	28.9	46.4	15.8	44.3	2.72	12.8
Binshangul	565	98.4	121.2	74.5	7.8	7.3	8.5	20.4	19.7	21.6	41.3	14.2	42.3	18.87	17.3
Southern Nations	13,292	71.8	88.1	55.1	9.1	8.3	10.4	22.4	21.6	23.7	55.4	11.8	53.7	32.05	25.0
Gambela	223	124.6	154	43.3	8.8	7.4	11.3	8.4	5.9	12.8	37.0	18.1	39.0	27.39	15.9

Note: \* Up to four years old for BCG, DPT3 and measles.

Sources: Education statistics: Education Statistics Annual Abstract 2002/03, Dec., 2003 of the Ministry of Education. Health statistics: Health and Health-Related Indicators 2002/03 of the Ministry of Health.

## 2. Trends of Assistance by Japan and Other Donors and Future Directions

### 2.1 Japan

Among African countries, Ethiopia has been given relatively high priority for Japan's ODA in terms of both grant aid and technical cooperation. Table 2-1 shows the ranking of Ethiopia in two of Japan's ODA schemes among 47 African countries for the five-year period from FY1997 to FY2001.

**Table 2-1 Ranking and Value of Japanese Grant Aid and Technical Cooperation for Ethiopia Among African Countries**

Year	1997	1998	1999	2000	2001
Grant Aid	6 (4,041)	4 (4,210)	4 (3,795)	1 (5,437)	1 (5,589)
Technical Cooperation	7 (1,276)	9 (835)	11 (790)	11 (815)	7 (1,537)

Note: Each figure indicates Ethiopia's ranking among 47 African countries and the unit for figures in brackets in million yen.

Source: Japanese Ministry of Foreign Affairs, *ODA Databook by Country* (title translated by the author), 2002.

As Table 2-1 clearly shows, the emphasis of Japanese assistance for Ethiopia in more recent years has been placed on grant aid, making Ethiopia the largest recipient country of Japanese grant aid in Africa. This was primarily because of the provision of non-project grant aid totaling ¥10.6 billion (¥1 billion in FY 2000 and ¥1.5 billion in FY 2001) up to 2001 to assist Ethiopia's structure adjustment funds. In addition, major grant aid projects included some ¥6.5 billion for a trunk road rehabilitation project in four years commencing in FY 1998 and ¥3.7 billion for a local municipal water supply project in four years commencing in FY 1997. From FY 1998 to FY 2001, emergency grant aid was provided every year for the relief of refugees as well as drought damage (via international aid organizations, including the Red Cross). Previous tasks for technical cooperation have included irrigation in the Meki area, health care featuring the control of smallpox, polio, etc. and water supply. Multilateral aid efforts have been prominent in such sectors in Ethiopia as health, education, roads and water and JICA has been actively participating in these efforts.

The Government of Ethiopia aims at achieving food security through: 1) increased food production; 2) development by means of transportation and markets for agricultural products; and 3) increased productivity and income in local areas. As the direction for future assistance, continued efforts to achieve food security as well as livelihood improvement for rural people for poverty reduction are judged to be particularly important while taking the intentions of the Government of Ethiopia into consideration.

### 2.2 Other Donors

The main donors and aid organizations for Ethiopia are listed in Table 2-2. Other European countries, UN organizations and NGOs are also active in Ethiopia and many of their aid efforts are in line with the framework of PRSP (SDPRP).

Like Japan, other donors are addressing the priority issues indicated in SDPRP, i.e. economic development based on agricultural development, food security at the household level and social development featuring primary education, basic health and other issues. Within the framework of SDPRP, each donor appears to have its own emphasis as shown in Table 2-3. In general, the priorities appear to be 1) food security and 2) capacity building of government officials at the district (woreda) level who are the main implementers of development activities following decentralization. It is also necessary to pay close attention to donor

cooperation in Ethiopia's agriculture and rural development sector that has been making progress for some time.

**Table 2-2 Main Donors for Ethiopia (All Sectors)**

Donor/Aid Organization		Amount (US\$ million)
1	IDA(World Bank)	473
2	USA	125
3	EC/EU	113
4	AfDB	58
5	Japan	51
6	IMF	44
7	Netherlands	39
8	UK	36
9	Germany	35
10	Italy	32
Total		1,212

Note: The figure for donors is the average for 2001 and 2002. The total figure is the net amount while the figure for each country is the total amount.

Source: OECD Home Page.

**Table 2-3 Priority Areas of Major Donors and Directions for Development**

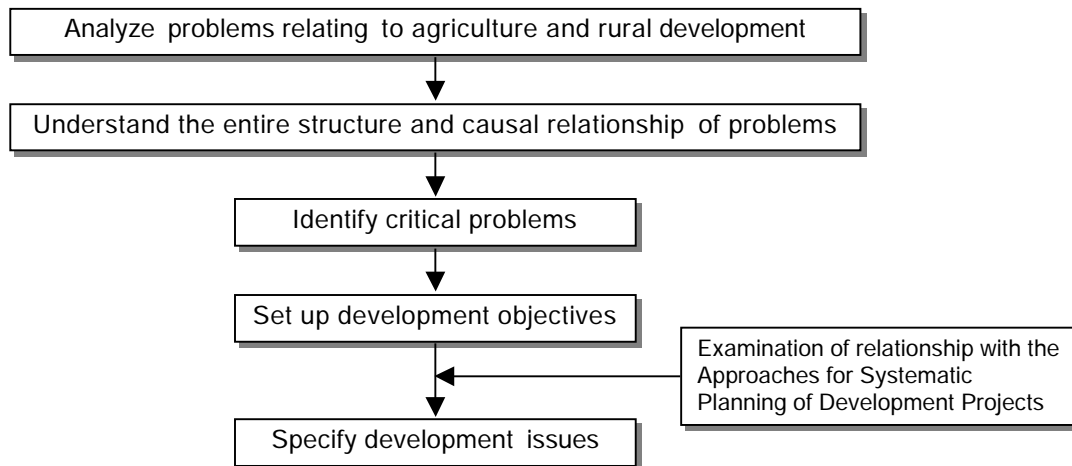
Donor	Priority Sectors	Directions for Development in Agriculture and Rural Development Sector
IDA (World Bank)	<ul style="list-style-type: none"> <li>• ADLI and food security</li> <li>• Reform of the legal system and administrative services</li> <li>• Government, decentralization and empowerment</li> <li>• Capacity building</li> </ul>	The basis emphasis is assistance for SDPRP. Within this context, concentrated efforts are being made to assist capacity building at the district level that will be the main focus of future development efforts and community driven development.
UNDP and Other UN Organizations	<ul style="list-style-type: none"> <li>• Agricultural development</li> <li>• Social development</li> <li>• HIV/AIDS</li> <li>• Contribution to the social rehabilitation and development fund</li> </ul>	Assistance for the agriculture and rural development sector is considered to form part of the assistance for poverty reduction as well as for the water, environment and energy sector. In the context of agricultural development for poverty reduction in particular, funding is made to the agricultural development program along with other donors from the viewpoints of poverty reduction and economic development to assist ADLI.
EC/EU	<ul style="list-style-type: none"> <li>• Transportation and transport</li> <li>• Macroeconomy</li> <li>• Food security</li> <li>• Capacity building</li> </ul>	The emphasis is placed on food aid. Within this context, assistance is being provided to achieve domestic purchase and self-sufficiency at the household level and to develop infrastructure to improve access in rural areas.
USA (USAID)	<ul style="list-style-type: none"> <li>• Improvement of productivity at the household level in rural areas</li> <li>• Improvement and provision of the basic health service</li> <li>• Improvement and provision of the basic educational service</li> <li>• Strengthening of civil society and governance</li> <li>• Alleviation of the adverse impacts of natural disasters</li> <li>• Assistance for the southern area (assistance for nomads)</li> </ul>	The highest priority is to solve the chronic food shortage. One strategy put forward is market development through balanced supply and demand involving areas with high and low potential to promote economic activities, including agriculture in rural areas, and to improve the standard of living.
UK (DFID)	<ul style="list-style-type: none"> <li>• Food security</li> <li>• ADLI</li> <li>• Capacity building</li> <li>• Humanitarian assistance</li> <li>• Peace process (vis-à-vis Eritrea)</li> </ul>	The recent trends are a sector wide approach and direct financial assistance. In the field of technical cooperation, assistance is provided for policy/organizational reform at the federal government level and for local governments and is partly aimed at improving the service delivery at the local level and demonstrating the effects of the new approach and decentralization.
Germany (GTZ)	<ul style="list-style-type: none"> <li>• Food security and utilization of natural resources</li> <li>• Technical and vocational training</li> <li>• Capacity building in relation to governance</li> </ul>	The GTZ's efforts to improve food security are based on improvement of the productivity through natural resources management (watershed management) and the diversification of agriculture. In connection with capacity building, assistance is provided not only for governments (both federal and local) but also for local communities so that these communities can participate in the planning and implementation of development projects.

Source: Prepared by the Study team based on the home pages of donors and the results of interviews conducted during the field survey.

### 3. Issues for Agriculture and Rural Development

#### 3.1 Procedure for Specifying Development Issues

This chapter attempts to identify critical problems through the analysis of problems relating to agriculture and rural development in Turkey based on literature and data available in Japan. The development objectives are then set based on the critical problems and the development issues to be tackled to achieve the objectives are specified. The procedure to specify development issues is shown below.



It must be noted that the procedure leading to the specification of development issues as shown here is an **example** of the procedure for the required work. Analysis of the problems by the Study Team does not necessarily cover all problems relating to agriculture and rural development in Turkey in detail because of the limitations posed by the length of the study and work in Japan. For the formulation of an actual project, analysis of the problems of the target area based on a literature review, interviews with stakeholders, field visits and the participation of stakeholders is essential so that the development issues can be identified for the formulation of a draft program dealing with the problems.

#### 3.2 Approaches for Systematic Planning of Development Projects

In August 2004, JICA formulated the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development> (hereinafter referred to as the “Approaches for Systematic Planning”) aimed at strengthening the country-specific approach through strengthening of the issue-oriented approach to important development issues. This document assumes the following use.<sup>1</sup>

- As a reference material for the preparation or revision of a development issue matrix for the JICA Country Program
- As a basic material for a project formulation study, project formulation and program formulation
- As a basic material for program evaluation and country assistance evaluation
- As a material to explain JICA’s ideas regarding development issues at meetings between staff members, study team members, experts, etc. working for JICA and recipient countries and other donors
- For sharing ideas on and approaches to development issues within JICA through issue-based databases

<sup>1</sup> JICA, Institute for International Cooperation, *Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>*, August 2004, p. 1.

The Approaches for Systematic Planning set three strategic development objectives, i.e. sustainable agricultural production, stable food supply and promotion of vigorous rural areas, and indicate mid-term objectives and sub-targets of mid-term objectives presenting policies and directions to solve various problems. The Approaches for Systematic Planning are characterized by its systematic indication of the basic development issues for agriculture and rural development in developing countries and the basic patterns of the relevant approaches. For this reason, listing of the issues for agriculture and rural development in Pakistan and the mid-term objectives under the Approaches for Systematic Planning side by side for the purpose of understanding the relationship between the said issues and the direction for agriculture and rural development pursued by JICA should prove effective.

#### Example of Development Objectives under the Approaches for Systematic Planning

Development Objectives	Mid-term Objectives	Sub-targets of Mid-term Objectives	Examples of Activities
1. Sustainable agricultural production	1-1 Improvement of the planning and implementation capacity for agricultural policies at the macroscopic level	Improvement of the planning capacity for agricultural policies	<ul style="list-style-type: none"> <li>⊙ Formulation of an agricultural development plan</li> <li>○ Development of a legal system relating to agriculture</li> <li>○ Promotion of agrarian reform</li> </ul>
2. Stable food supply	2-1 Formulation of food supply and demand policies	Understanding of the nutritional status of the people	<ul style="list-style-type: none"> <li>Implementation of a national nutrition survey</li> <li>Improvement of the capability to analyze the nutritional state</li> <li>Fostering and deployment of community workers</li> </ul>
3. Promotion of vigorous rural areas	3-1 Promotion of policies related to rural development	Improvement of the coordination/implementation capacity at the national level	<ul style="list-style-type: none"> <li>⊙ Fostering of capable administrators</li> <li>○ Facilitation of the understanding of participatory development</li> <li>⊙ Formulation of participatory village development plans</li> </ul>

Note: ⊙: JICA has considerable experience; ○: JICA has certain experience; : JICA has experience as a component of projects; X: JICA has little experience.

Source: JICA, Institute for International Cooperation, *Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>*, August 2004, pp. v-viii.



## Summary of Development Objectives under the Approaches for Systematic Planning

### Development Objective 1: Sustainable agricultural production

Sustainable agricultural production is a precondition for a stable food supply and the promotion of vigorous rural areas. Under this approach, the following mid-term objectives are adopted.

- Accurately understand the situation of the agricultural sector of one's own country (the recipient country) at the macroscopic level and plan and implement appropriate policies in line with the situation (Mid-term Objectives 1-1: Improvement of the planning and implementation capacity for agricultural policies at the macroscopic level).
- Expand the agricultural production and improve the productivity through the development and operation and maintenance of production infrastructure, development and extension of technologies and improvement of the management capacity (Mid-term Objectives 1-2: Expansion of agricultural production and improvement of the productivity).
- Strengthen efforts to promote exports such as improvement of the export system and strengthening of the export competitiveness, when the earning of foreign currencies and economic development based on the promotion of exports are sought (Mid-term Objectives 1-3: Strengthening of export promotion measures).
- Provide essential care for the environment for consistent agricultural production over a long period of time (Mid-term Objectives 1-4: Improvement of environment care).
- Develop human resources through the enhancement of agricultural education at senior high schools, universities and graduate schools to ensure the sustainable development of the entire agricultural sector in the future (Mid-term Objectives 1-5: Enhancement of agriculture-related higher education).

### Development Objective 2: Stable food supply

To ensure food security for the entire country, including urban areas, (i.e. at the macroscopic level), the basic requirement is to combine the secured sources for stable food imports and the storage of food at a reasonable level together with the stabilization and improvement of domestic agricultural production. For this reason, the following mid-term objectives are adopted.

- Formulate a strategy as to which level of food supply should be secured as a country based on the understanding of the current situation of the people and the productive strength of domestic agriculture (Mid-term Objectives 2-1: Formulation of food supply and demand policies).
- Improve the domestic food marketing system, mainly featuring inter-regional marketing and achieve the fair distribution of food at the macroscopic level (Mid-term Objectives 2-2: Improvement of the food distribution function).
- Improve the import system to substitute the domestic supply shortage of the necessary foods with imports from other countries (Mid-term Objectives 2-3: Improvement of the import system).
- Distribute supplied food in an appropriate manner when food aid is provided (Mid-term Objectives 2-4: Appropriate use of food provided as aid).

### Development Objective 3: Promotion of vigorous rural areas

- The following activities are effective to eliminate hunger and poverty in rural areas and to promote vigorous rural areas: 1) Promote the formulation of rural development policies that reflect the actual conditions of the target area (Mid-term Objectives 3-1: Promotion of policies related to rural development); 2) Promote diverse economic activities other than agriculture, including handicrafts and small retailing activities, from the viewpoint of eliminating poverty and enhancing the economic strength in rural areas in addition to the improvement of agricultural production and the utilization/marketing of agricultural products (Mid-term Objectives 3-2: Increase of non-agricultural income); and 3) Promote the processing of familiar agricultural products to local people (Mid-term Objectives 3-3: Promotion of the agricultural products processing industry).
- For the improvement of the living standard in rural areas, the following activities are important: 1) Promote the development/improvement of rural infrastructure, including rural roads and water supply facilities (Mid-term Objectives 3-4: Improvement of rural infrastructure); 2) Conserve the environment in villages and surrounding areas (Mid-term Objectives 3-5: Conservation of the rural environment); and 3) Improve everyday technologies and the living environment (Mid-term Objectives 3-6: Promotion of the improvement of rural life).
- The empowerment of people through the following activities is also important: 1) Organize local people using traditional communities as groups established based on geographical linkage (Mid-term Objectives 3-7: Promotion of communal activities); 2) Improve the standard of health (Mid-term Objectives 3-8: Improvement of the health standard of people); and 3) Improve the educational standard (Mid-term Objectives 3-9: Improvement of the educational standard of people).

Source: JICA, Institute for International Cooperation, Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>, August 2004, pp. 13-69.

### 3.3 Critical Problems and Objectives of Agriculture and Rural Development

The agriculture and rural sector is the most important sector in Ethiopia from the viewpoint of achieving poverty reduction and food security. As a problem directly linked to poverty, food shortage at the household level is quite serious, requiring the most urgent response. Although the absolute volume of food is said to be sufficient for the country as a whole because of domestic production and imports, food procurement at the household level is extremely unstable due to the adverse impacts of frequent drought. Meanwhile, food security at the household level is the basis for “human security” as it promises improved nutrition and the sustaining of life for rural people.

The food shortage in Ethiopia is caused by many factors that are intertwined in a complicated manner and it is commonly recognized that simple food aid is not a sufficient solution to this problem. Accordingly, future assistance for agriculture and rural development must be viewed as a long-term, comprehensive approach to achieve “food security” with “poverty reduction” being considered the highest goal. This assistance should be provided within the framework of SDPRP.

#### Critical Problems in Ethiopia

- Inability of even farming households to secure food throughout the year
- Poor living conditions in rural areas

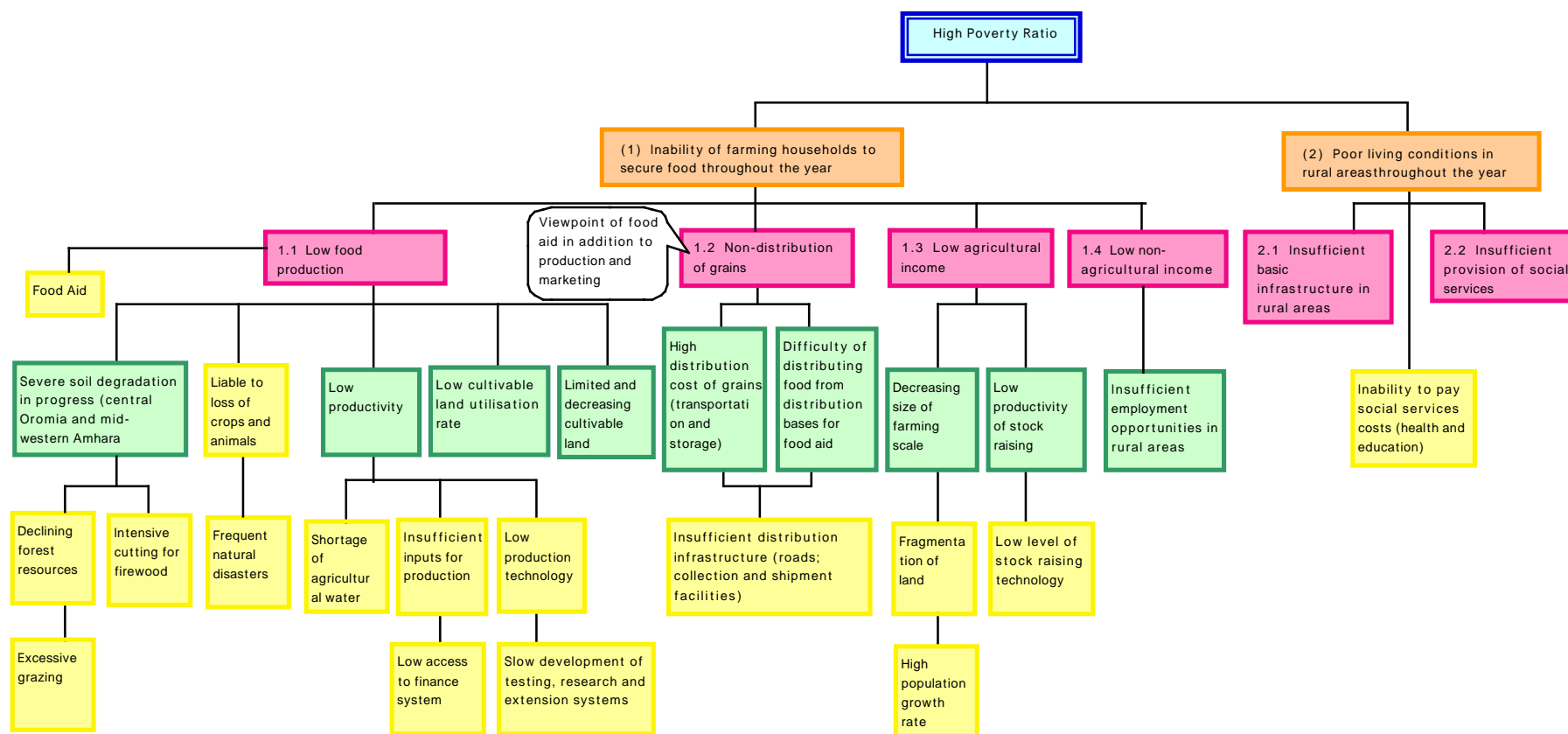


#### Development Objectives for Ethiopia

- Securing of food throughout the year
- Improvement of the living conditions in rural areas

It must be noted that a series of work, commencing with the clarification of the problems for agriculture and rural development to the identification of critical problems, setting up of development objectives and the extraction and indication of development issues, is an example of the procedure for the required work. For the formulation of an actual project, understanding of the problems relating to agriculture and rural development in Ethiopia in a general as well as detailed manner is required, followed by analysis of the problems in the target area for assistance based on a literature review, interviews, field visits, etc. to establish the development issues for the preparation of a draft program.

In the present Guidelines, problems closely related to food security are extracted as critical problems. The causal relationship of these problems must then be established to clarify the necessary procedure to deal with them. For this reason, a chart showing the links between various problems is prepared (Figure 3-1). As this chart indicates, the “high poverty rate” is the problem requiring the longest time to solve. In order to solve this problem, it is inferred that two critical problems, i.e. “inability of even farm households to secure food throughout the year” and “the poor living conditions in rural areas”, must be addressed. Accordingly, the corresponding development objectives are set up.



**Figure 3-1 Problems of Agriculture and Rural Development in Ethiopia and Their Causal Relationship**

Note: The analytical framework of the problems shown here is an example of work procedure and does not completely cover all problems of agriculture and rural development in Ethiopia. It must be noted that the hierarchical structure of the problems shown here is an example of the procedure for the identification of problems and the setting up of development objectives. For the formulation of an actual project, analysis of the problems of the target area based on a literature review, interviews with stakeholders, field visits and the participation of stakeholders is essential so that the development issues to be tackled can be identified for the formulation of a draft program dealing with the problems.

Source: Prepared by the Study Team.

### 3.4 Issues for Agriculture and Rural Development

Based on the systematic chart of the problems, the development issues to be tackled to achieve the development objectives are set up as shown in Table 3-1. The development issues for the development objective of “securing of food by farm households throughout the year” are examined, taking into consideration their relationship with the development objectives specified by the Approaches for Systematic Planning.

For the securing of food by farm households throughout the year, it is essential to deal with such issues as: 1) an increase of the food production; 2) improvement of the grain marketing; 3) increase of the agricultural income; and 4) increase of the non-agricultural income. For improvement of the living conditions in rural areas, it is necessary to tackle such issues as: 5) development of basic infrastructure in rural areas; and 6) the expansion of social services. The priority issues in each state in consideration of the local characteristics are shown in Table 3-2 and the viewpoints adopted to determine the priority of each issue are given in Table 3-3.

**Table 3-1 Development Objectives and Issues in Ethiopia**

Development Objective: Securing of Food by Farm Households throughout the Year				
Development Issues			Approaches for Systematic Planning	
Major Issues	Sub-issues	Corresponding Problems (see Figure 3-1)	Development Objectives	Mid-term Objectives
1. Increase of food production	1.1 Increase of arable land utilization rate	<ul style="list-style-type: none"> <li>Low arable land utilization rate</li> <li>Limited and decreasing arable land</li> </ul>	1. Sustainable agricultural production	1-2 Expansion of agricultural production and improvement of the productivity 1-2-1 Development and maintenance of production infrastructure
	1.2 Improvement of productivity	<ul style="list-style-type: none"> <li>Shortage of agricultural water</li> <li>Insufficient inputs for production</li> <li>Low access to finance system</li> <li>Low production technology</li> <li>Slow development of research and extension systems</li> </ul>		1-2 Expansion of agricultural production and improvement of the productivity 1-2-2 Strengthening of research and technological development 1-2-3 Intensification of agricultural extension
	1.3 Soil conservation	<ul style="list-style-type: none"> <li>Decline of forest resources</li> <li>Acceleration of cutting for firewood</li> <li>Excessive grazing</li> </ul>		1-2 Expansion of agricultural production and improvement of the productivity 1-2-1 Development and maintenance of production infrastructure
2. Improvement of grain distribution	2.1 Reduction of marketing cost 2.2 Development of the food distribution system from bases	<ul style="list-style-type: none"> <li>Insufficient marketing infrastructure</li> </ul>	2. Stable food supply	2-2 Improvement of the food distribution system 2-4 Appropriate use of food provided as aid
3. Increase of agricultural income	3.1 Improvement of the planting system	<ul style="list-style-type: none"> <li>Fragmentation of land</li> <li>High population growth rate</li> </ul>	1. Sustainable agricultural production	1-2-2 Strengthening of research and technological development 1-2-3 Intensification of agricultural extension
	3.2 Improvement of the productivity of cattle raising	<ul style="list-style-type: none"> <li>Low level of cattle raising technology</li> </ul>		
4. Improvement of non-agricultural income	4.1 Creation of employment opportunities in rural areas	<ul style="list-style-type: none"> <li>Insufficient employment opportunities in rural areas</li> </ul>	3. Promotion of vigorous rural areas	3-1 Promotion of policies related to rural development 3-2 Increase of non-agricultural income 3-3 Promotion of the agro-processing industry

Source: Prepared by the Study Team.

**Table 3-2 Priority Issues by State**

Development Issues (Sub-issues)	Tigray	Afar	Amhara	Oromia	Sumale	Bin-Shangul	Southern Nations	Gambela
1.1.1 Improvement of the cultivable land utilization rate	O		O	O		O	O	O
1.1.2 Improvement of the productivity	O		O	O		O	O	O
1.1.3 Soil conservation	O		O	O		O	O	O
1.2.1 Reduction of the distribution cost	O	O	O	O	O	O	O	O
1.2.2 Development of the food distribution system from the bases	O		O	O South	O West			
1.3.1 Improvement of the planting system	O		O	O		O	O	O
1.3.2 Improvement of the productivity of stock raising	O	O			O			
1.4.1 Creation of employment opportunities in rural areas	O	O	O	O	O	O	O	O
2.2.1 Development of the basic infrastructure in rural areas	O	O			O	O		O
2.2.2 Expansion of social services		O			O			

Source: Prepared by the Study Team.

**Table 3-3 Points Considered to Determine the Priority in Table 3-2**

1	Afar and Sumale: Emphasis is placed on improvement of the productivity of cattle raising as it is the only viable or important development option.
2	For other states, emphasis is placed on an increase of food production and improvement of the agricultural income as agriculture is an important industry.
3	The creation of employment opportunities in rural areas is important for all states.
4	The development of basic infrastructure in rural areas is emphasized for those states where access to safe water is unavailable.
5	The expansion of social services is emphasized for those states where the level of social services is low compared to other states.
6	Reduction or improvement of the marketing cost is a common issue for all states.
7	Emphasis is placed on the food distribution system from bases for those states with an acute food shortage (based on WFP data).
8	Southern Nations, Nationalities and Peoples (Ye Debub Biheroch na Hizboch) with a high population density has the highest ratio of landless farmers. Despite the availability of good social services, the level of malnutrition is the worst of all states.

Source: Prepared by the Study Team.

### 3.4.1 Impediment Factors to “Securing of Food by Farming Households Throughout the Year”

The foremost development goals in the agricultural sector are: 1) stabilization of agricultural and livestock production; and 2) establishment of a food security system corresponding to the local food surplus or shortage caused by the lack of a food supply system. These goals are directly linked to the problem of poverty and must correspond to the general policy issues for agriculture and rural development (sustaining/improvement of livelihoods, sustainable agricultural production and vigor of rural areas). The target of food security must be approached from the natural environment aspects that destabilize the supply of food and from the production and distribution aspects. The fact-finding study revealed the following impediment factors to the achievement of the said development objectives.

- 1) Natural environment factors (1.1 and 1.3)<sup>2</sup>
- 2) Extremely uneven distribution of the production bases for main grains based on different natural conditions (1.1, 1.2 and 1.3)
- 3) High self-consumption rate and low marketing rate of food crops (1.1 and 1.3)
- 4) Small scale of farming (1.1 and 1.3)

<sup>2</sup> In 3.4.1 and 3.4.2, the figures in brackets correspond to the major development issues listed in Table 3-1.

- 5) Distribution system and access to agricultural products (1.2)
- 6) Low income and few opportunities to generate income in rural areas (1.3 and 1.4)
- 7) Limited access to basic infrastructure in rural areas (1.2, 1.3 and 1.4)
- 8) Limited access to finance system (1.1, 1.3 and 1.4)

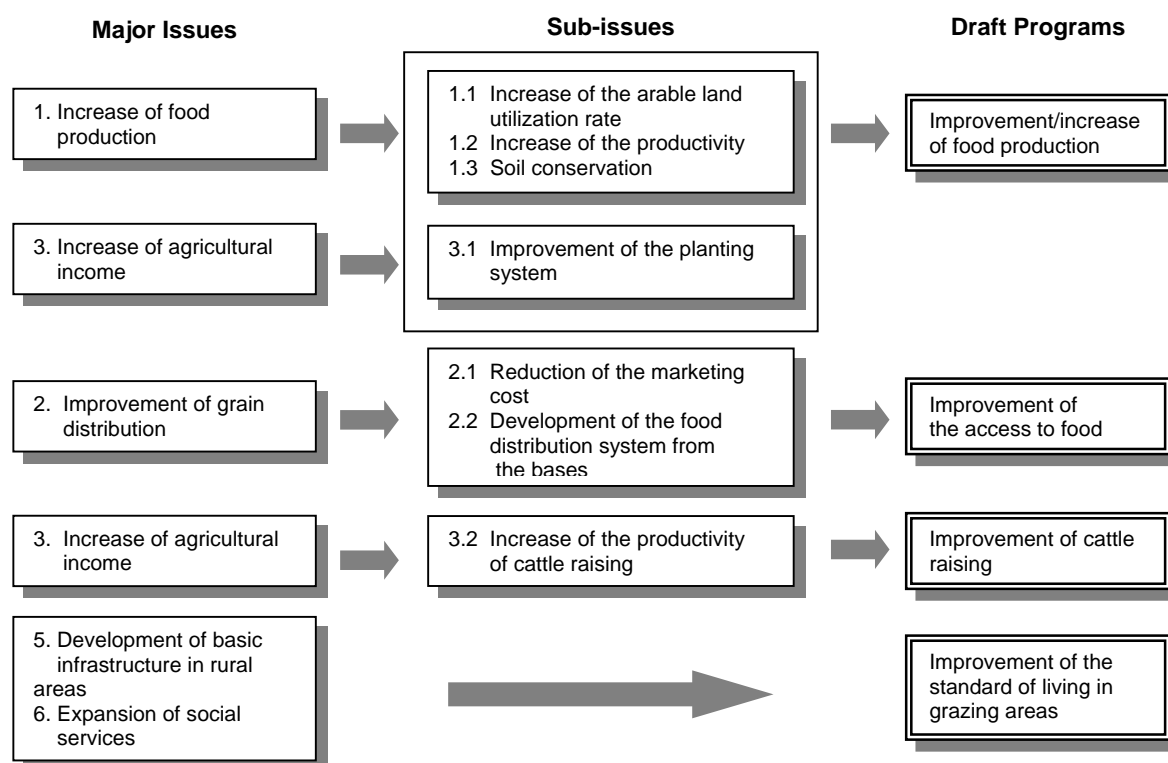
### **3.4.2 Impediment Factors to “Improvement of Standard of Living in Rural Areas”**

Another problem to be dealt with as a part of poverty reduction is the low standard of living among rural people. 45.5% of Ethiopia’s total population is classified in the category of absolute poor and the annual population growth rate is as high as 2.4%. As a result, Ethiopia is facing problems of a chronic food shortage and malnutrition. In addition, the weak social services provided by the government are causing a number of health and educational problems for many rural people. Under such conditions, the following factors can be identified as impediments to improvement of the standard of living.

- 1) Gender gap in rural areas (2.1 and 2.2)
- 2) Unmet BHNs in grazing areas (2.1 and 2.2)
- 3) Limited access to basic infrastructure in rural areas (2.1)

#### 4. Draft Programs Coping with Development Issues

In this chapter, draft development programs are formulated for the issues to be tackled to achieve poverty reduction, the national development goal under the Sustainable Development and Poverty Reduction Program (SDPRP, the Ethiopian version of PRSP). The relationship between the development issues and draft programs is shown below. Although major issue 1.4 “increase of non-agricultural income” is recognized as important, the draft programs shown here are limited to those that are more urgent and highly feasible in a short term.



The draft programs described in 4.1 through 4.4 should be interpreted in the following manner.

Item	Description, Points to be Considered, etc.
Program title	The title should clearly indicate the objectives and contents of the program.
Direction of assistance strategy	This relates to the component of “direction of assistance strategy” shown on the systematic chart of the goal in the Country Assistance Program for Pakistan that corresponds to the draft program described here for the purpose of clarifying the compatibility of the draft program with the Country Assistance Program.
Corresponding issues (as identified through the problem analysis shown in Chapter 3)	These are issues to be tackled by the draft program in question among the issues identified through the problem analysis shown in Chapter 3.
Program objective	-
Activities	These are activities assumed by the draft program in question. When development projects are formulated as a part of these activities, the concrete contents of the activities are decided based on the results of analysis of the present conditions of the target area for assistance.
Performance indicators (examples)	-
Expected counterpart agency	-
Important points to be considered in program formulation	Particularly important points to be considered in the formulation of the draft program in question are indicated.
Related mid-term objectives under the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>	These list the mid-term objectives relating to the draft program in question from a list of mid-term objectives shown as various approaches to achieve the three development objectives set forth by JICA’s Approaches for Systematic Planning. Reference to the mid-term objectives, sub-targets of mid-term objectives and examples of project activities based on the draft programs would contribute to the formulation of feasible and effective projects.



#### 4.1 Program for Improvement and Increase of Food Production

Program title	Food Production Improvement Program
Direction of assistance strategy	Food security: securing of food by farming households throughout the year and increase of the agricultural income for poverty reduction
Corresponding issues (as identified through analysis of the problems in Chapter 3)	1.1.1 Increase of the arable land utilization rate 1.1.2 Increase of the productivity 1.1.3 Soil conservation 1.3.1 Improvement of the planting system
Program objective	Increase of food production to contribute to an increase of the agricultural income
Activities	<ul style="list-style-type: none"> <li>• Analysis of the present conditions of the local socioeconomy, farming and related organizations</li> <li>• Understanding of the crops and agricultural techniques/technologies that are suitable for the target area</li> <li>• Formulation of an agricultural production increase plan featuring, among others, the following issues               <ul style="list-style-type: none"> <li>- Increase of the arable land utilization rate</li> <li>- Improvement of agricultural techniques/technologies (increase of the land productivity, improvement of the planting system and improvement of the production inputs, etc.)</li> <li>- Diversification of crops and farming</li> <li>- Development of irrigation</li> <li>- Soil conservation</li> <li>- Improvement of the access to finance</li> </ul> </li> <li>• Establishment of a research and extension system</li> <li>• Capacity building of the administrative body responsible for extension</li> <li>• Capacity building of organizations (NGOs and others) complementing the administration</li> <li>• Strengthening of farmers' organizations</li> <li>• Establishment of a production and marketing network between agriculture-related organizations and farmers</li> <li>• Development of infrastructure for food distribution</li> </ul>
Performance indicators (examples)	<ul style="list-style-type: none"> <li>• Formulation of an agricultural production increase plan</li> <li>• Increase of the arable land utilization rate</li> <li>• Improvement of the unit yield, increase of food production and increase of cash crop production</li> <li>• Improvement of the input to production rate and profit rate for agricultural production</li> <li>• Increase of the agricultural income</li> <li>• Increase of the irrigation rate</li> <li>• Expansion of the soil conservation area</li> <li>• Reduction of areas and frequency of severe soil erosion or soil loss</li> <li>• Development of appropriate agricultural techniques/technologies and improvement of the extension rate</li> <li>• Improvement of the access to finance</li> <li>• Increased access to the agricultural technology extension service</li> <li>• Increased satisfaction as well as degree of technology application among farmers</li> </ul>
Expected counterpart agency	<ul style="list-style-type: none"> <li>• Ministries and agencies related to agricultural production and organizations related to them</li> <li>• Government agencies at the state and district levels depending on the program scale</li> </ul>
Important points to be considered in program formulation	<ol style="list-style-type: none"> <li>1) For food production to contribute to an increase of the agricultural income, proper examination is necessary to establish the right balance between the production volume for self-consumption and the production volume of cash crops at the household level. Moreover, the development of basic infrastructure, including food markets, is necessary.</li> <li>2) Careful consideration must be given to preventing the destruction of forests and soil erosion as a result of an enlarged cultivation area to improve food production</li> </ol>
Related mid-term objectives under the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>	<ol style="list-style-type: none"> <li>1-1 Improvement of the planning and implementation capacity for agricultural policies at the macroscopic level</li> <li>1-2 Expansion of agricultural production and improvement of the productivity</li> </ol>

## 4.2 Program to Improve Access to Food

Program title	Food Access Improvement Program
Direction of assistance strategy	Food security: improvement of the distribution of domestically produced food and food provided as aid
Corresponding issues (as identified through analysis of the problems in Chapter 3)	1.2.1 Reduction of the marketing cost 1.2.2 Development of a food distribution system from food bases
Program objective	Supply of food to areas with a food shortage
Activities	<ul style="list-style-type: none"> <li>• Analysis of the present conditions of the local socioeconomy, food procurement and related organizations</li> <li>• Formulation of a food access improvement plan featuring, among issues, the following issues               <ul style="list-style-type: none"> <li>- Reduction of the food marketing cost</li> <li>- Transfer of food between different regions of the country</li> <li>- Development of a food distribution system from the bases for food aid</li> </ul> </li> <li>• Capacity building of the administrative body responsible for food supply</li> <li>• Capacity building of organizations (NGOs and others) complementing the administration</li> <li>• Strengthening of farmers' organizations</li> <li>• Establishment of a food distribution network between agriculture-related organizations and farmers</li> <li>• Development of distribution infrastructure</li> </ul>
Performance indicators (examples)	<ul style="list-style-type: none"> <li>• Formulation and implementation of a food access improvement plan</li> <li>• Reduction of the food marketing cost</li> <li>• Reduction of the share of the food cost in the household expenditure</li> <li>• Increase of the food supply in areas with a food shortage</li> <li>• Increase of the domestic transfer of food from areas with excess food</li> <li>• Development of a distribution system for areas receiving food aid</li> <li>• Increased access to the food supply service and increased satisfaction among farmers</li> </ul>
Expected counterpart agency	<ul style="list-style-type: none"> <li>• Ministry of Agriculture and related organizations</li> <li>• Collaboration with government agencies at the state and district levels depending on the program scale</li> </ul>
Important points to be considered in program formulation	<ol style="list-style-type: none"> <li>1) The production of the main grains is extremely polarized based on the natural conditions. For this reason, this program aims at achieving the adequate transfer of food from domestic production areas to areas with a food shortage. The main issues to be dealt with to achieve this objective are listed below.               <ul style="list-style-type: none"> <li>• Complicated topographical conditions and lack of a developed transport network</li> <li>• Insufficient quantity of food transferred from areas with a crop production surplus due to a decline of the producer price and lack of a distribution system (occurrence of intermediate margins for transporters and middlemen, etc., lack of market information and lack of marketing channels and means of marketing, etc.)</li> <li>• Difficulty of distributing food from the bases for food aid (lack of infrastructure and absence of reliable distribution bodies, etc.)</li> </ul> </li> <li>2) For the formulation and implementation of this program, collaboration with WFP should be sought, taking the food aid program of WFP into proper consideration.</li> </ol>
Related mid-term objectives under the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>	2-2 Improvement of the food distribution function 2-4 Appropriate use of food provided as aid

### 4.3 Program for Improvement of Livestock Production

Program title	Livestock Production Improvement Program
Direction of assistance strategy	Increase of the income of farming households: diversification of livelihoods for poverty reduction
Corresponding issues (as identified through analysis of the problems in Chapter 3)	1.3.2 Increase of the productivity of cattle raising
Program objective	Increase of the productivity of cattle raising
Activities	<ul style="list-style-type: none"> <li>• Analysis of the present conditions of the local socioeconomy, cattle raising and related organizations</li> <li>• Understanding of the cattle raising techniques which are appropriate for the target area</li> <li>• Formulation of a cattle raising improvement plan featuring, among others, the following issues               <ul style="list-style-type: none"> <li>- Improvement of the stock raising techniques</li> <li>- Diversification of the business management of farming households</li> <li>- Establishment of a suitable grazing scale</li> <li>- Improvement of the processing and distribution of livestock products</li> <li>- Gender consideration in cattle raising work</li> </ul> </li> <li>• Capacity building of the administrative body responsible for extension</li> <li>• Capacity building of organizations (NGOs and others) complementing the administration</li> <li>• Strengthening of farmers' organizations</li> <li>• Establishment of a production and distribution network between cattle raising-related organizations and farmers</li> <li>• Development of infrastructure relating to cattle raising, processing and distribution</li> </ul>
Performance indicators (examples)	<ul style="list-style-type: none"> <li>• Formulation and implementation of a cattle raising improvement plan</li> <li>• Increase of the productivity of cattle raising and increase of the number of animals born and raised</li> <li>• Increase of the shipment volume of livestock products and improvement of the income to cost rate in cattle raising</li> <li>• Improvement of the variety and quantity of livestock products</li> <li>• Increased access to the cattle raising technique extension service</li> <li>• Increased satisfaction among farmers and degree of application of suitable techniques</li> <li>• Clarification of the adequate scale of cattle raising in the target area</li> </ul>
Expected counterpart agency	<ul style="list-style-type: none"> <li>• The Ministry of Agriculture and related organizations</li> <li>• Government agencies at the state and district levels depending on the program scale</li> </ul>
Important points to be considered in program formulation	<ol style="list-style-type: none"> <li>1) This program aims at increasing the agricultural income of households through an increase of the productivity of cattle raising. Local farmers tend to sell their animals at low prices to purchase food when there is a food shortage due to drought. This means a decline of the number of animals owned, aggravating the situation of poverty. This program is also an attempt to break this vicious circle.</li> <li>2) Under the program, an increase of the number of animals raised in the target area is expected. However, the appropriate scale should be examined in advance to prevent excessive grazing.</li> </ol>
Related mid-term objectives under the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>	1-2 Expansion of agricultural production and improvement of the productivity

#### 4.4 Program for Improvement of the Standard of Living in Grazing Areas

Program title	Living Condition Improvement Program in Grazing Areas
Direction of assistance strategy	Improvement of the standard of living in rural areas: development of the basic infrastructure and social development in rural areas for poverty reduction
Corresponding issues (as identified through analysis of the problems in Chapter 3)	2.1 Development of the basic infrastructure in rural areas 2.2 Expansion of social services
Program objective	Improved access by local people in grazing areas to social services to improve their standard of living
Activities	<ul style="list-style-type: none"> <li>• Analysis of the present conditions of the local socioeconomy and related organizations</li> <li>• Formulation of a living standard improvement plan featuring, among others, the following issues               <ul style="list-style-type: none"> <li>- Improved awareness of local people of the need to improve the standard of living</li> <li>- Increased literacy among local people</li> <li>- Improved access to clean water</li> <li>- Improvement of nutrition</li> <li>- Improvement of primary health care</li> <li>- Gender consideration</li> </ul> </li> <li>• Development of basic infrastructure in rural areas</li> <li>• Capacity building of the competent administrative body</li> <li>• Capacity building of organizations (NGOs and others) complementing the administration</li> <li>• Strengthening of farmers' organizations (operation and maintenance bodies)</li> </ul>
Performance indicators (examples)	<ul style="list-style-type: none"> <li>• Increase of the primary school enrolment rate</li> <li>• Increased literacy</li> <li>• Ratio of people with access to clean water</li> <li>• Shortening of the time and reduction of the work load for access to clean water</li> <li>• Reduction of the malnutrition rate and the under-weight rate and increase of the calorie intake</li> <li>• Increase of the vaccination rate</li> <li>• Reduction of the infant mortality</li> <li>• Improvement of the gender gap in terms of each of the above issues</li> </ul>
Expected counterpart agency	<ul style="list-style-type: none"> <li>• The Ministry of Health and the Ministry of Education</li> <li>• Government agencies at the state and district levels depending on the program scale</li> </ul>
Important points to be considered in program formulation	1) In connection with the development of the basic infrastructure in rural areas, the capacity building of communities for the proper operation and maintenance of various facilities is important instead of simply satisfying the BHNs of local people. Once such capacity building enables local people to act in an independent as well as organized manner, it will become easier to stimulate local people to take action for poverty reduction.
Related mid-term objectives under the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>	3-4 Improvement of rural infrastructure 3-8 Improvement of the health standard of people 3-9 Improvement of the educational standard of people

## 5. Important Points to be Considered in Project Formulation

This chapter describes important points to be considered in the formulation of an agriculture and rural development project in four categories: contents of the project, circumstances of the recipient country, circumstances of Japan and others (those which cannot be classified in any of the three preceding categories). The related items on the requested project information sheet are also shown to provide references for the preparation of the information sheet.

### 5.1 Important Points Regarding Contents of the Project

Item	Related Item on Requested Project Information Sheet	Important Points to be Considered in Project Formulation
Background of Project and Problems	Present Situation and Problems	<ul style="list-style-type: none"> <li>No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.</li> </ul>
Project Purpose (Why)	Project Outline: 1) Overall Goals, 2) Project Purposes and 3) Outcomes	<ul style="list-style-type: none"> <li>No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.</li> </ul>
Target Area (Where)	Present Situation and Problems; Project Outline: 1) Overall Goals, 2) Project Purposes and 3) Outcomes; Gender Consideration; Mode of Screening Based on the Guidelines for Environmental and Social Considerations	<ul style="list-style-type: none"> <li>No special remarks. Refer to Chapter 1 of the present Guidelines and Annex 2: Checklist for Preparation of Requested Project Information Sheets.</li> </ul>
Beneficiaries (For Whom)	Present Situation and Problems; Project Outline: 1) Overall Goals, 2) Project Purposes and 3) Outcomes; Gender Consideration; Types and Size of Beneficiary Groups; Mode of Screening Based on the Guidelines for Environmental and Social Considerations	<ul style="list-style-type: none"> <li>To ensure the continuation of activities by local people (organizations) following the end of a project, the incorporation of their voices at the project formulation stage is important. In the case of a project where there is no resident participation at the planning stage, project sustainability is difficult to ensure. Careful consideration should, therefore, be given to ensuring the continued participation of people in the post-project period.</li> <li>From the viewpoint of sustainability, it is desirable to assist those people who have a strong willingness to develop their own area. For example, assistance for areas where people are involved in development in the form of a financial contribution or cost sharing may be a good idea.</li> <li>To make the project formulation process reflect the voices of people, carefully planned arrangements are required, for example, arrangements to hear the voices of women, nomads and landless farmers who are described as socially weak and who are important from the viewpoint of poverty reduction, may be made in collaboration with a NGO familiar with the local situation.</li> <li>However, collaboration with a NGO could lead to a stand off between three parties, i.e. the NGO, the government and the donor, if the state government opposes the involvement of a NGO (for example, a World Bank project targeting nomads in Afar State). Careful planning is, therefore, required when contemplating collaboration with a NGO.</li> </ul>
Contents of Assistance	Project Outline: 4) Activities, 5) Inputs	<ul style="list-style-type: none"> <li>To ensure food security, a comprehensive approach combining various development strategies is necessary. As already mentioned</li> </ul>

(What)	and 6) Important Assumptions	<p>earlier, each region has its own characteristics and development tasks and the required approach differs for each region. When planning assistance, careful attention must be paid to the critical problems of the target region and the most effective approach to deal with such problems must be selected from the approaches listed below.</p> <ol style="list-style-type: none"> <li>(1) Prioritized approach for individual critical problems: For example, if the elimination of the water shortage is extremely likely to increase the production volume to secure a sufficient supply of food in an area with a severe water shortage, the development of infrastructure and other efforts should be made with an increase of agricultural production forming the central pillar of the strategy.</li> <li>(2) Approach to tackle factors causing critical problems (comprehensive approach to terminate the causal relationship): For example, in an area where the elimination of the water shortage alone cannot expect to achieve a sufficient supply of food, the causal factors should be sought using a causal relationship diagram of the problems so that the problems can be solved by a combination of appropriate strategies.</li> <li>(3) Combined approach of the above two (time and spatial axes): Strategies are established to move from the prioritized approach to the comprehensive approach along the time axis or spatial axis (extension). For example, prioritized training to empower farmers is followed by the development of infrastructure or the implementation of prioritized assistance for the processing of agricultural products in one area is followed by the combined implementation of an increase of agricultural products and assistance for the processing of agricultural products in neighboring areas.</li> </ol> <ul style="list-style-type: none"> <li>• Assistance that focuses on “the implementation of a project(s)” should prove useful instead of strictly following the conventional flow of JICA’s assistance from a development study to a demonstration project or the dispatch of an expert. The basic flow of assistance should be the formulation of the framework for an intended project, followed by the implementation of a narrowly focused development study, a small-scale project or the dispatch of an expert and then the implementation of project-related activities in a wide area based on the lessons learned from the development study, etc.</li> <li>• For the continuation of activities to produce the expected outcomes for a long time after the end of a project, activities to create the necessary systems must be included as project components at the planning stage. These activities are listed below. <ol style="list-style-type: none"> <li>1) Creation of a system to ensure the continuation of activities in the target area</li> <li>2) Creation of a system to provide continued assistance at the aid organization</li> <li>3) Creation of a system to exchange information with other projects</li> </ol> </li> </ul>
Lessons from Similar Projects	Related Assistance Activities; Feedback from Similar Projects	<ul style="list-style-type: none"> <li>• In Africa, many donors and NGOs have attempted agriculture and rural development in diverse manners. It is highly likely that some of these attempts have involved similar programs/projects to those to be implemented by JICA in the target area for JICA’s assistance. To find suitable projects for the target area, it is important to learn as many lessons as possible from the factors for the success or failure of “past programs/projects” in the target area, surrounding area and/or in an area with the same ecosystem as that of the target area through local experts and others who are familiar with the socioeconomic structure of the target area in order to judge the feasibility of JICA’s assistance.</li> <li>• JICA has been providing assistance for food security in various forms and the outcomes of such assistance must be effectively used for future assistance. Experiences and lessons must first be thoroughly</li> </ul>

		<p>reviewed to identify “what has been lacking so far, what should be conducted in the coming years and what are the important points” in a comprehensive manner to successfully achieve food security.</p> <ul style="list-style-type: none"> <li>Moreover, concrete measures should be prepared to provide efficient assistance through collaboration between future projects and ongoing and planned projects in the agriculture and rural development sector to achieve the target of food security. The suggestion of modifications for activities under ongoing and planned projects must be considered when such modifications are judged to be necessary.</li> </ul>
Duplication or Collaboration with Other Donors	Related Assistance Activities; Feedback from Similar Projects	<ul style="list-style-type: none"> <li>No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.</li> </ul>
Consensus Building with Stakeholders of the Recipient Country	Priority Ranking (Priority Ranking by Recipient Government); Mode of Screening Based on Guidelines for Environmental and Social Considerations	<ul style="list-style-type: none"> <li>Agriculture and rural development projects must be submitted to the Planning and Programming Department of the Ministry of Agriculture and Rural Development, which are then forwarded to the Ministry of Finance and Economic Development. At the project formulation stage, confirmation and agreement are made with the related organizations of the recipient country (not only the government organization acting as the front desk but also the actual implementation organization).</li> <li>The matters to be confirmed are listed below. <ol style="list-style-type: none"> <li>Goals of project-related activities: agreement on “the expected outcomes” (such as training results, the contents of learning, etc.) rather than on the project outputs (for example, number of persons and days resulting from training)</li> <li>Status of the project in the development program for the target area: development policies, budget, deployment of human resources, etc.</li> <li>Implementation organization</li> <li>Contents of inputs of the Ethiopian and Japanese sides</li> <li>Expected outcomes: establishment of concrete targets for M&amp;E and provisional decision on the indicators used for M&amp;E.</li> </ol> </li> <li>To avoid the overlapping of the activities under the planned project in the target area, efforts should be made to coordinate with other donors, aid organizations, NGOs, etc. This process may be very time-consuming.</li> </ul>

## 5.2 Important Points Regarding Circumstances of Ethiopia

Item	Related Item on Requested Project Information Sheet	Important Points to be Considered in Project Formulation
Development Policies and Programs	Present Situation and Problems (or Background)	<ul style="list-style-type: none"> <li>No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.</li> </ul>
Counterpart Agency (With Whom)	Implementation System	<ul style="list-style-type: none"> <li>Under the decentralized administrative system in Ethiopia, each state plans and implements its own development programs/projects, illustrating the high level of the institutional and organizational independence of each state. When planning cooperation, examination of whether the federal government or the state government should be targeted is necessary. The criteria for this selection are listed below. (Programs/projects targeting the federal government) <ul style="list-style-type: none"> <li>Policy assistance</li> <li>The purpose is to assist the nationwide extension of program/project outcomes.</li> </ul> </li> <li>Collaboration or coordination between government-related organizations at the federal level is important. (Programs/projects targeting the state government)</li> </ul>



		<ul style="list-style-type: none"> <li>• Integrated agriculture and rural development is planned for the entire state or part of the state.</li> <li>• When the state government is targeted, it is necessary to confirm the development program, system and organizations of the state and woreda to establish a suitable approach for such a program. It is also important to take the state characteristics, including differences in the historical background, into consideration.</li> <li>• In the future, it is anticipated that the state government to which authority and responsibility have been transferred or the woreda, i.e. administrative body under the state government, will often act as the implementation bodies for individual projects. The project implementation system must, therefore, be set up based on an accurate understanding of the budget (funding capacity) and human resources at the state and woreda levels.</li> <li>• Meanwhile, when Ethiopia is viewed as an entire country, there are problems that must be dealt with nationally as these problems cannot be solved by individual states. Food security (import and export of food and the resettlement of farmers) and environmental conservation that greatly affects food production are typical examples of national issues. The federal government may, therefore, act as the counterpart depending on the actual contents of cooperation.</li> <li>• The federal government strongly favors the policy of transferring authority and responsibility to state governments and expects woreda to become the main project implementation bodies in the future. In reality, however, the current decision making by woreda appears to be affected by “advice and support provided from the expert viewpoint” of staff members of the federal and state governments.</li> <li>• In view of the bureaucratic system, running down from the center to terminal administrative bodies in Ethiopia and the shortage of human resources and funds at the woreda level, one realistic approach is the establishment of a mechanism by which technical advice can be obtained from the zone and state governments when necessary, while respecting the federal government policy of placing woreda at the centre of development efforts. As experts capable of providing advice in various fields corresponding to unique local problems are available at the zone and state levels albeit in a limited number, it is possible to seek such advice when necessary.</li> </ul>
Fiscal Deficit and Debts	Present Situation and Problems (or Background)	<ul style="list-style-type: none"> <li>• At present, the flow of funds from donors for the implementation of agriculture and rural development projects mainly takes one of three forms, i.e.; 1) assistance for the implementation of federal government-led programs and the influence of the federal government on local governments through contribution to a basket fund; 2) direct assistance for a local government; and 3) use of the private sector (direct assistance for financial institutions in the private sector).</li> <li>• The federal government hopes that even if the project funds disbursed by a donor target a woreda, these funds should be provided as part of a block fund by the federal government (MOFED) for the woreda in question via the relevant state government. At present, the ratio of direct fiscal assistance of donors is approximately 20–30% (either real or intended) of the total amount of aid although DFID provides more money for direct fiscal assistance than to assist individual projects.</li> <li>• The progress of aid collaboration, use of the basket fund and direct fiscal assistance in the coming years will make it necessary for the federal government to lead the efforts to strike a balance/fairness of fund distribution between different states and sectors. This means that the monitoring function of the federal government must be strengthened from the viewpoint of efficient budget management. In addition, the capacity of local governments that actually use the budget must be improved. For this reason, it is anticipated that there will be a need for model projects that basically feature the capacity</li> </ul>

		building of local governments (at the zone and woreda levels). • At the woreda level, the timely submission of accurate reports on fund flow and performance will be required in the future. For the implementation of projects, it will be necessary to take the situation of the reporting system for the use of funds at the state and woreda levels into consideration while observing the performance of the Public Sector Capacity Building Program Support Project of the World Bank and others that is due to commence in September 2004.
Project Approval Process of Government of Ethiopia	Priority Ranking (Priority Ranking by Recipient Government)	• No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.
Security and Living Conditions	Security Situation	• No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.

### 5.3 Important Points Regarding Circumstances of Japan

Item	Related Item on Requested Project Information Sheet	Important Points to be Considered in Project Formulation
Assistance Policies	Consistency with Japan's Assistance Policies; Relationship with Millennium Development Goals; Relationship with Japan's Important Development Issues	• No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.
JICA Budget	Estimated Amount of Assistance	• No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.
Other Policies		• No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.

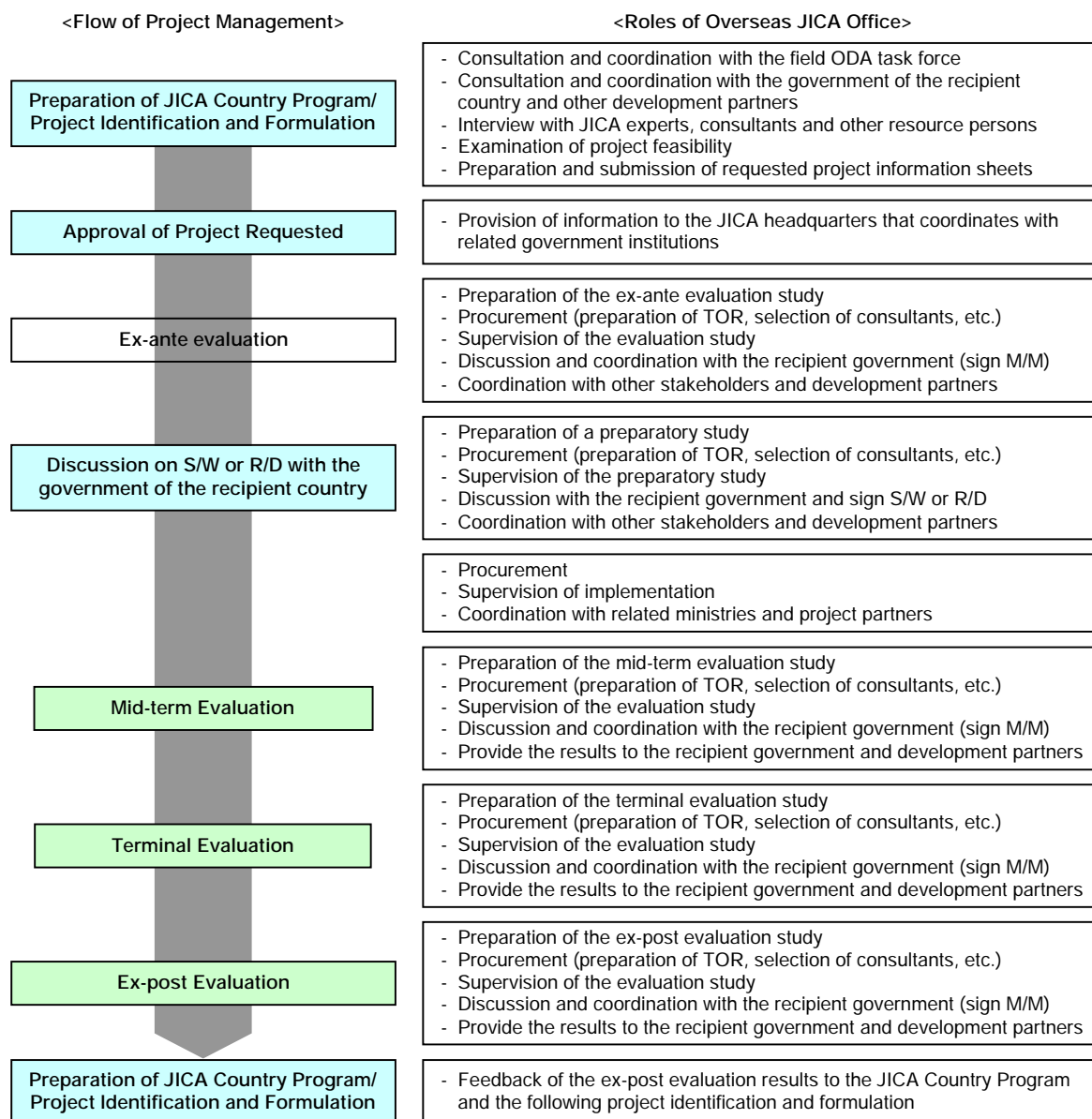
### 5.4 Other Important Points

Item	Related Item on Requested Project Information Sheet	Important Points to be Considered in Project Formulation
Information Sharing between Head Office and Field Office	General (Gathering and Sharing of Data Required for Evaluation of Requested Project Study Sheet)	• No special remarks. Refer to Annex 2: Checklist for Preparation of Requested Project Information Sheets.

## 6. Monitoring and Evaluation Procedures and Indicators

### 6.1 Monitoring and Evaluation Procedures

Starting in April 2004, JICA is devolving responsibility for project management from its headquarters to overseas offices as part of the organizational reform aimed at developing a faster and more efficient decision-making system. While the headquarters has been the principal body in planning, procurement, management and supervision prior, the overseas offices are increasingly performing these functions. Monitoring and evaluation are two of the most important activities of the overseas offices together with the formulation of the JICA Country Program and project identification and formulation to ensure consistent project management. Figure 6-1 shows the assumed roles of overseas offices at each stage of project management after the transfer of the various functions mentioned above.



**Figure 6-1 Project Management Flow and Roles of Each Overseas JICA Office**

Source: Prepared by the Study Team based on JICA, Planning and Coordination Department, *JICA Guideline for Project Evaluation: Practical Methods for Project Evaluation*, September 2004. See this document for detailed important points to be considered in conducting the work at each stage.

## 6.2 Setting Up and Application of Indicators

Indicators are required to set up the goals to be achieved by a project and to measure the achievement toward the overall goal, project purpose and outputs during and after project implementation. In other words, indicators are set up to confirm the “effectiveness” of the project and are required to provide baselines prior to project implementation and to check subsequent changes from the baselines during and after project implementation. As indicators are used to compare the ex-ante and ex-post state of the target issues, the same indicators must be used throughout. For the selection of indicators, Annex 2: Checklist for Gathering Information Required for Project Formulation (by Need) should also be referred to.

Among the various stages of project management, indicators are mainly applicable at the project formulation stage as well as at the ex-ante, mid-term, terminal and ex-post evaluation stages. Figure 6-2 shows evaluation tools at each stage, the subjects to which indicators are applied and the person(s) applying the indicators.

<Flow of Project Management>	<Objectives>	<Evaluation Tools and Subjects for Application>	<Applicator>
Preparation of JICA Country Program/Project Identification and Formulation	Formulate the JICA Country Program and a project. Both may be simultaneously formulated or one may precede the other to provide the basic concept for the other.	<u>Tools:</u> Requested project information sheet <u>Subjects to which Indicators are applied:</u> - “Overall goal” and “Project purpose” in “Project outline”	Staff member of the overseas office
Approval of Project Requested			
Ex-ante evaluation	Examine the consistency between the project and the JICA Country Program and clarify the contents and expected effects of the project prior to project implementation. Evaluate the appropriateness of the project in a comprehensive manner based on the results.	<u>Tools:</u> Ex-ante evaluation table <u>Subjects to which Indicators are applied:</u> - “Objective of the cooperation (outcome)” in “4. Framework of the cooperation” - “Effectiveness” and “Impact” of “5. Evaluation results by Five Evaluation Criteria”	Staff member of the overseas office/ consultant
Discussion on S/W or R/D with the government of the recipient country			
Mid-term Evaluation	Evaluate the project performance, implementation process, etc. at the interim stage of cooperation from the viewpoints of relevance, efficiency, etc. Revise the original plan and/or strengthen the project management system if necessary.	<u>Tools:</u> PDM and evaluation grid <u>Subjects to which Indicators are applied:</u> - “Overall goal” and “Project purpose” in PDM - “Effectiveness (prospect)” and “Impact (prospect)” in PDM and evaluation grid	Staff member of the overseas office/ consultant
Terminal Evaluation	Evaluate from the viewpoints of the degree of achievement of the project purpose, efficiency, prospect of sustainability, etc. Decide whether to end or extend the cooperation, including the need for a follow-up, based on the evaluation results.	<u>Tools:</u> PDM and evaluation grid <u>Subjects to which Indicators are applied:</u> - “Overall goal” and “Project purpose” in PDM - “Effectiveness” and “Impact (prospect)” in PDM and evaluation grid	Staff member of the overseas office/ consultant
Ex-post Evaluation	Examine mainly the impact and sustainability of a project several years after its completion to obtain lessons and recommendations for the improvement of the JICA Country Program and the effective and efficient planning and implementation of new projects.	<u>Tools:</u> PDM and evaluation grid <u>Subjects to which Indicators are applied:</u> - “Overall goal” and “Project purpose” in PDM - “Effectiveness” and “Impact” in PDM and evaluation grid	Staff member of the overseas office/ consultant
Preparation of JICA Country Program/Project Identification and Formulation			

Figure 6-2 Application of Indicators in Project Management Flow

Notes: 1) The objectives of ex-ante, mid-term, terminal and ex-post evaluation are cited and summarized from JICA, Planning and Coordination Department, *JICA Guideline for Project Evaluation: Practical Methods for Project Evaluation*, September 2004.

2) For a detailed explanation of the ex-ante evaluation table, PDM and evaluation grid, see the publication under Note 1) above.

Source: Prepared by the Study Team based on JICA, Planning and Coordination Department, *JICA Guideline for Project Evaluation: Practical Methods for Project Evaluation*, September 2004.

### 6.3 Examples of Indicators

Table 6-1 shows examples of the principal indicators corresponding to the development issues to be dealt with for agriculture and rural development in Ethiopia.

**Table 6-1 Examples of Indicators Corresponding to Development Issues for Ethiopia**

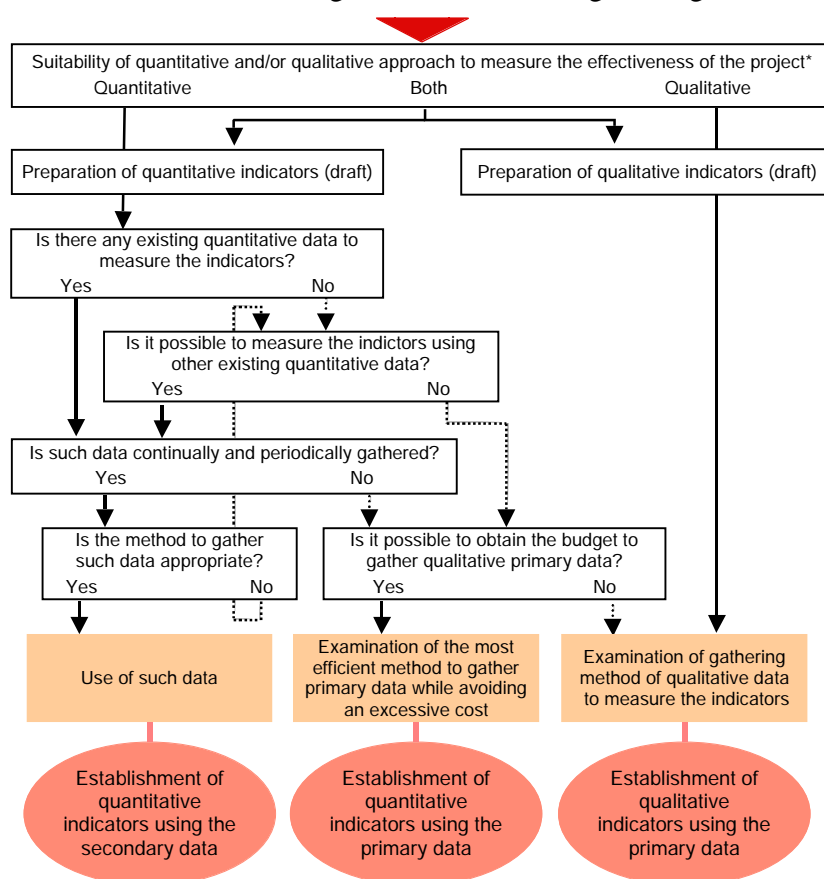
Development Objectives	Major Issues	Sub-issues	Examples of Indicators
1. Securing of food throughout the year	1.1 Increase of food production	1.1.1 Increase of the cultivable land utilisation rate	<ul style="list-style-type: none"> <li>Utilisation rate of cultivable land</li> <li>Annual utilisation rate of cultivable land per household</li> </ul>
		1.1.2 Improvement of the productivity	<ul style="list-style-type: none"> <li>Grain yield per unit area</li> <li>Volume of grain production per unit input</li> </ul>
		1.1.3 Soil conservation	<ul style="list-style-type: none"> <li>Area of sites where soil conservation measures have been completed.</li> </ul>
	1.2 Improvement of grain distribution	1.2.1 Reduction of the distribution cost	<ul style="list-style-type: none"> <li>Amount and share of the distribution-related cost in the expenditure of a farming household</li> <li>Grain transportation cost to markets</li> <li>Difference between the shipment prices of input goods of producers and their purchase prices for farming households</li> </ul>
		1.2.2 Development of the food distribution system from bases	<ul style="list-style-type: none"> <li>Number of persons and organizations involved in food distribution</li> <li>Quantity of grains reaching farmers through the distribution system</li> </ul>
	1.3 Increase of agricultural income	1.3.1 Improvement of the planting system	<ul style="list-style-type: none"> <li>Application rate of the established planting system</li> <li>Volume of the peak grain harvest in the area</li> </ul>
		1.3.2 Improvement of the productivity of stock raising	<ul style="list-style-type: none"> <li>Number of animals produced in the area per year</li> <li>Livestock production volume per unit input/cost</li> </ul>
2. Improvement of standard of living in rural areas	1.4 Improvement of non-agricultural income	1.4.1 Creation of employment opportunities in rural areas	<ul style="list-style-type: none"> <li>Amount and share of the non-agricultural income of farming households</li> <li>Types and number of non-agricultural employment opportunities</li> </ul>
	2.1 Development of basic infrastructure in rural areas		<ul style="list-style-type: none"> <li>Access ratio to clean water</li> <li>Average time for access to a rural road</li> <li>Average access ratio to a health care facility</li> </ul>
	2.2 Expansion of social services		<ul style="list-style-type: none"> <li>Primary school enrolment rate</li> <li>Infant mortality</li> <li>Vaccination rate</li> <li>Access ratio to primary health care</li> </ul>

Source: Prepared by the Study Team.

## 6.4 Examination of Availability of Indicator Data

There are two methods to gather data: 1) use of secondary data provided by the government, international organizations, etc.; and 2) gathering of primary data through the project implementation process from the baseline onwards in a consistent manner. While the first method can contain the data gathering cost at a low level, verification of the data reliability may be difficult in some cases in addition to the limited availability of appropriately and continually gathered data. The second method allows the application of a sustainable data gathering method for a particular project, but the data gathering cost is relatively high. For this reason, it is essential to examine the suitability of paying a high cost in view of the importance of measuring the effectiveness of the project in question.

Figure 6-3 shows a flow of the examination and establishment (finalization) of the indicators, taking the availability of indicator data into consideration. Following this flow, the indicators are finally established after the examination of such matters as whether a qualitative or quantitative approach is suitable to measure the effectiveness of the project, the availability of suitable data, the size of obtainable budget and suitable data gathering methods.



**Figure 6-3 Chart to Examine Indicators (for Reference)**

- Notes\*: 1) This is determined depending on whether the objective (“development issues” in the present guidelines) is quantitative or qualitative. For example, if the objective is quantitative such as “increase of yield,” quantitative approach is suitable. If the objective is qualitative such as “improved awareness of rural people,” qualitative approach is suitable.
- 2) Even when quantitative approach is considered suitable, qualitative approach is taken if appropriate quantitative data is not available.
- 3) If available quantitative data is insufficient, qualitative data is also used to complement it. For example, if the objective is “improvement of nutrition,” it is desirable to gather not only necessary quantitative data such as underweight rate and malnutrition rate but also qualitative data such as changes in awareness of mothers regarding improvement of nutrition.

Source: Prepared by the Study Team.

## **Annex 1**

# **Study on JICA's Approach to Formulation of Agriculture and Rural Development Projects in the People's Republic of Bangladesh and Its Applicability to Other Overseas JICA Offices**

## **Summary**



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# **Annex 1: Study on JICA's Approach to Formulation of Agriculture and Rural Development Projects in the People's Republic of Bangladesh and Its Applicability to Other Overseas JICA Offices**

## **<Summary>**

### **1. Background and Objective of the Study**

- (1) In Bangladesh, the Embassy of Japan and the overseas offices of the Japan International Cooperation Agency (JICA) and the Japan Bank for International Cooperation (JBIC) have been attempting to establish an approach called “the Bangladesh Model” and its practical application since 2001. The approach, characterized as “selection, concentration and collaboration”, was adopted to realize more unified and coherent planning and implementation of ODA through the effective utilization of the limited resources of the ODA-related organizations. JICA's Rural Development Department has taken note of the fact that the project approval rate (the percentage of projects evaluated as A or B) has improved as shown below, attributing the increased rate to the application of this model.

**Table 1-1 Historical Changes of Project Approval Rate in Bangladesh<sup>(\*)</sup>**

Fiscal Year		Total No.	A/B	C	D	% of A/B
2003	Entire JICA	51	10	6	35	20
	Rural Development Department	10	2	3	5	20
2004	Entire JICA	43	20	3	20	47
	Rural Development Department	6	2	0	4	33
2005	Entire JICA	43	26	2	15	60
	Rural Development Department	4	3	0	1	75

Note (\*): See Chapter 4 for more details. Projects of which the evaluation results fall in category O (A/B) have been approved (those informed of their approval).

Source: Prepared by the Rural Development Department based on the requested project information database.

- (2) Meanwhile, the Rural Development Department has conducted a study to prepare the Guidelines for Identification and Formulation of Agriculture and Rural Development Projects (hereinafter referred to as “the Guidelines”) for some selected countries since April 2004. The Guidelines are to be used as a desktop reference material for the overseas JICA offices to identify and formulate highly feasible projects.
- (3) As part of the work to formulate the Guidelines, this Study aims at obtaining lessons for identification and formulation of agriculture and rural development projects by overseas JICA offices and the Rural Development Department by means of analyzing the approach and process adopted by the Bangladesh Model which is recognized as a pioneering case led by a local ODA task force (hereinafter referred to as “the ODA-TF”) to identify and formulate projects.
- (4) This report consists of: 1) presentation of the assumed roles of overseas JICA offices in project identification and formulation and the approval process for requested projects in view of the current shift to field-oriented management (Chapter 2); 2) presentation of various points of view as conceived by the JICA headquarters staff to examine requested projects (Chapter 3); 3) analysis of the significance and roles of the Bangladesh Model for project identification and formulation and presentation of its information collection methods (Chapter 4); and 4) discussion of the lessons learned from the model and recommendations for effect project identification and formulation in the field of agricultural and rural development (Chapter 5).

## 2. Roles of Overseas JICA Offices in Project Formulation and Approval Process

- (1) Following the move to strengthen the capacity of overseas JICA offices that commenced in FY 2004, the program/project management function is now being transferred from the headquarters to individual overseas offices. In this shift, the assumed roles of the overseas offices in the project identification and formulation stage are largely classified into five categories: 1) consultation and coordination with the ODA-TF; 2) consultation and coordination with the government of the recipient country and other development partners; 3) interviews with JICA experts, consultants and other resource persons to obtain information and their ideas; 4) examination of project feasibility; and 5) preparation and submission of requested project information sheets.
- (2) The projects identified and formulated based on the activities described in (1) above are compiled in requested project information sheets, which are then submitted to the headquarters. The requested projects are sorted into individual sectors by the relevant regional department. Meanwhile, the relevant department for the proposed development themes (the Rural Development Department in the present context) examines and evaluates them from sectoral and technical points of view, taking into consideration JICA's policies for agriculture and rural development indicated in the JICA Thematic Guidelines and the Approaches for Systematic Planning of Development Projects.

## 3. Points of View of JICA Headquarters Officers for Project Appraisal

- (1) In FY 2004, the evaluation of requested project information sheets was changed from the previous "O, and X" system to the "A, B, C and D" system as explained in Table 3-1.

**Table 3-1 Evaluation of Requested Project Information Sheets and their Definitions**

Evaluation Grade	Definition	Remarks
A (Approved)	To be implemented in the following fiscal year.	<ul style="list-style-type: none"><li>• Equivalent to the previous "O" grade (i.e., approved)</li><li>• Relevance and feasibility of the project are judged high.</li><li>• More information may be required for efficient implementation.</li></ul>
B (Subject to further examination)	To be implemented in the following fiscal year or later if funds are available.	<ul style="list-style-type: none"><li>• First introduced in JFY 2004.</li><li>• Relevance and feasibility of the project are as high as A-projects.</li><li>• Implementation depends on the availability of funds (budget).</li><li>• More information may be required for efficient implementation.</li></ul>
C (Subject to further examination)	To be further examined based on additional information provided by the overseas office.	<ul style="list-style-type: none"><li>• Equivalent to the previous " " grade (i.e., to be further examined)</li><li>• Information on critical issues, e.g., institutional setup and capacity of the government of the recipient country, is inadequate.</li><li>• May be approved in the middle of the following fiscal year, depending on the availability of funds and additional information to be provided by the overseas office.</li></ul>
D (Not Approved)	Not to be implemented.	<ul style="list-style-type: none"><li>• Equivalent to the previous "X" grade (i.e., not approved)</li><li>• Information necessary for the examination is inadequate.</li><li>• Low priority by the overseas office and the recipient government.</li></ul>

Note: The definitions and remarks were provided by the Rural Development Department and are not necessarily unified views of the JICA headquarters.

Source: Prepared by the Study Team based on information obtained from the Rural Development Department.

- (2) The Study Team conducted interviews with the directors and officers of the Rural Development Department and the relevant regional departments with the intention of verifying a hypothesis that projects formulated by the Bangladesh Model fit their appraisal criteria. At the JICA headquarters, however, there exist no definite or unified criteria for selecting projects to be implemented with a view to allowing a flexible response to field-level needs. Nevertheless, the headquarters directors and officers

examine requested project information sheets from certain points of view that are largely classified into six categories as shown in Table 3-2.

**Table 3-2 Points of View of JICA Headquarters Officers for Examination of Requested Project Information Sheets (Summary)**

Category	Points of View expressed by JICA Headquarters Officers
(1) What is the problem to be tackled? – The problem and its background	It is important for the information sheet to include a concrete description of the problem. Description of the background is equally important so that the status of the problem in view of the economic development and/or agricultural and rural development of the country concerned can be determined.
(2) What should be achieved? – The objective/goal and expected outcomes	It is important for the goals of the project and the (expected) outcomes of its implementation to be clearly described. It is desirable for any program/project to focus on “people”.
(3) How can the objective/goal be achieved? – Activities and implementation methods	It is important to present clearly the steps to achieve the objective/goal, i.e., concrete activities, level of inputs (including the selection of a scheme), technical feasibility and planned procedures/methods, etc.
(4) Is the project feasible? – Technical, financial and institutional feasibility	For a requested project to be evaluated as a Grade A or Grade B project, it is essential to convince the evaluator at the headquarters of the feasibility of its implementation in accordance with the indicated steps. Understanding of the situation of the target area and the scope of jurisdiction as well as institutional and financial capacity of the expected implementing agency is important in addition to verification of the technical feasibility of the project.
(5) Is the project consistent with Japan's ODA policy?	First, the requested project must be consistent with: 1) poverty reduction and human security which are the principle policies for JICA's assistance (though points of view for examination may differ depending on the project objective); 2) the priority area established by the Country Assistance Program and the JICA Country Program and; 3) the sector program and assistance policies prepared by the ODA-TF. Moreover, the Rural Development Department emphasizes the dual viewpoints of agricultural development and rural development in line with the JICA Thematic Guidelines and the Approaches for Systematic Planning of Development Projects. For the implementation of an agricultural development project, the expected improvement of the life of rural people must be clearly indicated as in the case of a rural development project. It is also important to refer to a rough estimate of the budget allocation for the region and/or country prepared by each regional department of JICA in conformity with the ODA policies of the Ministry of Foreign Affairs.
(6) Is the project consistent with the development policy of the recipient country?	Consistency with the policies and development plans of the recipient country is also important. In some cases, the consistency of not only the project goals but also the implementation methods and inputs with the policies of the recipient country are examined.

Source: Prepared by the Study Team based on the results of interviews at the JICA headquarters.

- (3) Table 3-3 classifies the replies of the headquarters directors and officers to the question of “What is an excellent project?” asked by the Study Team. When a requested project information sheet is prepared by taking these definitions into consideration, the contents of the sheet could become clear enough to those evaluating the sheet.

**Table 3-3 Definitions of “Excellent Project” provided by JICA Headquarters Officers**

Category	Definition of “Excellent Project”
Project framework	<ul style="list-style-type: none"> <li>• A project whose background, problem, objective and steps to achieve the objective are clearly defined.</li> <li>• A project formulated by taking into account various conditions of the recipient country, e.g., the development stage, fiscal situation and decentralization.</li> </ul>
Policies and development plans	<ul style="list-style-type: none"> <li>• A project that cope with major issues such as human security and poverty reduction.</li> <li>• A project consistent with the ODA-TF assistance policies and the JICA Country Program based on the Country Assistance Program of the Japanese government.</li> <li>• A project whose alignment with the program goal and relationship with other projects in the program are clearly indicated.</li> </ul>

Approaches to achieve the project objective	<ul style="list-style-type: none"> <li>• A project that focuses on rural people. For example, a project that aids primarily at improvement of the life of rural people rather than productivity increase.</li> <li>• A project that links the central government, local governments and rural communities. For a country where decentralization is in progress, for example, a project in which the central government plays a role in monitoring and disseminating the impact, local governments in implementation and rural communities as proactive beneficiaries.</li> </ul>
Impacts and outcomes	<ul style="list-style-type: none"> <li>• A sustainable project, i.e., a project that balances software (policy support, institution building, etc.) with hardware (improvement of infrastructure and facilities) so that its impacts will be sustained after completion.</li> <li>• A sustainable project, i.e., a project whose activities can be continued by using locally available resources (including human resources and institutions) in the target area.</li> <li>• A project whose impacts will be disseminated as a model outside the target area.</li> <li>• A project that requires less input but is expected to bring about a positive impact.</li> <li>• A project that can be completed without subsequent phases or follow-ups.</li> </ul>
Project formulation process	<ul style="list-style-type: none"> <li>• A project based on lessons learned from previous projects.</li> <li>• A project formulated through transparent discussions with the parties concerned from various points of view.</li> <li>• A project formulated through day-to-day contact with the government officials and stakeholders of the recipient country.</li> </ul>

Note: These are not JICA's official views but personal views of the headquarters officers interviewed by the Study Team.

Source: Prepared by the Study Team based on interviews conducted at the JICA headquarters.

- (4) The series of interviews conducted at the JICA headquarters have established that the headquarters officers who are responsible for the examination of requested project information sheets need information as listed in Table 3-4. The required information is largely classified into three types relating to: 1) the project framework; 2) the situation of the recipient country and; 3) the situation of Japan. The information here may include the type of information to be obtained during the ex-ante evaluation study that follows project approval. However, it is desirable for the overseas offices to collect a wide range of information using consultants and national staff so that the information can be stored as reference materials therein to answer quickly enquiries made by the headquarters.

**Table 3-4 Information Required for Project Appraisal at the JICA Headquarters**

1. Project Framework	Types of Information Required by the Headquarters
The problem and its background	<ul style="list-style-type: none"> <li>• The roles of agriculture and rural development in social and economic development of the recipient country</li> <li>• Complementarities among projects in the sector program</li> <li>• Problem analysis from the point of view of the farm economy (management)</li> <li>• The possibility of obtaining information necessary for formulation and appraisal of the project such as statistics, maps and references</li> </ul>
Activities and implementation methods	<ul style="list-style-type: none"> <li>• Examination results of activities and methods of widely benefiting the people of the target area</li> </ul>
Target area	<ul style="list-style-type: none"> <li>• Appropriateness of the target area (For example, it is advisable not to include several provinces in a federal state.)</li> </ul>
Lessons learned from previous projects	<ul style="list-style-type: none"> <li>• Existence of similar projects, completed and/or on-going, assisted by other donors and by JICA itself within the target area or the country</li> <li>• Lessons learned from those projects</li> </ul>
Duplication or collaboration with other donors	<ul style="list-style-type: none"> <li>• Significance of JICA's assistance if some other donor is assisting a similar projects</li> <li>• The possibility of collaboration with the donor assisting a similar project</li> <li>• The possibility of JICA's assistance for the project in a country with SWAp.</li> </ul>
Consensus with the recipient government	<ul style="list-style-type: none"> <li>• Consensus with the recipient government and the prospective implementing agency on the project objective, activities, input, methods, timing, etc.</li> </ul>
2. Situation of the Recipient Country	Types of Information Required by the Headquarters
Policies and development plans	<ul style="list-style-type: none"> <li>• Consistency with the national policy and development plan of the recipient country</li> <li>• Alignment of activities and input with the policy framework of the recipient country</li> </ul>
Implementing agency (counterpart agency)	<ul style="list-style-type: none"> <li>• Appropriateness of the prospective implementing agency in terms of its jurisdiction and capacity as compared to other possible institutions of the recipient country</li> <li>• Effects of the market economy, privatization and decentralization on the roles of the prospective implementing agency</li> </ul>

	<ul style="list-style-type: none"> <li>• Priority issues of the implementing agency that may not be explicitly explained with the national policy and development plan of the recipient country</li> <li>• The capacity (potential) of the implementing agency to disseminate the impacts of the project outside the target area</li> </ul>
Fiscal situation	<ul style="list-style-type: none"> <li>• Appropriateness of the project scale with respect to the fiscal situation of the recipient country, i.e., can the government provide counterpart funds to the project?</li> <li>• The amount of budget, recurrent costs in particular, to be allocated to the project</li> </ul>
Project formulation and approval process	<ul style="list-style-type: none"> <li>• The process of project formulation, i.e., is it done through day-to-day contact with the government officials and stakeholders of the recipient country?</li> <li>• Procedures for the project implementation after approval</li> <li>• Conditions that could affect the project implementation, e.g., laws and public finance</li> </ul>
Situation of the target area and beneficiaries	<ul style="list-style-type: none"> <li>• The socio-economic, cultural and political situation of the prospective beneficiaries (including the definition of "the poor" if necessary)</li> <li>• Principal means of living in the target area</li> <li>• Needs of the target area and beneficiaries and relevance of the project to the needs</li> <li>• The perception of the prospective beneficiaries about the project and possible collaboration with them in the project implementation</li> <li>• The natural and socio-economic conditions and security situation of the target area</li> </ul>
<b>3. Situation of Japan</b>	<b>Types of Information Required by the Headquarters</b>
ODA Policy	<ul style="list-style-type: none"> <li>• Conformity with the Country Assistance Program and the JICA Country Program</li> <li>• Consistency with JICA's policy, especially poverty reduction and human security</li> <li>• Alignment with the assistance policy and sector program formulated by the ODA-TF</li> <li>• Conformity with the priority areas set by the overseas office</li> <li>• Utilization of the JICA Thematic Guidelines and the Approaches for Systematic Planning of Development Projects</li> </ul>
JICA's budget	<ul style="list-style-type: none"> <li>• Incorporation of the budget information provided by the Regional Department</li> <li>• Prioritization according to the budget constraints set by the headquarters</li> </ul>
Other policies	<ul style="list-style-type: none"> <li>• Consideration of any boomerang effect on Japan's agriculture</li> </ul>

Note: These are not JICA's official views but personal views of the headquarters officers interviewed by the Study Team.  
Source: Prepared by the Study Team based on interviews conducted at the JICA headquarters.

#### 4. The Bangladesh Model and Its Significance for Project Formulation

- (1) In the particular aid environment of Bangladesh where a large number of bilateral and multilateral donors provide various kinds of assistance, the Bangladesh Model aims at overcoming the constraints on planning and implementation of Japan's ODA and at providing assistance in a more unified and coherent manner by means of "selection, concentration and collaboration". The basic policies adopted by the Bangladesh Model are explained in Table 4-1.

**Table 4-1 "Selection, Concentration and Collaboration" under the Bangladesh Model**

Selection	<ul style="list-style-type: none"> <li>• Selection of high priority sectors and priority sectors for Japan's ODA taking into account the Country Assistance Program for Bangladesh, ongoing and past Japan's ODA to Bangladesh, the development strategies and plans of the Bangladesh government and the situation of assistance by other donors.</li> </ul>
Concentration	<ul style="list-style-type: none"> <li>• In order to enhance the effectiveness and efficiency of ODA, the available aid resources for input, staff deployment and aid coordination, etc. are concentrated in the high priority and priority sectors.</li> <li>• A sector working group (SWG) is established for each high priority or priority sector for the purpose of sharing and systematically building vital knowledge.</li> </ul>
Collaboration	<ul style="list-style-type: none"> <li>• The Embassy of Japan, the JICA Office and the JBIC Office in Bangladesh assign personnel to each SWG cross-organizationally.</li> <li>• The three organizations jointly participate in discussions with the Bangladesh government and aid coordination and share the obtained information among the organizations.</li> <li>• Collaboration and communication with Japanese NGOs and private enterprises are strengthened through the Study Group on Development Assistance to Bangladesh.</li> <li>• Efforts are made to share information with other members of the donor community through the website of the Embassy of Japan, mailing lists, study meetings, etc.</li> </ul>

Source: Embassy of Japan in Bangladesh (<http://www.bd.emb-japan.go.jp/collab1.htm>).



- (2) The primary characteristic of activities under the Bangladesh Model is information sharing and the exchange of ideas with other Japanese people engaged in aid efforts in addition to collaboration involving the Embassy of Japan, JICA, JBIC and JETRO. Second, high priority and priority sectors have been selected in line with the development plan (I-PRSP) of Bangladesh. Third, a sector working group (SWG) is set up for each high priority or priority sector and a sector program is formulated for each high priority sector. Fourth, a correlation diagram for the ongoing and planned projects in each sector is prepared to establish the mutual relationship between projects while work is in progress to clarify the timing of introducing new projects and the prospective budgets for these projects through the formulation of a rolling plan.
- (3) Table 4-2 shows the major achievements of the Bangladesh Model in the agricultural and rural development sector up to March 2005.

**Table 4-2 Achievements of the Bangladesh Model in the Agriculture and Rural Development Sector**

Selection	<p><b>Narrowing down of the main components</b></p> <ul style="list-style-type: none"> <li>• "Increase in income and productivity", "provision of rural infrastructure" and "empowerment of local government institutions and the poor" are set as the main components (priority areas within the sector) based on such development issues as "low agriculture productivity and poverty in rural areas", "insufficient rural infrastructure" and "weak local governance and participation" identified by the Agriculture and Rural Development SWG</li> <li>• Ongoing projects are reviewed to examine the relevance of Japanese assistance hitherto.</li> </ul>
Concentration	<p><b>Concentration of resources in the components mentioned above</b></p> <ul style="list-style-type: none"> <li>• The linkage among ongoing projects has been checked and ongoing and planned projects in the next five years have been examined for each of the main components for the unified and coherent implementation of assistance in the sector as a whole.</li> <li>• The preparation of a rolling plan is in progress as of March 2005 based on the sector program to determine the desirable timing for the introduction of new projects and their likely budgets.</li> </ul>
Collaboration	<p><b>Collaboration between the Embassy of Japan, JICA and JBIC, discussion with the Bangladesh government and coordination with other donors</b></p> <ul style="list-style-type: none"> <li>• All the three organizations have assigned representatives to the SWG to stimulate cross-organizational discussions.</li> <li>• Coordination between the main components has been promoted through the dispatch of a rural development (infrastructure) advisor to LGED and the assignment of a rural development program coordinator to the JICA office.</li> <li>• The Study Group on Development Assistance to Bangladesh has been formed to share and exchange information with other Japanese engaged in aid efforts. (The agriculture and rural development sector has been particularly active in cross-organizational discussions and study meetings on development assistance.)</li> <li>• An English version of the sector program has been prepared (a revised version is being prepared as of March 2005) to indicate the direction of Japanese assistance in the sector to the Bangladesh government and other donors.</li> <li>• The sharing of information is promoted by using websites, mailing lists, etc.</li> </ul>

Source: Prepared by the Study Team based on the field study results and the Draft Agricultural and Rural Development Sector Programme (the final draft for FY 2004 published on January 19, 2005) prepared by the Embassy of Japan in Bangladesh, the JICA Bangladesh Office and the JBIC Representative Office in Dhaka.

- (4) Coordination between different organizations is vital for the implementation and promotion of the basic policies described above. What is particularly important for smooth coordination is for the parties involved to find sufficient advantages to justify the cost and for the incentives for coordination to be clearly recognized. Coordination between the participating members of the Bangladesh Model is believed to have progressed well because of the following advantages and incentives.

- As members discuss various issues with people of different organizations, they develop the ability to formulate and design projects from diverse points of view.
- The emphasis on discussions on equal ground makes them both useful and pleasant.
- "Better outcomes" and "higher evaluation results" can be achieved through coordination among projects.

- Many members are aware of the importance of the Japanese government's policy of promoting field-oriented/led assistance.
- As the Bangladesh Model is attracting much attention from those engaged in Japan's ODA, participation in the model gives the members a sense of social satisfaction.

- (5) The present situation of the Bangladesh Model and the SWG for agriculture and rural development is that various associated activities are gradually taking root. These activities range from the reflection of the JICA's experience and knowledge on the formulation of assistance policies by the ODA-TF and the presentation of such policies to the Bangladesh government and other donors through JICA's activities to study meetings on development and the seeking of opinions from a much wider scope.
- (6) As reported in Chapter 3, the importance of gathering information (making it available upon the request of the JICA headquarters) required for the appraisal of requested projects was repeatedly stated during the interviews conducted at the headquarters. In the Bangladesh Model, the requirements of the headquarters for requested projected information sheets are met by the group effort of active information sharing and the exchange of views among the SWG members and with resource persons in Bangladesh and elsewhere, which is often beyond the capacity of individual officers.

## 5. Lessons of the Bangladesh Model and Recommendations for Effective Formulation of Agriculture and Rural Development Projects

- (1) The lessons learned from the Bangladesh Model in connection with project identification and formulation in the field of agriculture and rural development are compiled in Table 5-1. It is believed that these lessons will contribute to an increased approval rate of agricultural and rural development projects for other recipient countries. Among these lessons, the formulation of a sector program can be considered a key to effective project identification and formulation.

**Table 5-1 Lessons of the Bangladesh Model Applicable to Other Overseas JICA Offices**

<b>5.1.1 Select high priority sectors and formulate sector programs</b>
<ul style="list-style-type: none"> <li>• The Bangladesh Model has set high priority sectors and priority sectors, taking into consideration the size of the aid resources available on the Japanese side and overall development needs. For the high priority sectors, the SWGs have formulated a sector program for their respective sectors ("selection and concentration"). Work is in progress to prepare a correlation diagram as well as a rolling plan of projects based on the sector programs.</li> <li>• The identification and formulation of projects based on such a sector program, correlation diagram and rolling plan will secure "the logical consistency of projects" possible, the preparation of requested project information sheets that are backed by rich background information and are, therefore, highly persuasive.</li> </ul>
<b>5.1.2 Collaborate with ODA-related Japanese and have transparent discussions</b>
<ul style="list-style-type: none"> <li>• A project that conforms to the policies set forth by the ODA-TF is highly persuasive vis-à-vis the JICA headquarters and is, therefore, likely to be evaluated as a Grade A or Grade B project. Discussions within the ODA-TF based on a strong awareness of the problems that face individual members of the task force not only signify the diversification of viewpoints but also create a sense of unity among the participants and the feeling that they are part of the efforts of "Japan as a nation" to develop valuable projects for the recipient country.</li> <li>• The positive effects described above can be achieved only through transparent discussions and a sense of trust and equality among the participants disregarding their official positions. The contents of the discussions at ODA-TF meetings should be disclosed as much as possible to ensure logical consistency without undue emphasis on the opinions of certain members.</li> </ul>
<b>5.1.3 Utilize rich knowledge of the socioeconomic situation of rural areas of the recipient country</b>
<ul style="list-style-type: none"> <li>• One reason for the successful formulation of the agriculture and rural development sector program by the ODA-TF in Bangladesh is the existence of rich knowledge of the socioeconomic situation and administrative mechanisms of rural areas of Bangladesh which has been accumulated through long-standing efforts such as the Joint Study on Agricultural and Rural Development (JSARD), the Joint Study on Rural Development Experiment (JSRDE) and the Participatory Rural Development Project (PRDP), all assisted by JICA.</li> </ul>



<ul style="list-style-type: none"> <li>For the effective utilization of field experience and knowledge for the formulation of a sector program, a significant factor is the involvement of knowledgeable persons of which a typical example is the expert assigned to the Bangladesh Rural Development Board (BRDB) as an advisor on participatory rural development administration. JICA's rural development program coordinator is also playing an important role in facilitating smooth coordination and transparent discussions of the Agriculture and Rural Development SWG.</li> </ul>
<b>5.1.4 Grasp clearly the jurisdiction and capacity of the implementation agency and establish of a good relationship with them</b>
<ul style="list-style-type: none"> <li>The jurisdiction and capacity of a government agency generally change when the policies, the organizational structure and/or the person in charge changes. In recent years, many governments have been making reform efforts, particularly in the field of agriculture and rural development, due to the shift towards a market economy, privatization and decentralization and attention must be paid to these changes. Constant information gathering from the relevant government officials in the recipient country is vital to understand properly the nature and extent of these changes.</li> <li>There are some cases in which the sustainability of a project is jeopardized due to the limited capacity of the implementing agency in terms of finance and personnel. When the capacity of the assumed implementing agency is questionable or uncertain, it is necessary to alter the purpose of the project to the establishment of a viable project implementation system and/or strengthening of the capacity of the implementing agency and its staff, or to re-examine the project framework, including reselection of the implementation agency and scaling-down of the project. In other words, project formulation through consultation with the prospective implementing agency can be considered to constitute a foundation for finding measures, or even a step itself, to strengthen the capacity of the agency.</li> <li>It is essential to note that there are needs for diverse areas in the field of agriculture and rural development. Accordingly, clarification of the responsibilities of the implementation agency is essential to determine how far the agency can implement the project.</li> </ul>
<b>5.1.5 Share continually information with other donors</b>
<ul style="list-style-type: none"> <li>Under the situation where donors are coordinating with each other to achieve unified goals, it is essential to express continually what Japan can do not only to the government of the recipient country but also to other donors in order to obtain their understanding and support so that assistance activities can be efficiently and effectively carried out.</li> <li>Clarification of the roles to be played by Japan/JICA in the donor community will lead to the identification and formulation of projects that can adapt to recent changes in the aid environment.</li> </ul>

Source: Prepared by the Study Team based on the study results

- (2) Based on the above-mentioned points of view for the examination of requested project information sheets and the lessons learned from the Bangladesh Model, the Study Team proposes the four points shown in Table 5-2 by which other overseas JICA offices would be able to identify and formulate agriculture and rural development projects more effectively in collaboration with the headquarters.

**Table 5-2 Recommendations for Effective Project Identification and Formulation in the Field of Agriculture and Rural Development**

Recommendations	Relevant Lessons from the Bangladesh Model	Key Points
<b>Recommendations regarding policy formulation</b>		
5.2.1 Redefine "an excellent project" in the field of agricultural and rural development	5.1.1 Select high priority sectors and formulate sector programs 5.1.2 Collaborate with ODA-related Japanese and have transparent discussions	<ul style="list-style-type: none"> <li>Present the definition of "an excellent project" as conceived by the Rural Development Department to the overseas offices</li> <li>Clarify the area to be dealt with by the Rural Development Department</li> </ul>
5.2.2 Enhance the logical consistency of requested projects	5.1.1 Select high priority sectors and formulate sector programs 5.1.2 Collaborate with ODA-related Japanese and have transparent discussions 5.1.3 Utilize rich knowledge of the socioeconomic situation of rural areas of the recipient country 5.1.4 Grasp clearly the jurisdiction and capacity of the	<ul style="list-style-type: none"> <li>Optimize projects by the overseas offices based on the definition of "an excellent project" by the headquarters</li> <li>Identify the needs of the target area</li> <li>Understand the intended direction for development of the recipient country</li> <li>Grasp needs that can be fulfilled based on the jurisdiction and capacity of the implementing agency</li> <li>Clarify the strategic position of each project in the aid trends (for example, donor coordination and SWAp) in the</li> </ul>

	<p>implementation agency and establish of a good relationship with them</p> <p>5.1.5 Share continually information with other donors</p>	<p>recipient country</p> <ul style="list-style-type: none"> <li>Promote information sharing and exchange of views regarding the above points with other Japanese ODA-related institutions, the implementing agency of the government of the recipient country, other donors, etc.</li> </ul>
<b>Recommendations regarding the system and institution</b>		
5.2.3 Strengthen the headquarters' support to the overseas offices	<p>5.1.2 Collaborate with ODA-related Japanese and have transparent discussions</p> <p>5.1.4 Grasp clearly the jurisdiction and capacity of the implementation agency and establish of a good relationship with them</p>	<ul style="list-style-type: none"> <li>Provide constantly the overseas offices with information and support by the headquarters</li> <li>Describe "a good or bad requested project information sheet" and provide a checklist for preparing information sheets to the overseas office</li> </ul>
5.2.4 Utilize external expertise and promote project formulation integrated with implementation	<p>5.1.2 Collaborate with ODA-related Japanese and have transparent discussions</p> <p>5.1.3 Utilize rich knowledge of the socioeconomic situation of rural areas of the recipient country</p> <p>5.1.4 Grasp clearly the jurisdiction and capacity of the implementation agency and establish of a good relationship with them</p>	<ul style="list-style-type: none"> <li>Select priority sectors and development issues compatible with the size of the specific overseas office</li> <li>Utilize external expertise (i.e., non-JICA staff and experts) more effectively</li> <li>Ensure consistency from program formulation to implementation and reduce the time and cost of these two stages (improvement of the cost performance by means of the consistent utilization of external human resources)</li> </ul>

Source: Prepared by the Study Team based on the study results.

## **Annex 2**

### **Checklists**

- **How to use the Checklists/Questionnaire**
- **Checklist for Preparation of Requested Project Information Sheets**
- **Checklist for Gathering Information Required for Project Formulation (by Need)**
- **Example of Questionnaire to Understand the Target (Rural) Area**

## How to Use the Checklists/Questionnaire

### 1. Purposes and Outline of the Checklists

#### (1) Purposes and Use of the Checklists

- To present the important points for routine information gathering and completing the information sheets for the purpose of making a “Requested Project Information Sheets” more likely to be approved.
- To check a letter of request by the government of a recipient country which addresses the actual needs of the country in question so that the checked contents of the letter can be written on the “Requested Project Information Sheets”
- Each checklist offers an exhaustive list of development items so that it can be used for any type of project. Therefore, some items may be irrelevant to a specific project and only the relevant items should be used for the purpose of checking the contents of a requested project.

#### (2) Composition of the Checklists

There are two types of checklists: “1. Checklist for Preparation of Requested Project Information Sheets” and “2. Checklist for Gathering Information Required for Project Formulation (by Need)”.

- 1) The **1. Checklist for Preparation of Requested Project Information Sheets** (hereinafter referred to as the “**Checklist for Information Sheets**”) lists the general items to be checked<sup>1</sup> for the purpose of completing the Requested Project Information Sheets.
- 2) The **2. Checklist for Gathering Information Required for Project Formulation (by Need)** (hereinafter referred to as the “**Checklist for Information Gathering**”) lists examples of the study items for each specific objectives (for example, Improvement of the Food Distribution System) in the agriculture and rural development sector. These objectives (items) have been set based on the “Mid-term Objectives” and “Sub-targets of Mid-term Objectives) of the Development Objectives Charts<sup>2</sup> of the *Approaches for the Systematic Planning of Development Projects <Agricultural Development and Rural Development>* with the addition of some other items.

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<sup>1</sup> The check items have been extracted from the “Important Points for Project Formulation” of the present guidelines of 8 pilot countries and various types of information obtained by the Study on the Bangladesh Model such as “Points of View of JICA Headquarters Officers for Examination of Requested Project Information Sheets”, “Definitions of “Excellent Project” and “Information Required for Project Appraisal at the JICA Headquarters”.

<sup>2</sup> See the Institute for International Cooperation, JICA: *Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>*, August, 2004.

(3) Relationship Between the Checklists and the Guidelines (\*Only Applicable to the Pilot Countries for the Study)

Of these two checklists, the **Checklist for Information Sheets** are used when the Requested Project Information Sheets are prepared for submission to the JICA Headquarters. Meanwhile, information gathering through regular interviews and field visits, etc. is essential for the formulation of an excellent project and the **Checklist for Information Gathering** is used for this purpose.

It is important to discuss the contents of a requested project with the various stakeholders in the recipient country and others based on the gathered information. The unique points of individual countries which must always be taken into consideration for the purpose of the said discussions are described in Chapter 5 “Important Points for Project Formulation” in the Guidelines. These points should be referred to along with the checklists when the Requested Project Information Sheets are prepared.

## 2. Use of the Checklists<sup>3</sup>

When a request for a project is made by a counterpart organization of a recipient country, whether or not certain conditions (A1)-(A3) are met must firstly be checked. If the conditions are met, the Requested Project Information Sheets are then prepared using B. the Checklist for Information Sheets and C. the Checklist for Information Gathering. It should be stressed here again that gathering information regularly is very important. If the conditions are not met, the government of the recipient country should be informed of the fact and requested for re-examination of the contents of the requested project.

### A. Conditions

- (A1) Consistency of the contents of the request of the recipient country with the policies set forth by the local ODA-TF and the priority sector for Japanese assistance: If not, this should be explained to the government officials of the recipient country so that a project which is consistent with Japan’s aid policies can be submitted.
- (A2) Non-competition with past or ongoing projects of other donors and the JBIC, etc.: Information regarding existing JICA projects in the recipient country should also be checked: If there is an overlapping project(s), the government of the recipient country should be informed of the decline of the requested project or the need to formulate a different project (for example, a different approach to achieving the original purpose of the request).
- (A3) Relevance to JICA schemes: If not, the government of the recipient country should be advised to make a request to another donor or to modify the project to make it relevant to a JICA scheme (for example, when a request is made for financial assistance for credit unions run by farmers’ groups, the government of the recipient country will be informed that technology transfer regarding the capacity building of these unions and

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<sup>3</sup> Although these checklists are used by staff members of the JICA’s overseas offices to find and formulate projects, the actual approach to the government of a recipient country is jointly made by a team representing all of the relevant Japanese (aid) agencies/organizations (all-Japan approach).

the provision of equipment associated with such technology transfer may be arranged while the financial assistance is not provided by JICA).

After confirming that the preconditions (A1) through (A3) are met, the checklists are used in the manner described below to prepare the Requested Project Information Sheets.

#### B. Checklist for Information Sheets

- (B1) To classify the contents of the request made by the recipient country in accordance with the items of the Requested Project Information Sheets.
- (B2) Following the above classification, to complete each information sheet with reference to the “Subject Check Item For Description” of the Checklist for Information Sheets. It should be noted that it is not necessary to gather information regarding all items on the list. Rather, only items that are relevant and/or necessary to the country’s situation and the content of the project should be selected. In the case of items for which the information is insufficient, the necessary information should be obtained using information in the Guidelines and/or the Corresponding Information Gathering Method/Information Handling Methods of the checklist. If the code numbers of related items on the Checklist for Information Gathering are given in the column of “Corresponding Items on the Checklist for Gathering Information Required for Project formulation (by Needs)”, such items should also be referred to for information gathering. Another check item at the information gathering stage is if there are any differences regarding the concept and perception of the requested project, etc. between the counterpart persons of the recipient country and Japanese officials. If there are any differences regarding the concept, etc., the two sides should hold discussions to solve such differences with reference to the “Routine Information Gathering Method/Information Handling Method”
- (B3) O is marked for items, which JICA Headquarters requires for project appraisal. It is also desirable to collect information in advance regarding items, which O is not marked, in order to respond to JICA Headquarters’ further request after the submission of the Requested Project Information Sheets.

#### C. Checklist for Information Gathering/Questionnaire

- (C1) The Checklist for Information Gathering is used to gather information on the request made by a recipient country for the purpose of describing project-related activities in a more concrete manner. It is not necessary to collect all the information of the list, but those items, which are relevant to the request (i.e. needs), should be selected. It is assumed that information is collected both at the central government level as well as the target area level where project activities are conducted. In the target areas, related actors such as people, local government unit and village councils, etc. are assumed interviewees.
- (C2) Firstly, from the list of “1. Check Item”, items related to the needs of the recipient country are extracted from the Checklist for Information Gathering. The necessity of each of these items should be checked with reference to “2. Purpose of Confirmation”. When it is uncertain how to select the check items or when no concrete image emerges

after reading the Purpose of Confirmation, the main text of the *Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>* should be read to enhance understanding of the check items and the purpose of confirmation.

- (C3) It should be checked what kind of information needs to be gathered for the preparation of a Requested Project Information Sheet based on the “Study Item (Central)” and the “Study Item (Target Region)”.
- (C4) Information should be gathered from those organizations listed under “Source”. The Checklist for Information Gathering gives the Ministry of Agriculture and the Ministry of Finance as examples but each overseas JICA office should list the names of likely organizations from which information can be gathered to suit the specific circumstances of the country. By means of selecting those organizations appropriate for the gathering and checking of information for each study items with an O, new staff members will be able to use the same list. The Checklist for Information Gathering is to be distributed in a CD ROM. The preparation/use of a questionnaire relating to information gathering and checking for each source should, therefore, be possible by sorting the selected study items for each source using electronic data.
- (C5) For the gathering of information, which the necessity has been ascertained through the work described above, the preparation of a questionnaire is necessary. The contents of this question may vary from one project to another and it may be necessary to add new study items in addition to those core items shown on the Checklist for Information Gathering. If additional study items (or questions) are necessary, they should be determined with reference to existing projects of a similar type, etc. If there is any uncertainty regarding supplementary items, the Technical Advisor Committee of the Rural Development Department of JICA Headquarters may be able to provide useful advice. Examples of Questionnaire to Understand the Target (Rural) Area are attached for reference purposes.
- (C6) The Requested Project Information Sheets should be filled in based on the relevant items with the information gathered above.
- (C7) The Study Item of the Checklist for Information Gathering lists all types of information, which are believed to be necessary for the formulation of individual projects. However, even if projects share the same purposes, the types of information to be gathered differ depending on the specific target areas and the conditions of the beneficiaries of individual projects. The Study Item listed here is therefore, neither exhaustive nor permanent and are shown to evoke an image of the study to be conducted. It is essential for the person filling in the Requested Project Information Sheets to visit the target area to gather the information required for the implementation of the assumed activities.

### **3. Expected Merits of the Checklists**

- (1) As the checklists provided here identify the types of information which must be checked for identification and formulation of projects and for the completion of the Requested Project Information Sheets, it is hoped that their repeated use will equip users with the

skill of writing the Requested Project Information Sheets which lead to approval of the project in question. As the overseas offices of the JICA will build up both experience and information through work involving these checklists, it is hoped that the work to prepare the said information sheets will incrementally become efficient.

(2) CD ROM version of checklist is expected to have following merits.

- The distribution of the checklists to the target persons for information gathering and the processing of data after the collection of replies will be easier. The cost of obtaining information may, therefore, be reduced depending on the types of data.
- The improved preservability and searchability of data should make the transfer of business at the time of personnel changes easier.
- As one can retrieve the data, which is required for use, it will be easier to extract questions corresponding to the characteristics of the study target(s).
- As the checklists are translated into English, French and Spanish, they can be used to create a TOR for field surveys to be conducted by local consultants, NGOs and universities, etc., making it easier to entrust local specialists to conduct field surveys.

#### **4. Important Points for Use of the Checklists**

- (1) The checklists indicate the viewpoints and methods to be referred to by the staff members of overseas JICA offices responsible for identification and formulation of agriculture and rural development projects.
- (2) When using these checklists, each staff member is requested to fully utilise his/her experience in the country of assignment and to visit the target area to promote greater understanding of the present situation in order to formulate feasible projects through interviews and exchanges of opinions with stakeholders.
- (3) Following project approval, the checklists should be used to examine whether or not the project is being implemented as planned at the formulation stage and also whether or not the project is contributing to the maintenance and improvement of the lives of people in the target area as well as the surrounding area. For example, the data for “1-2-1 Development and Maintenance of Production Infrastructure” on the Checklist for Information Gathering collected at the stage of examining a request may be used as baseline data. By gathering data on the same item after the commencement of the project and comparing it with pre-project data, such data can be used for quantitative monitoring, analysis and evaluation.
- (4) The items on the checklists should be revised as necessary to reflect the knowledge and experience accumulated by each overseas JICA office in the course of formulating and implementing many projects so that the checklists become more practical in line with the actual conditions of the country concerned.



## 5. Others

- (1) National level data, which can be obtained from the FAOSTAT and World Development Indicators, is listed under “Existing Source of Information” of the Checklist for Information Gathering. Other types of data should be gathered from the Ministry of Agriculture, Ministry of Finance and Ministry of Decentralisation, etc. at the central level and from local government unit, local offices of central ministries, people’s (farmers’) organizations and individual farmers, etc. at the local level.
- (2) For the purpose of the information gathering, the basic terms must be clearly defined to avoid any misunderstanding between the questioner and respondents. As these checklists are based on the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>, the definitions of the basic terms given in the Approach (pp 5-6 and 176-182) should be referred to.
- (3) Reference Materials Used for Compilation of the Checklists
  - Institute for International Cooperation, JICA: *the Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>*, August 2004.
  - Institute for International Cooperation, JICA: *The Approaches for Systematic Planning of Development Projects <Rural Development>*, May 2002.
  - Hideyuki Kanamori, Institute for International Cooperation, JICA, *Study Methods and Project Formulation Study (First Manuscript)*, 2004.
  - Agricultural Development Cooperation Department, JICA: *Guidebook for Rural Studies: For Finding and Diagnosis of Problems in Agricultural Projects Combining Research and Extension (in Japanese)*, 2004.
  - JICA: *The Guidelines for Rural Development Methods for Africa, Main for a project-type study entitled “Preparation of Rural Development Methods for Africa”*, October 2001.

**Process of Preparation and Examination of Requested Project Information Sheets  
(Mainly in the Case of Technical Cooperation Project\*)**

Month	Tasks		Remarks
	Headquarters	Overseas Offices	
Throughout the year		Collect Information and request project proposals from the recipient government.	<ul style="list-style-type: none"> <li>- Information is constantly collected from various sources.</li> <li>- Informal project proposals prepared with assistance of JICA experts and consultants are submitted to the overseas office.</li> <li>- Prospective proposals are promptly examined by the JICA headquarters and the Ministry of Foreign Affairs of Japan.</li> <li>- Preparation of the Application Forms for Japan's Technical Cooperation and the information sheets is started.</li> </ul>
June - July	Send forms of and instructions on requested project information sheets.		<ul style="list-style-type: none"> <li>- The Ministry of Foreign Affairs sends forms of and instructions on the information sheets to the Embassy of Japan in June.</li> <li>- The instructions include points of consideration on procedures (e.g., explanation on new schemes) and operational policies.</li> </ul>
		Request officially the recipient government to prepare the Application Form for Japan's Technical Cooperation.	<ul style="list-style-type: none"> <li>- The ODA-TF explains the application procedures to the government of the recipient country (This is done apart from the annual policy conference.).</li> </ul>
		Receive the Application Form from the recipient government.	<ul style="list-style-type: none"> <li>- The government of the recipient country submits the Application Form for Japan's Technical Cooperation to the Embassy of Japan.</li> </ul>
August		Examine and screen the projects requested.	<ul style="list-style-type: none"> <li>- The ODA-TF examines, screens and prioritizes the projects requested by the government of the recipient country.</li> </ul>
		Prepare and submit requested project information sheets.	<ul style="list-style-type: none"> <li>- The Embassy of Japan sends requested project information sheets to the Ministry of Foreign Affairs in Tokyo.</li> <li>- The deadline is August 31.</li> </ul>
Sep. - Oct.	Examine the requested project information sheets submitted by the overseas offices.		<ul style="list-style-type: none"> <li>- At the JICA headquarters, the Regional Departments and the Planning and Coordination Department make a database of the requested projects and request the respective issue-based departments to examine each project.</li> <li>- The issue-based departments discuss and decide which department will take charge if the project is cross-sectoral.</li> <li>- The JICA headquarters presents the results of the examination to the Ministry of Foreign Affairs.</li> </ul>
November	First inter-ministerial appraisal meeting		<ul style="list-style-type: none"> <li>- The Ministry of Foreign Affairs appraises the requested projects individually in consultation with the concerned Ministry.</li> <li>- JICA's Regional Departments and Planning and Coordination Department participate in the inter-ministerial meeting if necessary. The issue-based Departments participate therein as an observer if necessary.</li> </ul>
Nov. - Dec.	Early notification of the approval		<ul style="list-style-type: none"> <li>- The Ministry of Foreign Affairs notifies the Embassy of Japan of the results of the appraisal.</li> </ul>
		Early notification of the approval	<ul style="list-style-type: none"> <li>- The Embassy of Japan notifies the recipient government of the results of the appraisal.</li> <li>- The Embassy of Japan starts to prepare the R/D.</li> </ul>
December	Prepare a budget plan for the next fiscal year.		<ul style="list-style-type: none"> <li>- The issue-based departments prepare a budget plan based on the regional budget allocated by the Regional Departments in December - February.</li> </ul>
January	Second inter-ministerial appraisal meeting		<ul style="list-style-type: none"> <li>- The Ministry of Foreign Affairs formally appraises the requested projects individually in consultation with the concerned Ministry.</li> <li>- JICA's Regional Departments and Planning and Coordination Department participate in the inter-ministerial meeting if necessary. The issue-based Departments participate therein as an observer if necessary.</li> <li>- Pending projects are re-examined at the meeting.</li> </ul>
Jan. - Feb.	General notification of the approval		<ul style="list-style-type: none"> <li>- The Ministry of Foreign Affairs notifies the Embassy of Japan of the results of the appraisal.</li> </ul>
		General notification of the approval	<ul style="list-style-type: none"> <li>- The Embassy of Japan notifies the recipient government of the results of the appraisal.</li> <li>- The Embassy of Japan starts to prepare the R/D.</li> </ul>
February	Finalize the budget plan for the next fiscal year.		<ul style="list-style-type: none"> <li>- Each Department at the JICA headquarters finalizes the budget plan for the next fiscal year based on the project approval.</li> </ul>

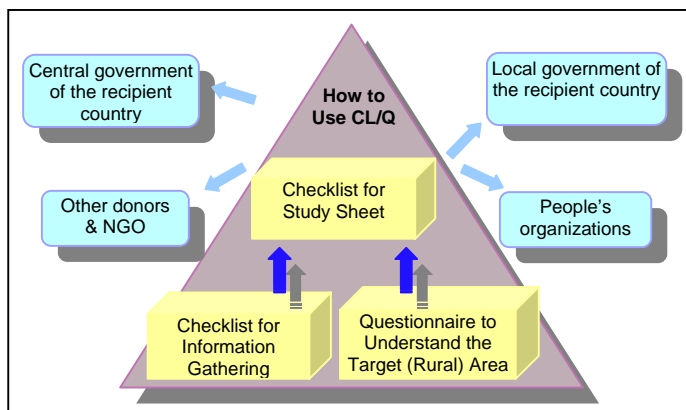
Note (\*): There are different application forms for development study programs, grant aid (general and fisheries) and dispatch of experts, but the appraisal procedures for these schemes are basically the same as those for technical cooperation.

Source: Prepared by the Study Team based on information obtained from the Rural Development Department.

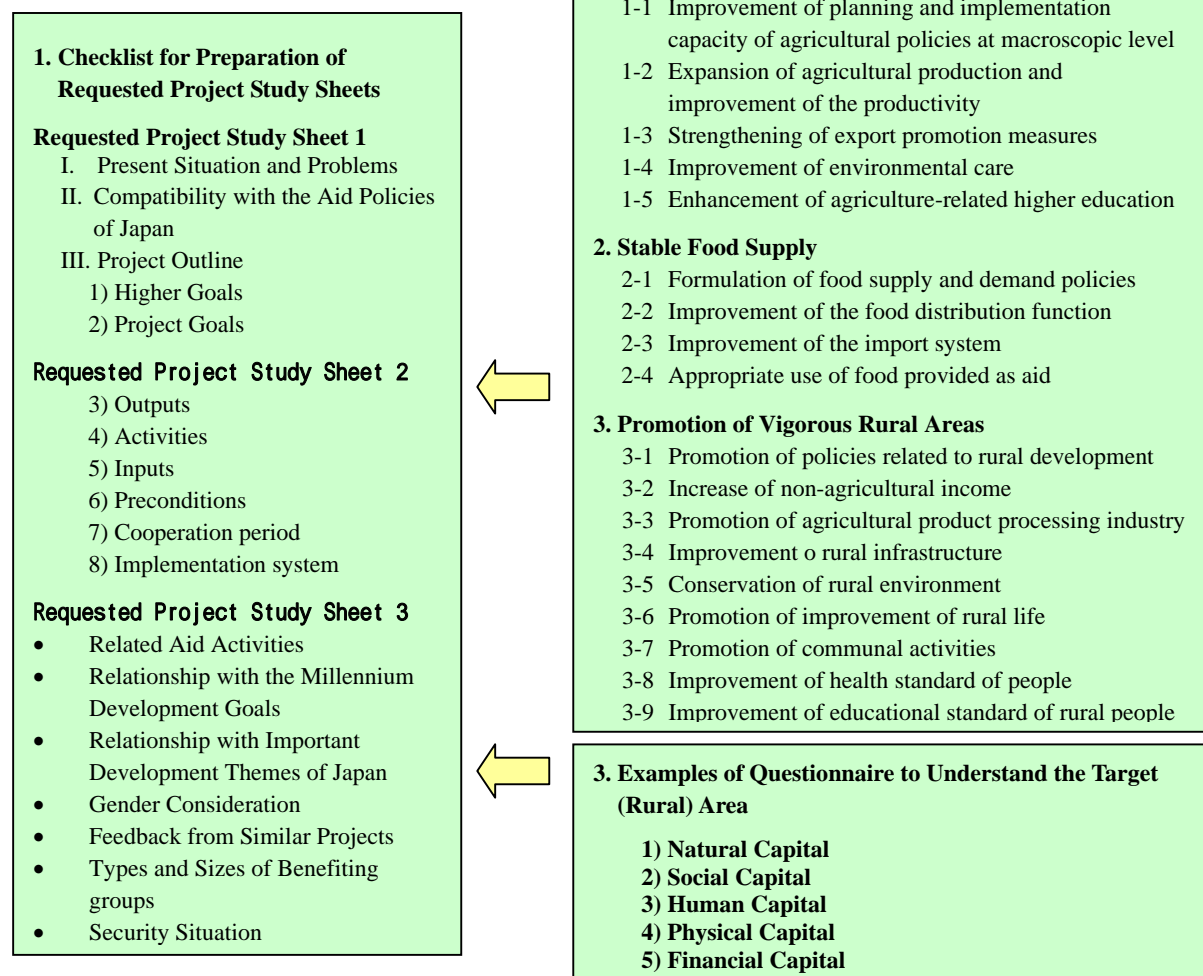
## Composition of the Methods of Study and Analysis for Agriculture and Rural Development (Checklists)

“1. Checklist for Preparation of Requested Project Information Sheets” can be used as the basis for preparing the Requested Project Information Sheets, together with relevant items in “2. Checklist for Gathering Information Required for Project Formulation (by Need)” and “3. Examples of Questionnaire to Understand the Target (Rural) Area” as reference. These checklists can also be utilized for daily information

collection and discussion with stakeholders (i.e. the central government and those in target areas) with a view to identify and formulate future projects.



The composition of the two checklists and the questionnaire is shown below.



# 1. Checklist for Preparation of Requested Project Information Sheets

It should be noted that it is not necessary to gather information regarding all items on the list. Rather, only items that are relevant and/or necessary to the country's situation and the content of the project should be selected.

O is marked for items, which JICA Headquarters requires for project appraisal. It is also desirable to collect information in advance regarding items, which O is not marked, in order to respond to JICA Headquarters' further request after the submission of the Requested Project Information Sheets.

Subject Check Item for Description		Routine Information Gathering Method and Information Handling Method	Corresponding Items on "Checklist for Gathering Information Required for Project Formulation (by Need)"	
Requested ProjectInformation Sheet 1				
I. Present Situation and Problems				
(1)	O	Are the roles of agriculture and rural development in the socio-economic development of the recipient country described?	To identifylocal resourcespersons andto interview them as part of the project identification and formulation exercise	A2 ~ A4
(2)	O	Is the background of the problems clearly established in relation to the development plans/policies of the recipient country?	Tocheck therelevance ofthe projectfrom the broad viewpoint of local ODA-TF members and other related persons	A4 B1 O1 ~ O2
		How are the problems to be tackled by the project located in the higher plans of the recipient country, including the national development plan?	Toagree onthe desirabledirection forand approach to development through regular meetings with the government of the recipient country	
		How are the problems considered in the agreements with international aid organizations such as the PRSP?	To participate in discussions designed to formulate a sector program based on the PRSP and other major policies of the recipient country	
		Relationship between the problems and such changes of the political and economic environment as market liberalisation, privatisation, decentralization and free trade agreement	Tocheck therelevance ofthe projectfrom the broad viewpoint of local ODA-TF members and other related persons	
(3)	O	Are the problems properly understood from the viewpoint of both men and women in the target area?	Tocheck therelevance ofthe projectfrom a broad viewpoint by widely publicising the activities under a JICA project	• A1 ~ A3 • P3 • Use of the Questionnaire to Understand the Target (Rural) Area
		Understanding of the problems from the viewpoint of the social structure and systems of the rural community in the target area  • (*This information needs to be collected once the proposed project decides target areas in order not to waste time of local people whose areas are not selected as a project target, and not to make them expect so much.)	To understand the structure and systems of the rural community using tools like PCM and PRA, etc.	
		Understanding of the problems, taking the conservation/management methods for natural resources (land, forests, grassland and water, etc.) adopted by the community and people' groups in the target area into consideration  • (*This information needs to be collected once the proposed project decides target areas in order not to waste time of local people whose areas are not selected as a project target, and not to make them expect so much.)	To interview aid organizations which are already active in the target area To incorporate the outputs of a study, if any, which has been conducting participatory observation, etc. for a long time in the target area	
		Understanding of the economic and social linkage between direct beneficiaries and other rural people  • (*This information needs to be collected once the proposed project decides target areas in order not to waste time of local people whose areas are not selected as a project target, and not to make them expect so much.)	To interview aid organizations which are already active in the target area To incorporate the outputs of a study, if any, which has been conducting participatory observation, etc. for a long time in the target area	
		Understanding of the problems, taking accessible administrative services into consideration  • (*This information needs to be collected once the proposed project decides target areas in order not to waste time of local people whose areas are not selected as a project target, and not to make them expect so much.)	Tointerviewthe localgovernment unitand people in the target area	
(4)		Are the urgency and priority of the problems indicated (are the priority issues narrowed down)?	To check the priority of the target area by the government of the recipient country and to analyse the problems using PCM and PRA, etc. in the area	(Gathering of the relevant information based on the project contents)
(5)		Are important concepts, such as the poor, defined in the context of the recipient country?		

Subject Check Item for Description		Routine Information Gathering Method and Information Handling Method	Corresponding Items on "Checklist for Gathering Information Required for Project Formulation (by Need)"
<b>II. Consistency with the Aid Policies of Japan</b>			
(1)	Is the project consistent with the aid policies of Japan: i.e; the Country Assistance Program of the Ministry of Foreign Affairs; and the JICA Country Program?	To enhance the understanding of the priority ranking by logically presenting the aid policies of Japan (project selection criteria based on the sector/program) of the people concerned in the recipient country. Consistency with JICA's policy, especially poverty reduction and human security	A5
(2)	Is the project mutually complementary to other projects/activities of the agriculture and rural development program formulated by the ODA-TF or JICA if such a program exists?	To discuss the issue within the ODA-TF (so that the issue is checked with the opinions of many people rather than a single person) To actively share information with the Headquarters at the responsible desk level	
(3)	Is the project consistent with JICA Issue-oriented approach and the "Approaches for Systematic Planning of Development Projects <agriculture and rural development>"?		
(4)	Is the selected scheme (e.g., technical cooperation, development study, dispatch of experts, grant aid, etc.) appropriate for meeting with recipient country's needs?		
(5)	Does the project have a boomerang effect on Japanese agriculture?		
<b>III. Project Outline</b>			
<b>1) Overall Goals: Goals of which the achievement is expected after the completion of cooperation</b>			
(1)	Are higher goals achievable by achieving the project goals?	To agree on the desirable direction for and approach to development through regular meetings with the government of the recipient country	B1
(2)	Are these goals consistent with the national development plan and other higher plans of the recipient country?	Understanding of the main policies and higher plans, such as the PRSP, of the recipient country	B1, A4
(3)	Are the goals consistent with the PRSP and sector program, etc. agreed with international aid organizations?	To discuss the issue at a donor meeting	B1 A5
(4)	Are these goals consistent with the progress situation of market liberalisation, privatisation, decentralisation and free trade agreement of the recipient country?	To interview the relevant ministries To understand the current situation through interviews with other donors and NGOs, etc.	H1 ~ H4, L1 ~ L5 O1 ~ O2
(5)	Are these goals comprehensive as well as universal in connection with poverty reduction and environmental conservation?	Understanding of the main policies and higher plans, such as the PRSP, of the recipient country	A5
(6)	Are these goals determined to act as models for further dissemination to other areas?	Understanding of the main policies and higher plans, such as the PRSP, of the recipient country	E1 ~ E3, B4, B1
<b>2) Project Goals: Outcomes at the end of the project: How has the present situation changed with the implementation of the project?</b>			
(1)	Are the background of the project, problems, outcomes and logic to achieve the outcomes clear?	To obtain the understanding of the priority ranking by logically presenting the aid policies of Japan (project selection criteria based on the sector/program) of the people concerned in the recipient country	
(2)	Are the contents (purposes) of the request consistent with the needs of people?	To interview the administrative organization and people in the target area	(Depends on the project contents) Use of the Questionnaire to Understand the Target (Rural) Area
(3)	Are the beneficiaries clearly defined?	To interview the administrative organization and people in the target area	(Depends on the project contents) Use of the Questionnaire to Understand the Target (Rural) Area
(4)	Are the assumed dissemination impacts feasible based on the capacity and roles of the implementation body within the period of cooperation?	To interview the relevant ministries To understand the current situation through interviews with other donors and NGOs, etc.	A4, B1 ~ B4, E1 ~ E3
(5)	Is the use of the outcomes following the end of the project clearly indicated?	Agreement on the direction for development by both the Japanese side and the recipient country side through regular meetings with the government of the recipient country	
<b>Requested Project Information Sheet 2</b>			
<b>3) Outputs: Short-term goals to be realised to achieve the project outcomes (activity results/outputs)</b>			
(1)	Are the project outcomes achievable after a series of project activity results/outputs?		

Subject Check Item for Description			Routine Information Gathering Method and Information Handling Method	Corresponding Items on "Checklist for Gathering Information Required for Project Formulation (by Need)"
(2)	O	Are the project activities rationally considered to continue even after the the end of the cooperation period? Are the activity results set out without assuming a phase 2 project or follow-up activities?		B1 ~ W3
(3)	O	Are outputs consistent with the capacity, functions and roles of the implementation body set out?	To apply the lessons learned from excellent projects (including the projects of NGOs and people' groups)	A4、 B1 ~ B4、 E1 ~ E3
(4)	O	Does the project have a boomerang effect on Japanese agriculture?		
(5)		Is there a balance between software, i.e., institution that links the central government (dissemination of the model), local governments (implementation) and rural areas (beneficiaries), and hardware, i.e., infrastructure and facilities?		B1 ~ W3 (Depends on the project contents)
(6)		Are activity results/outputs consistentwith the inputs set out?		
<b>4 ) Activities: Clear indication of the JICA's tasks to create links between the higher/overall goals (policies) and the beneficiaries (improvement of people's standard of living)</b>				
(1)	O	Is the logical consistency among the identified issues and needs, the objectives and methods to achieving the objectives in requested project clearly demonstrated?	To learn lessons from existing (past) cooperation and accumulated study results	
(2)	O	Is the significance of the implementation of the requested project for Japan's ODA clearly demonstrated?	To check the existence of the spatial dissemination impacts on the surrounding area and also of the working on various stakeholders (including the local administration and distributors, etc.) To clearly indicate the status of the target area in the country (for example, a poor area) To use existing (past) cooperation and accumulated study results To check whether the project activities would alienate/croud out/harm the private sector To check whether the project activities are managed by the implementation body	A4、 E1 ~ F3、 L1 ~ L5 A2
(3)	O	Do the contents of the cooperation consider the stage of development of the recipient country?		
		Selection of an appropriate C/P: Selection of an appropriate C/P for the project taking the conditions of the recipient country, such as: the existence of administrative organizations (central and local) with good manpower and funding; and the availability of private sectors' or people' organizations' services in lieu of public services into full consideration	To compare with other similar organizations To check the implementation capacity and system of the candidate C/P with more than one donor and/or NGO	B1、 B2、 B4 E1 ~ E3 F1 ~ F3 O1、 O2
		Decentralisation Advancement: Has a local government unit instead of a central government office been considered as a possible C/P in a country with advanced decentralisation? Is a component for the capacity building of such a local government unit included in the project?		A4
		Examination of the project scale taking the income level into consideration: Has a project scale which is consistent with the JICA's budget size and cost-sharing ability of the recipient country been examined?		A2 ~ A3
		Industrial structure: In an advanced industrial country, has a special field of agriculture or a special technology been properly examined?	To analyse macroeconomic data	A2 D1 ~ D2
		Openness of the market: If the market is highly open, has the introduction of highly competitive crops in the international market been examined?	To analyse macroeconomic data To understand the marketing system	H1 ~ H4
		Mode of cooperation: Does JICA cooperate alone or search for collaboration potential with other donors within the framework of the sector program? In a country with a strong private sector, has the collaboration potential with the private sector been examined?	To interview related ministries To understand the current situation through interviews with other donors and NGOs	A5
		Duplication to neighboring countries: For a middle income country, has the duplication possibility of the project impact to neighbouring countries considered? Also has it consider the possibility of wide area cooperation and the dispatch of experts to third countries?		
(4)	O	Are the planned activities technically feasible? (In the case of equipment supply, is equipment maintenance in the post-project period possible and will an activity enabling the establishment of a reliable maintenance system be included in the project?)		

Subject Check Item for Description			Routine Information Gathering Method and Information Handling Method	Corresponding Items on "Checklist for Gathering Information Required for Project Formulation (by Need)"
(5)	<input type="radio"/>	In a country where aid collaboration among donors is proceeded, are the activities in line with the contents of the agricultural sector program for the recipient country?		A5
(6)	<input type="radio"/>	Has a suitable cooperation scheme for the allocation of manpower and budget in line with the activity schedule been selected?		
(7)		Do the activities clearly produce an image of how the project will be ended?		
(8)		Has the project examined the suitability for filling the needs of the beneficiaries such as education and health care in addition to livelihoods and occupations?	To understand the structure and systems of the rural community using PCM and PRA, etc.	(Depends on the project contents) Use of the Questionnaire to Understand the Target (Rural) Area
(9)		Does the adopted approach benefit the entire population in the rural area?	To understand the economic and social linkage between the direct beneficiaries and other rural people	Use of the Questionnaire to Understand the Target (Rural) Area
(10)		Do the activities clearly indicate how to disseminate the development technologies/techniques to farmers?		E1 ~ E3
(11)		Is there a conscious attempt to promote collaboration between the implementing agency and other government institutions in the recipient country?		
(12)		Can the same outcomes be expected with fewer inputs?		
(13)		Are the activities based on the social structure and systems of the rural community in the target area?		E1 ~ 3 • Use of the Questionnaire to
(14)		Do the activities consider the conservation/management methods for natural resources (land, forests, grassland and water, etc.) adopted by the community and people' groups in the target area?		P3、O2、G5、c2 • Use of the Questionnaire to Understand the Target (Rural) Area
(15)		Do the activities consider the accessible administrative services for the target people?		12 ~ 3
5) Inputs: Required manpower, equipment, materials, facilities and funding to implement individual activities				
Japanese Side				
(1)	<input type="radio"/>	Are such matters as "priority sector or not", "recruitment possibility of experts", "any significance for implementation by Japan" and "locations (places of assignment)" clearly demonstrated?		• the JICA Country Program
(2)	<input type="radio"/>	Is an appropriate size of assistance examined? Are the rationale for the input amounts clearly indicated? (Compared to similar projects, is the planned budget size far too large? If so, are there any special rationale to justify such a large budget?)		A4、B1 ~ B2
(3)	<input type="radio"/>	For a country proceeding with aid coordination, are the inputs aligned with the modalities agreed by the recipient country and donors?	To try to use knowledge and views originating from sources other than the ODA-TF by means of widely publicising the activities under JICA projects To gather information at meetings of donors	A5
(4)	<input type="radio"/>	Is the selected scheme appropriate for a JICA project?	To discuss the JICA schemes and available assistance with the implementing agency of the recipient country	
(5)	<input type="radio"/>	Are the inputs consistent with the activities, cooperation period, number of beneficiaries and project scale?	To examine the required inputs utilising the lessons learned from existing/past cooperation efforts of Japan and other donors/NGOs	
(6)	<input type="radio"/>	Are the inputs examined based on next year's budget (estimate)?	To check the JICA's budget to be allocated to the agriculture and rural development sector in the recipient country from the next year onwards	
(7)	<input type="radio"/>	Is Japan's provision of technical cooperation significant?	To compare with and examine existing/past technical cooperation (of Japan and other donors/NGOs, etc.) in the recipient country and neighbouring countries	



Subject Check Item for Description			Routine Information Gathering Method and Information Handling Method	Corresponding Items on "Checklist for Gathering Information Required for Project Formulation (by Need)"
Recipient Side				
	(1)	Are the purposes, activities, inputs, implementation method and implementation timing agreed with the government and the implementing agency of the recipient country?	To organize regular meetings To understand the process from project approval to implementation and the annual schedule in the recipient country (to check with national staff who are familiar with the circumstances of the recipient country)	B1 ~ B2
	(2)	Has the budget of the recipient government been secured for the project?	To check the project approval (prioritisation) criteria of the recipient country To check the budgetary arrangements of the Ministry of Finance In a country with a sector program, to establish the internal budget plan for the sector to check the availability of the budget applicable to the requested project	A4、A5、B1 ~ B2
	(3)	Relevance of the implementing Agency (Thorough checking must be conducted at the identification and formulation stage of the requested project as it will be difficult to change the implementing agency after project approval.)	To compare with other similar organizations To check the implementation capacity and system of the candidate implementing agency with other donors/NGOs To check the possibility of entrusting NGO to implement project activities if the recipient government requires approval in prior To check whether the prospective counterpart is motivated To check whether the government of the recipient country assign counterpart personnel and allocate recurrent budget to the project	B1
6) Preconditions: Conditions which cannot be controlled by the project even if they have a decisive impact on the project				
CHECK FOR PRECONDITIONS	Economy	Possibility of price fluctuations and feasibility of changes of the distribution system, etc when the project assumes economic activities	To obtain price information from government organizations and those involved in the market and distribution business, etc. to identify trends	K4, K5
	Policies/Regulations	Laws, political system, fiscal condition and government policies which could affect the implementation of the project	To check the current policies/systems and their planned changes, etc. through the C/P organization	B1
	(International)	Possibility of affecting free trade agreements (WTO and FTA, etc.), signing and progress of international agreements on the environment and activities/outcomes of the project	To understand likely future trends and reality of other ongoing projects through interviews with related international organizations (World Bank and WTO, etc.)	H1-H4
	(Domestic)	Impacts of the shift towards a market economy, privatisation and decentralisation on the project outcomes and assumed roles of the implementation body. What is the progress situation of decentralisation, etc.?		A4
	(Personnel changes)	Possibility of staff members of the C/P organization being moved to other positions or resigning	To check past examples regarding the stability of personnel	B4
	Other Projects	Existence of other related projects		
	Natural Environment	Are there any natural conditions which will affect the outcomes of the project?		
7) Cooperation period				
	(1)	Is the cooperation period appropriate for the budget size, project scale and selected scheme?		
8) Implementation system				
	(1)	Are the implementation method and implementation timing agreed with the government and the implementing agency of the recipient country?	To clearly establish who (which ministry, department, division, C/P, position and number) of the central government is responsible for what To check the essential C/Ps in the target area (local government unit and people' organizations, etc.)	B1 ~ B2、B4、O1 ~ O2
	(2)	Examination of the impacts of decentralisation on the implementation of agriculture and rural development projects	To request the implementation body to indicate the availability of budget allocated for the proposed project, manpower and office space which can be secured for the project and to try to enhance the ownership of the recipient side from the project finding and formulation stages	A4 O1 ~ O2
		when the priority areas differ between related ministry (ministries) of the central government and local government levels:  1) Identification of the decision maker; and 2) examination of the implementation method are important.		



Subject Check Item for Description			Routine Information Gathering Method and Information Handling Method	Corresponding Items on "Checklist for Gathering Information Required for Project Formulation (by Need)"
		Identification of the organization which decides the distribution of resources (land and other natural resources) and examination of the project implementation method taking into account of the decision making process		
(3)	○	Check items relating to budget		B2
		Breakdown of the government expenditure relating to agriculture and rural development in the development budget and current budget	To obtain revenue and expenditure data from the Ministry of Finance To interview administrative organizations (those in charge of finance) in the target area	
	•	Total amount of grant for the target area from the central government (development budget and current budget), if any	To obtain revenue and expenditure data from the Ministry of Finance	
	•	Checking of the mechanism to formulate the budget for the target area (statutory system and its enforcement)	To understand the scope of jurisdiction of the implementation body To interview administrative organizations (those in charge of finance) in the target area	
	•	Understanding of the tax collection situation and expenditure for agriculture and rural development in the target area	To clearly understand the budget amount allocated for agriculture and rural development activities out of the total local government expenditure. When it is not available at the central government level, check at the local government unit level.	
(4)		In a country with advanced aid coordination, is the implementation system aligned with the method agreed by the government of the recipient country and donors?	To participate in discussions for the formulation of a sector program	A5
(5)		Does the implementation system incorporate a mechanism which can promote geographical dissemination of the project activities to the surrounding areas and co-working with various stakeholders?		E1 ~ E3
Requested Project Information Sheet 3				
Related Aid Activities				
(1)	○	Has any other donor formulated and implemented a project in the same area? If so, is there any competition between the projects or are they complementary?	To check the related activities within the ODA-TF To check at meetings with donors	
(2)	○	Checking of similar JICA projects (if a similar approach was made in a different country, the lessons learned from that project should be used for the formulation of the present project)	To interview other donors To interview the government organization in charge of aid in the recipient country	
Relationship with the Millennium Development Goals				
		* Selective input using a pop-up menu		
Relationship with Important Development issues of Japan				
		* Selective input using a pop-up menu		
Gender Consideration				
(1)		Is there any chance that the project will have a negative effect on such socially weak as women, children and the elderly?	To use the PCM technique as well as the lessons learned from completed projects (including those of other donors)	U1-U3
(2)		Consideration of possible changes of and impacts on the gender aspect due to the introduction of a new technology		Use of the Questionnaire to Understand the Target (Rural) Area
(3)		Is it necessary to pay attention to "whose voices" are reflected in the case of the formulation of the project by the participatory method?		Use of the Questionnaire to Understand the Target (Rural) Area
Feedback from Similar Projects				
(1)		Has a similar project been implemented by the JICA or another donor?	To develop a database of projects for the purpose of using knowledge acquired from past JICA projects	
(2)		Use of knowledge provided by projects of international organizations and the JBIC	To have the lessons (good or bad points) of preceding or existing projects been described? To have the analysis results of similar projects which did not reach the implementation stage or which failed to achieve the expected outcomes or impacts been reflected?	
Types and Sizes of Beneficiaries' Groups (Number of Groups and Population)				
(1)	○	Is basic information on the beneficiaries given (name of group, number of members, age profile, sex, educational background, organization(s) to which they belong, social and cultural characteristics, economic aspect and technical strength, etc.)?	To obtain information through government offices, farmers' organizations, primary and secondary schools and clinics, etc.	A1-A3 Use of the Questionnaire to Understand the Target (Rural) Area

Subject Check Item for Description			Routine Information Gathering Method and Information Handling Method	Corresponding Items on "Checklist for Gathering Information Required for Project Formulation (by Need)"
			To directly interview the beneficiaries. If the number of beneficiaries is too large, a statistical technique, such as random sampling (*1), should be used.	
Security Situation				
	(1)	O	How do international organizations, other donors and embassies of other countries regard the security situation?	To exchange information with various related organizations
	(2)	O	Has there been any worrying situation regarding security in recent years?	To improve measures with reference to examples of other donors which are more advanced in regard to security measures
	(3)		Are any measures in place to deal with actual security problems?	
Others				
	(1)	O	Has the project been formulated from diverse viewpoints through frank discussions with related people in the recipient country (central and target areas), those of the Embassy for Japan and the JBIC, Japanese project-related personnel and staff members of other donors and NGOs, etc.?	
	(2)	O	Have efforts been made to make the government of the recipient country understand Japan's aid policies as much as possible?	
	(3)		Has the project been formulated through routine working on the related people in the recipient country?	

\*1 Refer to the following web address for random sampling: <http://www.oricom.co.jp/research/re2.1.html>

## 2. Checklist for Gathering Information Required for Project Formulation (by Need)

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Individual Farmer	Others
			(3) Study Item					(4) Source				
0. Basic Items												
A1	Macroscopic Socio-economic Conditions	- Overview of the target country	A1-1 GDP					a1-1 Regional GDP				
			A1-2 GDP per capita					a1-2 Regional GDP per capita				
			A1-3 GDP growth rate					a1-3 Regional GDP growth rate				
			A1-4 GDP growth rate per capita					a1-4 Regional GDP growth rate per capita				
			A1-5 Area					a1-5 Area				
			A1-6 Population					a1-6 Population				
			A1-7 Population density					a1-7 Population density				
			A1-8 Population growth rate					a1-8 Population growth rate				
			A1-9 Gini Coefficient					a1-9 Regional Gini Coefficient				
			A1-10 Urbanization ratio									
			A1-11 Price inflation rate									
A2	Position of Agriculture and Rural Areas	- Confirmation of the significance of cooperation for agriculture and rural development in the country concerned	A2-1 Agricultural population/total working population				FAOSTAT	a2-1 Agricultural population/total working population				
			A2-2 Export value of agricultural products/total export value					a2-2 Export value of agricultural products/total export value				
			A2-3 GDP share of agriculture					a2-3 Agricultural share in RGDP				
A3	Characteristics of Agriculture	- Use of these characteristics for examination of the direction for cooperation  - Understanding of the main livelihoods in rural areas	A3-1 Topography and geographical map					a3-1 Topography and geological map				
			A3-2 Agricultural population (by sex)				FAOSTAT	a3-2 Agricultural population (by sex)				
			A3-3 Agricultural GDP				FAOSTAT	a3-3 Agricultural Regional GDP				
			A3-4 Agricultural GDP growth rate				FAOSTAT	a3-4 Agricultural Regional GDP growth rate				
			A3-5 Land use				FAOSTAT	a3-5 Land use				
			A3-6 Number of households with own land /size of farmland					a3-6 Number of households with own land or not and by size of farmland				
			A3-7 Number of households by type of farmland ownership (own land and share cropping, etc.)					a3-7 Number of households by type of farmland ownership (own land and share cropping, etc.)				
			A3-8 Export and import values of agricultural products				FAOSTAT	a3-8 Export and import values of agricultural products				
			A3-9 Price index of agricultural products					a3-9 Price index of agricultural products				
			A3-10 Mean annual rainfall					a3-10 Mean annual rainfall				
			A3-11 Food self-sufficiency rate				FAOSTAT	a3-11 Food self-sufficiency rate				
A4	Reforms Affecting Agriculture and Rural Development	- Understanding of moves towards administrative, political and financial reforms	A4-1 Progress of decentralization					a4-1 Progress of decentralization				
			A4-2 Progress of other administrative, political and financial reforms					a4-2 Progress of other administrative, political and financial reforms				
A5	Understanding of Japan's Aid Stance	- Understanding of the power relationship between the recipient government and donors	A4-1 Degree of dependence on aid (total aid amount/total revenues)					a5-1 Activities of donors and NGOs in the region				
			A4-2 Aid coordination (status of the implementation of financial aid and the sector program)									
1. Sustainable Agricultural Production												
1-1 Improvement of Planning and Implementation Capacity of Agricultural Policies at Macroscopic Level												
B1	Agricultural Policy Planning and Implementation Capacity	- Judgement on the capacity to act as a C/P organization  - Judgement on the feasibility of policies	B1-1 Outline and mutual links of existing agriculture and rural development policies and programs					b1-1 Outline and mutual links of existing regional development programs and agricultural development programs				
			B1-2 Evaluation of past agriculture and rural development policies and programs (achievement of numerical goals)									
			B1-3 Procedure and timing of formulation of agriculture and rural development policies and responsible offices									
			B1-4 Outline of the legal framework governing agriculture									

(1) Check Item	(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Local Office of Central Gov.	Individual Farmer	Others
		(3) Study Item						(5) Study Item					
		B1-5 State of observation and enforcement regime of agriculture-related laws and regulations											
		B1-6 Number, educational background and practical experience of those in charge of formulating policies/programs											
B2	Planning Capacity of Agricultural Fiscal Policies - Understanding of the mechanism to provide public funds for agriculture - Understanding of the extent of public intervention regarding the price control of agricultural products	B2-1 Agriculture and food-related budget (by type and amount) B2-2 Subsidies (type, criteria and amount) B2-3 Revenues (subjects of taxation, type and amount) B2-4 Outline of the price policy (procurement price, selling over price, and stock price) and its performance B2-5 Difference between official prices and market prices B2-6 Procedure and timing of budget formulation B2-7 Capacity to forecast the domestic supply and demand (accuracy of past forecasts) B2-8 Capacity to forecast trends of the international market (accuracy of past forecasts)						b2-1 Revenues (subjects of taxation, type and amount) b2-2 Procedure and timing of budget formulation					
B3	Planning Capacity of Policies Relating to Agricultural Statistics - Examination of the possibility of gathering data which forms the basis for a project	B3-1 Agricultural statistics (type, subject and publishing body) B3-2 Method to arrange statistics B3-3 Timing (period of publication)						b3-1 Types of statistics relating to individual regions (areas) and possessing bodies b3-2 Compilation method and processing of statistics for the region as part of the national statistics					
B4	Capacity Development of Administrative Personnel - Understanding of measures designed to improve the implementation capacity of administrators	B4-1 Human resource development system (pre-service, in-service and OJT, etc.)						b4-1 Human resource development system (pre-service, in-service and OJT, etc.)					
1-2 Expansion of Agricultural Production and Improvement of the Productivity													
1-2-1 Development and Maintenance of Production Infrastructure													
C1	Farmland Development/Improvement - Has there been an adequate response to the need for land reclamation and development, changes of the land titles and crops and expansion of the irrigated area?	C1-1 Changes of land use and farmland use C1-2 Land system (legal system relating to ownership and leasing) C1-3 Historical changes of the demand for agricultural products C1-4 Planting area by crop C1-5 Irrigation and reclamation plans (potential area suitable for cultivation) C1-6 Irrigated cultivation area C1-7 Average cultivation area by household C1-8 Presence and contents of a system to allocate size of cultivation area and production volume						c1-1 Changes of land use and farmland use c1-2 Traditional land system in the region c1-3 Historical changes of the demand for agricultural products c1-4 Planted area by crop c1-5 Irrigation and reclamation plans (potential area suitable for cultivation) c1-6 Irrigated cultivation area c1-7 Average cultivation area by household c1-8 Presence and contents of system to allocate size of cultivation area and production volume					
C2	Farmland Conservation - Has a decline of the soil fertility and yield, etc. been taking place due to soil erosion and salinization? Have they been prevented?	C2-1 Policy, strategy and measures for farmland conservation C2-2 Laws and regulations relating to farmland conservation						c2-1 Changes of land use c2-2 Historical changes of the yield					

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	Local Office of Central Gov.	People's Organization	Individual Farmer	Others
			(3) Study Item						(5) Study Item					
									c2-3 Method to use sloping land					
									c2-4 Amount of damage due to problems (soil erosion and salinization, etc.)					
									c2-5 Conservation approaches to deal with individual problems (terracing and check dams, etc.)					
C3	Development of Irrigation and Drainage Facilities	- Has a decline of the irrigation capacity and drainage capacity been taking place? Is the construction of new facilities necessary?	C3-1 Strategy, plan and measures to develop irrigation						c3-1 Cultivated area/irrigated area					
			C3-2 Laws and regulations relating to the irrigated area						c3-2 Yield of irrigated area/ non-irrigated area					
			C3-3 Cultivated area/irrigated area						c3-3 Area/number of farm households by irrigation system					
									c3-4 Number of farm households benefiting from irrigation					
									c3-5 Water volume (irrigated area and the yield)					
									c3-6 Life expectancy (year of construction)					
									c3-7 Damaged places					
									c3-8 Area and amount of damage by flooding/drought					
C4	Functioning of Water Users' Associations	- Do the farmers themselves manage the irrigation facilities and water?	C4-2 Number of farmers participating in water users' associations						c 4-2 Collection rate of the water users' charge and maintenance charge					
			C4-3 Number of farm households paying the water users' charge						c 4-3 Number of farmers participating in water users' associations					
			C4-4 Participation rate by type of activity						c 4-4 Number of farm households paying the water users' charge					
			C4-5 Water use facilities under the management of central government agencies						c 4-5 Participation rate by type of activity					
			C4-6 Laws and regulations relating to water use and water rights						c 4-6 Water use facilities managed by local government unit					
									c 4-7 Background of water users' associations and relationship with existing associations					
									c 4-8 Water distribution (water shortage and conflict over water)					
C5	Infrastructure for Livestock Production	- Is there any infrastructure to increase production, to change animal types and to allow new species in the livestock sector?	C5-1 Government intervention and support measures for livestock (price control system, business support and technical support)						c5-1 Types and number of animals					
			C5-2 Existence and contents of the livestock technique extension system						c5-2 Number of households and animals by type of raising (grazing and use of sheds, etc.)					
									c5-3 Livestock management by size					
									c5-4 Place, scale and number of meat processing plants					
									c5-5 Place, scale and number of storage warehouses for livestock products					
									c5-6 Supply, demand, imports and exports of livestock products (type, quantity and value)					
									c5-7 Existence of feed (types of feed; scale and area size of grassland)					

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Local Office of Central Gov.	Individual Farmer	Others
			(3) Study Item						(5) Study Item					
									c5-8 Existence of livestock materials (fencing and sheds)					
1-2-2 Strengthening of Testing, Research and Technological Development														
D1	Functioning of Research and Development Organizations	- Is there a sufficient number of research organizations and personnel to develop production, processing and preservation technologies?	D1-1 Budget (central and by zone)						d1-1 Budget (research and development organizations of local government unit)					
			D1-2 Research contents (central and by zone)						d1-2 Research contents (research and development organizations of local government unit)					
			D1-3 Research organizations (central and by zone)						d1-3 Research organizations (research and development organizations of local government unit)					
			D1-4 Researchers (number, area of expertise, academic background and qualifications (central and by zone)						d1-4 Researchers (number, area of expertise, academic background and qualifications) (research and development organizations of local government unit)					
			D1-5 Typical examples of useful technologies developed in the past (central and by zone)						d1-5 Typical examples of useful technologies developed in the past (central and by zone) (research and development organizations of local government unit)					
D2	Production Technologies	- Have appropriate technologies been developed by government organizations and outstanding farmers?	D2-1 Government organizations to improve production technologies and the contents of such technologies						d2-1 Yield by crop					
			D2-2 Dissemination of technologies developed by government organizations						d2-2 Inputs of production materials (per farm household and per area)					
									d2-3 Hours using cultivation machinery per farm household					
									d2-4 labor productivity					
D3	Conservation of Plant Genetic Resources	- Are plant genetic resources conserved for the future improvement of plants?	D3-1 Government organization responsible for the conservation of genetic resources and the contents of such resources						d3-1 Number of genetic specimens held by a research organization of the target local government unit					
			D3-2 Number of cases of genetic resources conservation by government organization						d3-2 Local varieties of crops in the target region (species, quantity and distribution)					
			D3-3 Domestic varieties (species, quantity and distribution) and species subject to conservation											
D4	Post-Harvest Technologies	- Are there any technologies to prevent post-harvest loss or a qualitative decline and to increase the added-value?	D4-1 Government organization to improve post-harvest technologies and the contents of such technologies						d4-1 Quantity and causes of post-harvest loss (storage, distribution, polishing (rice) and processing, etc.)					
			D4-2 Dissemination of post-harvest technologies handled by a government organization(s)						d4-2 Quality of target primary products (inclusion rate of foreign matters and quality preservation period, etc.)					
									d4-3 Existing processing technologies and processed products					
									d4-4 Price differences between raw materials and processed products					
D5	Livestock Technologies	- Are there any technologies to facilitate increased production and changes of the animals to be raised and to increase the added-value in livestock sector?	D5-1 Government intervention and support measures for livestock (price control system, management support and technical support)						d5-1 Production volume and value of livestock (per farm household; per unit area)					

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Individual Farmer	Others
			(3) Study Item						(4) Source				
			D5-2 Number of research organizations and researchers and budget of testing and research organizations relating to livestock						d5-2 Distribution of households engaged in livestock by management size				
									d5-3 Technologies for each type of animal (for example, milking technologies in the case of dairy farming) and their levels (differences between ordinary and outstanding farmers)				
									d5-4 Animal diseases and amount of damage				
									d5-5 Number of veterinary surgeons; availability of medicines, etc.				
1-2-3 Intensification of Agricultural Extension													
E1	Agricultural Extension System	- Is there a system to disseminate improved agricultural technologies and farm management to farm households?	E1-1 Present situation of the extension organization of the central government						e1-1 Number of extension workers (per province; per farm household)				
			E1-2 Extension budget of the central government						e1-2 Ratio of settled extension workers (service length)				
			E1-3 Extension system of the central government										
E2	Agricultural Extension Method	- Have technologies and farm management techniques been rooted at farm households?	E2-1 Extension method used by the central government						e2-1 Frequency and number of participants of workshops				
			E2-2 Contents of technologies disseminated by the central government						e2-2 Frequency of visits by extension workers to rural areas				
									e2-3 Number of users (or those who have acquired) of introduced technologies				
									e2-4 State of improvement of technologies and farm management (increase of the yield and reduction of the production cost, etc.)				
E3	Capacity Building of Extension Workers	- Has the guidance ability of extension workers been improved as a result of appropriate training?	E3-1 Distribution of extension worker training institutions and competent ministry/agency (department)						e3-1 Experience of extension workers who have undergone training				
			E3-2 Curriculum, technical guidance items, number of trainees, number of instructors, budget and tuition fee for training of extension workers						e3-2 Application of technique expertise acquired by extension workers				
			E3-3 Background of extension workers (educational career and sex)										
1-2-4 Improvement of farm household Management													
F1	Management Capacity	- Has the farm management been expanded and improved?	F1-1 Availability of measures of the central government to improve the farm management of farm households						f1-1 Farm Management scale (area, production value and profit rate)				
									f1-2 Contents of farm household management (main cash crops, processed agricultural products and distribution channels)				
F2	Finance for Agriculture	- Have the agricultural finance facilities been used to expand and improve the farming business?	F2-1 Finance systems such as agricultural finance and micro credit, etc.						f2-1 Types and scale of agricultural finance				
									f2-2 Utilization rate and number of users				
									f2-3 Amount used and interest rate				
									f2-4 Repayment rate				

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Individual Farmer	Others
			(3) Study Item						(4) Source				
									f2-5 Existence of a credit allocation				
F3	Farmers Organization	- Have farmers been organized to deal with problems which cannot be solved by individual farmers: Are there any measures to prevent a free ride?	F3-1 Central government system regarding farmers' organizations (agricultural cooperatives)						f3-1 Types, objectives and membership rates of organizations				
			F3-2 Laws and regulations relating to farmers' organizations (agricultural cooperatives)						f3-2 Participation rate of members in various activities				
								f3-3 Degree of satisfaction among members regarding the organization					
1-2-5 Improvement of the Securing/Utilization of Materials for Agricultural Production													
G1	Agricultural Machinery and Tools	- Do farmers easily obtain materials and equipment for agricultural production? Are they used at an appropriate level? Have there been any positive effects, such as an increase of yield, as a result of their input?	G1-1 Supply and demand condition of agricultural machinery						g1-1 Current situation of use and conditions of agricultural machinery and tools				
									g1-2 Availability and conditions of the leasing system for agricultural machinery				
G2	Stable Supply of Seeds	- Are seeds supplied in a stable manner or is there a system in place to supply seeds in a stable manner?	G2-1 Dissemination rate of improved seeds						g2-1 Types and characteristics of seeds (including traditional seeds in the region)				
			G2-2 Improved seed distribution policies (purchase of products; support/subsidy for the procurement of seeds)						g2-2 Criteria for use of seeds and quantity used by specific farmland conditions				
									g2-3 Quantity of use (per farm household and per ha) by type of seed (traditional or HYV)				
									g2-4 Yield by type of seed				
									g2-5 Price of seeds				
									g2-6 Supply sources of seeds (seed supplier, self-collection, unions and markets)				
G3	Appropriate Use of Agrochemicals	- Are agrochemicals used in an appropriate manner?	G3-1 Domestic production volumes and prices						g3-1 Frequency of outbreaks of diseases and pests and amount of damage				
			G3-2 Availability and contents of the technical extension service regarding the use of agrochemicals						g3-2 Characteristics of each agrochemical (subject diseases and pests, spraying method, timing and duration of effect, etc.)				
			G3-3 Laws and safety standards (for residuals) regarding the use of agrochemicals						g3-3 Application quantity of agrochemicals (per farm household and per ha)				
									g3-4 Prices and supply sources (suppliers, farmers' organizations and markets) of agrochemicals				
									g3-5 Efforts to reduce the use of agrochemicals (integrated pest management control and others)				
G4	Stable Supply and Appropriate Use of Fertiliser	- Is fertiliser supplied and used in an appropriate manner?	G4-1 Availability of domestically produced fertiliser; if yes, production volume and price by each type of fertiliser						g4-1 Types and inputs of fertiliser				
			G4-2 Support method and subsidies for fertiliser						g4-2 Supply sources (suppliers, home-made compost, farmers' organizations and markets) by type of fertiliser and prices				
			G4-3 International prices and import volume										



(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Individual Farmer	Others	
														(3) Study Item
G5	Stable Supply of Materials for livestock	- Are the materials for livestock supplied in a stable manner?	G5-1	Scale, distribution and owners (government/private) of livestock facilities					g5-1	Fund raising methods for construction of facilities and purchase of materials (interest, collaterals and repayment period, etc.)				
			G5-2	Types, manufacturers and prices of livestock materials										
			G5-3	Government support for the supply of livestock materials (subsidies and others)										
			G5-4	Distribution and area of pasture and grassland										
1-3 Strengthening of Export Promotion Measures														
H1	Improvement of Planning Capacity for Export Policies	- Are there any promising agricultural products for export? Do they have international competitiveness? Is there an adequate response to trends of the international market? Is vital information gathered and analysed?	H1-1	Import and export policies for agricultural products										
			H1-2	Trade volume of agricultural products (imports and exports)										
H2	Improvement of the Export System and Regime	- Has the export system/regime been improved to constitute a factor for export promotion?	H2-1	Import duty, export tax and quota for each agricultural product					h2-1	Situation and annual fluctuations of production of agricultural products for export				
			H2-2	Export-related government agencies and approval/permit required for export					h2-2	Scale of collection, number of participants and funding size, etc., of shipping organizations				
			H2-3	Size and number of exporters by products handled					h2-3	Export routes (within the country)				
			H2-4	Trends after structural adjustment										
H3	Strengthening of the Export Competitiveness	- Do agricultural products have export competitiveness? Is there any potential for domestically produced agricultural products to enter the international market?	H3-1	Types and export volumes of the main agricultural products for export					h3-1	Current production cost and possibility of a lower production cost for export products				
			H3-2	Differences in terms of grade and price with foreign products in the international market										
			H3-3	Export destinations and import sources (country, share and quantity)										
			H3-4	International and domestic prices										
			H3-5	Distribution cost of export products										
H4	Improvement of Information Network for International Market Trends and Marketing Capacity	- Has the capacity to respond to the international market been improved? Is there a developed distribution network?	H4-1	Trends of the international market and prices										
			H4-2	Supply and demand trends (domestic and trade partners)										
			H4-3	Information system for distribution in countries traded with										
			H4-4	Trade agreements, such as FTA, tariffs, quotas and periods of preferential treatments										
1-4 Improvement of Environmental Consideration														
I1	Treatment and Effective Use of Agricultural Waste		I1-1	Environmental control laws and regulations					i1-1	Treatment and recycling methods of agricultural waste (animal waste, etc.)				
			I1-2	Contents of environmental standards					i1-2	Observance situation of environmental standards				

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	Local Office of Central Gov.	People's Organization	Individual Farmer	Others	
															(3) Study Item
I2	Reduction of Environmental Load of Fertiliser and Agrochemicals	What kinds of environmental problems have been caused by agricultural production? Conversely, how has agricultural production contributed to environmental conservation? Are the standards adequate to minimise any negative impacts? Have knowledge and technologies been disseminated?	I2-1	Subject areas and contents of environmental problems (existence, contents, degree and frequency of negative impacts on the environment and people)					i2-1	Fertiliser and agrochemical inputs					
			I2-2	Input and residual standards by type of fertiliser/agrochemical					i2-2	Examples of efforts, effects and profitability of farming with reduced agrochemical inputs or organic farming					
			I2-3	Contents of guidance on environmental consideration at the time of technical extension (regarding the use of agrochemicals and fertiliser, etc.)											
I3	Maintenance/Realization of Multi-Faceted Functions and Consolidation of Environmental Education		I3-1	Types and locations of functions recognised as multi-faceted functions (paddy fields and forests, etc.)					i3-1	Existence and contents of environmental measures of local government unit					
			I3-2	Nature reserves											
			I3-3	Desertification rate											
			I3-4	Concentration of water pollutants											
			I3-5	Forest depletion rate											
			I3-6	Frequency, targets (pupils and farmers, etc.), number of participants and contents of environmental education											
1-5 Enhancement of Agriculture-Related Higher Education															
J1	Educational Activities	- Is there a link between agriculture-related educational institutions and agriculture and rural development?	J1-1	Curriculum					j1-1	Higher educational institutions for agriculture run by local government unit					
			J1-2	Number of teachers											
J1-3	Number of higher educational institutions for agriculture, number of students and career prospects of students														
J2	Research Function		J2-1	Number of agricultural research institutions, number of researchers (types of degree) and budget					j2-1	Agricultural research institutions run by local government unit and contents of their research					
			J2-2	Technologies developed by research institutions											
J3	Management		J3-1	Management system of agriculture-related higher educational institutions and research institutions					j3-1	Agricultural research institutions run by local government unit and contents of their research					
J4	Collaboration with Related Organizations and Local Authorities/Communities		J4-1	Existence and contents of joint projects and entrusted activities between agriculture-related higher educational institutions/research institutions and other organizations					j4-1	Collaboration of agricultural research institutions run by local government unit and other research institutions					
J5	Strengthening of Function as Extension Bases		J5-1	Relationship between agriculture-related higher educational institutions/research institutions and extension system (feedback systems)					j5-1	Use of agricultural research institutions run by local government unit and their research results					
2. Stable Food Supply															
2-1 Formulation of Food Supply and Demand Policies															
K1	Nutrition of the people	- Is the food demand met? Are there adequate food security policies/systems to meet the food demand?	K1-1	Existence of food security policies, strategies and systems and their contents											
			K1-2	Calorie intake per capita											
			K1-3	Population with malnutrition and the malnutrition rate											

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture				Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Individual Farmer	Others	
				(3) Study Item	(4) Source												(5) Study Item
			K1-4 BMI (Body Mass Index) for children and adults														
K2	Improvement of Statistics on Food Production and Distribution	- Are statistics to indicate the food demand available?	K2-1 Types and targets (agricultural products, etc.) of statistics														
			K2-2 Process, manpower and budget to collect statistical samples														
K3	Understanding of Supply and Demand Situation of Main Foods	- Is the food demand met? Can the future food demand be met?	K3-1 Production volume of each agricultural product (past, present and future)														
			K3-2 Import and export volumes of each agricultural product (past, present and future)														
			K3-3 Demand for each agricultural product														
			K3-4 Population growth rate														
			K3-5 Income increase rate														
K4	State of Development of Laws and Systems Related to Distribution and Markets	- Have laws and systems to respond to the food demand been developed?	K4-1 Laws, regulations and permits, etc. related to import and export								k4-1 Influence of traders and distributors in the private sector on laws and regulations						
			K4-2 Laws, regulations and permits, etc. related to food distribution														
			K4-3 Purchase and sales methods and method to determine the price level														
			K4-4 Food distribution method from the central government to local governments														
K5	Price Control Policy for Agricultural Products	- Is there any government intervention in the pricing and distribution of agricultural products to meet the food demand?	K5-1 Law related to the food control system and its outline								k5-1 Response of farm households to prices (changes of the planting area, production volume and selection of crop, etc.)						
			K5-2 Purchase and sales methods and method to determine the price level														
			K5-3 Food distribution method from the central government to local governments														
			K5-4 Relationship with structural adjustment and the WTO														
K6	Availability of Food Storage program	- Are measures to respond to an emergency food demand in place?	K6-1 Appropriate level of storage and its basis								k6-1 Storage volume of the private sector						
			K6-2 Volume in stock								k6-2 Storage volume of farm households						
			K6-3 Net import volume														
			K6-4 Import system														
			K6-5 Ease of food import (value of food imports, total export value of goods and services and level of foreign currency reserves)														
			K6-6 System to purchase domestically produced food														
2-2 Improvement of the Food Distribution Function																	
L1	Development of Distribution Market	- Are agricultural products distributed between regions based on the market mechanism, causing no surplus or shortage? Is the smooth movement of these products possible? Does a quality decline or loss occur during distribution?	L1-1 Distribution channels by main agricultural product								I1-1 Distribution channels by main agricultural product						
			L1-2 Control of the distribution industry									I1-2 Distribution methods (distributors, farmers' organizations, individual farmers and public bodies)					
			L1-3 Structure of the distribution industry (scale, share and number of distributors by distribution channel)									I1-3 Price by distribution channel					
			L1-4 Distribution methods (distributors, farmers' organizations, individual farmers and public bodies)									I1-4 Distance to markets					

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)		Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Individual Farmer	Others
			(3) Study Item		(4) Source				(5) Study Item		(6) Source			
			L1-5	Price by distribution channel										
L2	Management and Use of Distribution Facilities and Equipment	- Do the distribution facilities and equipment function properly?	L2-1	Types and management bodies (public or private) of distribution facilities						I2-1	Types and management bodies (public, private or cooperative) of distribution facilities			
			L2-2	Number of users and user fee of each distribution facility						I2-2	Number of users, user fee and management system of each distribution facility			
L3	Development of Market Distribution System	- Is market information to make the market mechanism function shared by producers?	L3-1	Method to convey prices						I3-1	Method to convey prices			
			L3-2	Contents of support provided by public bodies to promote the conveyance of market information on agricultural products						I3-2	Contents of support provided by public bodies to promote the conveyance of market information on agricultural products			
			L3-3	Method used by private distributors to obtain information										
L4	Development of Transportation System	- Has the physical distribution system been developed?	L4-1	Development of the transportation infrastructure						I4-1	State of development by component of the transportation infrastructure			
			L4-2	Availability of a cold chain						I4-2	Availability of a cold chain			
L5	(Strategic) Reserve System	- Is a national reserve system in place?	L5-1	Adequate reserve level										
			L5-2	reserve level in the last 10 years										
			L5-3	Changes of the supply volume per capita										
			L5-4	Food supplying the most calories										
2-3 Improvement of the Import System														
M1	Quarantine System	- Are imports made based on adequate quarantine standards?	M1-1	Import volume, value and supplying countries by agricultural product										
			M1-2	Import restrictions by agricultural product (quota and tariff, etc.), importing bodies (other than private companies) and contents of the relevant permits, etc.										
			M1-3	Diseases and pests subject to control (agricultural products of which the import is prohibited for the purpose of quarantine), inspection methods, strength of inspectors and inspection equipment										
			M1-4	Diseases and pests of individual agricultural and livestock products (types and amount of damage)										
M2	Improvement of Infrastructure	- Is there adequate distribution control of imported agricultural products in the market?	M2-1	Distribution channels for imported agricultural products										
			M2-2	Infrastructure development/improvement by distribution channel (warehouses, etc.)										
2-4 Appropriate Use of Food Aid														
N1	Establishment of System to Distribute Food Aid	- Is food procurement and distribution adequately conducted at the time of an emergency? Does strategic reserve exist in preparation for an emergency? Can information on areas with a food shortage be adequately obtained?	N1-1	Volume of food aid										
			N1-2	Method and criteria for allocation of food aid to different areas										
			N1-3	Damage in the past										
			N1-4	Targeting method										
			N1-5	Food price control policy										
			N1-6	Level of reserve by region										
			N1-7	Conditions of transportation routes from nearby depots (distance, paving rate and traffic situation at the time of a disaster)										
			N2-1	Situation of damage to crops in the past						n2-1	Situation of damage to crops in the past			

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)		Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	Local Office of Central Gov.	People's Organization	Individual Farmer	Others
			(3) Study Item		(4) Source				(5) Study Item		(6) Source				
N2	State of Establishment of Monitoring System	- Has a monitoring system for food security been developed?	N2-2	Occurrence rate of starvation in the past (by region)						n2-2	Number, distribution and characteristics of households suffering from a chronic food shortage				
			N2-3	Food security indicators for vulnerable regions						n2-3	State of production of the main foods (grains)				
			N2-4	Level of strategic reserve by region						n2-4	Rainfall and other natural conditions				
			N2-5	Indicators which have been established						n2-5	Number of landless farmers				
										n2-6	Number of distribution of households which maintain their lives through the exchange of food; relative prices of food and goods exchanged for food				
3. Promotion of Vigorous Rural Areas															
3-1 Promotion of Policies Related to Rural Development															
O1	Coordination/Implementation Capacity at National Level	- Does the central government have a function to coordinate multiple ministries/agencies engaged in rural development activities?	O1-1	Existence and contents of policies/measures to promote rural areas						o1-1	Number of staff, deployment and budget of local offices of central ministries/agencies involved in the development of rural areas				
			O1-2	Matters for which central ministries/agencies have authority and the relevant policies						o1-2	Formulation method for local (regional) agriculture and rural development plans				
			O1-3	Organizational chart and manpower strength of each ministry/agency related to rural development						o1-3	Situation of use of the training system provided by the central government for human resources development in rural areas				
			O1-4	Recruitment method and salaries for staff members of ministries/agencies						o1-4	State of central government assistance for community-driven rural development				
			O1-5	Budget system of the central government regarding rural development (existence of a priority budget allocation system for poor regions and other arrangements)											
O2	Coordination/Implementation Capacity at Local Level	- Does the local government unit play an important role in the vitalization of rural areas?								o2-1	Authority of local government unit regarding rural development				
									o2-2	Number and deployment of staff, budget, revenue and expenditure of local government unit (recurrent budget and development budget)					
									o2-3	Formulation method for local (regional) agriculture and rural development plans					
									o2-4	Budget preparation method (those preparing the provisional budget, timing and person with the final decision-making power)					
									o2-5	Assistance of local government unit for community-driven rural development					
3-2 Increase of Non-Agricultural Income															
P1	Present Conditions of Commerce and Industries in Villages	- What are the present conditions of village-based commerce and industries?	P1-1	Distribution of village-based commerce and industries						p1-1	Distribution of village-based commerce and industries				
			P1-2	Business statistics by type of commerce and industry						p1-2	Business statistics by type of commerce and industry				
			P2-1	Availability and contents of a vocational training policy						p2-1	Number of vocational training schools, training areas covered and maximum number of trainees accepted				

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			(3) Study Item						(4) Source				
P2	Availability of Vocational Training Opportunities	- Is the provision of vocational training sufficient to meet the demand?	P2-2 Vocational training/education system						p2-2 Likely employment sources and employment rate after completion of vocational training courses				
			P2-3 Demand for vocational training and number of training schools						p2-3 Other vocational training opportunities				
P3	Information on Rural Employment	- Are employment opportunities in rural areas sufficient to sustain a living?	P3-1 labor statistics (urban and rural areas)						p3-1 Understanding of livelihoods (including working away from home) in the target region				
			P3-2 Unemployment rate and the reasons (urban and rural areas)						p3-2 Income sources at the household level (breakdown of agricultural sources of income and non-agricultural sources of income)				
			P3-3 Main employment opportunities in rural areas						p3-3 Share and breakdown of non-agricultural income				
			P3-4 Income of farm households by region										
P4	Present Situation of Production Activities of Unique Products	- What are unique products at the national and regional levels? Is their production based on the actual demand?	P4-1 Unique products of the country (unique products for export)						p4-1 Production volume of unique products of the region and their shipment situation				
			P4-2 Production and export volumes of unique export products						p4-2 Shares of domestic sales and exports of unique regional products				
			P4-3 Share of unique products in the total export value of the country										
P5	Improvement of Rural Finance and Supply of Information	- Is there sufficient access to rural finance? Is such finance fully utilised?	P5-1 Existence of a system and laws regarding rural finance and their contents						p5-1 Availability of access to rural finance				
			P5-2 Existence of an information supply system regarding rural finance for farmers						p5-2 Repayment rate of rural finance				
								p5-3 Situation of use of micro finance by village groups, etc.					
3-3 Promotion of Agricultural Product Processing Industry													
Q1	Degree of Introducing Processing Facilities	- Is there any government intervention to promote the introduction of processing facilities? What types of processing industries actually exist?	Q1-1 Existence of policies, plans and measures to promote the agricultural product processing industry						q1-1 Number of businesses (by processed product)				
									q1-2 Average production size				
									q1-3 Average number of employees				
									q1-4 Production equipment				
Q2	Degree of Development of Private Processing Companies	- How many private processing companies have been established and what are the incentives?	Q2-1 Existence of incentives for the private sector to invest in the processing industry						q2-1 Number of private processing companies (by headquarters, branches and factories)				
			Q2-2 Production volume, quality, price and market share of competitors						q2-2 Size of private processing companies				
Q3	State of Establishment of Safety Standards for Processed Products	- Is the quality control of processed products sufficient?	Q3-1 Existence of safety and hygiene standards for processed products						q3-1 Quality of processed products				
			Q3-2 State of application of safety and hygiene standards for processed products						q3-2 Processing technologies				
Q4	Marketing Capacity Regarding Processed Agricultural Products	- Are processed agricultural products based on the demand?	Q4-1 Related policies and systems						q4-1 Types, production volumes, shipment volumes and shipment destinations of processed agricultural products				
			Q4-2 Trends of the demand for processed agricultural products in the market						q4-2 Fund raising (amount raised, interest rate, repayment rate and repayment period)				

(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)		Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization	Individual Farmer	Others		
(3) Study Item					(4) Source				(5) Study Item				(6) Source			
3-4 Improvement of Rural Infrastructure																
R1	State of Improvement of Rural Roads	- Are rural roads sufficiently developed/improved?	R1-1	Total length of improved rural roads						r1-1	Frequency of use of access roads for trunk roads (dry season and rainy season)					
			R1-2	Number of vehicles using local roads						r1-2	Existence of a community-based maintenance system for access roads and feeder roads and state of functioning of these roads					
R2	State of Improvement of Rural Electrification and Water Supply Facilities	- Do the people of rural areas have sufficient access to electricity and water?	R2-1	Electric energy generated and imported; total length of transmission and distribution lines						r2-1	Number of households receiving electricity supply (excluding those using their own generator); electrification rate; number of households with access to clean water; water supply rate					
			R2-2	Rural demand for electricity and water (those willing to pay)						r2-2	Existence of a union to manage supplied water or groundwater and the state of functioning of such an association					
			R2-3	Number of participants in the maintenance union						r2-3	Existence of a user pay system and state of functioning of such a system					
R3	State of Improvement of Communication Infrastructure, Including Telephone System	- Do the people of rural areas have sufficient access to information?	R3-1	Number of telephone subscribers						r3-1	Number of telephone subscribers					
			R3-2	Number of radios in possession						r3-2	Number of radios in possession					
			R3-3	Number of radio stations						r3-3	Number of radio stations					
R4	State of Implementation of Public Works in Communities	- Is the development of rural infrastructure based on financial contributions by local people realistic?							r4-1	Existence of facilities built with the joint financial contribution of rural people and the state of their maintenance						
3-5 Conservation of Rural Environment																
S1	State of Environmental Conservation of Forests, Rivers and Coasts	- Do rural people understand the importance of environmental conservation? Are there incentives for them to commit to environmental conservation?	S1-1	Existence of an environmental protection law and regulations						s1-1	Existence of an environmental protection ordinance of local government unit and the state of its enforcement					
			S1-2	Existence of special environmental protection areas and budgetary measures						s1-2	Main environmental problems and efforts of rural people to solve them					
			S1-3	Existence of subsidies for environmental protection and the state of their use						s1-3	Incentives for rural people to commit to environmental conservation					
3-6 Improvement of Rural Livelihoods																
T1	Extension System	- Is there any potential for the extension of measures designed to improve rural livelihoods?	T1-1	Existence of a government policy designed to improve rural livelihoods						t1-1	Number of livelihoods improvement advisors					
			T1-2	Number of livelihoods improvement advisors and annual recruitment size						t1-2	Roles of livelihoods improvement advisors in rural areas					
			T1-3	Deployment situation of livelihoods improvement advisors						t1-3	Recognition of the importance of livelihoods improvement among rural people					
T2	Extension Method	- Are livelihoods improvement measures effectively extended?	T2-1	Training method for livelihoods improvement advisors						t2-1	Existence of collaboration between livelihoods improvement advisors and agricultural extension workers					
									t2-2	Frequency of visits of livelihoods improvement advisors to individual households in rural areas						

(1) Check Item	(2) Purpose of Confirmation	Study Item (Central)	Min. of Agriculture	Min. of Finance	Min. of Decentralization	Other Ministries	Existing Source of Information	Study Item (Target Region)	Local Government Unit	People's Organization Local Office of Central Gov.	Individual Farmer	Others	
		(3) Study Item						(4) Source					(5) Study Item
3-7 Promotion of Communal Activities													
U1	Village Activities	- Can the project be implemented in line with the conditions of the target area?  - What are the factors impeding the implementation of the project?	U1-1	Existence of a government agency to assist communal activities					u1-1	Number and types of existing community organizations and their objectives			
			U1-2	Contents of activities of the government agency to assist communal activities					u1-2	Participation rate of people in existing community organizations			
								u1-3	Historical background of community organizations (traditional organizations formed by external intervention and endogenous formation based on rural needs, etc.)				
U2	Cultural Base	- Can the cultural base in the target area accept the project?	U2-1	Domestic religious and cultural circles and geographical area of their influence					u2-1	Traditional power structure in the area			
			U2-2	Existence of special cultural zones or cultural zones subject to protection					u2-2	Traditional culture structure in the area			
								u2-3	State of co-existence between the traditional control regime and new culture				
U3	State of Progress of Various Proposed Projects	- Are the projects proposed by villages supported by the government?	U3-1	Government support for village-driven projects (subsidies and human resources development, etc.)					u3-1	Existence of a village development program			
			U3-2	Existence of an obligation to formulate a village development plan					u3-2	Roles of local government unit in the formulation process of village development programs			
								u3-3	State of budget allocation by the central government and/or local government unit for projects proposed by villages				
3-8 Improvement of Health Standard of People													
V1	Present Situation of Health/Medical Care Services	- Is the access of rural people to health/medical care services sufficient?	V1-1	Existence of a program for the health sector					v1-1	State of health of rural people (nutrition conditions of mothers and children and infection rate by disease, etc.)			
			V1-2	Health/medical care system					v1-2	Child health (vaccination rate, etc.)			
									v1-3	Level of access to primary health care			
V2	Spread of Health Knowledge	- Is there an established extension system for health knowledge	V2-1	Existence of a national extension system					v2-1	Number of health workers and livelihoods improvement advisors			
			V2-2	Number and recruitment situation of health workers and their roles in extension work					v2-2	Access to information on primary health care			
V3	Prevention and Control of HIV/AIDS	- Is there an established system to prevent HIV/AIDS	V3-1	Government measures to prevent HIV/AIDS					v3-1	Degree of awareness of HIV/AIDS among rural people			
			V3-2	Education to prevent HIV/AIDS and situation of the use of the media					v3-2	Situation of HIV/AIDS prevention efforts			
			V3-3	Situation of cooperation of the private sector for the prevention of HIV/AIDS									
3-9 Improvement of Educational Standard of Rural People													
W1	Basic Education	- Has basic education been sufficiently extended?	W1-1	Existence of a program for the education sector					w1-1	Net enrolment rate (NER) and gross enrolment rate (GER) for basic education among school-age children			
			W1-2	Formal education system					w1-2	Literacy rate of rural people			



(1) Check Item		(2) Purpose of Confirmation	Study Item (Central)	Existing Source of Information					Study Item (Target Region)	Local Government Unit				Local Office of Central Gov.	People's Organization	Individual Farmer	Others
			(3) Study Item	(4) Source					(5) Study Item	(6) Source							
			W1-3 Informal education system (literacy education for adults, etc.)						w1-3 State of implementation of formal education in rural areas								
W2	Expansion of Educational Services	- Are the educational needs in rural areas met?	W2-1 Sufficiency rate of educational facilities (classrooms and other school facilities)						w2-1 Sufficiency rate of primary education facilities (classroom to pupil ratio)								
			W2-2 Sufficiency rate of qualified teachers (teacher to pupil ratio)						w2-2 Sufficiency rate of educational services (pupil to textbook ratio and pupil to teacher ratio, etc.)								
			W2-3 Curriculum contents						w2-3 Existence of opportunities for informal education in rural areas and the situation of their use								
			W2-4 Supply situation of informal educational services														
W3	Understanding of Education	- Is the importance of education fully understood in rural areas?	W3-1 Government measures to promote the understanding of education						w3-1 Existence of school committees or PTAs and the state of their activities								
									w3-2 Ratio of educational expenditure in the total household expenditure in rural areas								

### 3. Examples of Questionnaire to Understand the Target (Rural) Area

Purposes:

- Information gathering to examine whether or not the planned cooperation will adversely affect the existing resources management system in the target area
- Information gathering to predict how the benefits of the planned cooperation will be managed, distributed and accumulated

	Central	Target Area	Examples of Questions and Answers (Items Not Quantifiable by Numerical Values)
<b>(1) Natural Capital</b>			
	• Number of casualties by disaster	• Number of casualties by disaster	
	• Frequency of disasters (flood, drought and bird damage, etc.)	• Frequency of disasters (flood, drought and bird damage, etc.)	
	• Rain (rainfall, duration, distribution and yearly changes)	• Rain (rainfall, duration, distribution and yearly changes)	
		• Temperature (maximum, minimum and mean)	
		• Elevation	
		• Relative humidity	
		• Topography (inclination)	
		• Groundwater	
		• Rivers and lakes	
		• Soil fertility	
		• Drainage situation	
		• Fuel (firewood and cow dung, etc.)	
		• Types of natural disasters	
		• Land use (existence of uncultivated land and/or fallow land, etc.)	
		• Distance to a town (market)	
		• Pasture	
		• Agricultural crops	
		• Stock raising	
		• Fish catch	
		• Area of farmland	
		• Area of planted land	
		• Area of grassland	
		• Area of forest	
<b>(2) Social Capital</b>			
1) Local institutional systems	• Situation of land allocation (land register)	• (Traditional) land management/allocation system	Confirmation through participatory observation (time-consuming)
	• Number of agricultural extension and information centres	State of provision of life improvement services featuring nutrition and health, etc.	<ul style="list-style-type: none"> <li>• Have you ever received any kind of extension service?</li> <li>• Who taught what and when?</li> <li>• How often did the extension worker visit?</li> <li>• Was it free or charged?</li> <li>• What did you learn?</li> <li>• What do you do when you have a problem relating to agricultural production?</li> </ul>
	• Number of households covered by each agricultural extension worker		<ul style="list-style-type: none"> <li>• How many farm households are visited a day? What is the means of transportation (foot or bicycle, etc.)?</li> <li>• How many farm households are visited a week (by season)?</li> <li>• Is the wage of extension workers sufficient to sustain their lives?</li> <li>• Existence of other alternative sources of income (for example, farming)</li> </ul>
2) Local systems in the target area		• General mutual help system	For example, check how "food shortages, fund shortages and/or labor shortages" are dealt with Q: What do you do when food, money or labor is insufficient? A : <ul style="list-style-type: none"><li>• Borrow labor from a group of men of a similar age</li><li>• Borrow labor from a group of women</li><li>• Borrow grain from the traditional cereal bank in the village</li><li>• Borrow money from a friend(s)</li></ul>
		• Mutual help system for the socially weak	Q: What do you do when a natural disaster (use the type of disaster frequently occurring in the target area) occurs? A : <ul style="list-style-type: none"><li>• Seek the help of the village head</li><li>• Seek the help of a rich relative</li><li>• Seek the help of a local leader</li></ul>
		• Selection method of leaders	Q: <ul style="list-style-type: none"><li>• Who are the main (formal and informal) leaders (of the target organization for the study and the local community, etc.)?</li><li>• Why were they selected?</li><li>• What are the roles of the leaders of their respective organizations?</li></ul>
		• Formation process of existing group	When a group formed by an existing project (similar to the proposed project) exists: • How were the group members selected (characteristics of the target community may emerge when villagers freely form a group without instruction by a project implementation body)? • Who is not in the group (example: an invisible social system may lay behind non-membership)?

	Central	Target Area	Examples of Questions and Answers (Items Not Quantifiable by Numerical Values)
		• Decision-making process of the community	Q: Who has decision-making power regarding the use of resources related to the project (for example, communal land and water)?
		Existence of a final decision-maker (group) for the village	Q: Whose permission is required to conduct activities (of the planned project)?
		• Information conveyance system	Q : How are the decisions of the village conveyed? A : • The senior member of each family conveys a decision to the rest of the family. • Through a group formed by an existing project • Notice board at the primary school
3) Social structure	• Number of households by income class	Wealth ranking (checking of the definition of "wealth" in the target area and understanding of any income gap based on this definition)	Q: Who are wealthy people in the target area and why? A : Number of oxen/cows owned, area of owned land, number of date palms owned (at oasis in Mauritania) and number of onset (southern Ethiopia)
	• Gender	• Ratio of farm households with women heads Working situation of women (especially when men are absent)	• Number of households headed by a woman , total number of households • Checking of the daily schedule
		• Division of work between men and women	• What types of farming activities are mainly conducted by men or women? • Who conducts men's work when they are absent due to working away from home or other reasons?
	• Dominant religion in the target area • Land system	Persons engaged in farming (existence of landowners, tenants and farm workers, etc.)	During the field survey: Q : "Who cultivates this land?"; "Does the person cultivating this land own the land?"
		• Agricultural income and non-agricultural income	Bureau of Statistics
		• Household composition (nuclear family/extended family; polygamy)	
		• Situation of population inflow/outflow	
(3) Human Capital			
		• Population suffering from malnutrition	Q : Who is suffering from malnutrition?
		• State of nutrition (food supply and demand situation throughout the year and other matters)	Q : • How many months of the year do self-produced grains last? • What do you do when the self-produced food runs out? (A: Work away from home; protection by families and relatives; purchase from a merchant on credit)
		• Infant mortality	Q : Is there any area or household with high infant mortality?
		• Average life expectancy	Bureau of Statistics
		• Main diseases	Q : Who suffers from such diseases?
		• Average disease incidence rate	Bureau of Statistics
		• Population (total, by sex and by generation); population growth rate	
		• Ratio of HIV positive adults	
		• Adult literacy rate (by sex)	
		• School enrolment rate	
(4) Physical Capital			
	Information with potential to contribute to prediction of the distribution of project benefits	• Access to electricity	Q : • What is the percentage of households with access to electricity in the target area? • Which types of households tend to fail to have access to electricity? (A: households headed by women; poor households, etc.) • Has the electricity service been improving? • To whom do you pay the electricity charge?
		• Access to clean water	Q : • What is the percentage of households with access to clean water in the target area? • Which types of households tend to fail to have access to clean water: (A: households headed by women; poor households, etc.) • Has the water supply service been improving? • To whom do you pay the water charge?
		• Access to public health facilities	Q : • What is the proportion of households using public health facilities targeted by the project in the target area? • Which types of households tend to fail to use such facilities? (A: households headed by women; poor households, etc.) • Have the services (provided by the public health facilities targeted by the project) been improving? • To whom do you pay the charge for use (of the public health facilities targeted by the project)?
		• Quality of housing	• Participatory observation (for example, a tin roof is proof of "wealth" in some areas)

	Central	Target Area	Examples of Questions and Answers (Items Not Quantifiable by Numerical Values)
		• Access to means of (tele) communication (telephone and postal services)	Bureau of Statistics Combined use with the Checklist for Individual Projects
		• Conditions of village roads and trunk roads throughout the year	
		• Means of transportation (access to public services and state of ownership at the household level)	
		• Schools	
		• Health care facilities	
		• Assembly hall	
		• Agricultural infrastructure	
		• Agricultural tools	
		• Fishing gear	
	• Production equipment/materials		
(5) Financial Capital			
		Savings at the household level (including domestic animals as moveable banks)	• What do you do when you earn some money? • Do you have any livestock? What are the types and number?
		• Opportunities to obtain a loan in the community (personal lenders and group finance project, etc.)	• Existence of a system under which money can be loaned or borrowed by a group
		• Access to external loan opportunities (formal financial institutions and others)	• Past experience of using a bank and/or a post office
		• Opportunities for side jobs	• How do you earn money when there are no farming prospects during the dry season, etc.?
		• Opportunities to work away from home	• Have you ever worked away from home (citing the name of the key local city or capital, etc.)? • When did you work there (dry season; which year)?
		• Remittance from outside	• Do you regularly receive money from outside? Who sends you the money?

## **Annex 3**

### **Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>**

## The Approaches for Systematic Planning of Development Projects <Agricultural Development and Rural Development>

### Development Objectives Charts

Development Objectives	Mid-term Objectives		Sub-targets of Mid-term Objectives	Examples of Project Activities
1. Sustainable agricultural production	1.1 Improvement of the planning and implementation capacity for agricultural policies at the macroscopic level		Improvement of the planning capacity for agricultural policies	<ul style="list-style-type: none"> <li>⊙ Formulation of an agricultural development plan</li> <li>○ Development of a legal system related to agriculture</li> <li>○ Promotion of agrarian reform</li> </ul>
			Improvement of the planning capacity for agricultural finance policies	<ul style="list-style-type: none"> <li>X Formulation and management of an agricultural budget plan</li> <li>X Development of a taxation system related to agriculture</li> </ul>
			Improvement of the planning capacity for policies related to agricultural statistics	<ul style="list-style-type: none"> <li>○ Development of agricultural statistics</li> </ul>
			Fostering of administrative personnel	<ul style="list-style-type: none"> <li>⊙ Fostering of agricultural officers and engineers at the central and local levels</li> </ul>
	1.2 Expansion of agricultural production and improvement of the productivity	1.2.1 Development and maintenance of production infrastructure	Development and improvement of farmland	<ul style="list-style-type: none"> <li>○ Removal of gravel and other unwanted items</li> <li>○ Improvement of farmland</li> <li>X Change of location</li> </ul>
			Conservation of farmland	<ul style="list-style-type: none"> <li>⊙ Civil engineering work to ease the inclination</li> <li>⊙ Implementation of contour farming</li> </ul>
			Improvement of irrigation and drainage facilities	<ul style="list-style-type: none"> <li>⊙ Construction of agricultural dams and water channels and development of groundwater</li> <li>⊙ Use of rivers and reservoirs</li> <li>⊙ Repair of irrigation and drainage facilities</li> <li>⊙ Removal of deposited sediment and plants in irrigation channels</li> </ul>
			Fostering of irrigation associations	<ul style="list-style-type: none"> <li>○ Understanding of the incentives for farmers</li> <li>⊙ Training of farmers</li> <li>○ Formulation of guidelines</li> </ul>
			Improvement of the production infrastructure for stock raising	<ul style="list-style-type: none"> <li>○ Improvement of grassland and pasture</li> <li>○ Improvement of silos and other storage facilities for milk, etc.</li> <li>○ Turning of unused resources into feed</li> </ul>
		1.2.2 Strengthening of research and technological development	Strengthening of testing and research organizations	<ul style="list-style-type: none"> <li>⊙ Improvement of the facilities, equipment and human resources of testing and research organizations</li> </ul>
			Improvement of production technologies	<ul style="list-style-type: none"> <li>⊙ Improvement of crop varieties (improvement of soybean seeds and grass seeds, etc.)</li> <li>⊙ Improvement of cultivation techniques (fertiliser application, control of diseases and insect damage, weed control and rotation planting, etc.)</li> <li>⊙ Improvement of agricultural machinery</li> <li>⊙ Improvement of irrigation and drainage technologies</li> <li>⊙ Prevention of soil loss and salt damage; study on soil improvement</li> </ul>
			Conservation of the genetic resources of plants	<ul style="list-style-type: none"> <li>⊙ Discovery, collection, preservation, evaluation, data management and distribution of the genetic resources of plants</li> <li>⊙ Study on productivity improvement using the genetic resources of plants</li> </ul>
			Improvement of post-harvest technologies	<ul style="list-style-type: none"> <li>⊙ Improvement of grain threshing, drying and polishing technologies</li> <li>⊙ Preservation of the quality and freshness of vegetables, fruit, meat and dairy products</li> <li>⊙ Storage and processing of agricultural products</li> <li>○ Study on sorting and packaging technologies</li> <li>⊙ Formulation of quality standards and strengthening</li> </ul>

Development Objectives	Mid-term Objectives		Sub-targets of Mid-term Objectives	Examples of Project Activities
				of the inspection regime
			Development of stock raising techniques	<ul style="list-style-type: none"> <li>⊙ Study on and diagnosis of livestock resources and quarantine</li> <li>⊙ Breeding of livestock by means of artificial insemination</li> <li>⊙ Improvement of the management of stock raising</li> <li>⊙ Improvement of breeding techniques</li> <li>⊙ Improvement of the processing of livestock products</li> </ul>
		1.2.3 Intensification of agricultural extension	Improvement of the agricultural extension system	<ul style="list-style-type: none"> <li>○ Extension of the extension policies and system of the central and local governments</li> <li>⊙ Collaboration between agricultural extension organizations and testing and research organizations</li> <li>⊙ Construction/improvement of agricultural extension centres</li> </ul>
			Improvement of agricultural extension methods	<ul style="list-style-type: none"> <li>⊙ Understanding of the capacity and needs of farmers</li> <li>○ Improvement of extension from farmers to farmers</li> <li>○ Collaboration with NGOs and educational institutions</li> <li>⊙ Development of extension manuals and materials</li> <li>⊙ Arrangement of workshops and other training opportunities for farmers</li> </ul>
			Establishment of the personal capacity of extension workers	<ul style="list-style-type: none"> <li>X Securing of a sufficient number of agricultural extension workers</li> <li>⊙ Improvement of the incentives for agricultural extension workers</li> <li>⊙ Training of agricultural extension workers</li> </ul>
		1.2.4 Improvement of farming household management	Improvement of the management capacity	<ul style="list-style-type: none"> <li>⊙ Improvement of the technical capability of individual farming households</li> <li>○ Improvement of the management policies of individual farming households</li> <li>X Consolidation of various subsidy schemes and price guarantee systems</li> </ul>
			Consolidation/strengthening of agricultural finance	<ul style="list-style-type: none"> <li>⊙ Consolidation of the financing schemes of public bodies</li> <li>○ Consolidation of the financing schemes of informal bodies</li> <li>X Fostering of the capability of farmers as borrowers</li> </ul>
			Organization of farmers	<ul style="list-style-type: none"> <li>⊙ Improvement of farmers' income through agricultural cooperatives, etc.</li> <li>⊙ Implementation of appropriate water management by irrigation associations</li> </ul>
		1.2.5 Improvement of the securing/ utilisation of materials for agricultural production	Agricultural machinery and tools	<ul style="list-style-type: none"> <li>X Formulation of safety standards for agricultural machinery</li> <li>○ Improvement of the agricultural machinery inspection system</li> <li>⊙ Fostering of agricultural machinery maintenance engineers</li> <li>X Improvement of the spare parts distribution system</li> </ul>
			Stable supply of seeds	<ul style="list-style-type: none"> <li>○ Improvement of the seed breeding system</li> <li>X Improvement of the seed distribution system</li> </ul>
			Appropriate use of agrochemicals	<ul style="list-style-type: none"> <li>○ Formulation of safety standards for the use of agrochemicals</li> <li>○ Implementation of education on the safe use of agrochemicals</li> </ul>
			Stable supply and appropriate use of fertiliser	<ul style="list-style-type: none"> <li>X Formulation of quality standards for fertiliser</li> <li>○ Formulation of standards for the use of fertiliser</li> <li>X Improvement of the fertiliser distribution system</li> </ul>
			Stable supply of materials for stock raising	<ul style="list-style-type: none"> <li>X Formulation of quality standards</li> <li>X Formulation of standards for use</li> <li>X Improvement of the distribution system</li> </ul>

Development Objectives	Mid-term Objectives		Sub-targets of Mid-term Objectives	Examples of Project Activities
	1.3 Strengthening of export promotion measures		Improvement of the planning capacity for export policies	<ul style="list-style-type: none"> <li>○ Assistance for the formulation of an export promotion plan and agricultural industry promotion measures, etc.</li> <li>◎ Fostering of administrators</li> </ul>
			Improvement of the export system and regime	<ul style="list-style-type: none"> <li>Improvement of the export-related legal system</li> <li>X Improvement of export-related financial organizations and financing system</li> </ul>
			Strengthening of the export competitiveness	<ul style="list-style-type: none"> <li>○ Expansion of agricultural production and improvement of the productivity (see Intermediate Goal 1-2)</li> <li>Establishment of systematic standards, a certification system and standardisation</li> <li>○ Improvement of the testing, inspection and quarantine techniques</li> <li>○ Fostering of engineers and quarantine officers</li> </ul>
			Improvement of the information network for international market trends and of the marketing capacity	<ul style="list-style-type: none"> <li>○ Strengthening of the functions of trade promotion organizations</li> <li>○ Strengthening of the government support for the development of the private sector</li> <li>X Arrangement of marketing seminars, trade fairs and exhibitions</li> <li>○ Gathering of information on foreign markets</li> </ul>
	1.4 Improvement of environment care		Treatment and effective use of agricultural waste	<ul style="list-style-type: none"> <li>○ Projects to promote zero emission type agriculture</li> <li>X Increase of the environmental protection budget</li> <li>X Improvement of waste treatment facilities</li> <li>X Improvement of the awareness of farmers</li> </ul>
			Reduction of the environmental load of fertiliser and agrochemicals	<ul style="list-style-type: none"> <li>○ Formulation of standards for the use of agrochemicals and fertiliser (see the relevant example under Intermediate Goal 1.2.5)</li> <li>○ Guidance on appropriate use (see the relevant example under Intermediate Goal 1.2.5)</li> <li>◎ Environmental conservation type agricultural development projects (promotion of compound agriculture and others)</li> </ul>
			Maintenance/realisation of multi-faceted functions and consolidation of environmental education	<ul style="list-style-type: none"> <li>◎ Appropriate management of farmland</li> <li>X Promotion of environmental education</li> </ul>
	1.5 Enhancement of agriculture-related higher education		Improvement of educational activities	<ul style="list-style-type: none"> <li>◎ Technical guidance for teachers and improvement of the teaching techniques</li> <li>◎ Development/improvement of teaching materials and establishment of an appropriate curriculum</li> <li>◎ Improvement of such facilities as classrooms and laboratories and of equipment</li> <li>X Consolidation of the scholarship system</li> </ul>
			Strengthening of the research function	<ul style="list-style-type: none"> <li>◎ See Intermediate Target 1.2.2 – Strengthening of research and technological development</li> <li>◎ Fostering of researchers</li> <li>◎ Arrangement of seminars and workshops on the outcomes of the studies/research of universities</li> </ul>
			Improvement of management	<ul style="list-style-type: none"> <li>Formulation of guidelines for project implementation by higher educational institutions on agriculture</li> <li>X Improvement of the capability of administrative staff</li> <li>X Securing and deployment of the required number of teaching and administrative staff</li> <li>Establishment of a management/operation/maintenance system for equipment/laboratories</li> </ul>
			Strengthening of the	<ul style="list-style-type: none"> <li>○ Collaboration with the agriculture extension system</li> </ul>



Development Objectives	Mid-term Objectives		Sub-targets of Mid-term Objectives	Examples of Project Activities
			collaboration with related organizations and local authorities/communities	
			Strengthening of the functions as the centre of extension	X Collaboration with agricultural colleges in advanced countries and consolidation of the system to send people abroad for study purposes Strengthening of the collaboration with agricultural research institutes and the private sector Strengthening of the collaboration with local authorities/communities
2. Stable food supply	2.1 Formulation of food supply and demand policies		Understanding of the state of nutrition of the people	Implementation of a national nutrition survey Improvement of the capability to analyse the state of nutrition Fostering and deployment of community workers
			Improvement of statistics on food production and distribution	O See the relevant example under Intermediate Goal 1.1 – Improvement of agricultural statistics
			Selection of staple foods	X Establishment of a food supply and demand model X Improvement of the capability to analyse statistics
			Improvement of the laws and systems related to distribution and markets	X Assistance for the establishment/improvement of laws
			Implementation of a price control policy for agricultural products	O Establishment of a system to stabilise the prices of agricultural products
			Formulation of a food storage programme	O Formulation of a master plan for food storage
	2.2 Improvement of the food distribution function		Improvement of the hard infrastructure for the distribution market	⊙ Improvement of trunk roads and railway lines O Improvement of feeder roads O Improvement of the food collection and shipment facilities and the retail as well as wholesale markets
			Management and use of distribution facilities and equipment	O Improvement of the management capacity of distribution facilities O Establishment of a maintenance system
			Improvement of the market distribution information system	X Establishment of a food inventory information gathering system O Establishment of a food price information system
			Improvement of the transportation system	X Formulation of a public transport system improvement plan X Fostering of private transporters
			Improvement of the storage system	O Improvement of storage warehouses
	2.3 Improvement of the import system		Improvement of the quarantine system	O Improvement of the testing and inspection facilities O Training of inspectors
			Improvement of infrastructure	O Improvement of coastal facilities and the road as well as railway networks Establishment of a maintenance system
	2.4 Appropriate use of food provided as aid		Establishment of a system to distribute food provided as aid	X Establishment of an emergency aid method to deal with natural disasters X Establishment of a food aid system for the relief of the poor X Establishment of distribution routes and means
			Establishment of a monitoring system	X Establishment of a monitoring method
3. Promotion of vigorous rural areas	3.1 Promotion of policies related to rural development		Improvement of the coordination/ implementation capacity at the national level	⊙ Fostering of capable administrators O Facilitation of the understanding of participatory development ⊙ Formulation of participatory village development plans

Development Objectives	Mid-term Objectives		Sub-targets of Mid-term Objectives	Examples of Project Activities
			Improvement of the coordination/ Implementation capacity at the local level	<ul style="list-style-type: none"> <li>⊙ Fostering of capable local administrators</li> <li>⊙ Demonstration of participatory village development</li> </ul>
	3.2 Increase of non-agricultural income		Assistance for the fostering of village commerce and industries	<ul style="list-style-type: none"> <li>O Fostering of cooperatives for each type of business</li> <li>X Improvement of the marketing facilities</li> </ul>
			Provision of vocational training opportunities	<ul style="list-style-type: none"> <li>O Provision of vocational training opportunities</li> </ul>
			Compilation and supply of information on rural employment	<ul style="list-style-type: none"> <li>X Establishment of an information gathering and supply system</li> </ul>
			Introduction and extension of the production activities of unique products	<ul style="list-style-type: none"> <li>O Improvement of the production technologies of unique products</li> <li>O Introduction of the one village-one product movement</li> <li>Implementation of exhibitions (contests)</li> </ul>
			Improvement of rural finance and the supply of information	<ul style="list-style-type: none"> <li>O (See the relevant example under Intermediate Goal 1.2.4)</li> </ul>
	3.3 Promotion of the agricultural product processing industry		Introduction of processing facilities	<ul style="list-style-type: none"> <li>O Introduction/improvement of processing facilities</li> </ul>
			Fostering of private processing companies	<ul style="list-style-type: none"> <li>⊙ Assistance for the development of processing technologies</li> <li>Training of engineers</li> </ul>
			Establishment of safety standards for processed products	<ul style="list-style-type: none"> <li>O Establishment of a safety system and standards for processed foods</li> <li>X Extension of the safety standards for processed foods</li> </ul>
			Improvement of the marketing capacity of processed agricultural products	<ul style="list-style-type: none"> <li>X Establishment of a market information supply system</li> <li>X Assistance for the introduction of IT at chambers of commerce and industry and their networking</li> </ul>
	3.4 Improvement of rural infrastructure		Improvement of rural roads	<ul style="list-style-type: none"> <li>⊙ Design and construction of rural roads</li> <li>⊙ Maintenance of rural roads</li> </ul>
			Improvement of rural electrification and water supply facilities	<ul style="list-style-type: none"> <li>O Improvement of the power supply system</li> <li>⊙ Drilling of wells for service water; use of surface water as service water</li> </ul>
			Improvement of communication infrastructure, including the telephone system	<ul style="list-style-type: none"> <li>X Improvement of the telephone, postal and radio communication systems</li> </ul>
			Implementation of public works in communities	<ul style="list-style-type: none"> <li>O Improvement of health clinics and medical facilities in villages (see Intermediate Goal 3.2 under Poverty reduction)</li> <li>⊙ Establishment of schools and village halls (see Intermediate Goal 3.1 under Poverty reduction)</li> <li>X Establishment/improvement of household waste treatment facilities</li> </ul>
	3.5 Conservation of the rural environment		Promotion of the environmental conservation of forests, rivers and coasts	<ul style="list-style-type: none"> <li>O Understanding of (survey on) the present conditions of farmland and the natural ecosystem and pursuit of sustainability (terraced field protection policy, etc.)</li> <li>⊙ Incorporation of environmental protection in rural development policies</li> <li>X Study on the rural environment and training of researchers as a part of higher education</li> <li>X Enhancement of amenities and leisure opportunities (improvement of stock farmers, introduction of footpaths to enjoy nature and river improvement, etc.)</li> <li>O Rural tourism development projects</li> </ul>

Development Objectives	Mid-term Objectives		Sub-targets of Mid-term Objectives	Examples of Project Activities
	3.6 Promotion of the improvement of rural life		Development of an extension system	◎ Improvement of awareness among agricultural extension workers O Training of agricultural extension workers and others
			Improvement of the extension method	O Development/improvement of manuals and teaching materials O Various types of participatory projects (strengthening of communities)
	3.7 Promotion of communal activities		Promotion of village activities	◎ Projects to strengthen various organizations (agricultural cooperatives, water associations and producers' unions, etc.)
			Handing down of cultural heritage	X Studies on traditional arts and culture in rural areas; projects to revitalise such arts and culture
			Promotion of various proposed projects	O Projects to vitalise the activities of youth groups and women's groups, etc. O One Village, One Product Movement O Micro finance and campaign to promote savings
	3.8 Improvement of the health standard of people		Consolidation of the health/medical care services	O See Intermediate Goal 3.2 under Poverty reduction
			Spread of health knowledge	O See Intermediate Goal 3.2 under Poverty reduction
			Prevention and control of HIV/AIDS	See the effective approach for HIV/AIDS control measures
	3.9 Improvement of the educational standard of people		Consolidation of basic education	O See the effective approach for basic education
			Expansion of educational services	See Intermediate Goal 3.1 under Poverty reduction
			Promotion of the understanding of education	See Intermediate Goal 3.1 under Poverty reduction

- ◎ : In the case where there are at least five projects where any example of an activity is included as a project goal  
 In the case of the dispatch of individual experts and/or JOCV members, at least 10 experts/JOCV members have been dispatched.
- O : In the case where a project incorporating any example of an activity as a project goal exists  
 : Although any example of an activity is not included as a project goal, it is included as an element of the project
- X : In the case where there is no precedence or only a short-term expert or project planner has been dispatched