Annual Evaluation Report

2006

Japan International Cooperation Agency

PC
J R
07 - 03

Annual Evaluation Report
2006

Japan International Cooperation Agency

Preface

Three years have passed since Japan International Cooperation Agency (JICA) embarked on a new path as an independent administrative institution in October 2003. As the leading implementing organization of Japan's Official Development Assistance (ODA), JICA has been undertaking organizational and operational reforms based on three initiatives: (1) a field based management, (2) human security, and (3) effectiveness, efficiency and speed. JICA is determined to respond to the expectations of the people of Japan and provide cooperation that truly contributes to socioeconomic development and peace-building in the developing world.

Evaluation is an important tool for carrying out more effective and efficient projects with public understanding and support. Under this recognition, JICA, as part of the reforms mentioned above, has been working on expanding and enhancing evaluation, promoting the use of evaluation results (feedback) for project improvement, and improving the disclosure system of its evaluation results.

With the presentation of a whole picture of evaluation activities and an overview of individual evaluation results, the Annual Evaluation Report aims to provide comprehensive information in an understandable manner as to whether JICA projects as a whole are carried out effectively and efficiently. JICA promptly discloses the evaluation results of individual projects through its website.

The report for this fiscal year presents the results of the evaluation on the approach for community-centered development from the perspective of assistance that directly reaches people and the evaluation under the theme of economic partnership in relation to capacity development. It also introduces the results of comprehensive analyses on ex-post evaluations on individual projects and specific cases to show how recommendations and lessons learned are fed back.

This year, as in the previous three years, the Advisory Committee on Evaluation kindly agreed to conduct secondary evaluation on the terminal evaluations implemented by JICA. As a new attempt, field studies were carried out by the members of the committee this time. Many valuable recommendations were put forward as to how projects and evaluations can be improved and JICA takes these recommendations seriously and is determined to make improvements.

I would be very pleased if this report serves to promote deeper understanding of JICA's projects and generate further support from its readers.

Finally, I would like to express my sincere gratitude to the many persons and organizations who contributed to this undertaking, including the external advisors who offered their help in compiling this report.

March 2007
Masafumi Kuroki
Vice-President
Japan International Cooperation Agency

Country Targeted for Evaluation Study Published in Annual Evaluation Report 2006


Mexico
Dominican Republic
Guatemala
Jamaica
Torinidad and Tobago
Honduras
El Salvador
Micronesia
Nicaragua
Panama
Colombia
Costa Rica
Papua New Guinea
Brazil
Fiji
Bolivia
Paraguay
Chile
Argentina

Annual Evaluation Report 2006 Contents

Preface 3

Part 1 Evaluation in JICA 9

Chapter 1 JICA's Evaluation Activities and Efforts for Expanding and Enhancing Evaluation 10
Chapter 2 Improving JICA's Cooperation Using Evaluation Results 21
Chapter 3 JICA Program Evaluation 26

Part 2 Project-level Evaluation 33

Chapter 1 Overview of Evaluations of Individual Projects in Fiscal 2005 34
Chapter 2 Synthesis Study of Evaluations (Project-level Ex-post Evaluations) 47

Part 3 Program-level Evaluation 65

Chapter 1 Enhancing the Approach for Community- and People-centered Development 67
Chapter 2 Contribution to Capacity Development in Developing Countries 77
Chapter 3 Enhancement of International/Regional Partnership 89

Part 4 Secondary Evaluation by the Advisory Committee on Evaluation 99

Secondary Evaluation by the Advisory Committee on Evaluation 100
Chapter 1 Results of Secondary Evaluation Fiscal 2006 101
Chapter 2 Results of Field Studies Conducted by the Advisory Committee on Evaluation 135
Chapter 3 Improving JICA's Evaluations and Projects (Recommendations) 139

Reference

List of Evaluations of Individual Projects in Fiscal 2005 143
Glossary 147

Figures, Tables, and Box Articles

Figure

1-1 ODA System and JICA's Evaluation 10
1-2 Position of Evaluation within JICA's Project Cycle 11
1-3 JICA's Evaluation System 13
1-4 Patterns of Utilization of Evaluation Results 21
1-5 Framework of Evaluation 27
1-6 Conceptual Flow Chart of the Process to Contribution 30
2-1 Breakdown of Target Projects by Region 49
2-2 Breakdown of Target Projects by Sector 49
2-3 Results of Impact Analysis Based on Ex-post Evaluation Reports 50
2-4 Results of Sustainability Analysis Based on Ex-post Evaluation Report 51
2-5 Distribution of Scores of Sustainability 52
2-6 Promoting Factors at the Planning Stage 56
2-7 Impeding Factors at the Planning Stage 56
2-8 Difference between the Scores on Impact and the Overall Average Score by Promoting and Impeding Factors at the Planning Stage 56
2-9 Difference between the Scores on Sustainability and the Overall Average Score by Promoting and Impeding Factors at the Planning Stage 56
2-10 Promoting Factors at Implementation Stage 58
2-11 Impeding Factors at Implementation Stage 58
2-12 Difference between the Scores on Impact and the Overall Average Score by Promoting and Impeding Factors at the Implementation Stage 59
2-13 Difference between the Scores on Sustainability and the Overall Average Score by Promoting and Impeding Factors at the Planning Stage 59
3-1 Community-initiated Development and its Important Elements 68
3-2 Social Capacity Development in Trade Sector in Targeted Four Countries 80
3-3 Contribution of JICA's Assistance to the Capacity Development of the Indonesian Government 81
3-4 Contribution of JICA's Assistance to Capacity Development of the Malaysian Government 82
3-5 Contribution of JICA's Assistance to the Capacity Development of the Philippines Government 83
3-6 Contribution of JICA's Assistance to the Capacity Development of the Thai Government 84
3-7 Organizations Involved in the SSC Implementation 90
3-8 Ratio by Item for Each Type of Studied Bodies 95
3-9 Ratio by Item for JICA Offices in Implementing Countries by Region 96
3-10 Ratio by Item for ACICs in Implementing Countries by Region 96
3-11 Ratio by Item for JICA Offices in Recipient Countries by Region 96
3-12 Ratio by Item for ACICs in Recipient Countries by Region 96
4-1 Secondary Evaluation System 102
4-2 Score Results by Evaluation Criterion (Average) 104
4-3 Distribution of Scores by Evaluation Criterion 105
4-4 Score Results for Viewpoints under Each Evaluation Criterion (Average) 106
4-5 The Top 4 Projects for its Quality of Terminal Evaluation 110
4-6 The Worst 4 Projects for its Quality of Terminal Evaluation 110
4-7 Year-to-year Changes in the Quality of Evaluations (Average Scores) 111
4-8 Changes in the Quality of Terminal Evaluations (Distribution of Scores, 2003- 2005) 112
4-9 Quality of Evaluations Conducted by the Headquarters and Overseas Offices 113
4-10 Implementation of Ex-ante Evaluation (Standard Deviation of Scores) 114
4-11 Project Evaluation by Secondary Evaluators 117
4-12 Distribution of Evaluation Scores for Projects by Secondary Evaluators 117
4-13 Project Evaluation by Secondary Evaluators: Viewpoints (Average Scores) 118
4-14 Evaluation by Sector (Average) 120
4-15 Evaluation by Region (Average) 121
4-16 Year-to-Year Changes of Project Evaluation by Secondary Evaluators (Average Score) 122
4-17 Distribution of Total Scores (Average Score) 122
4-18 Top 4 Projects 124
4-19 Worst 4 Projects 124

Table

1-1 Perspectives of Five Evaluation Criteria 13
1-2 Members of the NGO-JICA Evaluation Subcommittee 18
1-3 Members of the Advisory Committee on Evaluation 19
1-4 Evaluation Items and Examples of Evaluation Questions 28

Table

2-1 Target Projects (Ex-post Evaluation) 48
2-2 Rating Criteria for Impact 49
2-3 Change in Scores of Impact at the Time of Terminal Evaluation and Ex-post Evaluation 50
2-4 Rating Criteria for Sustainability 51
2-5 Change in Scores of Sustainability (Overall) at the Time of Terminal Evaluation and Ex-post Evaluation 54
2-6 Change in Scores of Sustainability (Technology) at the Time of Terminal Evaluation and Ex-post Evaluation 54
2-7 Change in Scores of Sustainability (Organization) at the Time of Terminal Evaluation and Ex-post Evaluation 54
2-8 Change in Scores of Sustainability (Finance) at the Time of Terminal Evaluation and Ex-post Evaluation 54
2-9 Classifications of Promoting and Impeding Factors 55
3-1 Program-level Evaluation (Conducted in Fiscal 2005) 66
3-2 Projects Subject to the Study 67
3-3 Members of the Field Study Teams 67
3-4 Points of Evaluation According to the Process of Project Implementation 68
3-5 Importance of Each Aspect in Each Implementation Process 74
3-6 Social Capacity Development in Trade in the Four Targeted Countries 79
3-7 Social Capacity Development in Trade in the Four Targeted Countries (Capacity of the Business Sector) 79
3-8 JICA's Assistance Inputs in Indonesia by Development Issue 81
3-9 JICA's Assistance Inputs in Malaysia by Development Issue 82
3-10 JICA's Assistance Inputs in the Philippines by Development Issue 83
3-11 JICA's Assistance Inputs in Thailand by Development Issue 84
3-12 Development Assistance Programs that Correspond to Social Capacity Development Stages 86
3-13 Countries Subject to Case Study 89
3-14 Outcome Classification 91
3-15 Current Implementation Status of SSC by Region (Types of Support Activities, Positioning and Effects) 97
3-16 Promoting and Impeding Factors by Region 98
4-1 Comparison of Evaluation Viewpoints and Rating Scale between Fiscal 2004, 2005, and 2006 103
4-2 Secondary Evaluation Criteria 104
4-3 Score Results of the Top 4 and Worst 4 Projects (Average) 110
4-4 Terminal Evaluations of Good Quality 111
4-5 Terminal Evaluations of Poor Quality 111
4-6 Year-to-year Changes in the Quality of Evaluations (Average Scores) 112
4-7 Correlation between Relevance and Other Four Criteria 119
4-8 Evaluation by Sector (Average) 120
4-9 Evaluation by Region (Average) 121
4-10 Distribution of Target Projects by Region and Sector 121
4-11 Year-to-Year Changes of Project Evaluation by Secondary Evaluators (2003-2005) 122
4-12 Correlation between Project Evaluation with Five Evaluation Criteria and Various Factors 123
4-13 Differences between Top 4 and Worst 4 (Average Scores) 124
4-14 Ranking of Top 4 Projects Rated "Excellent" by Secondary Evaluators 125
4-15 Ranking of the Worst 4 Projects Rated "Poor" by Secondary Evaluators 125

Box

BOX 1 Evaluation Chief Training – For Improvement of JICA's Evaluation Capacity 15
BOX 2 Introduction of Evaluation to Various Activities – Volunteer Program 16
BOX 3 Cooperation with NGOs – Aiming for Effective Implementation of Community-centered Development 17
BOX 4 Partnership with Other Aid Agencies in Evaluation – Japan Bank for International Cooperation (JBIC) 18
BOX 5 Secondary Evaluation by External Experts 20
BOX 6 Case Studies of Program Evaluations in Malawi and Viet Nam 31
BOX 7 Thematic Evaluation on Capacity Development of Local Administration 76
BOX 8 Synthesis Study of Evaluation: Higher Education 88

Appendix

Appendix 1 List of Projects Subject to Secondary Evaluation in Fiscal 2006 128
Appendix 2 Secondary Evaluation Check Sheet (Fiscal 2006) 129

Part 1

Evaluation in JICA

Chapter 1 JICA's Evaluation Activities and Efforts for Expanding and Enhancing Evaluation

1-1 JICA's Evaluation Activities

(1) Objectives of Evaluation

JICA's project evaluation is carried out at each stage of the project cycle in order to assess the relevance and effectiveness of a project as objectively as possible and to implement better projects.

The objectives of evaluation are to utilize evaluation results in a decision-making process for project management, to feed lessons learned from evaluation back into the learning process of the aid organizations concerned, and to disclose evaluation results to the public to ensure transparency and accountability of JICA's operation. Thus, JICA intends to gain public support and understanding in Japan in implementing effective and efficient cooperation.

(2) Types of Evaluation

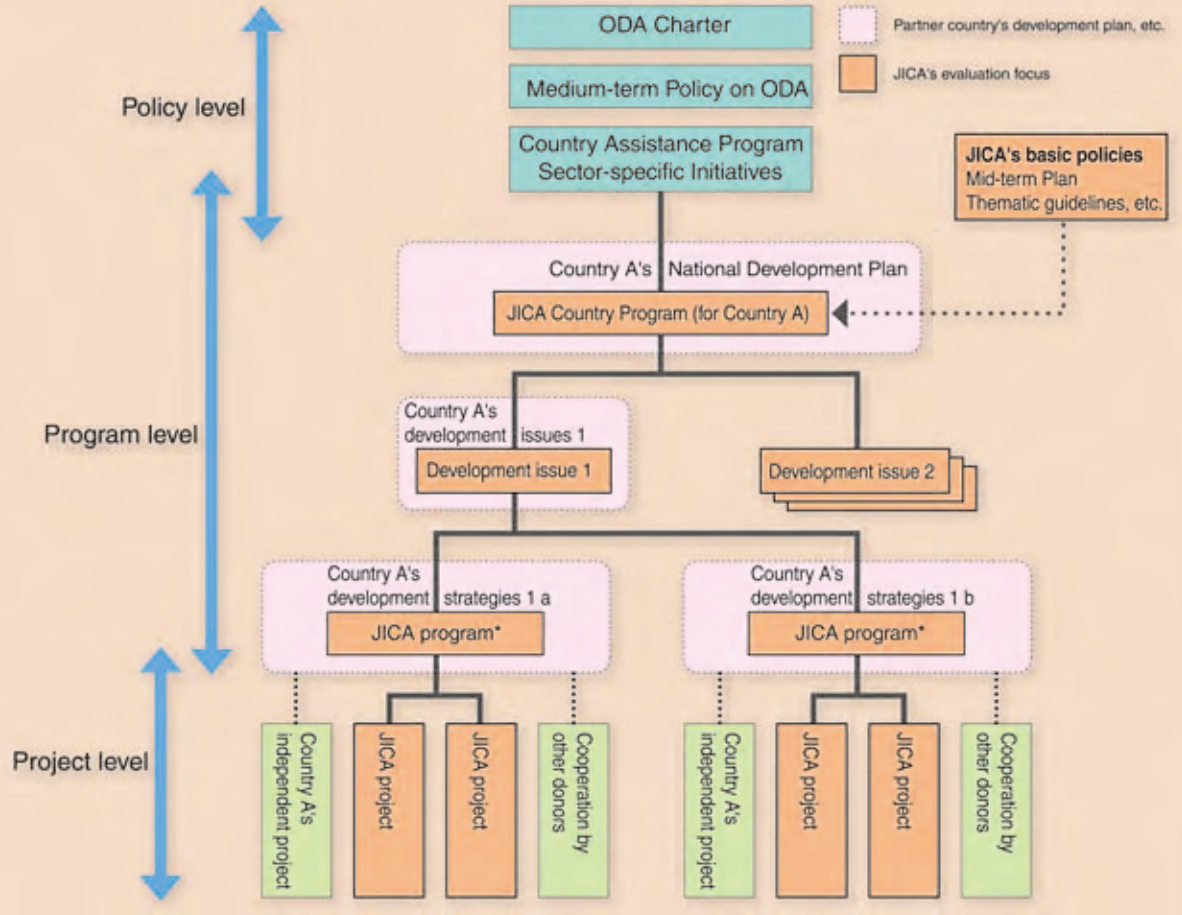
Project evaluation can be categorized from the perspectives of what to evaluate, when to evaluate, and who evaluates. In other words, JICA's project evaluations are classified in terms of evaluation focus, project cycle, and evaluators.

1) Evaluation Focus

From the perspective of what to evaluate, ODA evaluation is classified into three levels—policy, program, and project levels—among which JICA conducts project- and program-level evaluations (Figure 1-1).

Project-level evaluation covers individual projects and is con-

Figure 1-1 ODA System and JICA's Evaluation



* JICA program is defined as a strategic frameworks to support the achievement of mid- and long-term development goals in a developing country. The details of JICA program evaluation are provided in Chapter 3, Part 1 of this report.

ducted by JICA's departments and overseas offices responsible for project implementation. Using the evaluation results, JICA works to plan and revise projects, make decisions on whether to complete or continue cooperation, draw out lessons for similar projects, and secure transparency and accountability.

Program-level evaluation evaluates a set of projects in a comprehensive and cross-sectional manner. It examines to what extent JICA's cooperative approach was effective in a specific development sector and issue. It is also directed at specific cooperation schemes such as Volunteer Program and Disaster Relief Program. These evaluations are conducted by the Office of Evaluation of the Planning and Coordination Department of JICA*. Meanwhile on a trial basis strarting in fiscal 2005, JICA eveluates JICA program, which was introduced to promote more strategic implementation of projects**. These evaluation results are used for improving JICA Country Programs and thematic guidelines, modifying JICA programs for effective and more strategic program implementation, formulating new projects, and revising planning and management of on-going projects.

2) Evaluation within the Project Cycle

Project-level evaluations are classified into four types from the perspective of when to evaluate: ex-ante, mid-term, terminal, and ex-post evaluations, which correspond to four stages in the project cycle (Figure 1-2).

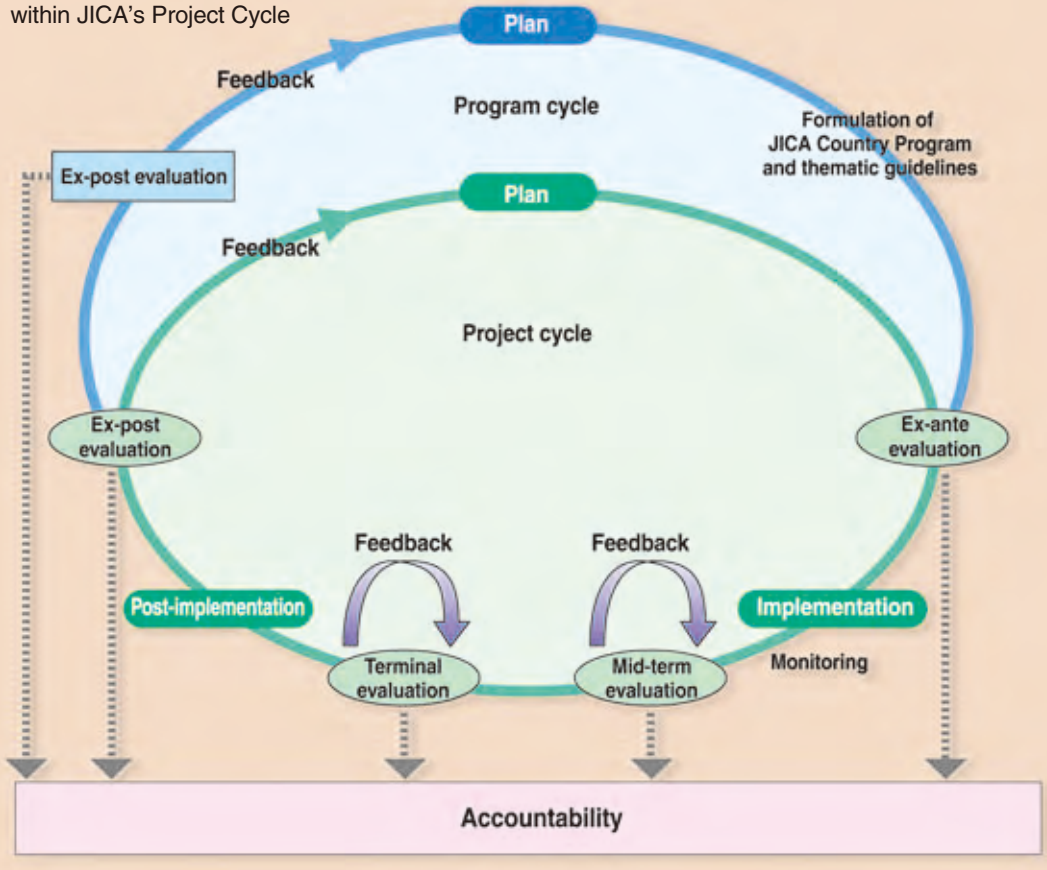
a. Ex-ante evaluation

The ex-ante evaluation is carried out prior to the implementation of a project to check conformity with depelopment policies of the partner country, Japan's aid policy, and needs of the partner country, as well as to clarify the project content and expected cooperation effects for the purpose of evaluating the relevance of the project comprehensively. Evaluation indicators of a project set at the ex-ante stage will be used to measure the progress and effect of cooperation in subsequent monitoring and evaluations at stages from mid-term to ex-post evaluations.

b. Mid-term evaluation

The mid-term evaluation is conducted at the middle point of a project in order to evaluate it for smooth operation leading to outcome. It aims to clarify the achievements and implementing process and examine whether plans of the project are appropriate, focusing on relevance, efficiency, and so on. Results of the mid-term evaluation are utilized to revise the original plan or improve the operation structure.

Figure 1-2 Position of Evaluation within JICA's Project Cycle



* The detailed results of program-level eveluations, conducted by the office of Evalution of the Planning and coordination Department of JICA, are provided in Part 3 of this report.

** The details are provided in Chapter 3, Part 1 of this report.

c. Terminal evaluation

The terminal evaluation is conducted to examine whether the project will achieve the outcome as planned prior to the termination of a project. It comprehensively analyzes the achievement level of the project purposes, efficiency, and prospective sustainability of a project. Based on the result, it is decided whether to complete the project and whether follow-up such as extension of cooperation is necessary or not.

d. Ex-post evaluation

The ex-post evaluation is conducted a few years after completion of a project to verify the achievement level of the overall goal, the presence of ripple effects, and sustainability of the effects at which the project was aimed. Results of ex-post evaluation serve as lessons learned for effective and efficient project implementation in formulating and implementing new projects and/or programs in the future.

Program-level evaluations are also included in ex-post evaluations. The evaluation results are used to improve JICA Country Programs or thematic guidelines as well as to formulate and implement new projects.

3) Evaluation by Types of Evaluators

From the perspective of who evaluates, JICA's evaluation is classified by evaluator in the following manner.

a. Evaluation by JICA (internal evaluation)

It is conducted by JICA, which is responsible for project management in cooperation with external specialists, such as consultants and academics, in order to collect information necessary for project management and revision. JICA also consults third parties (academics, journalists, NGOs, etc.) with expertise in development assistance and familiarity with JICA's undertakings and has them review internal evaluation results in order to assure transparency and objectivity of internal evaluation*.

b. Evaluation by third parties (external evaluation)

In order to ensure the quality, transparency, and objectivity of the evaluation, JICA entrusts a certain portion of evaluation studies to external experts and organizations (universities, research institutes, academics and consultants, etc.). Specifically, they are third parties who are not involved in the planning and implementation of the evaluated project and who have high expertise in the evaluated fields. External evaluation may be conducted by external experts and organizations in the partner country in addition to those in Japan.

In addition, JICA carries out third party reviews as described in a. using external evaluators.

c. Joint evaluation

This evaluation is conducted in collaboration with organizations in partner countries or with other donors. Joint evaluation with partner countries is effective for sharing the results of effects and issues about projects. It also contributes to learning evaluation methods and improving the capacity of those countries in carrying out evaluation. Since all JICA cooperation activities are joint efforts with the partner country, project-level evaluations are consistently conducted as joint evaluations from the planning to the termination stages. Program-level evaluations are also conducted with the participation of the partner country, and evaluation results are fed back to those involved in the partner country.

A joint evaluation with other donors is becoming important in terms of aid coordination and is also effective for learning about one another's projects and evaluation methods.

(3) Methods of Evaluation

Evaluation has no meaning unless evaluations are utilized. To produce reliable and useful evaluation results, the project needs to be examined in a systematic and objective manner and then convincing value judgements have to be made with supporting grounds. It is also important to draw recommendations and lessons learned through analyses of the factors that affect success and failure of the evaluated project.

Project-level evaluation framework is composed of three stages: (1) studying and understanding the situation surrounding the project; (2) assessing the value of the project by the five evaluation criteria; and (3) drawing recommendations and lessons and feeding them back for improvement**.

1) Grasping and Examining the Conditions of the Project

The first step is to examine the project achievements as to what has been achieved in the project and to what extent it has been achieved. The next step is to identify and analyze the implementation process as to what is happening in the process of achievement and what kind of effects it has on the achievements. Furthermore, the causal relationships between the project and the effect, namely whether the achievement has resulted from the project, is examined.

2) Value Judgement about the Project in Terms of the Five Evaluation Criteria

The next step is to make value judgements about the project based on the information on the actual conditions of the project obtained through the above-mentioned procedure. For judging the value of projects, JICA has adopted the five evaluation criteria (relevance, effectiveness, efficiency, impact, and sustainability) proposed in 1991 by the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD). (Table 1-1)

* Fiscal 2006 secondary evaluation results by the Advisory Committee on Evaluation are provided in Part 4 of the report.

** JICA's project evaluation methods are explained in detail in the "JICA Evaluation Handbook: Practical Methods for Evaluation" (JICA, March 2004). These guidelines are available on the Evaluation page on JICA's website (http://www.jica.go.jp/).

3) Drawing Recommendations and Lessons for Feedback

Based on the results of an evaluation study, recommendations should be proposed on specific actions for the project stakeholders, and lessons should also be formulated to provide information for future projects. Evaluation results are reported to those involved in the project and disclosed publicly. Feedback of evaluation results to projects is important in improving the project and enhancing its effectiveness. In order to make recommendations and lessons that are easily fed back, it is necessary to clarify the contributing and inhibiting factors that have affected the success or failure of a project. It is also necessary to specify the target of the feedback.

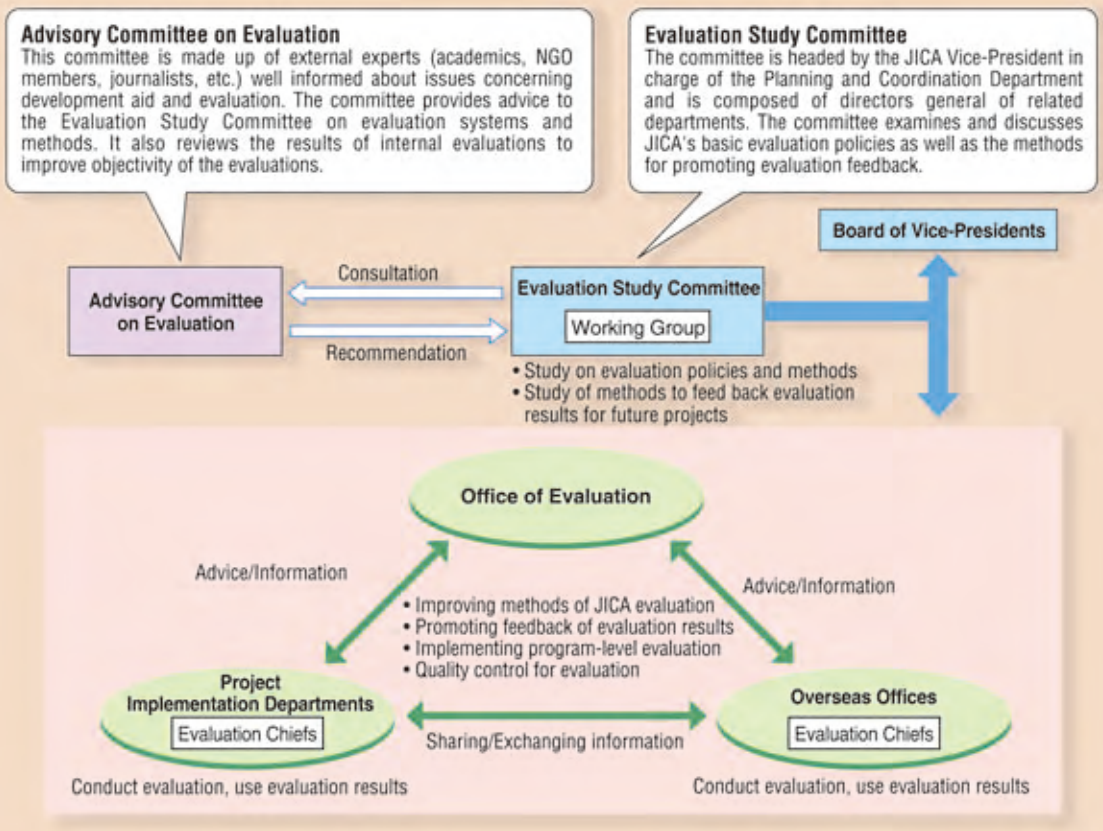
(4) Evaluation System

JICA's current evaluation system is composed of the Evaluation Study Committee, the Advisory Committee on Evaluation, Office of Evaluation, and the project implementation departments (headquarters and overseas offices). Major roles and activities of each group are shown in Figure 1-3.

Table 1-1 Perspectives of Five Evaluation Criteria

Relevance	"Relevance" questions integrity and necessity; whether the project purpose meets the needs of the intended beneficiaries; whether it is consistent with the partner country's policies and Japan's aid policies; and whether the project approach is approapriate.
Effectiveness	"Effectiveness" questions whether the project purpose has been achieved to benefit the beneficiaries and target societies.
Efficiency	"Efficiency" questions whether input resources have been utilized effectively, mainly by focusing on the relationship between the costs and outputs.
Impact	"Impact" questions long-term effects and ripple effects brought by the implementation of a project, including the achievement level of the overall goal and unintended positive and negative effects.
Sustainability	"Sustainability" questions whether the effects achieved in the project are sustained even after the completion of cooperation.

Figure 1-3 JICA's Evaluation System



1-2 Efforts for Expanding and Enhancing Evaluation

(1) JICA's Efforts for Expanding and Enhancing Evaluation

Recently, the situation surrounding JICA activities has been changing greatly as a result of ODA reform and JICA's new status as an independent administrative institution. Under such circumstances, JICA has made various efforts in order to operate effective and efficient projects, as well as execute accountability. In particular, in fiscal 2005, the authority for project management was largely delegated to overseas offices, and a new system in which overseas offices can implement projects on their own initiative was introduced. In addition, the program approach that combines cooperation projects strategically was enhanced.

As part of such efforts, JICA has worked to expand evaluation as follows.

◆Consistent evaluation from the ex-ante to ex-post stages

In order to implement projects effectively and efficiently, JICA reviews project plans and improves management through continuous evaluations at various stages of the project cycle, such as before, during, at the end of, and after the implementation of the project. Additionally, in order to achieve better planning and operation of similar projects in the future, the lessons obtained from the evaluations are fed back. To run the evaluation system along with the cycle of a project appropriately, JICA has developed various guidelines in relation to evaluation and provided training to people involved in projects to improve their evaluation capacity. Also, to promote feedback of lessons, various efforts have been made, such as sharing good practices that are successful cases in project improvement utilizing evaluation results.

◆Evaluation covering various activities

JICA has various cooperation modalities other than Technical Cooperation Projects, including the Disaster Relief Program and the Volunteer Program. Since those modalities are different from Technical Cooperation Projects in nature, the same evaluation method cannot be applied. Accordingly, starting with the development of evaluation methods that suit the character and implementation procedure of each modality, JICA has made efforts to introduce systematic evaluations. Other efforts have been made for the development and improvement of evaluation methods to make evaluation more useful. Included are the introduction of program evaluation in response to the strengthening of program approach that has been promoted recently in JICA, and research into methods of participatory evaluation in the midst of a focus on assistance directly reaching people.

◆Securing transparency and objectivity in evaluation

In order to secure transparency and objectivity in evaluation, outside views are critical. Accordingly, JICA promotes evaluation by third parties by involving more external experts in evaluation study. On the other hand, project evaluation is generally conducted by JICA as internal evaluation. Internal evaluation has merits; for example, evaluation based on accurate understanding of actual situations is possible and the evaluation results can be fed back easily to the decision-making process for the future. However, transparency and objectivity may not necessarily be secured when compared to external evaluation. In response, the Advisory Committee on Evaluation has conducted secondary evaluation, paying attention to ensuring transparency and objectivity in the results of internal evaluation. Additionally, JICA discloses the results of evaluation by third parties in a timely manner by uploading the reports to its website and including them in its Annual Evaluation Reports and other publications, as well as holding open seminars.

(2) Consistent Evaluation from the Ex-ante to Ex-post Stages

1) Upgrading Evaluation System

In order to promote results-based management, JICA has been working to establish a consistent evaluation system from the ex-ante to ex-post stage. Since the introduction of ex-ante evaluation in fiscal 2001, JICA has come to examine the needs and adequacy of the project plan vis-à-vis the expected outcomes before the launch of the project. JICA also introduced the ex-post evaluation in fiscal 2002 primarily to evaluate whether the effects have been sustained and long-term and indirect effects have been generated a certain period of time after the completion of the project. By adding these two evaluations to the existing mid-term and terminal evaluations*, a consistent evaluation system was completed that covers the entire project cycle**.

As a result of the establishment of such an evaluation system, it is possible to monitor and evaluate with regard to what effects the project has generated in various stages of the project cycle such as before, during, at the end of, and after the implementation of the project. At the same time, JICA continues its efforts to implement cooperation projects more effectively by analyzing contributing and inhibiting factors to the achievement of the expected outcomes and reviewing project plans and improve project management.

As part of the establishment of such a system, the JICA Evaluation Handbook: Practical Methods for Evaluation, which was revised in fiscal 2003, included detailed explanations for easy on-site application in evaluations at each stage, from ex-ante to ex-post. Also, for proper monitoring and evaluation of projects, methods for selecting outcome indicators to measure the achievement of outcomes was compiled into the Handbook for Selecting Outcome Indicators: A Guide to Practical Evaluation of Technical Cooperation in fiscal 2005.

2) Improving Evaluation Capacity

Along with the introduction of a consistent evaluation system

* See p. 11 of this chapter for the definition of evaluation at each stage.

** See Figure 1-2 "Position of Evaluation within JICA's Project Cycle."

from the ex-ante to ex-post stage and the expansion of evaluation coverage, both the type and number of evaluations have increased significantly in recent years. To respond to such situations and carry out high-quality evaluation, JICA has worked to improve its evaluation capacity. In order to implement projects that meet the needs of developing countries, the operation system in which overseas offices can independently implement projects was established in fiscal 2005 by largely delegating authorities regarding project operation to overseas offices. Meanwhile, overseas offices have come to conduct evaluation consistently from the ex-ante to ex-post stages, requiring further improvement of the evaluation capacity of overseas offices.

From the viewpoint of using evaluation results for project implementation, evaluations of JICA's projects are conducted mainly by the departments and overseas offices involved in project implementation (hereinafter, the project implementation departments) with support and supervision provided by the Office of Evaluation in the Planning and Coordination Department. In order to reinforce such an evaluation system, JICA introduced an evaluation chief system in fiscal 2003. Under this new system, evaluation chiefs are assigned to manage the quality of evaluations and promote effective feedback of evaluation results in each project implementation department. JICA provides these evaluation chiefs with practical training and case studies (BOX 1). Now a system has been established in which evaluation chiefs at each office play key roles in securing evaluation quality, especially when overseas offices conduct evaluation.

In the ex-post evaluation system for individual projects introduced in fiscal 2002, as a rule, overseas offices are in charge of conducting ex-post evaluation. When overseas offices conduct ex-post evaluation for the first time, local seminars are held to improve the local evaluation capacity and disseminate the evaluation methodology. As a result of these efforts, approximately 80% of all the overseas offices had conducted ex-post evaluation for individual projects by fiscal 2005, a big increase compared to the time when the system was introduced.

In parallel with these efforts, teaching materials and documents have been developed to strengthen the evaluation capacity of overseas offices. The guidelines have been translated into various languages, and materials for distance training have been developed. These materials are continuously uploaded on the website so that they can be widely utilized by the people concerned both inside and outside JICA.

3) Strengthening Feedback of Evaluation Results

In order to improve projects by utilizing evaluation results, it is important to reflect recommendations obtained from evaluations in the stages from ex-ante to ex-post immediately on the planning and management of a project. At the same time, it is also important to utilize lessons obtained from projects in the past in planning and managing new projects. JICA has made various efforts to strengthen such feedback of evaluation results to projects.

First, a questionnaire survey was conducted targeting the project implementation departments to investigate the current situation surrounding the use of evaluation results as well as identify tasks for promoting feedback. As a result, the following tasks for promoting feedback were revealed*.

a: Developing a feedback mechanism
b: Improving accessibility to evaluation results
c: Improving the quality of evaluation results and providing user-friendly information
d: Improving recognition and awareness of evaluation

Based on the above study results, JICA has taken the following actions to promote use of evaluation results since fiscal 2003. In response to task a (developing a feedback mechanism), spaces where information has to be filled in with regard to the utilization of lessons learned from similar projects in the past were added to the ex-ante evaluation document for the purpose of introducing a mechanism referring to evaluation results in the operation process. For task b (improving accessibility to evaluation results), more evaluation results have been posted on the website and user-friendly lessons and recommendations were drawn out from

BOX 1 Evaluation Chief Training—For Improvement of JICA's Evaluation Capacity

The Office of Evaluation has provided training to evaluation chiefs assigned to each project implementation department in order to improve evaluation quality and promote the feedback of evaluation results in each department by providing information about new evaluation efforts and evaluation methods and improving their evaluation capacity. In fiscal 2004, 84 evaluation chiefs at JICA headquarters completed the evaluation chief training. The training was also delivered to 10 overseas offices via video conferencing systems.

As the number of evaluations conducted independently by overseas offices has increased in recent years, following the trend of enhancing the authority of overseas offices, various special efforts have been made to improve the capacity of evaluation chiefs at overseas offices. For example, JICA is planning distance training programs for overseas offices via video conferencing facilities. The programs include an explanation of project evaluation methodology and supervision using the JICA Evaluation Handbook, and the concepts about setting evaluation indicators and clear outcomes using the Handbook for Selecting Outcome Indicators. A practical workshop is also included for evaluation supervision and the formulation of ex-ante evaluation tables using the examples of past projects.

* The detailed study results are provided in Annual Evaluation Report 2003 (Chapter 2, Part 2) and Annual Evaluation Report 2004 (Chapter 3, Part 1). Annual Evaluation Reports are available on the Evaluation page on JICA's website (http://www.jica.go.jp/).

eveluation results in the past to be compiled as a database. Corresponding to task c (improving the quality of evaluation results and providing user-friendly information), JICA worked to improve quality by revising guidelines and conducting evaluation training. JICA also carried out a synthesis study by sector and issue to extract user-friendly systematic lessons and a synthesis study of ex-post evaluation of individual projects to extract lessons for implementation of projects with sustainable effects*. In addition, the lessons learned from the evaluation results of past projects were reflected in a Thematic Guideline in which the cooperation direction and important points for JICA activities in relation to major development issues are systematically compiled. Finally, for task d (improving recognition and awareness of evaluation), various evaluation training programs are carried out to improve the recognition and consciousness of evaluation. At the same time, good practices utilizing evaluation results for project improvement were shared to increase incentives for using evaluation results within the organization.

In this way, JICA has been making various efforts so that many persons in charge can actively utilize the evaluation results to improve their operation.

(3) Evaluation Covering Various Activities

1) Introduction of Evaluation to Various Activities

JICA has various cooperation modalities other than Technical Cooperation Projects and Development Studies in developing countries. For example, the Disaster Relief Program provides personnel assistance and emergency relief supplies in the wake of major natural disasters overseas; and the Volunteer Program aims to promote mutual understanding through public participation in international cooperation. Due to differences in nature, it is difficult to apply the evaluation method for Technical Cooperation Projects to these modalities as it is. Accordingly, JICA has worked to introduce systematic evaluation, including development of evaluation methods that suit the natures of the modalities and operational characteristics.

Japan Disaster Relief Teams under the Disaster Relief Program are comprised of three teams. The rescue team mainly searches for missing people, rescues victims, and provides first aid. The medical team provides or assists in medical treatment. And the expert team provides technical guidance on the best way to prevent the spread of the disaster. Specific evaluation guidelines have been established for the Disaster Relief Program with consideration given to the peculiarities and assistance forms of the

BOX 2 Introduction of Evaluation to Various Activities—Volunteer Program

Following the introduction of evaluation in the Volunteer Program, JICA has been conducting a questionnaire survey targeting various people involved in the program since fiscal 2004. The results were compiled as the mid-term report in April 2006, which is available on JICA's website. (http://www.jica.go.jp/)

[Questionnaire Target]

- Volunteers dispatched to developing countries
- Host organizations in developing countries where volunteers are dispatched (supervisors and colleagues of volunteers, etc.)
- People indirectly benefiting from volunteer's activities in developing countries (beneficiaries)
- Families and colleagues in Japan who receive information from volunteers
- Repatriated volunteers in Japan

[Results summary of the survey]

The questionnaire survey results were analyzed from the following three viewpoints of evaluation: (1) contribution to social and economic development and reconstruction in developing countries; (2) promotion of friendly relations and mutual understanding between Japan and developing countries; and (3) sharing of volunteer experiences with society. Findings are as follows.

(1) Contribution to social and economic development and reconstruction in developing countries

Host organizations where volunteers are dispatched and beneficiaries rated generally high on this point. The keys to successful activities chosen by host organizations, beneficiaries, and volunteers most often were "amicable relationships" and "adaptation to the local culture and customs." And the most highly rated impact derived from activites was the successful transfer of Japanese working attitude and perspective to those concerned rather than technical improvement.

(2) Promotion of friendly relations and mutual understanding between Japan and developing countries

"Japanese attitude toward work and duties," "Japanese lifestyle and way of life" and "Japanese technology and systems" were rated highest, respectively, as the points where understanding was best facilitated in developing countries. It was also found that many families and colleagues in Japan understood more about the countries where volunteers were dispatched, and also became interested in the volunteer activities themselves through the information sent by the volunteers.

(3) Sharing of volunteer experiences with society

While many volunteers evaluated that they became more positive by participating in the Volunteer Program, only 60% felt that participation in the volunteer program contributed to their own technical improvement or affected their career opportunities. Nearly 90% of repatriated volunteers participated in activities to introduce their experiences in developing countries and international cooperation to the public after their return to Japan. It turns out that many repatriated volunteers are sharing their experiences with society.

In the future, JICA will carry out questionnaire surveys targeting aid-recipient organizations in developing countries and the Japanese public, and promote synthesis analysis by compiling past survey results.

* The detailed study results are provided in Chapter 2, Part 2 of this report.

emergency response program. The evaluation method for the rescue and medical teams was established in fiscal 2002 and developed into the Japan Disaster Relief Team Evaluation Guidelines: STOP the Pain*. And the Japan Disaster Relief Expert Team Evaluation Guidelines: LOCK the Pain (to lock out the pain of victims of disaster) was developed in fiscal 2003 by examining the evaluation method for the expert team**. Based on these evaluation guidelines, evaluations on emergency assistance activities have been conducted since fiscal 2004 in the wake of many major disasters such as the Iran earthquake, the Sumatra earthquake and Indian Ocean tsunami, and the earthquake on the island of Nias, Indonesia. In addition, third-party evaluation by experts is in progress for the earthquake that struck Pakistan in October 2005.

Meanwhile, JICA started to develop evaluation methods for the Volunteer Program after clarifying the characteristics of the program starting in fiscal 2002. The Volunteer Program is evaluated from three viewpoints as it has three objectives, namely, contributions to social and economic development and reconstruction in developing countries, promotion of friendly relations and mutual understanding between Japan and developing countries, and sharing volunteer experiences with society back in Japan. Accordingly, projects are evaluated from these viewpoints. Based on this framework, evaluation was introduced to the Volunteer Program in fiscal 2004 and mid-term report was completed in April 2006 (BOX 2). Using the same framework, a synthesis study on the cooperation effects of the Japan Overseas Cooperation Volunteers (JOCV) Program in the past 10 years in Malawi, Vanuatu, and Honduras was carried out as a thematic evaluation in fiscal 2005.

2) Examination of Methodology of Participatory Evaluation

Recently, based on the perspective of human security, more JICA projects have adopted the cooperation approach for assistance reaching local people directly. In this regard, it is critical to involve the targeted community in order to provide effective project implementation. Appropriate evaluation methods for this approach also have to be examined in order to identify measures for implementing effective projects.

In fiscal 2001, in order to promote cooperation and mutual learning with NGOs in the evaluation field, JICA set up the NGO-JICA Evaluation Subcommittee, consisting of members of NGOs and JICA (Table 1-2). It has been examining evaluation methods suitable for grassroots cooperation that directly reaches local communities (BOX 3). In fiscal 2005, the subcommittee presented appropriate viewpoints when evaluating projects adopting a community participation approach and drew out lessons learned for effective project implementation through evaluation***.

In fiscal 2006, Thematic Evaluation on Community Participation (Phase 2) is being carried out, assessing activities of both NGOs and JICA using these viewpoints based on the characteristics of both cooperations. It aims to suggest more effective evaluation methods by further examining and improving the evaluation viewpoints in order to feed back the evaluation results of

BOX 3 Cooperation with NGOs—Aiming for Effective Implementation of Community-centered Development

Thematic evaluation on Community Participation (fiscal 2005) targets cases of JICA's Technical Cooperation Projects that adopt a community participatory approach. In order to identify specific activities in each project and viewpoints required when evaluating these projects, lessons for more effective projects were drawn out.

The evaluation seminar for the evaluation study was conducted in May 2006. The evaluation results were reported to the general public (part I) and a panel discussion was held with the participation of external experts regarding issues and recommendations for more effective project implementation adopting the community participatory approach (part II). Approximately 120 people from NGOs and universities, including development consultancy firms and students, participated in this seminar and held active discussions.

In the seminar, a question was raised about the differences between the community participatory approaches of NGO and JICA, and opinions were expressed that there are various differences such as the positioning of local residents, period of intervening communities, selection of target countries and areas, and utilization of local resources (in-house resources). With regard to a question about what the respective strengths of NGO cooperation and JICA cooperation are, an NGO panelist pointed out that NGOs can provide mid- and long- term cooperation by understanding the needs of citizens more closely, while JICA explained that they have a greater advantage in enhancing the collaboration between the administration and communities and spreading cooperation effects widely. A suggestion was made that the NGO-JICA partnership should be enhanced by utilizing both characteristics in the future.

Evaluation seminar

* STOP stands for the four evaluation criteria: Speed, Target groups, Operation and Presence.

** LOCK stands for the four evaluations criteria, Lead, Operate, Contribute, and Known, which emerged after taking into account the differences between rescue and medical teams.

*** The summary of study results are provided in Chapter 1, Part 3 of this report.

Table 1-2 Members of the NGO-JICA Evaluation Subcommittee

NGO	
Atsuko Isoda	Japan International Volunteer Center/Kagawa Nutrition University
Toshio Shirahata	SHAPLA NEER=Citizens' Committee in Japan for Overseas Support
Shunsuke Suzuki	AMDA
Hiroshi Tanaka	The Institute for Himalayan Conservation
Toyokazu Nakata	i-i-network, Research and Action for Community Governance
Makoto Nagahata	Kansai NGO Council
Kazushi Hojo	Aspiring Citizens for Community Empowerment with Sunny Smile (ACCE)
Yoshie Muramatsu	CARE International Japan
JICA	
Kazunori Miura	Office of Evaluation, Planning and Coordination Department
Akihisa Tanaka	Office of Evaluation, Planning and Coordination Department
Rina Hirai	Office of Evaluation, Planning and Coordination Department
Yuichi Ichikawa	Office of Evaluation, Planning and Coordination Department
Yoshiharu Yoneyama	Administration Team, Regional Department I (Southeast Asia)
Makiko Iwasaki	Administration Team, Regional Department I (Southeast Asia)
Fumio Imai	Office of Citizen Participation, Training Affairs and Citizen Participation Department
Yuko Katsuno	Office of Citizen Participation, Training Affairs and Citizen Participation Department

(As of October 2006)

community participatory projects to the planning and implementation of similar projects in the future cooperation programs.

3) Introduction of JICA Program Evaluation

JICA is working to strengthen its program approach, which strategically combines projects across modalities or sectors to further raise the effects of cooperation in solving problems in developing countries. In concrete terms, planning and budget control in the program unit have been introduced, thus upgrading project management systems with programs in mind.

As a part of such efforts, in order to develop methods when evaluating JICA programs, JICA has introduced a program evaluation method* that incorporates the following three points, based on JICA's country program evaluation and research into methods of major donor agencies.

a. In order to evaluate the relevance of cooperation as a means to raise effects for solving problems, not only consistency of the partner country's strategy with JICA's program, but also the priority and positioning in the strategy of the partner country are examined.
b. In evaluating a JICA program, consistency and relations among constituent elements of the program are examined with a focus on its strategic characteristics as well as accumulation of individual project implementation.
c. Evaluation is made using the concept of "contribution" based on cooperation and collaboration among the partner country, Japan, and other donor countries and agencies.

From fiscal 2005 to 2006, a series of program evaluations on the basic education program in Honduras, education programs in Viet Nam and Malawi were carried out as a trial, working on further improvement of the method. In fiscal 2006, four JICA programs are being evaluated as part of continuous efforts to introduce the program evaluation.

4) Participation in Joint Evaluation with Other Donor Countries and Agencies

Some of JICA's evaluations are carried out jointly with other donors such as bilateral cooperation organizations and international agencies. As shown in the movements surrounding Millennium Development Goals and Poverty Reduction Strategy Paper, in recent years, collaboration between donor countries and agencies while respecting the ownership of developing countries has gained more importance in achieving development goals in the international community. Under the circumstances, more evaluations are jointly carried out, and JICA has also participated in joint evaluations with other donor countries and international

BOX 4 Partnership with Other Aid Agencies in Evaluation —Japan Bank for International Cooperation (JBIC)

JICA and the Japan Bank for International Cooperation (JBIC) have been examining the possibilities of partnership in various schemes for the facilitation of further outcomes at each stage of the project cycle. Based on the findings, efforts are being made for the embodiment of the partnership.

Amid such trends, program evaluation on a Regional Development Program for South Sulawesi Province in Indonesia, which JICA conducted in fiscal 2006, aims to verify the impact of JICA's technical cooperation in rural development in the target area, including coordination effects with ODA Loan Program, as much as possible instead of focusing on only JICA's technical cooperation, and to obtain recommendations for this program in the future.

On the other hand, the JBIC evaluation on the promotion of impact of ODA Loan projects in collaboration with JICA, which was conducted in fiscal 2006, extracts the examples of good practice in the ODA Loan Program as well as the effects of partnership with JICA programs such as development study, technical cooperation projects, and dispatch of experts on the yen-loan program. The lessons learned and recommendations for more effective partnership policies and methods are also compiled**.

Through such partnerships, JICA and JBIC will promote efficient and effective project implementation.

* The details are provided in Chapter 3, Part 1 of this report.

** See Evaluation Report on ODA Loan Projects 2006 (Japan Bank for International Cooperation) for the summary of evaluation results.

agencies, such as Canada-Japan Joint Peace-building Learning Project with CIDA and Population and Health sector in the Philippines under JICA/USAID Collaboration, Joint Evaluation of External Support to Basic Education in Developing Countries, which was comprised of the members of the evaluation network of OECD-DAC (Organisation for Economic Co-operation and Development, Development Assistance Committee).

Through participation in joint evaluation, evaluation from larger standpoints such as positioning and effects of Japan's cooperation in a global framework has become possible, and at the same time, lessons obtained through evaluation can be mutually shared and utilized. Furthermore, joint evaluation is considered important from the viewpoint of the promotion of aid coordination (BOX 4).

(4) Securing Transparency and Objectivity in Evaluation

1) Establishment of the Advisory Committee on Evaluation

In fiscal 2002, JICA established the Advisory Committee on Evaluation (Table 1-3), which included external experts from universities, NGOs, and international organizations. The committee has provided JICA with a broad range of recommendations and proposals to enhance evaluation systems, evaluate new target schemes, and improve methods for feeding back and disclosing evaluation results.

Every year since fiscal 2003, the results of terminal evaluations conducted by JICA have been examined in the Advisory Committee on Evaluation. This is a process in which external experts add verification to secure the objectivity of internal evaluation conducted by JICA. It is called secondary evaluation. The evaluation identifies issues and proposals on future tasks concerning planning and management of projects, implementation methods and reporting of evaluation, and evaluation systems. In fiscal 2006, field surveys were conducted by the Advisary Committee on Evaluations for projects subjected to secondary evaluation in the past in order to verify the appropriateness of the results of the secondary evaluation as well as to examine what needs to be improved in JICA's project evaluations*.

Taking these recommendations from the Advisary Committee on Evaluation as mentioned above into account, JICA has made various efforts to improve and expand project evaluations.

2) Promoting Evaluation by Third Parties

JICA promotes external experts' participation in its evaluation not only to increase objectivity and transparency, but also to improve the quality of evaluation through use of their expertise.

Evaluation by external experts (primary evaluation) is effective in drawing lessons based on their expertise and ensuring objectivity. Therefore, some program-level ex-post evaluations such as thematic evaluation in the sectors or issues requiring high specialty are entrusted to external organizations such as universities, research institutes, academic societies, private consultancy firms, and NGOs inside and outside of Japan, which are extensively familiar with the area or issue concerned. In fiscal 2005, thematic evaluations on Economic Partnership and South-South Cooperation were contracted out to external organizations**.

In addition to primary evaluation by third parties, JICA actively promotes secondary evaluations of internal evaluation conducted by JICA in order to secure objectivity based on external viewpoints. JICA carries out secondary evaluation by the

Advisory Committee on Evaluation

Table 1-3 Members of the Advisory Committee on Evaluation

Chairperson:

Hiromitsu Muta:
Professor of Human Resource Development & Dean, Graduate School of Decision Science and Technology, Tokyo Institute of Technology

Committee Members:

Atsuko Aoyama:
Professor, Department of International Health, School of Medicine, Nagoya University

Kiyoko Ikegami:
Director, UNFPA Tokyo Office

Atsuko Isoda:
Vice-President, Japan International Volunteer Center;
Professor, Faculty of Nutrition, Kagawa Nutrition University

Tsuneo Sugishita:
Professor, Faculty of Humanities, Ibaraki University

Masafumi Nagao:
Professor, Center for the Study of International Cooperation in Education, Hiroshima University

Hiroshi Nakayama:
Manager, Asia Group, International Cooperation Group, International Cooperation Bureau, Nippon Keidanren (Japan Business Federation) (until June 2006)

Kaoru Hayashi:
Professor, Faculty of International Studies, Bunkyo University

Kanji Hayashi:
Manager, Asia Group, International Cooperation Group, International Economic Affairs Burean II, Nippon Keidanren (Japan Business Federation) (since June 2006)

Koichi Miyoshi:
Professor, Graduate School of Asia Pacific Studies, Ritsumeikan Asia Pacific University

* The detailed study results are provided in Chapters 2, Part 4 of this report.

** The detailed study results are provided in Chapters 2 and 3, Part 3 of this report.

Advisory Committee on Evaluation every year as described in the above 1). Additionally, external experts in developing countries conduct secondary evaluation on the reports of project-level ex-post evaluation prepared by overseas offices and make comments regarding the quality of evaluation (BOX 5). And for program-level ex-post evaluation such as thematic evaluation, secondary evaluation by external experts as the third party has been adopted.

In addition, JICA makes efforts to gain expert knowledge and increase transparency by having external experts in the target sectors or issues participate in thematic evaluation. Several external advisors have been appointed to take part in almost all the program-level evaluations such as thematic evaluations since fiscal 2003.

3) Enhancing Disclosure System of Evaluation Results

Timely and sound disclosure of evaluation results is an essential part of JICA's efforts to ensure accountability. JICA discloses all the evaluation reports and uploads evaluation results in a timely manner on its website.

For the website in particular, the contents have been greatly enriched in recent years. Summaries of evaluation results of individual projects, program-level evaluation reports including thematic evaluation, Annual Evaluation Reports, and project evaluation guidelines are posted. At the same time, the English website is enriched with evaluation training textbooks that have been posted alongside the above items. The monthly average access number visiting the evaluation page of the website in fiscal 2005 was 2,500 for the Japanese site and 1,700 for the English site.

In addition to enhancement of the website, JICA holds evaluation seminars open to the general public as a method for broadly disclosing evaluation results. In the evaluation seminars, JICA transmits information widely at the stage when major evaluation results are obtained, and receives opinions from participants as well.

In fiscal 2005, open seminars for the Thematic Evaluation on Economic Partnership, the Thematic Evaluation on Volunteer Program, and the Synthesis Study of Evaluation in Higher Education were held in Japan. A wide variety of participants, including aid-related parties, scholars from universities and research institutes, consultants, and NGO staff, held active discussions at these seminars. In addition, local seminars were held in the four evaluation target ASEAN countries (Indonesia, Thailand, the Philippines, and Malaysia) on the Thematic Evaluation on Economic Partnership, thus providing feedback of the evaluation results to approximately 180 participants from developing countries and the aid-related parties. As part of an additional effort, the summary of each evaluation results summary (flier) was developed and published along with the report. The summary was distributed to a wide variety of people at seminars and other opportunities.

JICA continuously strives to disclose evaluation results in a fast and easily understandable manner.

BOX 5 Secondary Evaluation by External Experts

Ex-post evaluations conducted in fiscal 2005 went through third-party reviews by external experts, called secondary evaluation, as in previous years. For example, the ex-post evaluation of the project on the Research Center for Communication and Information Technology (ReCCIT), King Mongkut's Institute of Technology, Ladkrabang (KMITL), the Kingdom of Thailand, which was conducted by JICA Thailand office, was contracted out as a secondary evaluation to experienced local scholars. As a result, comments such as the following were obtained.

[External experts]

Dr. Kanokkan Anukansai, Lecturer at National Institute of Development Administration (NIDA), Thailand and Burapha University

[Summary results of secondary evaluation]

This evaluation produced interesting results but some critical questions remain. Some parts of the evaluation results require more elaboration and more information.

- ◆ Unanticipated positive impact, shown in the report, successfully described how the ReCCIT's roles and capabilities have been recognized by both domestic and international communities. In addition, the question of quality of the graduates needs to be raised and answered. Are their qualities acceptable to the telecommunications industry? Do the knowledge and skills they acquired in the ReCCIT fit the needs of their positions? Have the clients been satisfied with the quality of consultancy service of the ReCCIT?
- ◆ If we assume that Thai universities are being transformed into autonomous bodies, about 90% of the project budget is from external sources. More details about the expenses should be given in order to shed light on how the ReCCIT budget has been unilized, mostly for personnel remuneration and salary or for equipment or future investment for the institution. The expense structure will reveal the circumstances of financial sustainablility.

Chapter 2 Improving JICA's Cooperation Using Evaluation Results

The primary objectives of project evaluation conducted by JICA are to ensure accountability to the people, utilize evaluation results as a tool for project management by feeding them back into projects, and enhance learning among the parties concerned. With these objectives, JICA deems it important to share and accumulate good practices within the organization using evaluation results in the course of improving projects through feedback.

As part of its effort, JICA, in fiscal 2004, conducted a questionnaire study on good practices using evaluation results to select excellent cases that utilized evaluation results for project improvement and share and accumulate them within the organization. In fiscal 2005, JICA conducted a case study on thematic task forces consisting of cross-department members engaged in organizational efforts toward utilization of evaluation results. As a result of the studies, the following patterns in the utilization of evaluation results have been identified.

a. Utilization for planning and operation of individual projects
b. Utilization for the formulation of cooperation policies by sector and issue
c. Utilization for improving systems for project implementation
d. Sharing and systemization of knowledge and experiences for project improvement

In fiscal 2006, as it did in the preceding year, JICA conducted a case study to share and accumulate information within the organization about good practices in using evaluation results. As the analysis in fiscal 2005 reported on many good practices in utilizing lessons, this year placed a particular focus on the utilization of recommendations obtained from evaluation results to analyze how recommendations made in the mid-term and/or terminal evaluations are utilized subsequently.

The case study targeted project implementation departments responsible for formulating and implementing technical cooperation projects and development studies. Each department conducts mid-term and/or terminal evaluation to improve project operation in the course of operating an individual project. For example, mid-term evaluation is conducted in the middle of a project for the primary purpose of improving the ongoing project. Terminal evaluation is conducted right before the end of cooperation to summarize as recommendations measures to be done by the end of the cooperation and points to address when continuing the project after the cooperation is completed. Utilization of recommendations obtained from the results of evaluation including mid-term evaluation can be divided into two types (Figure 1-4).

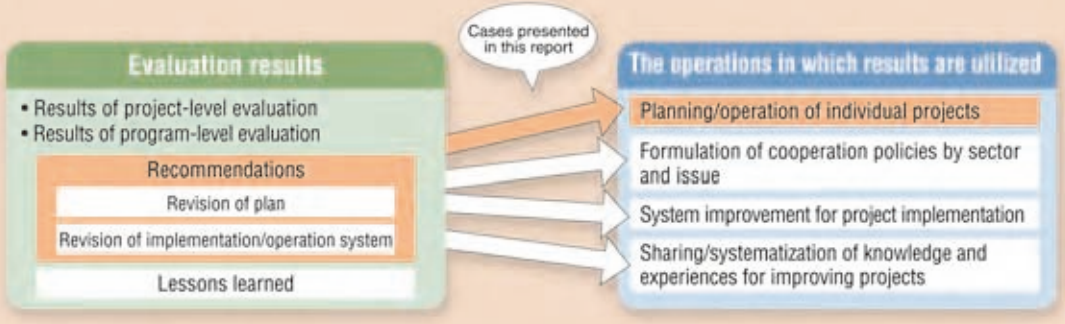
(1) Revision of Project Plan

Necessary revision of a project plan is made based on recommendations from evaluation results; for example, identifying and clarifying unclear parts in the initial plan, which are found in the process of project activities, and reflecting measures found necessary in the plan due to changes surrounding a project.

(2) Revision of Project Implementation/Operation System

Recommendations are utilized as concrete measures in the case where a project doesn't progress as planned due to problems in the project implementation/operation system and/or project implementation/operation system needs to be further strengthened. For example, some projects utilized recommendations induced from the evaluation results to improve situations, such as how the coordination among multiple implementing agencies can be strengthened and what kind of measures can be executed

Figure 1-4 Patterns of Utilization of Evaluation Results



in order to sustain implementation/operation system after the cooperation is completed.

The following sections introduce cases of feedback of recommendations identified in the study.

2-1 Cases of Utilization of Recommendations Obtained from Evaluation Results

(1) Revision of Project Plan

1) Health

The Project for Strengthening Regional Health Network for Santa Cruz Prefecture in Bolivia launched for five years starting in November 2001 with the aim of strengthening the regional health system to provide appropriate health services to people living in the model areas in Santa Cruz Prefecture. After the project started, however, the government and health administrative divisions within Santa Cruz Prefecture, the target area, were reorganized and personnel relocations in administrative organizations and medical facilities repeated because of the change of government. Due to these changes, it was difficult for the project to provide activities to all the 68 health centers in the project areas and the project activities were limited until the middle of the project.

Consequently, the mid-term evaluation conducted in the end of fiscal 2004 recommended that the project should revise its plan according to the conditions of the activities up to that time and prioritize activities that are essential and feasible to achieve the outputs. In response, they discussed with the Bolivian side the details of the activities and target values and it was decided that activities would be intensified to 16 health centers, which are relatively large in each area, as model centers. As a result, this project brought about favorable outputs such as achieving the target values of growth and development checkups at the end of the project. The terminal evaluation judged that provision of health services with local people became more appropriate and this cooperation was completed as initially planned.

The health committee members explaining the importance of maternal feeding at a health center (Bolivia)

The Project for the Development of Human Resources in Health in Senegal, which aimed to enhance the training system of health workers in the primary health system, started in November 2001. In this project, different implementing agencies took charge of various issues such as capacity strengthening of health worker training schools, improvement of the existing in-service training system for nursing staff involved in the primary health system, and establishment of a training system of regional health volunteers. In addition, the target "health workers in the primary health system" stated in the project objective was so abstract that the implementing agencies had some difficulties in sharing a concrete image of the target. Under such situations, by the middle of the project, each implementing agency had been working for a different target according to its own priority without sufficient coordination among the implementing agencies.

In order to improve such situations, the mid-term evaluation presented recommendations that the project should set chiefs of the health posts* (ICPs) that are the common target of all the activities as project target and that the implementing agencies should work intensively on educating ICPs in order to achieve the project objective. It was also recommended that inter-division meetings at the working level of the project should be held for information sharing on a regular basis.

In the latter half of the project, based on these recommendations, outputs made by each division in the former half were effectively utilized mutually to educate ICPs, thus generating synergy effect. Such improvements brought about favorable outputs in each activity in the terminal phase of the project, and the terminal evaluation concluded that the project objective was achieved.

2) Natural Environment Conservation

Due to its unique coastal wetland ecosystems, the Yucatan Peninsula in Mexico is globally known as an important site for natural environmental conservation. Coastal Wetland Conservation in the Yucatan Peninsula was launched in March 2003 as technical cooperation with the aim of conservation, restoration, and sustainable use of the coastal wetland in Ria Celestun Biosphere Reserve in the northwest of the peninsula.

The initial plan recognized restoration of the natural environment by planting mangrove trees and reducing the various negative effects from people's lives as one of the project outputs. Thus, as part of its activities, educational activities for local people regarding solid waste treatment had been carried out and draft plans for solid waste treatment were put together by the middle of the project.

The mid-term evaluation conducted in January 2006 highly appreciated the importance of activities related to solid waste treatment. It also set the commitment for appropriate collection and treatment of solid waste as output, which had been regarded as just one of the activities in the initial plan and the project

* Health posts refer to primary health care facilities operated by local health committees. Nurses are usually appointed as the chiefs of health posts (ICPs). Since there are no doctors at health posts, ICPs implement medical examination, treatment, and circulate through the areas they are in charge of by themselves.

decided to further enhance its efforts. On the other hand, although it was noted that waste treatment facilities are necessary, it was also true that the local government of Celestun could not construct the facility solely with its own budget and personnel. Accordingly, the mid-term evaluation study team submitted a request to the Yucatan provincial government for cooperation with the construction of a waste treatment facility.

In response to this request, the Yucatan provincial government made a budgeting decision for the construction of solid waste intermediate treatment facility and built it. This project will provide further assistance so that Celestun city is able to segregate, collect, and treat waste appropriately. Toward the end of the project in 2008, it is expected that appropriate waste treatment will help conserve the precious wetland in the biosphere reserve.

(2) Revision of Project Implementation/Operation System

1) Fishery

In the Project for Promotion of Sustainable Marine Fisheries Resource Utilization in Trinidad and Tobago, the coordination system among stakeholders was revised based on the recommendation presented in the mid-term evaluation.

This project was implemented from 2001 to 2006 as technical cooperation with the aim of implementing extension and training activities for sustainable use of fishery resources. The project worked with three implementing agencies in the partner country, namely, the fishery bureau of Trinidad, the fishery bureau of Tobago, and the Caribbean Fisheries Training and Development Institute, and it covers many technical cooperation fields, including fishing equipment development, marine food processing, marine resources management, and fishery promotion. As coordination among those different technical fields were not so actively implemented from the beginning of cooperation, in the middle of the project, insufficient mutual coordination became obvious and caused problems in that they created an obstacle, particularly for fishery promotion activities.

Consequently, the mid-term evaluation recommended the enhancement of coordination among the different technical fields. Based on this recommendation, efforts for inter-division and inter-organization coordination, what they call linkage work, were made in various activities. For example, when they developed fixed fishing nets suited to the local conditions, the division of fishing equipment development implemented experimental operations to technically improve the function of nets, while the division of fishery promotion conducted fixed fishing net promotion activities to fisherman groups. At the same time, the division of marine resources management collected and analyzed biological data of fish species good for fish catches. Furthermore, they prepared a list that clearly states the role and responsibility of each related division for each activity that required such coordination. As a result of these efforts, stakeholders became aware of effectiveness of the inter-division coordination to enhance the

Tryout operation of fixed nets (Trinidad and Tobago)

cooperative relationships among different organizations. These efforts were also successful in raising their cooperation effect for fishermen. Such synergy effects contributed to producing outputs in each technical field to a certain extent by the end of the project. Accordingly, the terminal evaluation concluded that promotion and training activities for sustainable use of marine resources were well implemented toward the project goal, and the cooperation was completed as initially planned.

2) Support for Persons with Disabilities

In the case of the Project for the National Vocational Rehabilitation Center for Disabled People in Indonesia, a recommendation that the terminal evaluation study made toward the Indonesian government was realized after the project was completed.

This project was implemented with the aim of establishing a vocational rehabilitation system at the National Vocational Rehabilitation Center for Disabled People (NVRC) located on the outskirts of Jakarta in order to increase job opportunities for persons with disabilities. As a result of the five-year cooperation starting in 1997, favorable outputs were achieved along with the initial plan; and graduates of NVRC maintained high employment rates and enjoyed positive evaluations from host companies. Such situations led to the terminal evaluation concluding that the vocational rehabilitation system of NVRC had been established, and the cooperation was completed as planned.

Consequently, the terminal evaluation also presented a recommendation that, in order to secure sustainability, the Ministry of Social Affairs of Indonesia, which is the supervisory agency, should make efforts to strengthen the organization of NVRC. Based on this recommendation, the ministry clearly stated the activities of NVRC in the National Action Plan of the Ministry of Social Affairs for the period of 2004-2013, which was released after the end of the project. According to the ex-post evaluation conducted in fiscal 2005, the governmental action further strengthened the organizational positioning of NVRC and at the same time the government increased a budget for NVRC.

In summary, as a result of utilizing the recommendation, NVRC is being organizationally and financially supported by the

government, and therefore it is expected that this center continues its activities to further increase job opportunities for persons with disabilities.

2-2 Cases of Utilization of Lessons Learned from Evaluation Results

The case study for this year also reported many cases, as it did in fiscal 2005, where lessons learned from evaluation results of past similar projects were reflected in planning/operation of other individual projects. Some cases utilized program-level evaluation results from thematic evaluation, etc., to improve an individual project in a similar context. This section introduces how lessons learned from evaluation results were utilized, as in the last fiscal year. Utilization of lessons learned also can be divided into two types: reflecting on project plans and project implementation/operation systems.

(1) Reflecting on Project Plans

1) Environmental Management

Thematic evaluation conducted in fiscal 2002, "Environmental Center Approach: Development of Social Capacity for Environmental Management in Developing Countries and Japan's Environmental Cooperation," provided recommendations for more effective and efficient environmental cooperation based on the analysis of the environmental center projects that JICA implemented in China, Thailand, Indonesia, and Mexico. The evaluation results showed that these past projects developed satisfactory technical capacity in terms of environmental monitoring and data analysis of monitoring results; however, the contribution to improving the governments' environmental management capacity was limited because the environmental centers in these countries were not entitled to an organizational status that allows them to link their research outputs to environmental policy-making and implementation. This consideration produced a lesson for future projects that says when formulating a new environmental center it needs to be carefully positioned within the environmental administrative organizations of the counterpart country so that it is able to create sufficient impacts.

This lesson was applied to the Project for Capacity Development for Water Environment Conservation in the Metropolitan Area, a technical cooperation project launched in Guatemala in fiscal 2005. This project, which aims to strengthen the implementing capacity of wastewater control administration in the Guatemalan Ministry of the Environment and Natural Resources, utilizes this lesson and addresses capacity development, including planning/implementation of policies/strategies and educational activities for citizens as well as elemental technology transfer that are necessary for wastewater control administration. With such a project design, this project is expected to further support the whole environmental administration of Guatemala.

2) Natural Environment Conservation

In Panama there was a case in which the terminal evaluation results of one project were utilized for planning of a new project.

The government of Panama has been working to conserve its decreasing forests located in the watershed of the Panama Canal by reducing grazing land and increasing afforestation areas. In support of this plan, the Panama Canal Watershed Conservation Project was implemented with the long-term aim of improving land use in the watershed by implementing farmer-participatory afforestation activities, as well as deepening watershed farmers' understanding of the importance of forest conservation. The terminal evaluation conducted in fiscal 2005 concluded that the five-year cooperation brought about sufficient outputs, and the cooperation was completed as planned. At the same time, the evaluation team and the Environmental Agency of Panama, the implementing agency, shared their recognition that it was important to extend and expand activities that can contribute to natural environment conservation in order to sustain these outputs in the future.

In 2006, JICA launched a technical cooperation project for the Environmental Agency of Panama, the Project for Participatory Community Development and Integrated Management of the Alhajuela Lake Sub Watershed. Part of the Chagres River basin, including the Alhajuela Lake located in the east of the Panama Canal, was certified as a national park, and the Environmental Agency has been making efforts to conserve the natural environment. However, conservation was not so successful because people who live in this area carry out production activities such as slash-and-burn agriculture. With such a background situation, the government of Panama made a request to Japan for technical cooperation with the aim of establishing a mechanism that can harmonize the watershed conservation of the target area with the agricultural and forestry production activities of the local people.

When launching the project, establishment of a system for promoting project output, which was not included in the initial request, was set out as one of the core parts of the cooperation as the Environmental Agency of Panama itself understood the importance of the lesson obtained from the above mentioned Panama Canal Watershed Conservation Project. The Environmental Agency of Panama is going to take the initiative in considering and developing a promotion system in view of the situations of human resources and the budgets of the Environmental Agency and other related organizations. By utilizing the terminal evaluation results of other projects, this project foresaw the post-project future and successfully incorporated the exit strategy into the project scheme from the start in order to secure sustainability.

(2) Reflecting on Project Implementation/ Operation System

1) Electric Power

An ongoing development study in Viet Nam, the Study on Technical and Safety Standards for the Electric Power Industry, utilized a lesson obtained from the past technical cooperation project in Laos, the Project on Electric Power Technical Standard Establishment.

The Lao project was cooperation conducted for three years starting in 2000 with the aim of developing human resources capable of developing electric power technical standards. Technical transfer to counterparts went successfully and in the second half of the project, counterparts who were trained in the project drafted electric power technical standards by themselves. Along with this achievement, central and local workshops were held so that stakeholders in the power sector could recognize the technical standards for smooth implementation of the standards. These efforts produced a lesson that indicated the establishment of technical standards need to gather and reflect opinions from a broad range of stakeholders in order to make the standard-making processes beneficial to the whole power sector, including power-related businesses, as well as electric power suppliers and the supervisory agency.

This lesson was utilized at the ex-ante study of the Vietnamese development study. The ex-ante study, which was conducted in December 2005, involved discussion with the Vietnamese government on the scope and contents of the main study, which was scheduled subsequently. In this discussion, the Vietnamese government understood the important lesson from the Lao case and decided to hold workshops throughout the country in the main study. Specifically, upon completion of draft standards, first workshops are planned to gather opinions and comments from a broad range of stakeholders; and then around the time the revision of the draft standards is finalized, the second workshops are held to disseminate the contents of the revised standards to stakeholders.

With these efforts, technical and safety standards on which opinions of stakeholders in the electric power industry are reflected are expected to spread throughout Viet Nam in the future.

2) Agricultural Development

The Project for the Establishment of Mechanism for Agricultural Technology Diffusion and Application to Improve Living Condition of Indigenous and Non-indigenous Small-scale Farmers, launched in Guatemala, aims to establish agricultural technique dissemination systems in three districts in the highland region where many small-scale farmers live. In the project, the dissemination of appropriate agricultural techniques to small-scale farmers is expected to lead to improvements in their livelihood in the future. The following lessons obtained from past projects in Indonesia and Ghana were utilized in this project.

A technical cooperation project, the Project on Strengthening Sulawesi Rural Community Development to Support Poverty Alleviation Programme in Indonesia, which was completed in February 2002, aimed to introduce the concept of participatory rural community development and activate rural economies with development projects using existing resources. This project also aimed to develop an institutional framework of regional administrations in support of those activities. Among these activities, collaboration with the local university in South Sulawesi province resulted in the establishment of a training mechanism for administrators engaged in rural community development and facilitators working in villages. Thanks to this mechanism, favorable outputs from the project were confirmed in the terminal evaluation. This successful experience of cooperation provided helpful ideas for the Guatemalan project, in which the training contents for stakeholders and implementation methods are considered through collaboration with the local agricultural school, etc.

Another lesson utilized in the Guatemalan project is from the Small-scale Irrigated Agriculture Promotion Project, a technical cooperation project conducted in Ghana and completed in July 2004. The project in Ghana aimed to improve the farming system in the irrigation project site under the jurisdiction of the Ghana Irrigation Development Authority (GIDA). Problems with ongoing irrigated agriculture were identified and solutions to these problems and an action plan were formulated in the target irrigated site. The terminal evaluation found that, in these processes, farmers were encouraged to formulate strong motivations for irrigated agriculture by conducting these activities under their own initiative together with support from the GIDA. This case produced a lesson that indicated farmers' initiative is important in order to achieve a successful project: it is important to have farmers as the main actors of development undertake a major role so that they can make action based on their own will and thus become further motivated. Feeding this lesson back, the project in Guatemala incorporates the development of farmer groups in the model villages for their self-sustaining activities.

Workshop for indigenous people (Guatemala)

Chapter 3 JICA Program Evaluation

3-1 Strategic Enhancement of Programs

Recently, JICA has been actively promoting the implementation of projects based on country- and issue-specific approaches in order to raise aid effects. As part of such effort, when introducing Country Programs that summarize aid policies by country (1999), a group of projects that have a common objective were put together under a program*. A program concept helped clarify relationships among individual projects such as technical cooperation projects, development studies, and dispatch of experts, all of which are conducted in the same sector (refer to Figure 1-1, p. 11 for the relationship between project and program).

However, many programs that lack clarity in mid- and long-term cooperation goals or scenarios for achieving those goals have not always been formulated and implemented with sufficient strategies. While international aid trends require cooperation that aims to achieve higher-level goals based on the policy of a partner country through the sector program and coordination among donors, JICA also needs to enhance its program strategy.

Under such situations, JICA redefined program as a strategic framework to support the achievement of mid- and long-term development goals in a developing country in 2006, from which time JICA has been promoting more strategic implementation of projects. A program under the new definition includes three frameworks: (1) establishment of clear cooperation goals in line with a specific development strategy of a developing country and Japan's aid strategy, (2) formulation of a cooperation scenario appropriate for the achievement of goals, and (3) organic combination of a set of projects and collaboration with other development bodies.

3-2 Improvement of Program-level Evaluation

JICA was conducting country-specific evaluation for the purpose of evaluating aid effects on a target country as program-level evaluation, but there was a problem in terms of evaluability (goals and scenario designed for the emergence of development effects were not sufficient), thus requiring improvements in program-level evaluation methods. Various discussions were carried out about program-level aid evaluation methods such as evaluation methods of effects among major donor countries and agencies. Along with the expansion of result-based aid methods and project management and the progress in aid coordination, a movement to review program-level evaluation methods arose. Accordingly, when conducting Synthesis Study: Country Program Evaluation in 2004, JICA analyzed and identified the issues pertaining to the past country program evaluations. At the same time, JICA reviewed the surrounding international trend and the needs for country program evaluations within the organization to discuss methods for more effective evaluation. These discussions revealed that the past country program evaluations, which confirmed consistency between JICA projects and related sectors, did not fully examine the priorities of issues in question, the combination of projects needed for solving issues, and synergic effects attained by the combinations. It also became evident that other aid agencies were shifting their evaluation focus from "attribution" to "contribution" (see 3-4 for details). As a result, the synthesis study recommended evaluation that was conducted based on the following three points.

a. Not only consistency of the strategy of the JICA programs, but also the priority and positioning of the project in the development strategy of the partner shall be examined.
b. Program evaluation does not simply accumulate individual projects, but also assesses coherency and relationships among components of the program with a focus on its strategic aspect.
c. Evaluation shall be conducted using the concept of contribution based on coordination and collaboration with not only JICA projects but also aid schemes of the concerned country and Japan and projects of other donors.

Based on the above-mentioned perspectives, program evaluations were tried out from fiscal 2005 to 2006, namely, Basic Education Sector in Honduras**, Basic Education Expansion Program in Malawi and Primary Education Improvement Program in Viet Nam.

3-3 Implementation of JICA Program Evaluation

Using the evaluation method based on the concept of contribution that was developed through trial program evaluations (see

* At this time, program was defined as a set of projects (or individual projects) that are formulated and implemented under loosely connected common goals and targets.

** The summary of evaluation results of the Honduras program (Basic Education Sector) is included in Annual Evaluation Report 2005 and the whole report is available on the JICA website.

3-4 and 3-5 for details), JICA conducts program evaluation. In fiscal 2006, JICA is conducting program evaluation for Asia, Africa, Middle East and Latin America.

JICA's project evaluation is conducted for the primary purpose of either evaluating the outcomes of the implemented projects and drawing out lessons learned for the future implementation of similar projects, or extracting recommendations regarding the improvement of operational management for ongoing projects. Similarly, JICA's program evaluation is divided into two types: one aims at examining the degree of contribution to development outcomes after the completion of cooperation and feeding back the evaluation results to other JICA programs, and the other aims at evaluating the programs at the middle stage to extract future improvement measures. Many of JICA's ongoing programs are at the stages where cooperation goals, outcome indicators, and cooperation scenarios should be further clarified for strategic enhancement. Accordingly, program evaluations in fiscal 2006 mainly aim at improving ongoing programs.

The following sections, 3-4 and 3-5, will explain the framework and methods of JICA program evaluation.

3-4 Framework of Evaluation

Conventionally, JICA has conducted project evaluation based on the concept of attribution, which seeks to examine precise causal relationships between a specific project provided by an aid agency and changes in development status in the partner country. For example, JICA's project evaluation plans and evaluates the relations from activities and project purpose (activities-outputs-project purpose) based on precise causal relationships.

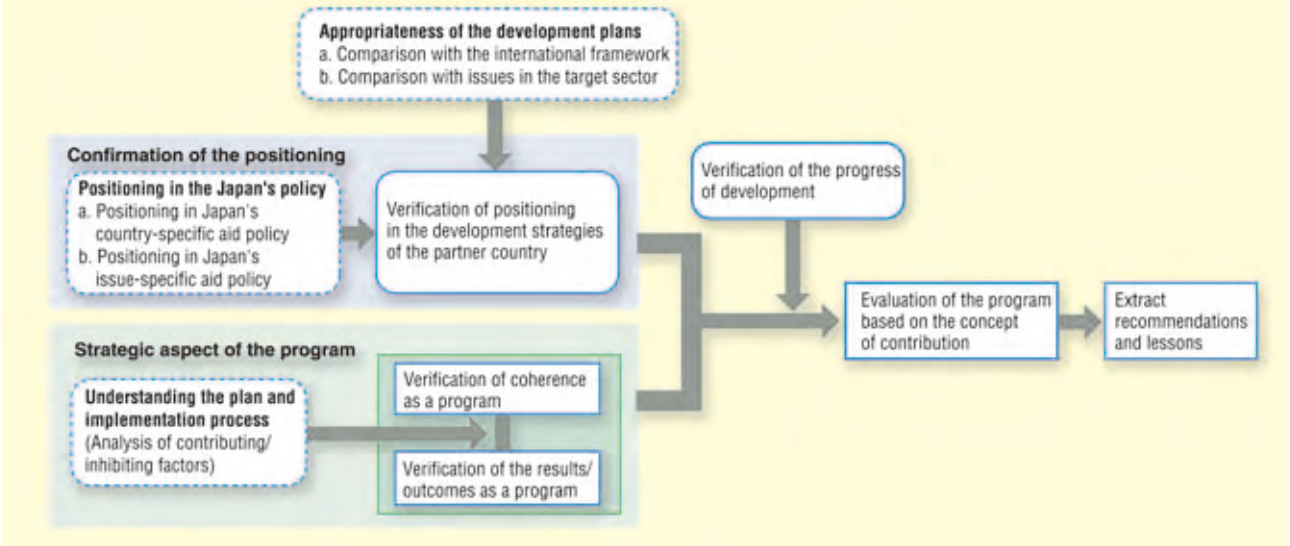
In contrast, a program sets a relatively high-level goal conducive to the achievement of developmental strategy goal of the partner country and achieving such a goal involves various factors other than the activities of one agency, such as activities of the partner government and other donors and other external factors, thus making the verification of attribution difficult. Instead of evaluating the relationship between one agency's activities and development issues in the upper level based on the concept of attribution, a technique to conduct evaluation based on the concept of contribution, which focuses on what roles one agency played in achieving outcomes in the whole picture of activities of the partner country and other aid agencies, is becoming the norm for bilateral aid agencies and international organizations. The concept of contribution involves verification of the plausibility of the causal relationships between the progress of development issue in the partner country and the outcome aimed by an aid agency, which should be recognized separately and explicitly in advance (see Figure 1-5).

Based on the fact that JICA programs aim at setting up comparatively high-level goals to support the mid- and long-term development goals of a target country, and considering the trend regarding the evaluation methods of other aid agencies, this evaluation adopts the framework in which the plausibility of causal relationships is evaluated under the concept of contribution based on the positioning of JICA programs in the development strategy and the strategic aspect of JICA programs (plan, outcome and process).

3-5 Evaluation Method (Evaluation Perspectives by Step)

The evaluation conducted under the concept of contribution takes three steps (see Table 1-4): (1) confirmation of the positioning in the development strategy of the partner country; (2) confirmation of strategic aspect (plan, outcome and process) of JICA programs; and (3) contribution to the development strategy. In the evaluation based on the concept of contribution, the plausibility of causal relationships is evaluated after the outcome of

Figure 1-5 Framework of Evaluation



cooperation implemented by one agency (JICA) is separated from the overall outcome collectively attained from projects implemented by the government of a target country and other aid agencies. The plausibility of causal relationships is confirmed by the positioning in the development strategy, which questions how JICA programs were positioned in the development strategy of a target country and whether JICA selected and addressed high priority issues. It is also confirmed by assessing the strategic aspect (plan, outcome and process) of JICA programs that evaluate whether an effective plan was formulated for the achievement of goals (whether program was conducted with consistency), whether the outcomes were achieved, and whether plans and implementation procedures were changed appropriately depending on the situation. Using the evaluations of positioning and the strategic aspect (plan, outcome and process) as analysis steps, this evaluation is carried out based on the concept of contribution while considering the progress of development strategy of a target country (the whole outcome attained collectively from projects conducted by other aid agencies and government of a target country). Therefore, it can be concluded that the plausibility of causal relationships is high if JICA selects the priority issues in the development strategy of a target country and attains significant outcomes with improvement in development issues. The following explains the evaluation perspectives by step.

(1) Confirmation of Positioning in Japan's Policy and Development Strategy of Partner Country

1) Confirmation of Positioning in Japan's Policy

Conformity with the policies of country assistance programs and country programs, and conformity with aid policy in a relevant sector (for example, BEGIN** in the education sector) are confirmed. Other important factors for effective implementation of programs such as the comparative superiority of Japan (strength) and utilization of past project experiences are also confirmed.

2) Confirmation of Positioning in Development Strategy of Partner Country

After examining the conformity with the development strategy of a partner country, it is confirmed whether a program inter-

Table 1-4 Evaluation Items and Examples of Evaluation Questions*

Evaluation Item		Evaluation Question
1. Positioning	Positioning in Japan's policy	1-1-1 How is the JICA program positioned in Japan's country-specific aid policy?
		1-1-2 How is the JICA program positioned in Japan's sector- and issue-specific aid policies?
	Positioning in the development strategy of the partner country	1-2-1 How is the JICA program positioned in the development strategy of the partner country?
2. Strategic aspect of program	Plan	2-1-1 Is the scenario for the achievement of JICA program goals (including the structure of a set of projects) appropriately established (program coherence)?
	Outcome	2-2-1 To what extent were the goals of individual projects comprising JICA program achieved? What outcomes were attained by the implementation of individual projects?
		2-2-2 What outcomes were attained by the coordination of JICA projects comprising JICA program from the perspective of achieving JICA program goals?
		2-2-3 What outcomes were attained by the coordination of JICA projects and cooperation of other aid agencies from the perspective of achieving JICA program goals?
		2-2-4 To what extent were the JICA program goals achieved?
		2-2-5 Was the selection of comprising projects appropriate for the achievement of JICA program goals?
	Process	(Analysis is made as necessary at the time of evaluations of plans and outcomes in order to extract contributing and impeding factors.)
		2-3-1 Were the appropriate cooperation and coordination of projects comprising the JICA program attempted at the planning and implementation stages?
		2-3-2 Were appropriate cooperation and coordination with other aid agencies attempted in the planning and implementation of individual projects comprising the JICA program?
3. Contribution to development strategy		3-1-1 How did the indicators for development goals of the partner country in which the JICA program is positioned progress?
		3-1-2 How did the JICA program contribute to the effect described in the abovementioned 3-1-1?
		3-1-3 What outcomes did the JICA program bring to the achievement of development goals by cooperating with other aid agencies?
		3-1-4 Was the JICA program effective and self-sustaining from the perspective of achieving the development goal of the partner country? (What kind of cooperation should be implemented in the future for the achievement of goals?)

* Not all the evaluation questions were addressed. Evaluation questions are selected and applied as necessary for each program.

** Basic Education for Growth Initiative (BEGIN): In recognition that the investment in education based on self-help efforts is the most effective means to eradicate poverty and promote economic growth in developing countries, the Japanese government announced this initiative in 2002 at the Kananaskik Summit (Canada). The initiative indicates future direction of Japan's aid policy in the basic education sector, showing the policies on the basis of support for self-help efforts, recognition of cultural diversity, and support based on collaboration and coordination within the international community, as principles.

venes in the important issues of development strategy. In doing so, in addition to analysis on current issues in a relevant sector, analysis is made from perspectives such as priority sectors (priority issues) identified by government and administrative organizations of a relevant country and other aid agencies in their development strategies, and budget allocations. Based on these analyses in a comprehensive manner, positioning of the program is confirmed. In the case of Honduras, as a result of the study on priority sectors and the project implementation status of the government and donors, it became evident that donors cooperate in lowering the dropout rate, centered on the EFA-ETI Plan*, the development strategy of Honduras in the basic education sector, and that the JICA program also addresses priority issues while being positioned in the picture.

Efficient analysis and more accurate evaluations that correspond to JICA program goals can be expected by considering the differences in levels of issues in the development strategy and JICA program goals, and understanding the scope of issues subject to the analysis. The program evaluations that are currently being conducted divide issues into three types: upper-level issues crossing over sectors and levels (issues in relation to goals in the national development strategy and the general development strategy of a specific area), sector-level issues, and sub-sector-level issues. In the Malawi program, program goals were set up at the education sector level and the analysis targets a wide area throughout the sector. Accordingly, in order to conduct effective analysis, after the positioning and priority of the sub-sectors (such as primary education and secondary education) that JICA focuses on in a sector were confirmed, detailed issue analysis by sub-sector was taken as necessary.

(2) Confirmation of Strategic Aspect (Plan, Outcome and Process) of JICA Programs

1) Confirmation of JICA Program Plan (Coherence)

Whether a program is consistent with JICA program goals is confirmed. In particular, confirmation is made on whether goals are clear and whether an appropriate scenario to achieve the goals (such as how each project is related to one another and if sufficient efforts are made for the achievement of goals) is formulated (implemented).

When analyzing the scenario, in addition to JICA programs themselves, their coordination with Japan's other aid schemes (yen loans and grant aid cooperation) and projects of other actors (such as the partner government, aid agencies, and NGOs) should be taken into consideration. In the case of Viet Nam, JICA supported the formulation of a development strategy through a development study in the primary education sector. Based on this development strategy, the JICA program aims at contributing to the improvement in quality of nationwide primary education through technical cooperation projects while coordinating with projects of other aid agencies. Evaluation concludes that the program was designed with consistency based on the relationships of individual projects leading to the achievement of goals.

For the relationship between program goals and scenarios, it is generally assumed that the higher the level of program goal, the more aid inputs and actor activities are involved. So it is important to be aware of the levels of program goals when analyzing scenarios.

2) Confirmation of Outcomes

Outcomes at the three levels are confirmed.

The first level to be confirmed is what kind of outcomes project-level activities comprising the program produce (produced), utilizing the evaluation results of individual projects. Second level to be confirmed is what kind of effects the project-level outcomes extracted to achieve higher-level goals through coordination with other JICA and Japanese projects and projects of other aid agencies. The third level is the confirmation of achievement status of JICA program outcomes. In this way, outcomes of JICA programs (outcomes of a specific agency) are evaluated and confirmed while considering these three levels.

For example, in the case of Honduras, as well as the project-level outcomes such as improvements in teachers' skills, outcomes achieved through coordination were observed; for example, textbooks and training methods developed in a JICA project were expanded and implemented nationwide by other aid agencies. Higher-level outcomes such as quality improvement of lessons were also observed. The program goals were in conformity with the goals of the Honduras development strategy, and so the progress was confirmed by taking into consideration the various indicators set up in the development strategy and the program implementation status.

3) Confirmation of Process

Analysis is made when necessary regarding the contributing and impeding factors affecting the planning, implementation, and outcomes of JICA programs. For example, the process of how to formulate projects that are not in coherence with the program is analyzed from the perspective of the aid policy changes. And the process of aid cooperation leading to the outcomes at the program level in coordination with other donors is analyzed.

(3) Evaluation of Contribution to Development Strategy

1) Confirmation of Progress of Development Strategy

How the development strategy progressed in the timeframe, in other words, what outcome as a whole was attained by combining the program outcomes of the partner government, JICA, and other aid agencies including the Japanese government, is confirmed. Generally speaking, achievement indicators are set for the development strategy, so progress according to the indicators is confirmed. In the case where the implementation of a

* Education for All-Fast Track Initiative (EFA-FTI): Initiative to give aid priority to countries where achievement of full completion of primary education by 2015 is deemed difficult, on condition that they meet the specific criteria.

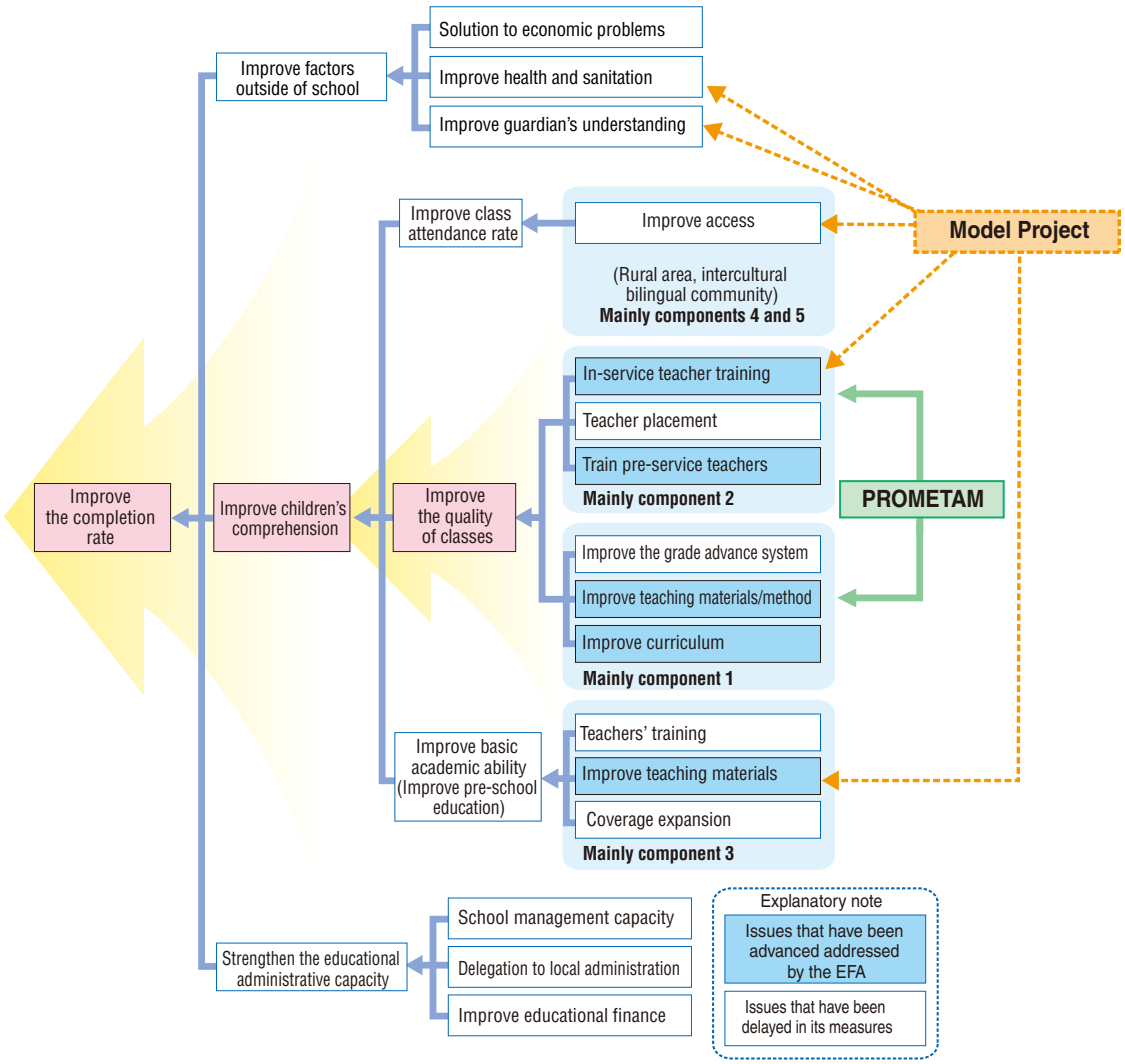
development strategy was fairly recent and has not reached the stage of index changes, the status of efforts in relation to the development strategy is confirmed, and by verifying the progressing sectors (sectors where progress is expected) and the non-progressing sectors (sectors where progress seems difficult), the plausibility of outcome as a whole can be confirmed.

2) Evaluation of Contribution

Based on the evaluation results in terms of positioning and strategic aspects, the JICA program's contribution to the progress of the development strategy is evaluated. Using the analysis result of each of the above-mentioned steps, the relations between JICA program outcomes and the development strategy progress, in other words, the plausibility of causal relationships between the JICA program outcomes and the achievement of goals is analyzed and the final evaluation results, recommendations, and lessons learned are extracted by taking into consideration the analysis results of the process.

In the case of Honduras, the implementation of the development strategy (EFA-FTI Plan) was fairly recent and it was difficult to understand clear progress using the indicators. In order to verify how each activity leads to the final goal, improved completion rate, the conceptual flow chart of the process to contribution (Figure 1-6), was compiled for evaluation based on the development strategy structure. Based on this flow chart the following analyses were made: (1) JICA plays a central role in relatively advanced activities that correspond to Components 1 and 2* as primary issues, raising the plausibility of contribution; (2) By enhancing the activities that are not sufficiently advanced and which correspond to Components 3 and 5, the Model Project that carries out activities related to some factors outside school, the improvement of plausibility of contribution can be expected; and (3) It is necessary to take into consideration the administrative capacity enhancement that is not included in the EFA-FTI Plan and other factors outside school in order to achieve the goals. Evaluations are conducted based on these analyses, and recom-

Figure 1-6 Conceptual Flow Chart of the Process to Contribution



* EFA-FTI Plan, the development strategy of Honduras, is comprised of five components. The components in the figure correspond to the five components in the EFA-FTI Plan.

mendations are extracted.

Among the evaluations conducted in fiscal 2006, evaluation reports for Malawi and Viet Nam are completed (refer to the BOX article) and disclosed on the JICA website. Other program evaluations are at the stage of report compilation. Utilizing these case studies, JICA will continuously improve the evaluation methods and enhance the strategic aspect of JICA programs.

BOX 6 Case Studies of Program Evaluations in Malawi and Viet Nam

This article outlines the results of JICA program evaluations in Malawi and Viet Nam conducted in fiscal 2006. Both programs were at the stage of program strategic enhancement, so the evaluations were conducted for the purpose of improving on-going programs.

<Malawi: Basic Education Expansion Program>

In the education sector in Malawi, the completion rate of primary education is still low due to a shortage of classrooms as well as an insufficient number of teachers who lack the required level of skills. The enrollment rate in secondary education is also low. To address these issues, the Malawi government and various aid agencies are implementing cooperation based on the policy investment framework and the education sector plan that are the development strategy of the Malawi education sector. JICA also is implementing a program aimed at expanding access and improving quality in the primary and secondary education sector.

Positioning: Priority issues in the Malawi education sector are supported. A development study is conducted for the purpose of management enhancement in the local educational administration, which is recognized as an issue in the development strategy but which few donors have addressed. Also being implemented is a technical cooperation project for the purpose of improving teacher quality in the secondary education sector where the existence of non-qualified teachers has become an issue.

Strategic Aspect (Plan, Outcome, and Process): As for the scenario, the component aimed at enhancing the skills of educational administration at the local level (such as development study) and the component aimed at enhancing secondary science and mathematic education (technical cooperation project) were implemented as separate programs initially. When the programs were reviewed, the goal level was raised and the two components were consolidated into one program. Therefore, the relations between the two components in the program goal were not clear and it was observed that the strategic aspect weakened. At the project level, outcomes such as formulation and revision of the prefectural education plan in the development study, resulting capacity development of prefectural teachers, and development of core trainers in the technical cooperation project in secondary education, are achieved. As for the component aimed at enhancing secondary science and mathematic education, JICA's technical cooperation project and cooperation by other aid agencies complement one another, thus producing outcomes.

Conclusion: The program goals are set at a high level covering a wide range of issues including those of primary and secondary education. The achievement of goals is anticipated to be difficult in the short and middle terms considering the amount of aid implemented by the Malawi government and aid agencies including JICA. Therefore, the plausibility of contribution is not high in the short and middle terms.

Recommendations: Program goals should be set up at the sub-sector level where future input by JICA and other donors and the Malawi government are expected to result in improvements in the short and middle terms so that the program has a scenario to raise the plausibility of contribution.

<Viet Nam: Primary Education Improvement Program>

Viet Nam has reached 97.5% of its net enrollment rate in primary education and is at the last stage of achieving universal primary education. Now the country is working to improve the completion rate and access in poverty areas and mountainous areas. Under such a situation, JICA is implementing a program aimed at improving the quality of primary education.

Positioning: In the primary education sector, which has problems with education quality, support is provided for the formulation of a Primary Education Development Plan (PEDP) and training is provided for teachers to run classes in line with the new curriculum promoted by the Vietnamese government. These cooperation efforts for improving education quality address the primary issues.

Strategic Aspect (Plan, Outcome, and Process): As for the scenario, support for the formulation of PEDP is given to solve the issues of the primary education sector and, based on the PEDP, priority sectors are selected and technical cooperation is extended, thus showing that consistency in the program is aimed at improving the quality of primary education. As for the outcomes, in addition to project-level outcomes such as the completion of PEDP and key trainer development training for model lessons based on the new curriculum, outcomes for the achievement of program goals are emerging as observed based on the fact that coordination between JOCV and technical cooperation projects promoted the implementation of model lessons, and that the formulation of PEDP accelerated the process of formulation of an EFA Plan.

Conclusion: The program is being implemented with the positioning and strategic aspects secured. The Vietnamese government and other donors are also actively providing projects that focus on the primary education sector, a sub-sector level. Given that achievement of the program goals in the future is probable, it can be concluded that the plausibility of the contribution of the JICA program is improving.

Recommendation: Issues such as how the model projects under development in the technical cooperation project can be spread nationwide remain. In order to raise the plausibility of contribution in the future, it is therefore necessary to enhance coordination with other agencies for expansion and promotion in addition to the establishment of an effective model in the project.

Part 2

Project-level Evaluation

Chapter 1 Overview of Evaluations of Individual Projects in Fiscal 2005

JICA evaluates individual projects using a consistent evaluation system from the ex-ante to ex-post stages. This chapter presents examples of each result of ex-ante, mid-term, terminal, and ex-post evaluations*. The lists in the Reference section of this report show all the individual projects evaluated in fiscal 2005 (252 projects in total; 109 of ex-ante, 24 of mid-trem, 73 of terminal and 46 of ex-post evaluations). As JICA introduced a system to disclose evaluation results promptly on the website in fiscal 2003, the summaries of results of these evaluations are available on the website.

Example of Ex-ante Evaluation

I Outline of Project (as of December 2005)

- Country: Viet Nam
- Project name: Project for Improvement of Productive Technology in Small and Medium Scale Dairy Farms
- Sector: Agriculture, forestry, and fisheries
- Cooperation scheme: Technical Cooperation Project
- Division in charge: Rural Development Department
- Total cost (Japanese side): Approximately ¥360 million
- Period of cooperation: April 2006 to April 2010 (five years)
- Partner country's implementing agency: National Institute of Animal Husbandry (NIAH), Ministry of Agriculture and Rural Development (MARD)
- Supporting organization in Japan: Ministry of Agriculture, Forestry and Fisheries

1. Outline of Cooperation

Under the goal of improving the livelihoods of small and medium-scale dairy farms in Northern Viet Nam by increasing milk productivity, the project aims to improve dairy technology extension activities in the project areas (four provinces and four districts) by implementing the following activities: (1) improve functions of the Station for Training and Extension of Dairy Technologies (STED); (2) improve instructing capacity of STED trainers (National Trainer: NT); and (3) improve capacity for extension activities of dairy technology extension trainers** (Local Trainers: LT), etc., in the project areas.

2. Necessity and Positioning of Cooperation

(1) Current Situation and Problems

In response to a request from Viet Nam, JICA previously implemented technical cooperation projects, namely, the Project for Improvement of Cattle Artificial Insemination Technology, (2000-2005), and the Project for Strengthening the National Institute of Veterinary Research, (2000-2005), to assist with introducing technologies for developing improved species of cows

Veterinarian training for counterparts

that are appropriate for the Vietnamese climate by breeding the crossbred Lysin with overseas milk cows that show high production capabilities, as well as basic knowledge about dairy farming. However, since the system to extend these cooperation outcomes has not yet reached end dairy farmers, those who feed the improved cows tend to experience production diseases such as mastitis and reproductive difficulties in their cows and lower productivities due to insufficient hygienic control when milking and insufficient feeding. This is the issue to be solved.

With the above mentioned background, in October 2005 Viet Nam set up the Station for Training and Extension of Dairy Technologies (STED) at the National Institute of Animal Husbandry, Ministry of Agriculture and Rural Development, to prepare for full-fledged extension of dairy technologies targeting the northern region. In order to support this endeavor, using STED as the base and developmentally applying the outcomes of the past JICA projects in Viet Nam, the project aims to promote diversification of the farm management leading to livelihood improvement through establishing training systems and developing human resources for dairy technology extension in the areas that concern particularly small and medium-scale dairy farms such as methods of feeding cows, milking technologies, and methods of cow health management.

(2) Positioning within the National Policies of the Government in the Partner Country

In the 10-Year Socio-Economic Development Strategy (2001-2010), the Vietnamese government positions rural area

* See p.11 for the definition of evaluation at each stage.

** Dairy technology extension trainers refer to personnel in charge of extension of dairy farming in agricultural divisions in ministry and dairy cooperatives, private veterinarians, and technicians for artificial insemination of animal husbandry.

development, promotion of dairy farming, health enhancement, etc., as its policy agendas. Specifically, it sets out goals of increasing the average income of farmers, expanding the share of animal husbandry in agricultural outputs, improving the quality of cows and the feeding efficiency, and reducing the ratio of undernourished child population. In addition, the National Dairy Development Project (2001-2010) provides a concrete action plan until the year 2010 to promote dairy farming with the aim of increasing the self-sufficiency rate of milk by 35% and the number of domestic dairy cows to up to 200,000 heads in the prioritized areas for the plan, mainly in the northern part of the country.

(3) Positioning within Japan's Foreign Aid Policy and JICA Country Program

The Country Assistance Program for Viet Nam formulated in 2004 recognizes promotion of growth, improvement in lifestyle and social aspects, and institutional building as its three prioritized areas for assistance. An assistance program for improvement and extension of agricultural, forestry, and fishery technologies has been set out in the JICA Country Program for Viet Nam, as one of the cooperation components for improvement in lifestyle and social aspects. Therefore, for improvement of agricultural, forestry, and fishery technologies and development and lifestyle improvement in rural areas, further continuous and consistent assistance is needed to promote broader extension of the project outcomes, utilizing those from past cooperation.

3. Framework of Cooperation

(1) Objectives of Cooperation (Outcomes)

1) Objective to be achieved at the end of cooperation (project purpose)

Dairy technology extension activities are improved in the project areas.

[Indicators*]

- X% of the model farms in the project areas apply improved dairy technology.
- Milk productivity per head owned by the model farms in the project areas is increased by X%.

2) Objectives expected to be achieved after the end of cooperation (overall goal)

Milk productivity of small and medium-scale dairy farms in Northern Viet Nam is increased.

[Indicators*]

- Milk production of small and medium-scale dairy farms in Northern Viet Nam is increased by X%.

(2) Outputs and Activities

Output 1: Functions of STED are improved.

[Indicators*]

(a) On-site needs study is implemented by STED X times; (b) The number of training courses developed or improved by STED reach X; (c) Educational materials for the training courses and extension developed or improved by STED reach X items; (d) STED's demonstration and exhibition of technologies appropriate for dairy feeding reach X cases; (e) On-site information of dairy farms collected and accumulated by STED is utilized for the promotion of dairy farming X times.

[Activities]

(a) Needs study regarding on-site dairy technologies and training extension at STED; (b)Development and improvement of dairy disease control and feeding and management technologies appropriate for on-site dairy farmers at STED; (c) Development and improvement of training methods, technology transfer methods, and curriculums and educational materials for training courses at STED; (d) Demonstration and exhibition of appropriate technologies for dairy feeding at STED; (e) Collection and accumulation of on-site information necessary for the promotion of dairy farming at STED

Output 2: Instructing capacity of STED's trainers (National Trainers: NT) to dairy technology extension trainers (Local Trainers: LT) is improved.

[Indicators*]

The number of NTs who are capable of instructing appropriate dairy technologies* reaches X persons.

[Activities]

(a) Training for NTs in clinical technologies of dairy diseases and dairy feeding and management technologies; (b) Training for NTs in training planning and operation methods; (c) Training for NTs in technology transfer methods

Output 3: LTs' capacity of extension activities toward small and medium-scale farms in the project areas is improved.

[Indicators*]

(a) The number of LTs who are capable of conducting training courses on appropriate dairy technologies reaches X persons; (b) LTs' extension activities (dairy farmers training and demonstration and exhibition) to model farms reach X cases; (c) Technical guidance conducted for LT's extension activities reaches X cases.

[Activities]

(a) Training for LTs in dairy feeding and management technologies; (b) Training for LTs in clinical technologies of dairy diseases; (c)Training for LTs in technology transfer methods; (d) NTs' follow-up activities for the training courses by LTs; (e) LT's extension activities (dairy farmers training and demonstration and exhibition) to model farms; (f) STED's technical guidance to extension activities by LTs; (g) STED's monitoring on improvement level of dairy technologies of model farms

(3) Inputs

Japanese side

1) Long-term experts: a chief advisor (animal health), a project coordinator (training, feeding management)
2) Short-term experts: mastitis treatment, reproduction management, feeding, compost treatment, instruction of dairy farming management, etc.
3) Equipment provision: equipment for the preparation of educa-

* Target levels of the indicators, target model farms, and appropriate dairy farming technologies will be specified based on a baseline survey conducted after the start of the project.

tional materials, audio-visual equipment, books, vehicles, etc.
4) Acceptance of technical training participants in Japan

Vietnamese side

1) Assignment of counterparts
2) Arrangement of facilities related to training
3) Project activity costs (training costs, utility costs, management costs, counterpart travel costs, etc.)

(4) External Factors (External Conditions to be Met)

- Production costs regarding dairy farming (unit costs of coarse and concentrated feed, technological costs for animal artificial insemination, unit cost of dairy medical expenses, etc.) do not drastically increase.
- Milk price does not drastically decrease.
- The National Dairy Development Project (2001-2010) is continuously implemented.
- The counterpart agency is continuously involved in the project.
- The cooperative relationships between STED and relevant organizations in the project areas are maintained.
- LTs who have completed training continue their on-site jobs.

II Results of Evaluation

1. Summary of Evaluation Results

(1) Relevance

The relevance of this project is considered to be high for the following reasons.

- Consistency with the partner country's development policies
  The concept of the project is consistent with promotion of dairy farming, which is regarded as one of the important policy agendas in Viet Nam's 10-Year Socio-Economic Development Strategy (2001-2010) and the National Dairy Development Project (2001-2010).
- Consistency with the JICA Country Program
  The policy of the project is consistent with improvement of agricultural, forestry, and fishery technologies and development and lifestyle improvement in rural areas, which are components of the assistance program for improvement and extension of agricultural, forestry, and fishery technologies in the JICA Country Program.
- Relevance of methods
  On the basis of JICA's past projects, the Project for Improvement of Cattle Artificial Insemination Technology (2000-2005) and the Project for Strengthening of National Institute of Veterinary Research (2000-2005), it has been confirmed that it is important in the future to consider measures to directly benefit small and medium-scale dairy farms with the outcomes of these cooperation projects as beneficiaries. The project conforms to the direction of such past cooperation.
  With the background that domestic production expansion of milk has emerged as a policy agenda, the approach of the project is an effective means for improving livelihood in rural areas in diversifying farm management which used to depend on rice farming.

(2) Effectiveness

This project is expected to be effective due to the following reasons.

The project is designed to strengthen the functions of STED in support of dairy technology extension, which train LTs who implement dairy technology extension activities to small and medium-scale farms so that technology extension reaches end small and medium dairy farms. By training LTs while considering on-site needs, the system enables LTs to effectively implement technology extension activities to end small and medium-scale dairy farms, and substantial contribution to technology improvement in these farms is expected, which expectedly supports the achievement of the project objectives.

One of the external factors, continuous implementation of the National Dairy Development Project, is most like to be met now that the first phase 2001-2005 was completed and the implementation plan for 2006-2010 is currently being made.

(3) Efficiency

This project is expected to be efficient for the following reasons.

The external factors related to this aspect are that LTs continuously implement on-site extension activities, that the counterpart agency is continuously involved in the project, and that the cooperative relationships between STED and relevant organizations in the project areas are maintained. The selected areas secure their support for LTs' extension activities and actively implement dairy farming promotion. In addition, the counterparts are full-time personnel at STED. All these factors support with a high probability the external factors to be met.

The project activities are planned phase to phase: improvement of the STED's functions, education of NTs, and improvement of LTs' capacity to implement extension activities. An efficient process for generating effects is built into the project.

The project plans to utilize the counterparts developed from and the equipment input into the Project for Improvement of Cattle Artificial Insemination Technology as well as existing facilities. It can direct the majority of its inputs to training implementation and capacity development.

Since 2005, Belgium has implemented a project for the promotion of dairy farming with a focus on organizational strengthening of dairy farms in order to establish milk collection and distribution systems in dairy farms in the vicinity of Hanoi. By coordinating with this project, efficient information sharing and utilization will be possible and the synergy effect for achieving the objectives is expected.

(4) Impact

The impact of this project is anticipated as follows.

It is expected that the dairy technology extension systems that are to be developed in the project areas will exhibit effects toward other areas. By utilizing the guideline manual made through the project, LTs who are trained at STED and stay in the northern region are expected to continuously implement extension activities. Such an approach is designed to sufficiently benefit

small and medium-scale dairy farms in the northern region of Viet Nam, which are the end target group of the project.

The overall goal is desired to be achieved through the establishment of the dairy technology extension systems after the end of the cooperation. The synergy effect with Viet Nam's National Dairy Development Project (2001-2010) is expected, which currently promotes improvement of milk productivity.

(5) Sustainability

The sustainability is expected be secured by the government of the partner country after the end of the project.

- Policy support: The project supports improvement in animal hygiene and milk production, etc., specified in Viet Nam's 10-Year Socio-Economic Development Strategy (2001-2010) and the National Dairy Development Project (2001-2010). Therefore, even after the end of the project, it is highly possible that project activities will be incorporated in government policies and the personnel allocation of LTs and NTs at STED will be secured.
- Financial support: It is agreed that its' activities in the project areas are financially supported by Viet Nam even during the project period, and therefore its commitment to financial support is high even after the end of the project.
- Extension of the dairy farming extension systems: Training plans and educational materials made by the project will be used at STES after the end of the project, which makes it possible to continuously train LTs to spread the outcomes and experience of the project to other areas.

2. Consideration for Poverty, Gender, Environment, etc.

Improvement of dairy technologies on actual farms enables farmers to introduce diversified farm management, and as a result it is expected to increase the income levels of dairy farmers. Non dairy-farming farmers could also enjoy increased income by selling coarse feed (feed for cattle) to dairy farmers and producing fertilizer from cowpats. Benefits and impacts to the poverty group are considered in the project.

Since women are involved in dairy farming duties such as animal management, feeding, and milking, consideration for ensuring gender equality is necessary when providing training to dairy farmers, such as increasing opportunities for women to participate in training, conducting training in the time zone when women can participate easily, etc.

Animal night soil can be effectively utilized as biomass gas and fertilizer. When developing its training contents, the project needs to give extra consideration to the environment by including techniques regarding use and utilization of animal night soil.

3. Lessons Learned from Past Experience

The Project for Improvement of Cattle Artificial Insemination Technology and the Project for Strengthening of National Institute of Veterinary Research worked on human resources development in the main organizations regarding the promotion of animal husbandry and animal hygiene, and it has been confirmed that it is important as a future challenge to consider measures (establishment of the transferred technology extension systems, etc.) in order to directly benefit small and medium-scale dairy farms as end beneficiaries.

Regarding the dairy technology extension systems, relevant projects in Asian countries (the Dairy Development Project in Central Thailand and the Dairy Technology Improvement Project in Indonesia) conclude that, by developing appropriate technologies in the central authority and strengthening of training and instructional institutes, it is essential to develop human resources that can instruct and lecture on more practical animal husbandry technologies. In addition, it has been pointed out that organizational and efficient technology extension systems to small scale farmers need to be established. To that end, it is suggested that the central and provincial governments and other organizations should clarify the authority and responsibility of each level and jointly plan their coordination.

4. Future Evaluation Plan

Mid-term evaluation is scheduled to be implemented 2.5 years after the launch of the project, terminal evaluation half a year before the end of the project, and ex-post evaluation three years after the end of the project.

Example of Mid-term Evaluation

I Outline of Project

- Country: Niger
- title: The Project on Support to the Improvement of School Management through Community Participation ("School for All")
- Sector: Basic education
- Cooperation scheme: Technical Cooperation Project
- Division in charge: Human Development Department
- Period of cooperation: January 2004 to December 2006 (three years)

Community people earnestly taking a literacy class

- Partner country's implementing organization: Ministry of Basic Education and Literacy
- Supporting organization in Japan: None

1. Background of Cooperation

Niger, which is one of the poorest countries in sub-Saharan Africa, developed the 10-Year Education Development Programme (PDDE) 2003-2012. Along with it, this country has worked to expand educational opportunities with the aim of increasing its gross primary education enrollment ratio from 34% in 2000 to 91% in 2013. The low enrollment ratio in primary education in this country is caused by multiple and complex inhibiting factors, but two major reasons are considered to be the absolute shortage of schools (classrooms) and dissatisfaction and mistrust among communities and parents toward schools and school education.

In relation to the former issue, the construction of 20,000 classrooms are planned based on PDDE with support from the World Bank and major donor countries, and Japan is also implementing a school construction and expansion project with grant aid. For the latter, in order to alleviate communities' mistrust toward schools and change their awareness about schools through participation in school management, the government launched school management committees (COGES) in February 2002. COGES consists of six members: the principal, a teachers' representative, a representative from the parents association, and a representative from the mothers association.

In the final stage of the national program, local people and communities are positioned at the heart of school management to take charge of planning, management, and procurement of educational materials and COGES is designed to be a major actor in educational activities for parents. However, COGES was not functioning well in many schools except for a few that have achieved a certain level, thus the necessity was acknowledged to work out better training contents, involve women, develop laws and regulations, and strengthen the support systems at the levels of the government, regions, and school inspectors.

With such a background, the government requested a technical cooperation project that proposes a COGES management model and supports capacity development of local educational administrators in relation to the model. In response, the Project on Support to the Improvement of School Management through Community Participation ("School for All") was launched in January 2004.

2. Framework of Cooperation

(1) Overall Goal

The school environment is improved by school management through community participation in the project target area.

(2) Project Purpose

School management is operated through community participation reflecting the needs of community residents in the target schools of COGES in the Tahoua Region.

(3) Outputs

Output 1: Community residents of the pilot school districts have a more positive perception of their schools than they did before the project implementation.

Output 2: Community participation in school management increases at the pilot schools.

Output 3: A management model of COGES is established at the pilot schools.

Output 4: A model of support system for COGES is established in the Tahoua Region.

(4) Inputs (at the time of evaluation)

Japanese side

Dispatch of long-term experts: 3 experts
Dispatch of short-term experts: 1 expert
Dispatch of senior JOCV: 1 volunteer
Trainees received: 3 people
Equipment provision
Operation costs, etc.

Nigerien side

Assignment of counterparts: 15 people
Land and facility provision

II Evaluation Team

Team leader:
Yumiko Yokozeki, Senior Expert, JICA

Educational evaluation:
Kumiko Kaitani, Project Formulation Advisor, Regional Support Office for West and Central Africa, JICA

Cooperation planning:
Satomi Ueno, Junior Expert, Basic Education Team 2, Group 1, Human Development Department, JICA

Evaluation analysis:
Shinji Nambo, Exidia, Ltd.

Period of evaluation: July 11 to 24, 2005

III Result of Evaluation

1. Achievement Level

(1) Project Outputs

Output 1: Before the project, many community residents in the pilot school districts were skeptical about the activities and believed that schools belonged to the government. However, they came to think that schools belonged to people as their ownership increased through COGES, and today they actively participate in school management activities. With the introduction of activities for production practices (APP), people also feel that the school curriculum has been improved and is now more suited to the community needs.

Output 2: In the pilot schools, the number of participants in assemblies convened by COGES increased seven times, exceeding the target rate of 30%. Residents' contributions to activities at the pilot schools have also increased 5.5 times, beyond the target rate of 50%. Thus, it can be said that this

output has been achieved.

Output 3: Members of COGES have been elected in a democratic manner at all the pilot schools, which exceed the target rate of 90%. The COGES members at all the pilot schools have completed the training on school action plans, which exceeds the target rate of 80%. Therefore, it can be said that this output has been achieved.

Output 4: All the COGES officials have taken the training, and as a result their capacity has been substantially improved. COGES officials' meetings have been held on a regular basis (monthly). An annual action plan for supporting COGES has been formulated, implemented, monitored, and evaluated. A COGES support manual has also been developed. Thus, it can be said that this output has been achieved.

(2) Project Purpose

In 83% (the target: 80%) of the target schools (329 schools as of the end of March 2005) in the Tahoua Region, 70% or more of the activities in the action plan approved by the community assemblies have been carried out. Therefore, it can be said that the project purpose has already been achieved.

(3) Overall Goal

The overall goal, which has not yet been achieved, is highly likely to be achieved in the near future. Improvements in the school environment have already been observed in the schools evaluated in the mid-term evaluation (329 schools as of the end of March 2005). Even though the number of target schools increased after April 2005, the establishment of functional COGES in these schools will lead to the achievement of the overall goal by the end of the project.

2. Summary of Evaluation Results

(1) Relevance

PDDE recognizes the improvement of the primary education enrollment ratio as one of its major objectives, which matches the aim of the project. The Nigerien government developed the implementation policy of COGES based on the approach and method practiced by this project, and the manual for formulating school action plans prepared by this project is utilized also in the activities in other regions which are supported by UNICEF. These facts indicate that this project is consistent with the fundamental policy of the Nigerien government and matches the country needs. On the other hand, education is a prioritized sector in JICA's support to Niger. Moreover, in Japan's ODA policies Japan has the principle of Basic Education for Growth Initiative (BEGIN), which includes the enhancement of community participation. Therefore, this project is consistent with the Japanese policies as well.

(2) Effectiveness

The project purpose has already been achieved in the project target schools (329 schools as of the end of March 2005), as have most of the outputs. This indicates that the project has been effective. Promoting factors include people's high motivation towards school management and substantial needs for education.

(3) Efficiency

The inputs from both the Japanese and Nigerien sides have been appropriate in terms of timing, quality, and quantity and the activities have been implemented in a prompt and convincing way. This project has effectively incorporated the experience from COSAGE*, soft component of grant aid project called the Project for Construction of Primary Schools in the Dosso and Tahoua Regions. This project has also achieved efficient and low-cost implementation in various aspects by including monitoring duties in the assignments on local administrators and also by actively outsourcing operations to NGOs.

(4) Impacts

The activities of COGES activated by the project are considered to be a major contributing factor to improvements in the school environment at the target schools and, in addition, to an increase in the enrollment ratio. It is therefore highly likely that the overall goal will be achieved in the near future. Moreover, the approach and method employed by this project to activate COGES have had a positive influence on the government's COGES policy. For example, training manuals for COGES elaborated by the government were developed based on the manual developed by this project. Therefore, it can be said that the project has had a wide-ranging impact on COGES promotion and operation.

(5) Sustainability

As trust has been developed between communities and schools through COGES, communities have contributed to schools in terms of financing labor, and items. Capacity development of COGES supervisors and COGES officials has been performed, and also the monitoring systems by local administrators have been developed. These facts indicate sustainability in the project. However, the project has to remain consistent with the government's COGES policy and COGES needs to receive appropriate budget allocation.

3. Contributing Factors

(1) Factors Regarding the Plan

In this project, COSAGE served as its pilot project and introduced the democratic selection method of committee members and the method of school activity planning, both of which were developed by COSAGE.

In the training for COGES supervisors and COGES officials, instructing methods were explained after observing the training for residents, thus deepening their awareness of the issues beforehand.

(2) Factors Regarding the Implementation Process

The considerably high needs for education from the community and the high motivation toward community participation helped the extension. Furthermore, this project has successfully

* COSAGE: A soft component that aims for voluntary and continuous implementation of school management and maintenance activities by COGES

utilized this awareness of the people to realize community participation through several measures, such as selection of COGES members through election.

4. Inhibiting Factors

(1) Factors Regarding the Plan

Coordination with the World Bank, which supports PDDE, is an uncertain factor in planning the implementation plan of the COGES policy (coordination in some regions might be restricted due to the issue of monitoring costs).

(2) Factors Regarding the Implementation Process

Inconsistent policies of the government might affect this project and change the implementation plan.

If the poverty situation gets worse due to unseasonable weather, community participation might be discouraged, consequently influencing the progress and outputs of the project. Experimental measures such as income generation of the communities have been taken in this project.

The nationwide shortage of teachers and budgets may undermine education improvements by the government in the future.

5. Conclusion

This project has made a significant contribution toward the enhancement of school management through community participation. Although it is only halfway through the project period, a majority of the activities have been carried out, most of the outputs have been achieved, and the project purpose has been accomplished. The evaluation with the five criteria was also found to be very positive. It is likely that the project will make further achievements in the remaining period, which would promote the implementation of COGES policy.

6. Recommendations

- This project has successfully worked together with the Nigerien government to formulate a functioning COGES model of promoting COGES in Tahoua Region. The number of COGES supported by the project can be increased in order to meet the demand.
- The Ministry of Basic Education and Literacy has requested the project to extend its support in other regions (Maradi and Zinder). It is important that the support and activities be extended to at least one region making use of the achievement made in the Tahoua Region.
- To institutionalize COGES throughout the country, the Ministry of Basic Education and Literacy should formulate the standards for COGES promotion and operation using the experience obtained from the project, i.e. training methods, contents, and manuals, and provide technical support necessary for the project.
- It is vital to establish and maintain an effective monitoring in order to sustain functional COGES. Capacity development of COGES administrators as well as COGES officials is essential and may be further explored. Meanwhile, the Nigerien government should budget COGES officials' monitoring cost.
- In order to expand the project activities, the current PDM should be revised according to the outline agreed at the mid-term evaluation.
- It is necessary to place JICA educational advisor who can provide policy and technical advice to the Ministry of Basic Education and Literacy based on the progress of the project and coordinate JICA's support in the education sector.

7. Lessons Learned

- This project has developed various methods to strengthen community participation and ownership in school management, including selection of COGES members through democratic election. Specifically, the following ingenuity was exercised.

  Educational activities: These activities contributed to further raising people's awareness. Selection of COGES members through election also contributed to encouraging community participation.

  Utilization of NGOs: NGOs were strategically utilized for the capacity development of COGES supervisors and officials. NGOs, which are knowledgeable about the local affairs and retain approaches suited to Niger, offer effective approaches and also cost-efficient performance.

  Delegation of authority: Delegating school management authority, such as management of textbooks and equipment, to COGES enhanced their ownership and capacity.
- In this project, capacity development was effectively implemented at all levels from the Ministry of Basic Education and Literacy to community organizations. This effective strategy can be applied not only to the education sector but also to other sectors. At the ministry level, the project approached the Department of Basic Education and the Section of Promotion of COGES. At the regional level, community participation was led through the capacity development of existing organizations and human resources. Toward communities, this project provided training through COGES officials and demonstrated that through a democratic election even illiterate people can select appropriate persons and that COGES can play a main role in school management.
- Experts who provide policy recommendations to the central government by making use of the project outputs are greatly needed. Human resources that can coordinate aid and negotiate with other donor agencies can advance project outcomes to policy-level contribution.
- In Niger, Japanese assistance for education, including this project, JOCV activities, and school construction with grant aid, is becoming organically combined and moving toward comprehensive implementation of cooperation as education program assistance. Program-type assistance, which overall can provide pilot projects, capacity development and policy recommendations, will increase aid efficiency and become a model for education assistance that can also correspond to aid coordination.

Example of Terminal Evaluation

I Outline of Project

- Country: Kazakhstan
- Project title: The Project for the Improvement of Health Care Services in the Semipalatinsk Region
- Sector: Health/Medical Care
- Cooperation scheme: Technical Cooperation Project
- Division in charge: Human Development Department
- Total cost (the whole project): About ¥340 million
  (for the extended period): About ¥190 million
- Period of cooperation (R/D): March 2000 to June 2003
  (Extended period): July 2003 to June 2005
- Partner country's implementing organizations: Health Department of the State Government of East Kazakhstan Region, Medical Center of Semipalatinsk City, etc.
- Supporting organizations in Japan: Oita University of Nursing and Health Sciences, Radiation Effects Research Foundation, Hiroshima Atomic Bomb Casualty Council, Hiroshima University, Nagasaki University
- Related cooperation: The Project for Improvement of Health Care Services in the Semipalatinsk Region (grant aid)

1. Background of Cooperation

Four hundred and seventy nuclear tests were conducted around the Semipalatinsk region in Kazakhstan for a period of over 40 years under the control of the Soviet Union, and as a result the subsurface water, the soil, and the people living in the surrounding region were severely affected. Assistance to this region was unanimously agreed upon at the UN General Assembly in 1997, and Japan expressed its intention to hold an international conference about the assistance at the UN General Assembly in 1998. In particular, Japan decided to provide assistance in the health sector in the region and dispatched short-term experts and a project formulation study team to observe and investigate the current situations of health administrative organizations and medical facilities. Japan held the Tokyo International Conference on the Semipalatinsk and announced to the world its plan to extend technical cooperation and grant aid.

In response, after two preliminary studies JICA signed a minute in March 2000 for technical cooperation, the Project for the Improvement of Health Care Services in the Semipalatinsk Region, which was launched in July 2000 with a three-year plan focused on the establishment of systems for screening, detailed health examinations, diagnoses for the people in the highly contaminated areas around Semipalatinsk City, assistance for the analysis of the data collected during screening and diagnosis, human resources development through accepting training participants in Japan, and equipment provision.

As a result of the evaluation conducted in January 2003, the need to extend the project period in order to establish a health examination system started in the project and achieve the project purpose was recognized by all the parties concerned and consequently the project was extended for two years starting in July 2003.

Discussion with counterparts at the time of the terminal evaluation

2. Framework of Cooperation

(1) Overall Goal

The health care service systems in Semipalatinsk City and the surrounding region have been improved.

(2) Project Purpose

Systems for screening, detailed health examination, and diagnosis for the population in highly contaminated areas around Semipalatinsk City have been improved.

(3) Outputs

Output 1: The public's and the government's understanding of the effects of radiation on human health has been promoted.

Output 2: Screening is implemented effectively and systematically using the existing health care facilities and mobile examination vehicles

Output 3: Detailed health examinations are performed effectively and systematically on those who were selected for the examination.

Output 4: Diagnoses are performed for the diseases targeted in the project.

Output 5: Data from the screenings, detailed health examinations, and diagnoses are accumulated.

Output 6: The local government utilizes the data from the screenings, the detailed health examinations, and the diagnoses.

(4) Inputs

Japanese side

Dispatch of short-term experts: 76 experts
Trainees received: 16 people

Kazakhstani side

Equipment provision
Local activity cost etc.

Assignment of counterparts
Facility/office provision

II Evaluation Team

Team leader:
Akira Hashizume, Executive Technical Advisor to the Director General, Human Development Department, JICA
Technical evaluation 1:
Tomoko Kusama, President, Oita University of Nursing and Health Sciences
Technical evaluation 2:
Chikako Ito, Director, Health Management Center, Hiroshima Atomic Bomb Casualty Council
Cooperation planning:
Tatsuya Ashida, Health Administration Team, Group 3, Human Development Department, JICA
Evaluation analysis:
Keiko Kita, Consultant, Global Link Management Co.
Interpreter:
Jun Katori, Japan International Cooperation Center (JICE)
Period of evaluation: May 14 to June 8, 2005

III Results of Evaluation

1. Achievement Level

(1) Achievement of Project Purpose

The project purpose has almost been achieved. The system of screening, detailed health examination and diagnosis has been established respectively and its data have been input into the Orcle program (15,751 people in screening, 829 in detailed health examination, 71 in diagnosis). Presently, 36 members of the medical staff have mastered the Papanicolaou Staining method*, which is an advanced diagnosis method that has improved diagnosis accuracy and enables early detection of cancer. Transfer routes from screening to diagnosis have been also determined and implemented for each target disease.

(2) Achievement of Outputs

The project activities were smoothly implemented during the extended period, and all the outputs except for Output 6 have been more or less achieved. Further efforts should be made for the improvement of the follow-up systems of the screening results. It is most likely that when all data from screening to diagnosis are input to the database, Output 6 will be achieved.

(3) Implementation Process

The starting time of the screening activities was significantly delayed because of the late introduction of equipment provided through grant aid due to reasons on the Kazakhstani side. However, technology transfer in cell diagnosis and pathological area, which did not require the equipment provided through grant aid, successfully introduced and extended the Papanicolaou Staining method for the first time in Kazakhstan.

The project was smoothly implemented during the extended period, and ownership was smoothly shifted to the Kazakhstani side.

2. Summary of Evaluation Results

(1) Relevance

The relevance of this project was high. The assistance, which makes use of many years of experience in medical care for atomic bomb victims in Hiroshima and Nagasaki, meets the needs of the people in the highly contaminated areas of Semipalatinsk City and the surrounding region. It is also consistent with Kazakhstan's priority goal, the Strategic Plan of Development of the Republic of Kazakhstan to 2010, which targets social policy and environmental protection as strategic agendas.

(2) Effectiveness

The effectiveness of this project was high. All the activities planned under Outputs 1 to 5 are almost completed. When all these activities are completed, the outputs will be achieved, resulting in the achievement of the project purpose. However, the activity planned under Output 6 has not yet been started; it is likely to start when the ongoing diagnosis data input into the program is completed so that a statistical database is developed. The previous terminal evaluation recommended that the project should organically connect the outputs of each activity to establish a whole health examination system in order to achieve the project purpose. It can be said that the recommendation was adopted and implemented.

(3) Efficiency

Overall, the project was implemented in an efficient way. The dispatch of experts for technology transfer was mostly appropriate in terms of timing, time period, and quantity, except for data development. Technology transfer on data development, supposed to be completed during the early stage of the project, made up for the initial lost time by dispatching experts and conducting training in Japan appropriately during the extended period.

Although the introduction of equipment provided through grant aid was delayed due to reasons on the Kazakhstani side in the early stage of the project, there were no serious problems during the extended period, and the provided equipment has been utilized in an appropriate manner overall.

(4) Impact

Some positive distributed effects generated by the project were confirmed. Screening using mobile examination vehicles has provided residents in remote areas with opportunities for free medical checks. Screening practices carried out by the team consisting of medical staff from each hospital have strengthened partnerships and cooperation among hospitals. With the latest diagnosis equipment provided, doctors' medical abilities and speed of treatment improved, consequently reducing the number of days that patients stay in hospital. Moreover, increased

* The Papanicolaou Staining method: A method that stains cells from tumors under examination so that they can be easily observed using a microscope.

early detection of tuberculosis can be also recognized as a positive distributed effect obtained from the project.

(5) Sustainability

A basis for organizational and technical sustainability to maintain the benefits of the project has been established. Moreover, the director of the Health Care Department of the East Kazakhstan Oblast declared at the Joint Coordination Committee (JCC) meeting that it plans to continue policy and financial support for the activities after the end of the project.

3. Contributing Factors

(1) Factors Regarding Planning

The linkage between grant aid and technical cooperation contributed to highly sustainable results in the limited timeframe.

(2) Factors Regarding the Implementation Process

To make up for the delay of the delivery of equipment provided through grant aid due to reasons on the Kazakhstani side, the schedule of the project was partly changed in such a way that experts were first dispatched in the cell diagnosis and pathological areas that did not require such equipment. Other factors that contributed to success include: the authority was upgraded from city to state; the director of the Health Care Department of the East Kazakhstan Oblast who was always supportive and helpful to this project remained in office throughout the project period; KazNII (Kazakh Scientific Research Institute for Radiation Medicine and Ecology) joined the screening practice; and Kazakhstan's economy has been growing since the launch of the project.

4. Inhibiting Factors

(1) Factors Regarding Planning

N/A

(2) Factors Regarding the Implementation Process

The late arrival of the equipment provided through grant aid due to the delay in the E/N signing and the ratification process in the Parliament had a substantial influence on the subsequent project implementation process. A total of 16 health administrators participated in training in Japan, among which three participated in another training in Japan conducted for three years before the project was extended. Two out of the three participants left the position. However, almost all training participants in Japan during the extended period remained in office and were continuously engaged in the project.

5. Conclusion

All outputs, except for Output 6, were almost achieved, and thus the project purpose is highly likely to be achieved in the near future. Continuous effort by the Kazakhstani side after the end of the project to achieve Output 6 will ensure achievement of the project purpose. It could be concluded that the high relevancy of the project and the project's effective and efficient implementation brought substantial positive impacts and therefore high sustainability of the outcomes of the project are greatly expected.

6. Recommendations

- The cooperation among medical staff, database programmers, and other implementation organizations should be strengthened in order to efficiently and effectively utilize the database constructed during the project. The Kazakhstani side should continue to consider the property and accessibility of the database.
- A follow-up system on people who have received screenings should be established through the utilization of the database.
- A team should be organized for the sole purpose of conducting screenings.
- The Kazakhstani side should consider further expanding the new knowledge and skills transferred under the project to other regions.

7. Lessons Learned

- Successful outcomes of the project are attributed to: (a) project implementation that linked grant aid and the technical cooperation project; (b) good collaboration among five implementing institutes (four counterpart hospitals and KazNII), which was established with support from the Health Department of East Kazakhstan Oblast; and (c) cooperation among members of the medical check team consisting of doctors, nurses, technicians, etc.
- The Kazakhstani side effectively used Japanese experts to implement seminars for technology transfer of the Papanicolaou Staining method, which was introduced for the first time in Kazakhstan by the project, not only in Semipalatinsk but also in other cities (Astana and Almaty).
- No long-term expert was dispatched, and the short-term experts who were dispatched repeatedly helped establish good cooperative relations with Kazakhstan counterparts.
- The project coordinator on the Kazakhstani side was in the position throughout the five-year project period, making the monitoring of the project implementation easy.

Example of Project-level Ex-post Evaluation

I Outline of Project

- Country: Morocco
- Project name: The Project on Upgrading Exploration Technology of Mineral Resources
- Sector: Mining
- Cooperation scheme: Technical Cooperation Project
- Division in charge: Economic Development Department, Natural Resources and Energy Group
- Total cost: About ¥ 500 million
- Period of cooperation: April 1998 to March 2002 (four years)
- Partner country's related organization: Office of Mining Research and Participation (BRPM)
- Supporting organization in Japan: Agency for Natural Resources and Energy

1. Background of Cooperation

Agriculture, fishery, and tourism occupy important portions of the economic structure of Morocco. The Moroccan economy remains unstable, largely depending on the above three sectors. Based on the Fifth Five-Year National Programme (1988-1992), the Moroccan government aimed at further stable economic growth by promoting the export of mineral products, while exploring potentials for strengthening the mining sector and developing and improving technology in the sector.

Since the 1970s, the Japanese government has implemented the dispatch of experts, feasibility studies for resource development cooperation, a mini-project, and other cooperation in support of BRPM, which was under the supervision of the Ministry of Energy and Mines (presently the Ministry of Industry, Trade, Energy and Mines).

After the mini-project was terminated, the Moroccan government requested from Japan a new project aimed at organizational technology improvement in each department of exploration, ore dressing, and industrial materials. This request reflected a call for advanced technology in a broader area along with a shift from exploration of resources exposed on the surface of the earth to that of mineral resources hidden in the ground. Based on the Record of Discussion signed on January 26, 1998, this project was launched on April 1 in the same year.

2. Framework of Cooperation

This project was implemented to strengthen BRPM's capacity to conduct systematic and practical exploration by transferring Japan's advanced exploration technology for mineral resources.

(1) Overall Goal

New mineral resources will be found in Morocco.

(2) Project Purpose

BRPM will be able to continuously carry out systematic and practical exploration.

(3) Outputs

Output 1: The organization of the Exploration Department of BRPM will be improved and operated efficiently.

Output 2: Equipment will be efficiently operated and properly maintained.

Output 3: Planning methods for efficient exploration are acquired.

Output 4: Practical technology on exploration will be acquired.

Output 5: Comprehensive exploration technology will be acquired.

Output 6: Manual on exploration technology will be ready for use.

Output 7: A system of transferring exploration technology will be established in BRPM.

(4) Inputs (at the time of the project termination)

Japanese side

Dispatch of long-term experts: 7 experts
Dispatch of short-term experts: 20 experts
Trainees received: 7 people
Equipment provision

Moroccan side

Counterpart assignment: 32 people
Land and facility provision
Local cost

Guidance in exploration technology

II Evaluation Team

Evaluator:

Mohammed Benharref, Moroccan consultant

Period of evaluation: December 20, 2005 to February 24, 2006

III Results of Evaluation

1. Summary of Evaluation Results

(1) Impact

In the field of underground mining resource exploration technology, this project successfully produced meaningful outcomes to advance BRPM exploration engineers' capacities and enhance the capacity of BRPM's overall technology to international standards. Utilizing advanced technology, including provided equipment such as portable spectroradiometers for mineral identifica-

tion (POSAM), the project successfully transferred the technology of geothermal exploration to BRPM. As a result, this advanced technology minimized the exploration survey areas and facilitated highly precise exploration activities.

Though the achievement of the project's overall goal is highly anticipated, no major new mineral deposits were discovered during the period of 2002 to 2005. This is because the discovery of new mineral deposits is very much attributed to chance. BRPM is now engaged in exploring new mineral deposits in the southern region of Morocco, which is considered to be promising. Thanks to the outcomes of the project, many exploration projects have now reached the advanced phase, and some will lead to new mineral discoveries in coming years.

With the development of mineral exploration technology, BRPM has launched 20 projects in the fields of gold, base metals, and industrial minerals from 1998 to the present. One of the projects is a precious metal exploration project, which was implemented in southern Morocco in a partnership with the Ministry of Energy and Mines (launched in 2003 with a total input of 140 million dirham).

BRPM has also operated 12 major projects since 1998 in collaboration with domestic and international companies.

BRPM has hereby acquired a good international reputation, and it has established as many as 25 partnerships with domestic and international organizations and companies in developing exploration technology and discovering mineral deposits. Before the project, BRPM was directly engaged in small and medium-scale exploration activities, but now utilizing the advanced technology acquired through the project, it is entrusted to implement exploration of mineral resources and chemical analysis, and moreover, transfers its technology to domestic companies and foreign countries in the Arab and African regions.

To identify accurate mineral reserves in the country, the Moroccan government has ranked geological, geophysical, and geochemical distribution charts of mineral resources in the whole country as one of its high-priority projects. The technology of geographic information system (GIS) introduced by the project enabled BRPM to implement data processing to draw up a high-precision chart of mineral resources throughout the territory.

With the advanced technology acquired from the project, BRPM is waiting for the ISO9001/V2000* certification for its laboratory and ISO17025** accreditation for its gold analysis method, both of which BRPM has applied for.

(2) Sustainability

The Moroccan government considers the following policies important enough in the mining sector to be further developed: (a) consolidate and further improve existing technologies in exploration and development of mineral resources; (b) develop the existing legal system to encourage investment in the mining industry in Morocco (develop foreign investment environment); and (3) encourage the international market entry of domestic mineral products.

With the result of cooperation, BRPM has implemented the following activities to maintain the sustainability of cooperation.

a. BRPM introduced an efficient maintenance system of advanced equipment, such as inductively coupled plasma atomic emission spectroscopy (ICP).
b. BRPM purchases advanced equipment with its own annual budget of 2.5 to 3 million dirham, and secures systematic training on the newly acquired equipment and software.
c. BRPM continuously dispatches its engineers to international seminars and conferences to improve their skills and experience, and also integrates internal seminars in exploration management to develop engineers' competencies by means of information and knowledge exchange.

In 2004, the Moroccan government integrated BRPM and the National Office of Petroleum Research and Exploitation (ONAREP) to establish the National Office for Hydrocarbons and Mining (ONHYM), as the new and sole national organization engaged in mineral exploration. This integration is an important step for strengthening the organizational system of BRPM. ONHYM is engaged in exploration and development of potentially rare and base metals, and is allocated with a budget of 280 million dirham for its activities between 2005 and 2007.

ONHYM is now engaged in developing potential reserve areas of Ouarzazate, Tiznit, Tata, Figuig, Taroudant, and Marrakech, and is preparing for a verification survey of potential resources in the southern regions. This survey will be conducted based upon the convention between the Moroccan government and BRPM signed in March 2003, which is to be financially assisted by the Canadian company, METALEX.

The ONHYM will play a major role in the exploration of mineral resources as the Moroccan government entrusts ONHYM with a mission to develop the mining sector with new mineral deposit discoveries. The huge budget allocated to ONHYM for 2005-2007 as mentioned above indicates the government's high expectations.

The present public policy and strategy of the Moroccan government demonstrates the sustainability and economic importance of mineral exploration activities in Morocco. For financial sustainability, BRPM financial support is principally derived from government origin; to which is added the turnover of external services (32 million dirham per year) and the royalties for BRPM's participation in active mines (37 million dirham in 2004). In addition to this budget and royalties, BRPM partnerships in Moroccan exploration are more than 10 million dirham per year and this contribution will increase in the future.

For the period of 1998-2004, BRPM's budget increased by 14%, from 75 million dirham in 1998 to 86 million dirham in 2004. For 2005, the budget accorded by the government to ONHYM is 110 million dirham. For the 2006 projection, a budget of 185 million dirham is scheduled, showing a steady budget

* ISO9001/V2000: International standard model for quality management systems
** ISO17025: International standards for the competence of testing and calibration laboratories

growth (68% increase over the previous year).

This financial support shows stable public support for the BRPM's finance and attests to the sustainability of mineral exploration activities in Morocco.

Concerning human resources sustainability, the BRPM's staff shrunk from 1,014 in 2003 to 953 in 2004. This reduction was carried out in accordance with the government policy oriented toward public charges reduction. However, BRPM has continued its recruitment of competent human resources for specific needs and recruited 15 engineers in the areas of exploration methods and GIS for the period of 1998-2004.

2. Contributing Factors

(1) Factors that Contributed to Impact

- The Moroccan government implemented policies such as the development of exploration technology and the promotion of competence toward the international market. These policies accelerated the progress of the Moroccan exploration technology.
- The Moroccan government entrusted BRPM with a grand and ambitious verification survey of potential mineral resources in the southern regions. BRPM has been gaining much confidence from the government.
- The government integrated BRPM and ONAREP into ONHYM to strengthen the implementation structure of mineral exploration.
- The government has continuously allocated a sufficient budget for the exploration activities of BRPM: 75 million dirham in 1998, 95 million dirham in 2002, 71 million dirham in 2003, and 86 million dirham in 2004.
- The Japanese government commenced cooperation to BRPM in the 1970s, which preceded the start of the project. The precedent cooperation cultivated good human relationships between Japanese and Moroccan engineers, which facilitated efficient technology transfer during the project period.

(2) Factors that Contributed to Sustainability

- The government's mining policies and BRPM's organizational stability
- The increase of the BRPM's budget
- Taking advantage of the opportunity of bilateral cooperation with the Japanese government, BRPM opened up domestic and international partnerships. As a result, BRPM achieved a positive international reputation and credibility in the mining sector.

3. Inhibiting Factors

(1) Factors that Inhibited Impact

N/A

(2) Factors that Inhibited Sustainability

The exploration manual introduced during the project period has not been reviewed.

4. Conclusion

After the termination of the cooperation period in 2002, the project has steadily brought about a satisfactory outcome. BRPM has improved its exploration technology, which covers high-precision charts of potential mineral resources. BRPM plays an important role in technical transfer through partnerships with domestic private companies. In addition to its own exploration activities, BRPM is entrusted to implement mineral exploration and chemical analysis by private companies and at the same time contributes to technical transfer to the Arab and African regions, thus generating outcome in secondary technical transfer. It is greatly appreciated that BRPM achieved a positive reputation in the domestic and international mining world.

BRPM was integrated into ONHYM in 2004. The needs for ONHYM in the mining sector are expected to remain great. Though there are uncertainties about future contributions of the recently born ONHYM, the mining policy of the Moroccan government aims for high productivity and high competence in the international market, and the broad and substantial needs for ONHYM and the BRPM's partnerships assure the sustainability of the BRPM's activities as an important actor in the mining sector.

5. Recommendations

Revision of the exploration manual is essential in the field of advanced mineral exploration. Regular revisions should be continued so that the technology can be shared among BRPM's engineers so that they can avoid the risk of appropriation and preserve the institutional memory for a younger generation.

The Training Department of BRPM, which provides continuous and regular training to its engineers, was not clearly positioned in the project. Its role and function within the organization should be clarified in view of the BRPM's significance in human resources development.

6. Lessons Learned

When providing assistance in the area of advanced technology such as mineral resource exploration, it is important to identify the policy priorities of the counterpart government and needs from private companies. In Morocco, government intervention is still important in the mining sector, but the government greatly respects contributions from the private sector in the development of the mining sector. Therefore, the future diffusion of transferred technology to the private sector should be contrived even in the scheme of bilateral cooperation. For example, inviting private companies to seminars for technology transfer organized by the project is an ambitious attempt to increase their understanding of the project activities.

7. Follow-up

N/A

Chapter 2 Synthesis Study of Evaluations (Project-level Ex-post Evaluations)

1 Outline of Evaluation Study

1-1 Background and Objectives

JICA conducted cross-sectoral analysis (synthesis study) on evaluations of individual projects in fiscal 2003 and 2004. The objectives of the synthesis study are to derive common features of projects from evaluation results on technical cooperation projects and draw out lessons for effective feedback. Tendencies of project effects and promoting and impeding factors were analyzed and lessons for effective feedback were extracted in fiscal 2003 from the terminal evaluation reports, and the same was done in fiscal 2004 based on the ex-post evaluation reports.

In fiscal 2006, cross-sectoral analysis was performed using the synthesis study method with the same viewpoints used in fiscal 2004, based on the results of ex-post evaluations conducted in fiscal 2005. In addition, a comparative study with terminal evaluation results was conducted to present a new viewpoint, thus extracting lessons from study results that will make implementation of projects effective for maintaining and expanding project effects, as well as lessons on ex-post and terminal evaluations.

1-2 Members of the Study

Kazunori Miura
Director, Office of Evaluation, Planning and Coordination Department, JICA
Akihisa Tanaka
Chief, Country and Thematic Evaluation Team, Office of Evaluation, Planning and Coordination Department, JICA
Yuichi Ichikawa
Issue Support Unit, Office of Evaluation, Planning and Coordination Department, JICA
Yoko Ishida
Senior Consultant, International Development Center of Japan
Hidenori Nakamura
Consultant, International Development Center of Japan

1-3 Target Projects

In principle, JICA overseas office conducts ex-post evaluation on Technical Cooperation Project three years after its termination using local consultants. This system was adopted in fiscal 2002. For this year's study, we targeted 39 projects on which JICA conducted ex-post evaluations in fiscal 2005 (Table 2-1).

When looking at the targeted projects by regions, 17 projects were in Asia, 13 projects were in Latin America, five in Africa, four in Middle East, and one in Oceania (Figure 2-1). The number of projects implemented in Asia is the largest; among which Thailand and Philippines have the largest number of projects with four each, followed by Indonesia, Viet Nam and Sri Lanka with two each. Three projects in El Salvador, three in Chile, and two in Jamaica are included in the 13 projects in Latin America. These eight countries account for 56% of the total number of projects (22 out of 39 projects).

When looking at them by cooperation sectors, the largest number of projects was in the sector of agriculture/forestry/fisheries and in the sector of health/medical care with 10 projects each, followed by human resources with seven projects, and public works/utilities with five projects (Figure 2-2). The breakdown of the agriculture/forestry/fisheries sector indicates that target technologies vary although they are classified into one category: four projects in agriculture/rural development, three projects in forestry, three in fisheries. The same can be said of the human resources sector: three projects in information technology, two vocational training, and two in higher education. When referring to the results of evaluation study, it is necessary to pay attention to the regional and sectoral bias in targeted projects as described above.

1-4 Methods of the Synthesis Study

With the objectives of analyzing the tendency of project outcomes at the time of the completion of projects as well as promoting and impeding factors, and drawing out lessons for effective feedback, the following three evaluation questions were set (a, b and c) in the same way as fiscal 2004. In addition, for the analysis of this year, we created a new evaluation question (d) in order to conduct a comparative study between project outcomes expected at the time of terminal evaluations and results of ex-post evaluations.

a. Has the impact of a project emerged after termination? Is sustainability secured?
b. What are the major factors that promoted or impeded to the occurrence of outcomes at the planning and implementation stages?
c. What are the major lessons learned that should be considered at

the planning and implementation stages of a project for sustainable outcomes after the termination of cooperation?

d. What kind of lessons derived from a comparative study between terminal evaluation results and ex-post evaluation results will increase project outcomes?

The procedure of analysis and evaluation is described in detail below.

(1) Grasping General Tendency (Section 2)

1) Analysis of General Tendency of Ex-post Evaluation Results

Among the DAC Five Evaluation Criteria, impact and sustainability are the major criteria for JICA's ex-post evaluations of projects. They were rated on a scale of one to four. The rating aimed to grasp the general tendency seen in ex-post evaluation results of the target projects.

Impact was comprehensively examined from the standpoint of whether the project purpose was achieved and how much the overall goal was achieved. Sustainability was also comprehensively examined from the standpoint of whether project outcomes were maintained and expanded, as well as from the aspects of technical, organizational and financial sustainability. Details of the criteria for rating are described later in the section of each analysis.

Three members (one JICA staff and two external consultants) of the above-mentioned study team rated the results. First, the three members gave scores to several projects as samples. This was followed by the approximation of interpretations of evaluation criteria and differences in rating tendencies. All the ex-post evaluations were then read and evaluated. This process was adopted to avoid biased interpretation of evaluators as much as possible. Finally, the general tendency of impact and sustainability was analyzed based on the rated results.

2) Comparative Study between Terminal Evaluation Results and Ex-post Evaluation Results

Two evaluation results that had been conducted after a three-year interval were compared: namely, terminal evaluation and ex-post evaluation. In specific terms, feedback of terminal evaluation results to ex-post evaluations was examined to analyze whether impact and sustainability were achieved at the time of ex-post evaluations, as was expected at the time of terminal evaluation, how recommendations proposed in terminal evaluations were carried out in the subsequent projects, and whether outcomes were observed in the ex-post evaluations.

(2) Analysis of Promoting and Impeding Factors (Section 3)

1) Promoting and Impeding Factors Seen from the Ex-post Evaluation Results

Promoting and impeding factors at each stage of planning and implementation were extracted and analyzed in order to examine what the characteristics of factors are that promoted or impeded

Table 2-1 Target Projects (Ex-post Evaluation)

	Country	Project Name
1	Indonesia	The Project for the National Vocational Rehabilitation Center for Disabled People
2	Indonesia	Higher Education Development Support Project
3	Philippines	Capacity Building Project for Environmental Management in Mining
4	Philippines	Upgrading Project for Plastic Molding Tool Technology
5	Philippines	Bohol Integrated Agriculture Promotion Project
6	Philippines	The Project on Electrical and Electronics Appliances Testing
7	Thailand	The Project on Strengthening the National Institute for the Improvement of Working Conditions and Environment
8	Thailand	The Research Center for Communication and Information Technology (ReCCIT), King Mongkut's Institute of Technology, Ladkrabang (KMITL)
9	Thailand	Project for Model Development of Comprehensive HIV/AIDS Prevention and Care
10	Thailand	The Railway Training Center Project
11	Viet Nam	The Project of Viet Nam Information Technology Training
12	Viet Nam	Afforestation Technology Development on Acid Sulphate Soil in the Mekong Delta
13	Laos	The Agricultural and Rural Development Project in Vientiane Province (Phase 2)
14	Mongolia	Maternal and Child Health Project
15	Sri Lanka	Dental Education Project at University of Peradeniya
16	Sri Lanka	Nursing Education Project
17	Mexico	The National Center for Environmental Research and Training (Phase 2)
18	Argentine	The Research Project at the Faculty of Veterinary Science, the National University of La Plata
19	Brazil	The Urban Transport Human Resources Development Project
20	Paraguay	The Research Project on Soybean Production
21	Turkey	The Infectious Diseases Control Project
22	Egypt	The Water Supply Technology Training Improvement Project
23	Ghana	The Project of the Improvement of the Maternal and Child Health In-Service Training System and Program
24	Tanzania	Maternal and Child Health Services Project
25	Morocco	Upgrading Exploration Technology of Mineral Resources
26	Papua New Guinea	Forest Research Project (Phase 2)
27	El Salvador	Project for Strengthening Nursing Education
28	El Salvador	The Project on the Aquaculture Development in Estuaries
29	El Salvador	The Project for Strengthening Agricultural Technology Development and Transfer
30	Jamaica	The Technical and Vocational Education and Training Improvement Project at Technical High Schools
31	Jamaica	The Project for Strengthening Health Care in the Southern Region
32	Chile	The National Center for Environment Project
33	Chile	The Development of Benthonic Resources Aquaculture Project
34	Chile	The Erosion Control and Afforestation Project in Watersheds of Semi-Arid Area
		Integral Management of Watershed with Emphasis on Soil and Water Conservation (Third-country Training)
35	Colombia	Improvement of Mineral Processing Technology Concerning Medium and Small Scale Mines
36	Jordan	The Project for the Specialized Training Institute
37	Jordan	Information Technology Upgrading Project
38	Mauritius	Coastal Resources and Environment Conservation Project
39	Madagascar	Project for the Improvement of the Mahajanga University Hospital Center

Figure 2-1 Breakdown of Target Projects by Region

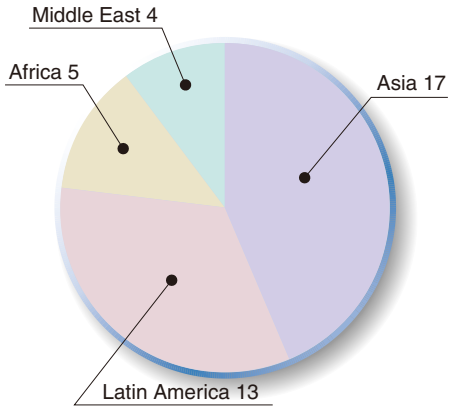
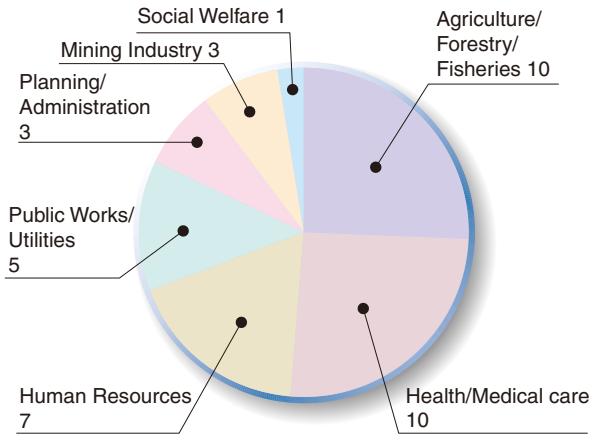


Figure 2-2 Breakdown of Target Projects by Sector



the occurrence of outcomes at the planning and implementation stages of a project and how these factors are related to the results of the above-mentioned section (1). Criteria for analysis are based on the classification of promoting and impeding factors used in fiscal 2004 when similar analysis was done. We also added major promoting and impeding factors derived from ex-post evaluation results of the target projects in this study. We then analyzed relationships between each promoting and impeding factor and the scores on impact and sustainability of projects, which were obtained in the section (1), and examined the influences of these factors on project outcomes.

2) Promoting and Impeding Factors Derived from Comparative Study between Terminal Evaluations and Ex-post Evaluations

Based on the study results of the above "(1)-2) Comparative Study between Terminal Evaluation Results and Ex-post Evaluation Results", we identified promoting and impeding factors in terminal evaluations and ex-post evaluations that have influenced project outcomes.

(3) Deriving Lessons (Section 4)

Based on the results of the above analysis, we summarized the lessons that are considered useful for formulating, planning and implementing projects more effectively and efficiently and for increasing impact and sustainability of projects.

In addition, lessons to ensure project outcomes at higher levels were derived especially from the results of the above-mentioned section "(2)-2) Promoting and Impeding Factors Derived from the Comparative Study between Terminal Evaluations and Ex-post Evaluations".

2 Tendencies of Impact and Sustainability

2-1 Impact

(1) Rating Methods and Procedures

The impacts observed in ex-post evaluations are examined to find how much of the overall goal was accomplished through the achievement of the project purpose and whether there are any positive or negative ripple effects. Focusing on these points, this analysis rated ex-post evaluation results on a scale of four from 1 to 4 points. The rating criteria for the scale are shown in Table 2-2. A score of 3 or above is given if an impact is observed towards achieving the overall goal at the time of ex-post evaluation carried out three years after the completion of a project.

The average scores of the three evaluators were rounded off to the whole number, reflecting the closest scale point order to obtain the score of impact of each project.

(2) General Tendency

The average score of impact of the 39 projects was 2.9.

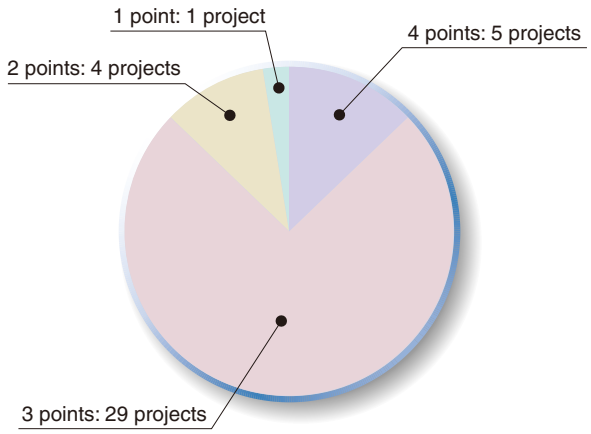
Table 2-2 Rating Criteria for Impact

4 points	The overall goal has been achieved. (The project purpose has also been achieved.)
3 points	The overall goal is in the process of being achieved, or a large positive impact has emerged. (The project purpose has already been achieved.)
2 points	Although the overall goal has yet to be achieved, a positive impact has been observed. (The project purpose has yet to be achieved.)
1 point	The overall goal has not been achieved and no positive impact has been identified; or a negative impact has been observed.

Figure 2-3 shows the tendency of impact based on the ex-post evaluations.

Thirty-four out of 39 projects were given either 3 or 4 points. In other words, 87% of the projects have either achieved the overall goal or shown a large positive impact towards achieving the overall goal. Among the five projects that were given 4 points, in the Urban Transport Human Resources Development Project in Brazil, training for local administrators progressed at a higher

Figure 2-3 Results of Impact Analysis Based on Ex-post Evaluation Reports



pace than expected due to high management capacity and flexibility of the implementing organization.

Although positive impacts have been observed, the overall goals have yet to be achieved in 29 projects with the score of 3 at the time of ex-post evaluations. Some projects suggest that contributions of external factors, which a project cannot control, are required.

On the other hand, five projects were given 2 points or 1 point since neither overall goals nor project purposes were achieved; this number accounts for 13% of all projects. The Research Project on Soybean Production in Paraguay scored 2 points. The dissemination of the cultivation technology developed in this project was not incorporated in the project activities, which was seen as an impeding factor to the occurrence of expected impacts. This project was later reviewed and modified. As a result, some efforts to expand project effects have been observed; for instance, two additional varieties were developed and research papers were published.

(3) Comparison between the Expectations at the Time of Terminal Evaluations and Results of Ex-post Evaluations

Evaluation on impacts of terminal evaluation reports were rated the same way as ex-post evaluation reports to compare the two evaluation reports. Two consultants gave scores to the terminal evaluation reports. The average score on impact of the 39 projects at the time of terminal evaluation was 2.8 points. Table 2-3 shows the scores of expectations at the time of terminal evaluations and the actual scores in ex-post evaluations.

Table 2-3 Change in Scores of Impact at the Time of Terminal Evaluation and Ex-post Evaluation

		Scores of Ex-post Evaluation			
		1 point	2 points	3 points	4 points
Expectations at the time of Terminal Evaluation	1 point				
	2 points		2 projects	7 projects	
	3 points	1 project	2 projects	19 projects	4 projects
	4 points			3 projects	1 project

Thirty-one projects scored either the same as or higher than the expectations of the terminal evaluations with scores of 3 or higher in ex-post evaluations, accounting for nearly 80% of the total 39 projects. Judging from the tendency of the overall scores, it is fair to conclude that project goals have been achieved as expected (or better than expected) at the time of terminal evaluations, generating positive impacts.

Turning attention to the change in the scores, one project out of four that had received 4 points at the time of terminal evaluations did indeed receive 4 points in ex-post evaluations, achieving the overall goals. The remaining three projects received 3 points, generating positive impacts although the overall goals were not achieved. Meanwhile, four projects that had received 3 points at the time of terminal evaluations achieved the overall goals, receiving 4 points in ex-post evaluations. It is assumed that the overall goals were achieved owing to the fact that the spread of the developed technologies was made more smoothly than the expectation of the terminal evaluation due to the consistency between the support of upper-level policies and the needs of beneficiaries. On the other hand, three projects that scored 3 points in terminal evaluations received either 2 points or 1 point in ex-post evaluations. The changes in the scores were the result of the following factors: projects did not fully analyze the path to achieving overall goals at the time of terminal evaluations; requirements listed in the terminal evaluations to achieve the overall goals were not sufficiently met at the time of ex-post evaluations; and policies were changed in the process.

Seven projects out of nine that received 2 points at the time of terminal evaluations got 3 points in the ex-post evaluations: a possible reason is that outcomes spread more widely than expected at the time of terminal evaluations, which led to the achievement of the project purposes. The remaining two projects scored 2 points as was expected at the time of terminal evaluations since external factors, such as economic conditions and security situation, contributed negatively.

In some projects that realized the same or better impacts as expected in ex-post evaluations than in the terminal evaluations, the terminal evaluations evaluated impacts by using appropriate indices, and some terminal evaluations appropriately incorporated approaches necessary for achieving expected impacts into recommendations. There were other ex-post evaluations that revealed the path of how the expected impacts of terminal evaluations had resulted in the current situation.

On the other hand, many of the projects that did not realize the expected impacts of terminal evaluations did not provide the judgment basis for evaluating impacts in the terminal evaluation reports.

(4) Other Ripple Effects

Various ripple effects were reported in the ex-post evaluations as a result of the projects in terms of policy, society, economy, organizations, and institutions. As an effect on policy, some governments formulated bylaws and policies based on the guide-

lines and recommendations developed by the projects. Some other governments also formulated new bylaws to extend the ripple effects of successful projects.

As for effects on society, changes are mainly observed in terms of environment, awareness, and living conditions in addition to the intended effects by training and disseminaion: for example, the spread of bio-fertilizers promoted in model villages, which provided a positive influence on natural environment: the change in awareness of the employers about employing persons with disabilities and ensuring occupational safety: and raised awareness of AIDS patients and persons with disabilities, which improved their living conditions.

Effects on the economic front include an improvement of livelihood of the local residents through afforestation and aquaculture using technologies developed and disseminated by the projects and through the use of seeds provided by the projects, as well as acceleration of external investments within the region. Some reports indicate that positive impacts were not attained due to inflation or decline in market prices at a macro level, even though positive economic effects were observed at a micro-level, which include the improved income of farmers and creation of employment opportunities in the target regions.

As effects on institutions and organizations, reinforcement of support systems has been seen to implement projects through the strengthening of positions of the implementing organizations and facilitation of partnership with related organizations and other donors. Many reports that refer to ripple effects on institutions and organizations mention the relationships with sustainability in view of organizational reinforcement through projects.

2-2 Sustainability

(1) Rating methods and Procedures

Sustainability is a criterion for asking whether the outcomes of a project have continued and expanded since the termination of projects. The analysis on sustainability involves the three aspects of technology, organization, and finance, and at the same time, considering these aspects comprehensively, overall sustainability should also be evaluated. Sustainability was evaluated using four raing levels as shown in Table 2-4.

(2) General Tendency

The distribution of total scores is shown in Figure 2-4. Twenty-eight projects received 3 points (72%), and four projects received 4 points (10%). Project outcomes in 32 projects out of 39 (82%) were judged in ex-post evaluations as having been either maintained or expanded. Six projects scored 2 points and one project got 1 point. The average scores of all the projects in the categories of overall, technology, organization, and finance are 2.9, 3.0, 2.9, and 2.7 respectively.

Table 2-4 Rating Criteria for Sustainability

Overall	
4 points	Projects effects have expanded.
3 points	Projects effects have been maintained.
2 points	Projects effects have been insufficiently maintained.
1 point	Projects effects have not been maintained.
Technology	
4 points	Technical and capacity levels have been improved from the time of terminal evaluation, and materials and equipment have been renewed or maintained and managed.
3 points	Technical and capacity levels at the time of terminal evaluation have been largely maintained, and materials and equipment have been generally renewed or maintained and managed.
2 points	Technical and capacity levels have declined from the time of terminal evaluation and some insufficiency is evidenced in terms of renewal or maintenance and management of materials and equipment.
1 point	Technology, materials and equipment provided by the project have not been utilized.
Organization	
4 points	The implementing organizations have been stably managed and supported by policies of the government.
3 points	With regards to support for management of the implementing organizations and policies of the government, they are generally well maintained although some minor problems in need of improvement have been observed.
2 points	With regards to support for management of the implementing organizations or policies of the government, impeding factors to the maintenance of project effects are observed.
1 point	Project effects have not occurred enough due to unstable management of the implementing organizations or no policy support from the government.
Finance	
4 points	Sufficient budget is provided to maintain project effects.
3 points	Budget is not always sufficient, but necessary budget is generally allocated or measures are taken to secure the budget.
2 points	Maintenance of project effects is becoming difficult due to insufficient budget.
1 point	Project implementation is impeded and no measures are taken due to insufficient budget.

(3) Sustainability by Subcategories

The distribution of sustainability scores in the aspects of technology, organization and finance is shown in Figure 2-5. The percentage of projects with 4 or 3 points is the highest in the category of technology with 34 projects (87% of total), followed

Figure 2-4 Results of Sustainability Analysis Based on Ex-post Evaluation Reports

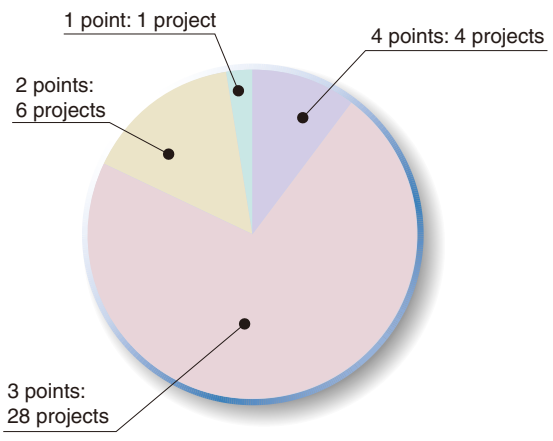
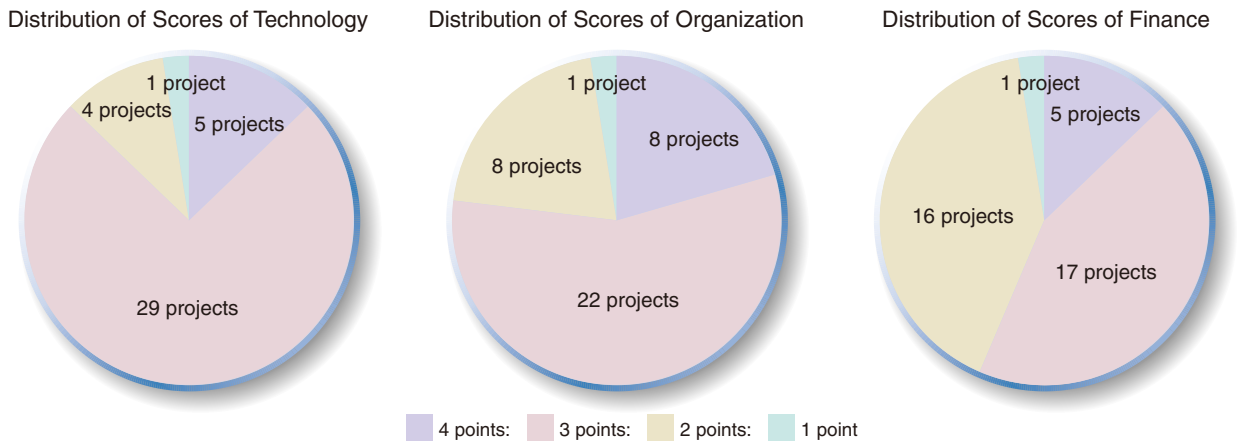


Figure 2-5 Distribution of Scores of Sustainability



by organization with 30 projects (77% of total), and finance with 22 projects (56% of total).

1) Overall Sustainability

The implementing organizations of more than 80% of the 39 projects have maintained activities after the termination of projects, and project outcomes were maintained or expanded (Figure 2-4).

Four projects (10%) gained the highest overall score of sustainability: namely, the Urban Transport Human Resources Development Projects in Brazil, the Erosion Control and Afforestation Project in Watersheds of Semi-Arid Area in Chile, Upgrading Exploration Technology of Mineral Resources in Morocco, and the Project for the Specialized Training Institute in Jordan. Particularly, the Project in Chile gained 4 points in all the categories: overall, technology, organization, and finance. Contributing factors in this case to the emergence and maintenance of project outcomes are thought to be the amendment of laws that promoted the dissemination of developed technologies during the project implementation and the selection of the stable implementing organization.

Twenty-eight projects (72%) had 3 points. The overall quality and quantity of activities have been well maintained although some of them had minor problems with the stability of human resources, provision of budget, and maintenance of materials and equipment.

The number of projects that have overall scores of 2 points or lower is seven (18%); some problems have been observed in sustainability of technology, organization, and finance. For instance, Forest Research Project (Phase 2) in Papua New Guinea was implemented with the aim of enabling the Forest Research Institute independently to conduct research activities concerning sustainable forest management. However, some delays have been found in research activities after the termination of the project. Impeding factors to the project effects were identified as being the diversion of governmental policy from natural forests to the creation of artificial forests, and the unclearly defined political position of the implementing organization after the termination of the project.

2) Sustainability of Technology

Thirty-four out of 39 projects received 3 points or higher in this subcategory and it is fair to state that approximately 90% of the targeted projects maintained the technical level that had been attained at the time of the termination of the projects.

Five projects (13%) received 4 points in sustainability of technology. With regard to the Research Center for Communication and Information Technology (ReCCIT), King Mongkut's Institute of Technology, Ladkrabang (KMITL) in Thailand, the technology level of Thailand was improved and maintained. This is attributed to the facts that efficient research management systems were established in the implementing organization and experts were dispatched with an appropriate level of technology to local needs. In 29 projects (74%) that received 3 points, the provision of services (training, practice, research & development, education and medical care) was generally maintained at the organizational level.

Five projects (13%) received 2 points or less in sustainability of technology. Although the number of teachers who received diplomas increased in the Higher Education Development Support Project in Indonesia, no positive impact was observed in the improvement of quality of engineering education. Higher education-related projects, such as this one and Dental Education Project at University of Peradeniya in Sri Lanka, achieved outcome in technology transfer; however, issues have been raised about maintenance and management of equipment.

3) Sustainability of Organization

The distribution of scores of organizational sustainability is lower and wider than that of technical sustainability (Figure 2-5). Thirty projects out of 39 (77%) have scored more than 3 points. Nearly 80% of projects generally attained sustainability in terms of organizational management of the implementing organizations and policy support of the government.

Eight projects (21%) gained the highest scores (4 points) in organizational sustainability, among which four projects (10%)

also received high overall scores. These projects secured stable organizational management even after the termination of projects owing to solid manpower and availability of support through policies of the government (or advancement of the implementing organizations) and from international organizations.

Twenty-two projects (56%) that received 3 points in organizational sustainability show some positive factors, such as a certain degree of stability of human resources and stable status of the implementing organizations.

On the other hand, nine projects (23%) received scores of 2 points or less in organizational sustainability. Seven projects (18%) of these nine scored 2 points or less in overall sustainability as well. The remaining two projects are the Research Project on Soybean Production in Paraguay and Project for the Improvement of the Maternal and Child Health In-Service Training System and Program in Ghana. Both projects were faced with such problems as the inability of the implementing organizations to use their own income due to insufficient policy support from the government and lack of stability on the part of counterparts.

4) Sustainability of Finance

The scores of financial sustainability were lower than those of technical and organizational sustainability (Figure 2-5). The number of projects that scored 3 points or more was 22 out of 39 projects (56%), and nearly 60% of projects were provided with sufficient budget or took measures to secure the budget.

Five projects (13%) scored 4 points in the category of finance, among which three projects (8%) scored 4 points in the overall category. The remaining two projects (5%) were Project for Model Development of Comprehensive HIV/AIDS Prevention and Care in Thailand and the Water Supply Technology Training Improvement Project in Egypt. The former received increased budget allocation and support from international organizations, and the latter was provided with a budget, including funds for renewing materials and equipment.

Seventeen projects (44%) that received 3 points in financial sustainability maintained their activities at the time of the ex-post evaluations despite difficulty in securing funds. This was made possible by ensuring expenditures from allocated budgets, their own revenues and donors' funds, or by reducing the costs. Although the National Center for Environment Project in Chile, a university affiliated agency, was faced with a decrease in the government's financial support, it achieved the expansion of public and private orders. Despite job transfers of counterpart personnel, two of the three targeted laboratories maintained the project outcomes and the project was able to maintain the implementation of training courses and activities in the area of information and telecommunications.

Seventeen projects (44%) scored 2 points or less in financial sustainability. Maintenance and expansion of the achievements of projects, maintenance and management of materials and equipment, and securing of human resources were becoming difficult due to financial constraints. In some cases, their own revenues declined due to external factors.

On the other hand, some projects generated their own revenues and became financially independent. This study found that 38 projects indicated whether they has generated their own revenues. Among them, 21 (54%) had generated their own revenues and three projects (8%) attained financial independence. More than half of the projects were making efforts to generate their own revenues. The projects planning to be financially independent are the Urban Transport Human Resources Development Project in Brazil, the National Center for Environment Project in Chile, and Information Technology Upgrading Project in Jordan.

(4) Comparison between the Expectations at the Time of Terminal Evaluation and Results of Ex-post Evaluation

With respect to terminal evaluations, as in the case of ex-post evaluations, evaluators conducted evaluations on sustainability of overall, technology, organization and finance based on the evaluation reports. The sustainability was rated on a 1-4 scale (1=lowest 4=highest) and average scores were calculated*.

Table 2-5, 2-6, 2-7 and 2-8 show the changes in the scores of sustainability from the time of terminal evaluations to ex-post evaluations. The number of projects that scored the same points at both terminal and ex-post evaluations (in the boxes outlined in bold lines) is relatively large: 29 projects (74%) for overall sustainability, 28 projects (72%) for technical sustainability, 27 projects (69%) for organizational sustainability, and 24 projects (62%) for financial sustainability. Also, the number of projects that scored the same 3 points at the times of both the terminal evaluations and the ex-post evaluations in all of the aspects is the largest at more than 20 projects.

When looking at the changes in scores from the time of terminal evaluations to ex-post evaluations, the number of projects whose scores were raised or lowered in overall sustainability (Table 2-5) and technical sustainability (Table 2-6) is small, showing a similar pattern of distribution. In the aspect of organizational sustainability (Table 2-7), eight projects (21%) scored 2 points at the time of ex-post evaluations although the scores at the time of terminal evaluations had been 3 points. In the aspect of financial sustainability (Table 2-8), as in the case of organizational sustainability, eight projects (21%) were rated 2 points in ex-post evaluations due to difficulties in securing budgets although they had been given 3 points in terminal evaluations. Nonetheless, four projects (10%) that had scored 2 points in terminal evaluations were rated 3 points in ex-post evaluations by generating their own revenues.

From the above results, the following could be said about the projects that have been evaluated as having sustainability at the

* As in the case of impacts at the time of project termination, sustainability was evaluated on a four point scale rating by two consultants.

Table 2-5 Change in Scores of Sustainability (Overall) at the Time of Terminal Evaluation and Ex-post Evaluation

		Scores of Ex-post Evaluation			
		1 point	2 points	3 points	4 points
Expectations at the time of Terminal Evaluation	1 point				
	2 points	1 project	1 project	3 projects	
	3 points		5 projects	25 projects	1 project
	4 points				3 projects

Table 2-6 Change in Scores of Sustainability (Technology) at the Time of Terminal Evaluation and Ex-post Evaluation

		Scores of Ex-post Evaluation			
		1 point	2 points	3 points	4 points
Expectations at the time of Terminal Evaluation	1 point				
	2 points		1 project	5 projects	
	3 points	1 project	2 projects	25 projects	2 projects
	4 points			1 project	2 projects

Table 2-7 Change in Scores of Sustainability (Organization) at the Time of Terminal Evaluation and Ex-post Evaluation

		Scores of Ex-post Evaluation			
		1 point	2 points	3 points	4 points
Expectations at the time of Terminal Evaluation	1 point				
	2 points	1 project			
	3 points		8 projects	23 projects	2 projects
	4 points			1 project	4 projects

Table 2-8 Change in Scores of Sustainability (Finance) at the Time of Terminal Evaluation and Ex-post Evaluation

		Scores of Ex-post Evaluation			
		1 point	2 points	3 points	4 points
Expectations at the time of Terminal Evaluation	1 point				
	2 points	1 project	1 project	4 projects	
	3 points		8 projects	21 projects	2 projects
	4 points				2 projects

time of ex-post evaluations as expected or more than expected at the time of terminal evaluations: some projects were evaluated for sustainability at the time of terminal evaluation by appropriately considering factors of concern over future activities; and some projects properly utilized recommendations in the subsequent activities.

On the other hand, among the projects that have been evaluated by ex-post evaluations as having not as much sustainability as expected, the recommendations were not realized by the time of ex-post evaluations although the terminal evaluations had predicted that the recommendations would be put into practice.

2-3 Utilization of Recommendations of Terminal Evaluation Reports at the Time of Ex-post Evaluations

In section 2-2, the results of ex-post evaluations on impact and sustainability have been analyzed. Since it was found that the utilization of recommendations drawn out of terminal evaluations has influenced the occurrence of impact and sustainability, the analysis was made on the relationships between the utilization of results and recommendations in terminal evaluations and the occurrence of the subsequent project outcomes based on the terminal evaluations reports.

The utilization of recommendations of terminal evaluations is described below.

(1) Recommendations for JICA

Most of the recommendations for JICA in terminal evaluations had to do with the follow-up activities and extension of project period. The recommendations were made for JICA about the follow-up cooperation when achieving the project targets seemed difficult at the time of terminal evealuation. These examples were found in the Afforestation Technology Development Project on Acid Sulphate Soil in the Mekong Delta in Viet Nam, the Project for the Improvement of the Maternal and Child Health In-Service Training System and Program in Ghana, Maternal and Child Health Services Project in Tanzania, and Forest Research Project Phase 2 in Papua New Guinea.

It can be concluded that these recommendations were used since the follow-up activities were conducted, according to the ex-post evaluations. However, the ex-post evaluation reports did not specify what specific inputs and activities were done during the follow-up period, whether any accomplishments were made as expected and what promoting or impeding factors were.

Recommendations on projects were not only for JICA's project teams but also for the implementing organizations of the partner countries, and aimed to achieve project purposes before the termination of projects, including capacity development of instructors, strengthening of training implementation system, compilation of guidelines, and reinforcement of maintenance and management system of equipment. Some projects used these recommendations after the terminal evaluations (the Project on Strengthening the National Institute for the Improvement of Working Conditions and Environment in Thailand) and some projects incorporated them into the activities of the subsequent projects or during the follow-up period (the Project on the Aquaculture Development in Estuary in El Salvador).

(2) Recommendations for the Governments of Partner Countries

Recommendations for the government of partner countries were listed as activities that seemed necessary to expand impact and increase sustainability to be taken by the time of the termination of projects, including development of upper level policies and systems, clarification of the position of the implementing organizations, securing of budget, improvement of labor conditions of counterparts, maintenance and management of equipment, allocation of manpower, and so on.

Some projects achieved project purposes at the time of ex-post evaluations since they were able to secure budgets and devel-

oped legal systems in line with recommendations, even if the scores for impact were 3 points or less at the time of terminal evaluations. For instance, support from other donors to secure a budget was recommended for the Infectious Diseases Control Project in Turkey. In response, EU has taken charge of the succeeding project. The epidemiological surveillance system was established by the project and is continuously in operation, and the study results of the project are used in the succeeding project.

On the other hand, even though the scores for impact were 3 points or more with high expectancy of achieving project purposes at the time of termination of the projects, some projects were evaluated by the ex-post evaluations as having failed to achieve expected project outcomes, due to the fact that organizational development, securing budgets and management of materials and equipment were not carried out as recommended. Recommendations were made for the Higher Education Development Support Project in Indonesia about establishment of a scholarship system for instructors and formulation of a plan to establish a graduate school, and they were realized; however, recommendations on industry-academic joint research and securing funds were not realized, and the ex-post evaluation pointed out the financial issues of the implementing organization

3 Promoting and Impeding Factors

As seen in "2. Tendencies of Impact and Sustainability," different projects show different patterns of emergence for impact and sustainability. There are two types of factors: promoting and impeding factors.

First, in sections 3-1 and 3-2, promoting and impeding factors that influenced the impact and sustainability of projects at the planning and implementation stages* were extracted from the ex-post evaluations. They were then classified into categories and analyzed. The classification was based on one used in fiscal 2004 when a similar analysis was performed, and we additionally added and classified new categories, based on the results of ex-post evaluations of fiscal 2006 (Table 2-9). With regard to the classification items that were referred to in many projects, analysis was made on the relationships with rating results of impact and sustainability described in "2. Tendencies of Impact and Sustainability," and studied the influences on project outcomes.

Next, in the section 3-3, based on the analysis results of the relationship between terminal evaluations and ex-post evaluations, promoting and impeding factors that have influenced project outcomes were summarized.

3-1 Promoting and Impeding Factors at the Planning Stage Derived from Ex-post Evaluation Results

(1) General Tendency

Items described as promoting and impeding factors at the planning stage in the ex-post evaluation reports were derived in line with the categories summarized in Table 2-9. The results are shown in Figure 2-6 and Figure 2-7. The total number of referrals is shown since some projects referred to more than one item.

The largest number of 15 projects selected "policy of the government" as the promoting factor at the planning stage. This was then followed by "consistency between the needs of the ben-

Table 2-9 Classifications of Promoting and Impeding Factors

Fiscal 2004	Fiscal 2006	
	Planning Stage	Implementation Stage
Policy of the government	Policy of the government	Policy of the government
Collaboration and cooperative relationships among related organizations	Shared awareness with the partner country and organizations	Communications within the implementing organization and with related organizations
External factors	External factors, etc.	External factors, etc.
Organizational management of the implementing organization**	Incorporation of the mechanism for sustainability	Incorporation of the mechanism for sustainability
Demand for activities of the implementing organization	Consistency between the needs of the beneficiaries and the cooperation sector	—
—	Selection of target area and organization	—
—	Selection of cooperation method and technology	—
—	Setting overall goal	—
—	—	Appropriateness of the allocation of experts and C/P
—	—	Flexibility of progress management
—	—	Appropriateness of input of equipment and budget

Note: Yellow section indicates common categories through fiscal 2004 and fiscal 2006, and green (planning stage) and light blue (implementation stage) sections indicate categories added in fiscal 2006.

* JICA Evaluation Handbook stipulates that promoting and impeding factors shall be described under the section for "those related to planning" and "those related to implementation process" in the evaluation report.

** Since this category focuses on organizational management associated with sustainability, the wording was revised in fiscal 2006 to be more appropriate.

eficiaries and the cooperation sector" with nine projects, and "selection of target area and organization" and "selection of cooperation method and technology" with eight projects each.

The largest number of 14 projects selected "selection of cooperation method and technology" and "incorporation of the mechanism for sustainability" as impeding factors at the implementation stage.

It was pointed out that failing to incorporate the mechanism for sustainability at the planning stage and select an appropriate cooperation method and technology contributed to the impeding factors at a later stage.

(2) Relationship between Rating Scores and Promoting and Impeding Factors

Figure 2-8 shows the differences between the average score on impact (2.9 points, Figure 2-3) of all the 39 projects and the average scores on impact in relation to promoting and impeding factors at the planning stage. The numbers in brackets next to yellow and blue dots indicate the corresponding number of projects. In the same way, Figure 2-9 shows the differences* between the average score on sustainability (2.9 points, Figure 2-4) of all 39 projects and the average scores on sustainability in relation to promoting and impeding factors at the planning stage. Here, it is assumed that the greater the difference from the overall average score is, the greater the influence of the factor on impact or sustainability. Nonetheless, it must be noted that the difference may not be significant if the corresponding projects are few in number.

Based on the distribution of differences of project scores by factors in Figure 2-8 and Figure 2-9, now the analysis focused on the items that a relatively large number of projects described as factors. First, in the item of "incorporation of the mechanism for sustainability," not much difference was observed between the overall average score of the 39 projects and the average scores of the corresponding projects. Therefore, we examined the degree of variation of the scores of corresponding projects in terms of promoting and impeding factors on both impact and sustainability. As a result, it is found that the scores do not cluster around the average score (2.9 points) and there is a variation above and below the average score. Based on this finding, it is assumed that the average scores for this item became close to the overall average since many projects, including projects with high scores and those with low scores, described this item as the factor. Therefore, while there are projects in which "incorporation of the mechanism for sustainability" greatly influenced project outcomes, regardless of whether it acts as a promoting factor or an impeding factor, there are projects over which the item did not exercise a decisive influence. Although no quantitatively signifi-

Figure 2-6 Promoting Factors at the Planning Stage

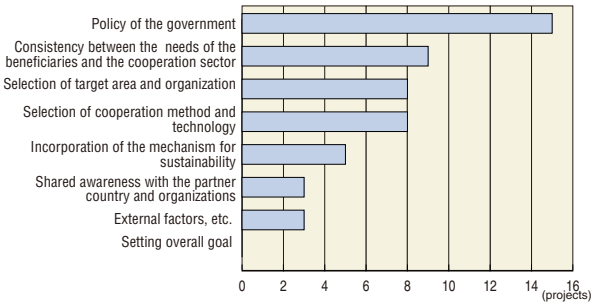


Figure 2-7 Impeding Factors at the Planning Stage

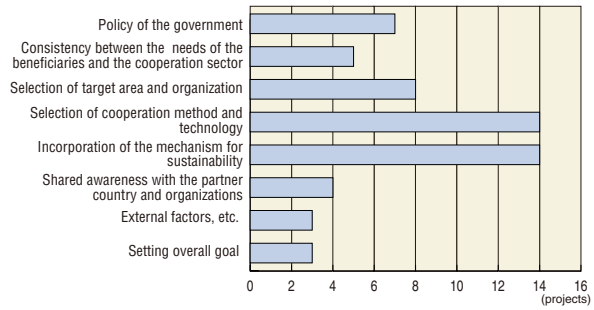


Figure 2-8 Difference between the Scores on Impact and the Overall Average Score by Promoting and Impeding Factors at the Planning Stage

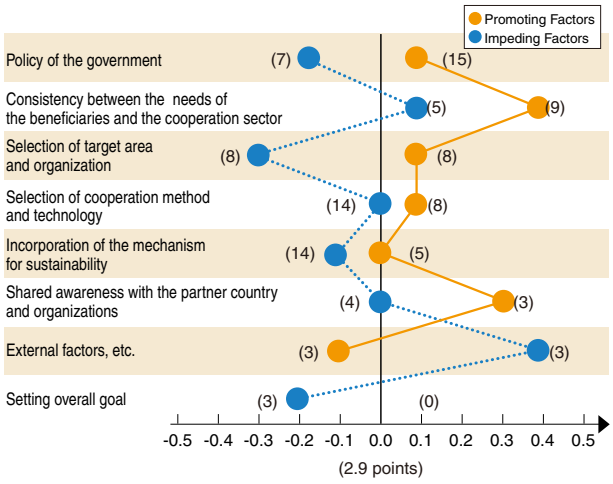
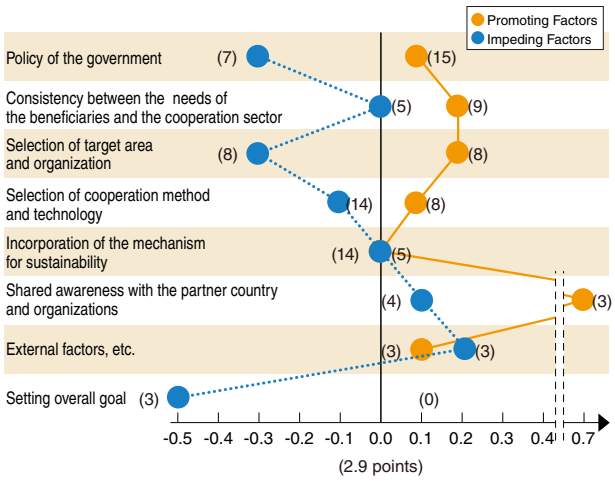


Figure 2-9 Difference between the Scores on Sustainability and the Overall Average Score by Promoting and Impeding Factors at the Planning Stage



* In both impact and sustainability, average scores by factors and the overall average score were calculated to the hundredth place and the final differences are rounded to the tenth place.

cant results were obtained from this analysis about the influence of "incorporation of the mechanism for sustainability" over impact and sustainability, it still seems necessary to continue considering this item as an important factor because it exercised great influence over some projects and many projects described this item as a factor at the planning stage.

Next, with regard to the item "consistency between the needs of the beneficiaries and the cooperation sector," the degree of contribution as a promoting factor was large while the degree of contribution as an impeding factor was small. On the other hand, the degree of contribution of "policy of the government" and "selection of target area and organization" as impeding factors was large while the degree as promoting factors was small. From this, preconditions necessary for the emergence of impact and sustainability of projects are to plan a project consistent with the policy of the government and to select an appropriate region and implementing organization. In the meantime, it is suggested that designing a project with proper understanding of the needs of the beneficiaries is important to promote the emergence of sustainability and impact.

(3) Major Promoting and Impeding Factors

From the result of (2), we now analyze and summarize the characteristics of categorized items deemed important among the factors that may influence the emergence of impact and sustainability at the planning stage, while referring to specific projects.

1) Policy of the Government

The policy of the government becomes a promoting factor when the government provides support by clearly identifying the position of a target project and the implementing organization or when the policy promotes the transfer of technology that has been developed by the project. The role of the policy of the government is also important in the following cases: when the target project deals with new issues, such as environmental issues and occupational safety; and when the target groups are the socially vulnerable, such as persons with disablities and AIDS patients. On the contrary, the policy of the government may become an impeding factor when the implementing organization is not officially acknowledged or when the budget is not allocated to the implementing organization for the project due to, for example, privatization of the organization.

For the Project for the National Vocational Rehabilitation Center for Disabled People in Indonesia, a policy measure was taken to make the employment of the disabled persons mandatory. In the Erosion Control and Afforestation Project in Watersheds of Semi-Arid Area in Chile, revision and enforcement of the Forestry Promotion Law and the Agricultural Soil Improvement Law was the promoting factor for achieving the overall goal of the project. Enforcement of the policy, which had been enacted in relation to the WTO, was the promoting factor in the Philippines' Project on Electrical and Electronics Appliances Testing.

The Project on Improvement of Mineral Processing Technology Concerning Medium and Small Scale Mines in Colombia is one of the examples of a project in which the policy of the government was an impeding factor. The government was not able to control illegal or informal mining operations, which had a negative influence on the project activities. In the National Center for Environment Project in Chile, the implementing organization was positioned as the private sector and had to secure its own financial resources; the project was not managed as planned.

2) Consistency between the Needs of the Beneficiaries and the Cooperation Sector

"Consistency between the needs of the beneficiaries and the cooperation sector" is an important factor for increasing impact. In the sector of agriculture, forestry and fisheries, high scores on impact were the result of the consistency between the developed technology and the needs of the farmers and fishermen. In the sector of human resources, the performance of target projects clearly demonstrates the importance of designing the training programs in such a way that they meet the needs of private companies and the market, as well as the target organization.

Examples of projects in which the "consistency between the needs of the beneficiaries and the cooperation sector" was a promoting factor include Afforestation Technology Development Project on Acid Sulphate Soil in the Mekong Delta in Viet Nam and the Project for the Strengthening of Agricultural Technology Development and Transfer in El Salvador. In both projects, technology that met the needs of the local farmers was developed and transferred, leading to high impact.

In the Information Technology Upgrading Project in Jordan, a system was established in which needs of the private sector were incorporated into project activities through follow-up activities carried out by the ex-trainees, which was a promoting factor to carrying out training activities based on local needs.

3) Selection of Target Area and Organization

Some projects select a pilot area or model farmers by designating specific provinces, rural communities, or groups of farmers, thus concentrating the inputs. In this case, what is important is which place and who is selected as the pilot area and model farmers, considering the interests of the partner country or residents in the vicinity.

The Project for the Improvement of the Maternal and Child Health In-Service Training System and Program in Ghana and Maternal and Child Health Services Project in Tanzania report that the pilot areas were selected based on certain criteria for the establishment of models. It is indicated that these projects would have generated more impact if the pilot areas had been selected in view of expansion to other areas or other organizations. The same can be said about the Agricultural and Rural Development Project in Vientiane Province (Phase 2) in Laos. The evaluation concluded that although the project was quite successful in the model village, it would have been easier to expand the accom-

plishments to other areas if the model village had been selected at the planning stage in anticipation of the expansion.

4) Selection of Cooperation Method and Technology

A promoting factor in the "selection of cooperation method and technology" is the selection of a technology and expansion approach that meets the local technology levels and existing organization systems. On the other hand, if no measures are taken in the project for new technology and equipment associated with advanced technology, such as information and telecommunications, it may be an impeding factor.

In Afforestation Technology Development Project on Acid Sulphate Soil in the Mekong Delta in Viet Nam, a proper level of technology was developed in consideration of the local traditional technology. With respect to transfer of technology, establishment of an expansion system to transfer the technology from one farmer to another and empowerment of farmers were described as promoting factors.

High sustainability was achieved in the Information Technology Upgrading Project in Jordan; for example, they secured their own revenues and renewed manuals and equipment, and conducted training continuously. On the other hand, the impact of this project was not as great as expected at the time of the terminal evaluation because the training system could not fully respond to the rapid development of information technology, thus lowering the effectiveness of the content of the training.

5) Incorporation of the Mechanism for Sustainability

If "incorporation of the mechanism for sustainability" is considered at the planning stage and the mechanism is incorporated into the project design, it has a positive impact on the occurrence of impact and sustainability after the termination of the project as a promoting factor. On the other hand, if consideration for "incorporation of the mechanism for sustainability" is not given fully at the planning stage, activities to secure sustainability will not be appropriately conducted at the implementation stage, thus impeding maintenance and expansion of project outcomes as a result.

In the Philippines Upgrading Project for Plastic Molding Tool Technology, a partnership with the Molding Tool Industry Association, which uses molding tool technology, was incorporated at the planning stage. As a result, activities were promoted at the implementation stage, such as maintenance of technology levels through training. This is regarded as a promoting factor for increasing the subsequent impact.

In the Agricultural and Rural Development Project in Vientiane Province (Phase 2) in Laos, the framework to transfer the developed results to other areas was not appropriately incorporated into the project design, and activities to extend the achievements were not sufficiently conducted at the implementation stage; therefore, the project outcomes were limited to the model village.

Figure 2-10 Promoting Factors at Implementation Stage

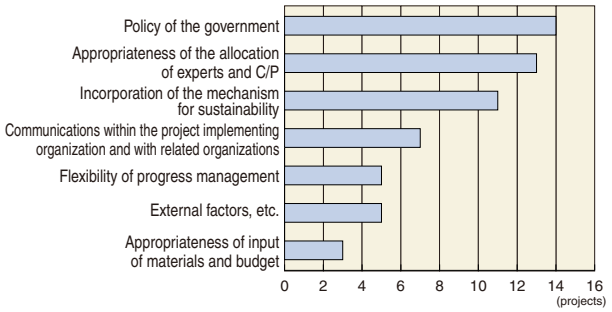
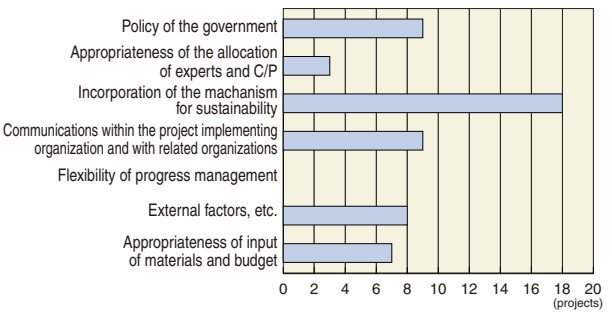


Figure 2-11 Impeding Factors at Implementation Stage



6) Setting Overall Goal

Among the target projects of this study, three projects described "setting the project purposes and the overall goals" as an impeding factor; for instance, overall goals deviated from the project purpose. These three projects did not achieve expected results in terms of both impact and sustainability, thus receiving low scores. Therefore, it is suggested that setting project purposes and overall goals appropriately at the planning stage is an essential element for securing impact and sustainability.

Furthermore, it was difficult under this study to evaluate some projects to what extent the project purpose and overall goal were achieved.

3-2 Promoting and Impeding Factors at the Implementation Stage Derived from Ex-post Evaluation Results

(1) General Tendency

Items described as promoting and impeding factors at the implementation stage in the ex-post evaluation reports were derived in line with the categories summarized in Table 2-9. The results are shown in Figure 2-10 and Figure 2-11. It is necessary to note that the tendency is a rough indication since the total number is small.

As promoting factors at the implementation stage, "policy of the government" (14 projects), "appropriateness of the allocation of experts and counterparts" (13 projects), and "incorporation of the mechanism for sustainability" (11 projects) were described by many. As impeding factors, "incorporation of the mechanism for sustainability" (18 projects) was described by many, followed by "policy of the government" and "communications within the

project implementing organization and with related organization" (9 projects), "external factors, etc" (8 projects), and "appropriateness of input of materials and budget" (7 projects).

(2) Relationship between Rating Scores and Promoting and Impeding Factors

Figure 2-12 shows the differences between the average score on impact (2.9 points, Figure 2-3) of all 39 projects and the average scores on impact in relation to promoting and impeding factors at the implementation stage. The numbers in the bracket next to yellow and blue dots show the corresponding number of projects. In the same way, Figure 2-13 shows the differences* between the average score on sustainability (2.9 points, Figure 2-4) of all 39 projects and the average scores on sustainability in relation to promoting and impeding factors at the implementation stage. Here, it is assumed that the larger the difference between the score of each factor and the overall average score is, the larger the influence of the factor on impact or sustainability, as the case of analysis of planning stage. Nonetheless, it must be noted that the difference may be uncertain if the corresponding projects are few in number.

Figure 2-12 and Figure 2-13 indicate that the policy support from the government as well as appropriate communications within the project implementing organization and with related organizations have a great influence on impact and sustainability, acting as both promoting and impeding factors. It is suggested that these two items are preconditions for appropriate implementation of projects, and at the same time they are important elements for bringing about success at the implementation stage. The consistency of the policy of the government is a prerequisite for success of the project and corresponds to the analysis results of the relationship between rating scores and promoting and impeding factors at the planning stage. The item "appropriateness of the allocation of experts and C/P" is very important in terms of both impact and sustainability as a promoting factor.

No notable differences in scores are found in "incorporation of the mechanism for sustainability" except for the case where a weak negative effect emerges if it is not considered at the implementation stage. Thus, we examined the degree of variation of the scores of corresponding projects, and found that, as in the case of the planning stage, this item was cited as a factor by many projects, from those with high scores to those with low scores. It is therefore assumed that while the item "incorporation of the mechanism for sustainability" had a great influence on the emergence of impact or sustainability at the implementation stage in some projects, it did not have a decisive influence in others.

Meanwhile, this study does not consider how much of an influence each factor has on the occurrence of outcomes; in other words, the weight of the scores is not taken into account. Thus, the degree of influence may change if this point is considered.

(3) Major Promoting and Impeding Factors

Using the result of the previous section (2), we now analyze and summarize the characteristics of categorized items deemed important among the factors that may influence the emergence of impact and sustainability at the implementation stage, while referring to specific projects.

1) Policy of the Government

"Policy of the government" contributes to the occurrence and expansion of project outcomes if it provides support to improve the status of the implementing organization, allocates budget, and develops related laws. However, it will be an impeding factor if the position of the implementing organization is weak, the policy is changed, or organizations and systems are reformed.

The Development of Benthonic Resources Aquaculture Project in Chile is an example of a case where the improved status of the implementing organization contributed to the occurrence and maintenance of project outcome. In this project, central

Figure 2-12 Difference between the Scores on Impact and the Overall Average Score by Promoting and Impeding Factors at the Implementation Stage

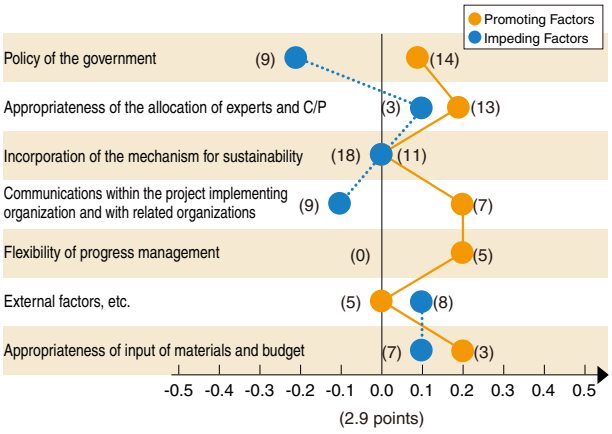
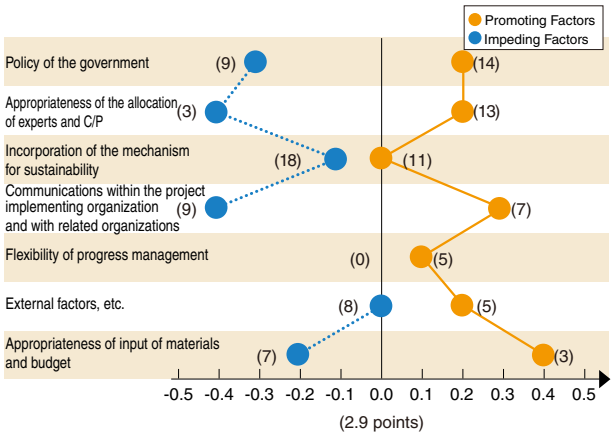


Figure 2-13 Difference between the Scores on Sustainability and the Overall Average Score by Promoting and Impeding Factors at the Planning Stage



* As in the case of the calculation of the planning stage, average scores by factors and the overall average score were calculated to the hundredth place and the final differences are rounded to the tenth place.

and local governments provided support through the support programs and the implementation of publicly commissioned works. The Upgrading Project for Plastic Molding Tool Technology and Bohol Integrated Agriculture Promotion Project in the Philippines are examples of budget allocation to the implementing organization from the government. The Project for Model Development of Comprehensive HIV/AIDS Prevention and Care in Thailand is an example of a case where budget was allocated to the provincial government, the implementing organization, under decentralization. There are many cases in relation to the development of related laws, such as the Project for the National Vocational Rehabilitation Center for Disabled People in Indonesia, in which a law concerning the promotion of employment for the disabled was developed, and the Project on Electrical and Electronics Appliances Testing in the Philippines, in which safety standards regulations were enacted in conjunction with the period of project implementation.

On the other hand, some policies of governments are described as impeding factors: for instance, politically low priority (the Research Project on Soybean Production in Paraguay), unclear political status of the implementing organization and project activities (Forest Research Project (Phase 2) in Papua New Guinea, and Coastal Resources and Environment Conservation Project in Mauritius), and change in policies (Maternal and Child Health Services Project in Tanzania).

2) Appropriateness of the Allocation of Experts and C/P

Factors that promote or impede the occurrence of project outcomes include the selection and assignment of appropriate experts, the timing of dispatch, distinction between full-time and part-time counterparts, the possibility of personnel change, and so on.

Examples of cases where project outcomes were increased through appropriate selection and dispatch of experts are the Research Center for Communication and Information Technology (ReCCIT), King Mongkut's Institute of Technology, Ladkrabang (KMITL) in Thailand, and the Railway Training Center Project in Thailand.

An example of a case where appropriate selection of counterparts led to success is the Urban Transport Human Resources Development Project in Brazil. In Coastal Resources and Environment Conservation Project in Mauritius, little personnel change and effective technology transfer are described as promoting factors.

There are some cases where the appropriate fields and organizations for training in Japan were the causes of project outcomes. It is pointed out that in the Project for the Strengthening of Agricultural Technology Development and Transfer in El Salvador, the same organization in Japan supported the implementation and management of the project, which led to an establishment of an excellent implementation system. In the Project for Strengthening Health Care in the Southern Region in Jamaica, counterpart training was conducted in the field where the needs met the experience of Japan, which contributed to the occurrence of outcomes.

On the other hand, experts who specialized in curriculum development for the nation-wide training and inter-subject training were not dispatched to the Technical and Vocational Education and Training Improvement Project at Technical High Schools in Jamaica, which impeded the occurrence of outcomes.

3) Communications within the Project Implementing Organization and with Related Organizations

The communication and collaboration within the project implementing organization, and with related organizations, end beneficiaries, and users, affects the occurrence, maintenance, and expansion of project outcomes.

In the National Center for Environmental Research and Training (Phase 2) in Mexico, management meetings attended by concerned personnel of both Japan and Mexico were held once a month on average to discuss and decide detailed activity plans, which resulted in smooth operation of the project. In the Project for the Improvement of the Mahajanga University Hospital Center in Madagascar, activities were successfully conducted with related external organizations to improve the referral system (reference of patients to higher-level medical institution), contributing to the emergence of impact and sustainability, such as an increase in the number of patients through the establishment of general reception desks at hospitals and PR activities through TV.

However, there are many cases of lack of communication with beneficiaries, or the users of services. In the Agricultural and Rural Development Project in Vientiane Province (Phase 2) in Laos, no substantial outcomes were observed through the provision of guidance on the production due to lack of communication with the target farmers.

4) Incorporation of the Mechanism for Sustainability

Many projects described this item as promoting and impeding factors at the implementation stage. This item also had a great influence on project outcomes in some cases. Therefore, it is fair to say that "incorporation of the mechanism for sustainability" is an important viewpoint. Although further study is needed, as mentioned earlier with regards to its relationship with the evaluation results on impact and sustainability, we can summarize the results of analysis from three aspects, technology, organization, and finance, as described below.

a. Technical Aspect

Development and transfer of technologies that are actually put into practice contribute to the establishment of the framework for development and transfer of technologies (services and products) that are available for use and for utilization and management of provided materials and equipment after termination of the project. Examples are the Railway Training Center Project in Thailand, where appropriate software was developed that could be

utilized at the work site, and the Research Project at the Faculty of Veterinary Science, the National University of La Plata in Argentina, where technology was transferred to specifically solve problems that local farmers and the livestock industry faced, in addition to basic research. It is also important to establish a framework in which transferred technology is actually used to increase the development effects. An example is the Project for Strengthening Nursing Education in El Salvador, in which the activities of the national committee to build a partnership between clinical medicine and education were effectively carried out.

On the other hand, there are cases without consideration given to the technical aspect. Although the procurement of spare parts for provided equipment was difficult, no sufficient measures were taken to solve the difficulty (the Railway Training Center Project in Thailand). There was a lack of training on provided equipment, impeding the full usage (Afforestation Technology Development Project on Acid Sulphate Soil in the Mekong Delta in Viet Nam). The developed model was too complicated to be transferred to other provinces (Project for Model Development of Comprehensive HIV/AIDS Prevention and Care in Thailand).

b. Organizational Aspect

There are cases where sustainability is increased through organizational stability, solid manpower, and the improvement of incentives for concerned personnel. With respect to organization, as examples of establishing effective organization management system in addition to technology transfer, the system was built in such a way that the activities can continue even if the competent government officer is changed in the Maternal and Child Health Project in Mongolia. In the Project for the Improvement of the Maternal and Child Health In-Service Training System and Program in Ghana, the organizational and human resources development gave consideration to the project outcomes.

The system to improve motivation of the personnel, such as counterparts, is also observed. Stability of manpower was realized by employing counterpart researchers as full-time professors at the implementing organization (the Research Project at the Faculty of Veterinary Science, the National University of La Plata in Argentina). Training using a new technology improved the motivation of the counterparts (the Infectious Diseases Control Project in Turkey). Ownership was increased because a management committee to monitor and evaluate activities was established and made functional (the Project for Strengthening of Health Care in the Southern Region in Jamaica).

On the other hand, an organizational framework was recognized as an issue in the case where a framework to respond to changing industrial technology was not developed (Upgrading Project for Plastic Molding Tool Technology in the Philippines).

c. Financial Aspect

The number of projects that introduced a framework to secure budget and own revenues after the completion of the project is limited. As a successful case, a system was established that allowed the continuation of activities on its own revenues through the introduction of a revolving system* in the Maternal and Child Health Services Project in Tanzania.

On the other hand, there are many cases where management of equipment and continuation of activities run into difficulty due to lack of budget. The Technical and Vocational Education and Training Improvement Project at Technical High Schools in Jamaica failed to secure a budget to continue the training through a financial measure of related support organizations. No budget was allocated to carry out the release of farmed fish for Coastal Resources and Environment Conservation Project in Mauritius and no specific action was taken. The ex-post evaluation thus recommended that the Research Institute for Fisheries, the implementing organization, and the Ministry of Fisheries, the superior authority, secure necessary funds by involving the users of coastal resources.

5) External Factors, etc.

There are cases where the occurrence of project outcomes has been promoted by external factors that are beyond the control of the projects, such as natural phenomena, political situations, economic environment, and social conditions. For instance, in the Research Project on Soybean Production in Paraguay, an increase in the soybean price led to an increase in the incentive of farmers for soybean production.

On the other hand, there are many cases where external factors hindered the maintenance and development of project outcomes. An example of natural phenomenon acting as an impeding factor is the Bohol Integrated Agriculture Promotion Project in the Philippines. The delay in the related irrigation development project and a drought prevented the occurrence of project outcomes. In the Project for Strengthening Agricultural Technology Development and Transfer in El Salvador, an earthquake that hit the region during project implementation caused physical damage to the farms in the model site. With regard to economic and market conditions, in the Research Project on Soybean Production in Paraguay, dissemination of genetically modified crops influenced the relevance of the content of the project. The Development of Benthonic Resources Aquaculture Project in Chile, in which the delay in acquisition of fishing rights was an issue, is also thought to have been influenced by an external factor.

* System to secure funds to acquire equipment necessary for the activities of midwives

3-3 Promoting and Impeding Factors Derived from the Comparative Study between Terminal Evaluations and Ex-post Evaluations

Here we summarize promoting and impeding factors of terminal evaluations and ex-post evaluations that influence project outcomes based on the results found in the sections 2-1-(3) and 2-2-(4), where expectations on impact and sustainability at the time of terminal evaluations were compared with the ex-post evaluation results, as well as based on the analysis of the use of recommendations presented in terminal evaluations at the time of ex-post evaluations, as described in the sections 2-3.

(1) Promoting and Impeding Factors in Terminal Evaluations

Conducting the terminal evaluations on impact based on the appropriate indicators and terminal evaluations on sustainability, with due consideration given to concerns over future activities, is a promoting factor in implementing projects appropriately after the terminal evaluations.

If activities necessary for securing expected impact and sustainability are incorporated into recommendations of the terminal evaluations in a specific and realistic manner, recommendations become easier to use, which is a promoting factor for increasing impact and sustainability.

On the other hand, if a judgment basis for recommendations is not clearly provided in the terminal evaluations or if recommendations lack concreteness regarding the main actor, timing, and contents, recommendations themselves act as an impeding factor and the use of the recommendations becomes difficult, failing to achieve expected project outcomes.

(2) Promoting and Impeding Factors in Ex-post Evaluations

If ex-post evaluation follows how the impact and sustainability expected at the time of project termination have progressed and examines how application of recommendations in the terminal evaluation has influenced the project, project activities from terminal evaluation to ex-post evaluation can be easily understood. Since this also makes it easier to understand the issues involved in the subsequent activities, it is regarded as promoting project outcomes after the ex-post evaluations.

On the other hand, if sufficient information is not given in the ex-post evaluation reports as to how specific the activities were and how the outcomes were in the process of carrying out recommendations proposed in the terminal evaluations, project activities cannot be appropriately organized at the time of ex-post evaluations, which may impede the emergence of the subsequent impact and sustainability.

4 Lessons Learned from the Study on Evaluation Results

In this section, based on the study results thus far, we will compile lessons for consideration in realizing impact and sustainability at a high level and which can make the feedback of terminal evaluations and ex-post evaluations more useful.

4-1 Lessons to Increase Impact and Sustainability

Based on the study results in sections 3-1 and 3-2 (promoting and impeding factors at the planning and implementing stages derived from ex-post evaluation results), we draw out lessons from the perspective of which activities should be incorporated at the planning and implementing stages in order to maintain and expand project impact and sustainability. Corresponding items for promoting and impeding factors are provided in the bracket of each lesson.

1) It is important to incorporate necessary measures into project activities so that a project is supported by the government policies (**Policy of the government**).

If an analysis is made appropriately on the status of the implementing organization, financial support, and the development of related laws by the government at the planning stage, and these conditions are reflected on the selection of the implementing organization and project design, it can lead to an increase in project outcomes in the future.

Also, at the implementation stage, better and active communications with the government, development of related laws, and allocation of necessary budget for project activities greatly contribute to the occurrence and maintenance of cooperation outcomes. If the project activities and accomplishments are expanded beyond the implementing organization to the government and related external organizations, it is expected that the impact of the project itself will be increased, and the ownership and sustainability of the counterparts and implementing organization will be reinforced.

2) Accurately understand the needs of the beneficiaries and the implementation system of the partner country, and select the cooperation sector, technology, and counterpart organization that meets the needs and the system. Make appropriate inputs at an appropriate time that responds to the occurrence of project outcomes and the change in needs (**Consistency between the needs of the beneficiaries and the cooperation sector, Selection of cooperation method and technology, and Appropriateness of the allocation of experts and C/P**).

The study results of the relationship between the scores and promoting and impeding factors in 3-1-(2) and 3-2-(2) suggest that formulation and implementation of a plan that meets the needs of the beneficiaries and the technical level and organizational system of target organization is essential for the emergence of impact and enhancement of sustainability. Based on this idea, the following actions are desirable at the planning stage: accurate understanding of the needs of the beneficiaries through preliminary studies; selecting the cooperation sector and technology that meets the needs; selecting the appropriate counterpart organizations with full consideration given to the status and authority in the government, capacity of the counterpart, and setting the level of technology to be transferred.

Furthermore, at the implementation stage, it is important to check the change in needs and the occurrence of project outcomes through daily monitoring, and provide inputs accordingly (dispatch of experts and/or counterpart training) at an appropriate time in an appropriate way.

3) Give consideration to the selection of target area and organization. In particular, when the project is implemented in a pilot or model area, it is desirable to select the area suitable for the future development and expansion of the project outcomes (**Selection of target region and organization**).

Good outcomes were observed in many projects when the pilot or model area was appropriately selected and technology transfer was made intensively, because the relevance of the approach could be examined, and the incentives of those involved in the project increased.

At the planning stage of such a pilot/model-type project, selection of the target area and the implementing organization with consideration given to future transfer and development is an important point for maintenance and expansion of project outcomes after termination of the project.

4) Set specific overall goals and indicators to measure an achievement level that can be shared by those involved in a project (**Shared awareness with the partner country and organizations, and Setting overall goals**).

Project purpose and overall goal are what the Japanese side and the partner country aim to achieve in collaboration. If clear goals are set, shared awareness and smooth communications are made possible, thus leading to increased impact and sustainability. From the perspective of evaluability, it is desirable to set overall goals that can measure achivement of the project and that can identify the positive impact for beneficiaries.

At the planning stage, it is necessary to set overall goals while clearly identifying the position and the role of the project under the assumption that the project outcomes continue to exist after the termination of the project: specifically, what sort of beneficiaries in what region receives the project impact and what is needed to change the current situation.

5) Give consideration to strengthening communications within the implementing organization, as well as with related organizations and beneficiaries (**Communications within the implementing organization and with related organizations**).

At the implementation stage, if efforts are made to facilitate communications with project stakeholders, for example, holding periodical meetings with counterparts, and if collaborative activities with related organizations and beneficiaries are incorporated into the project, the implementation system of the project will be strengthened, thus leading to a smooth implementation of the project.

Active communications with beneficiaries and relevant external organizations, for example, disclosure to the public about the project activities and the achievements, will promote extension of project achievements, and thus be effective in increasing impact and sustainability.

6) When planning a project, it is necessary to discuss the incorporation of the mechanism for sustainability. It is also necessary to follow if the mechanism is functioning at the implementation stage (**Incorporation of the mechanism for sustainability**).

Securing sustainability of a project in the post-project period should be regarded as an important issue. It is therefore important to consider the development of the mechanism for sustainability at the planning stage and appropriately follow the process at the implementation stage.

With respect to the technical aspect, it is necessary to transfer and develop technology that meets local needs, as well as secure renewed technology through a framework in which transferred technology is actually utilized by establishing a committee that reinforces the coordination with the existing technology.

Organizational aspect refers to an integration of the following activities into the project: establishment of a monitoring and evaluation system by counterparts; improvement in not only the technology development sector, but also the human resources development and capacity development of management sector; and establishment of a framework to share transferred technology within the organization in preparation for job leaving and job transfer on the part of the counterparts. It is also necessary to incorporate the operations introduced by the project into regular operations.

In terms of financial aspects, it is desired that the project presents the necessary budget to maintain achievements of the project, such as technology, services, and operations, after termination of the project. It is also desirable to propose budgetary measures to secure financial resources, consider activities to secure its own revenues, and seek ways to reduce the cost.

7) Incorporate items that are beyond the control of the project, such as external factors, into the PDM if they are assumable at the planning stage. It is also important to monitor

the process during the implementation stage to discuss in advance appropriate measures to prevent negative influences (**External factors, etc.**)

External factors are divided into two parts: those that occur at any time and cannot be predicted, such as natural disasters, and those that can be predicted to some extent but cannot be controlled by the project, such as political, economic, and social conditions.

At the planning stage of the PDM, in preparation for the occurrence of unexpected external factors, it is important to give the project a function that allows for discussions among the stakeholders about how, or whether, to modify the PDM and about activities to respond to such changes, as well as discussions about such a response by asking external organizations or experts for their advice, if necessary.

At the implementation stage, if it is included in the PDM as a major external factor, it should be closely monitored. If it could have a negative influence on the project, take necessary measures in advance to minimize any negative effects of the external factor.

4-2 Lessons to Increase Effectiveness of Evaluations

In this section, in order to increase project outcomes by making use of the continuity of evaluations from terminal evaluations to ex-post evaluations, we will outline the points to improve terminal and ex-post evaluations more effectively based on the results presented in 3-3

(1) Lessons for Ex-post Evaluations

When conducting ex-post evaluations, it is necessary to pay attention to their relationship with terminal evaluations, such as comparison of the emergence of impact and sustainability that have been expected at the time of terminal evaluations and the confirmation of the use of recommendations, in addition to the evaluations on current impact and sustainability.

Currently, many ex-post evaluation reports assess the degree of achievement of project purposes or overall goals without considering the results of the terminal evaluations. However, by assessing how the degree of achievement of project purposes and overall goals has changed about three years after the termination of the project, whether impact has emerged as expected, or what the factors are in comparison with the terminal evaluations, we are able to summarize the activities from the time of the termination of the project to the ex-post evaluation, which makes it easier to draw out promoting and impeding factors.

Analyzing whether the recommendations in terminal evaluations have appropriately been fed back to the implementing organization or the government after termination of a project is crucial for evaluating impact and sustainability of the project. Therefore, it is desirable to compare them with terminal evaluation results and follow-up results of recommendations and lessons in ex-post evaluation. In specific terms, we recommend the above-mentioned analyses as evaluation items in the operation guidelines for the consultants, who perform the evaluation, in addition to the above-mentioned viewpoints in the evaluation questions. Another improvement is to add a section to describe the analysis results in the reports.

(2) Lessons for Terminal Evaluations

From the perspective of consistant evaluations from ex-ante to ex-post, it is recommended that JICA as well as organizations in partner countries increase their awareness of the importance of value judgment and recommendations of terminal evaluations. We also recommend drawing out specific and feasible recommendations.

Specific recommendations are often found in terminal evaluations when it is thought that continuation or follow-up of the project is regarded as being important. On the other hand, based on the ex-post evaluation results, some presented optimistic value judgments in terms of impact and sustainability, and some gave less specific and more general recommendations, when the project was expected to terminate. However, the projects that are coming to an end soon are the ones that need a reasoned subjective value judgment anticipating ex-post evaluation in three years time, in order to secure the occurrence of project outcomes and sustainability. In particular, recommendations for the government or the implementing organization of the partner country need to be specific and feasible.

To that end, when conducting terminal evaluations, both JICA and the counterpart organization need to share the awareness that terminal evaluation is in a consistent evaluation process from ex-ante to ex-post. It is also effective for them to fully discuss the items to be covered when extracting recommendations. Items to be discussed include the following: implementation system of future projects, an ideal monitoring and evaluation system, organizational reinforcement of the implementing organization and human resources development, securing of budget, partnership with the government, future partnership with JICA and other donors, approaches to beneficiaries, and a management system for materials and equipment. It is easier to follow recommendations during the project implementation when recommendations clearly describe who will conduct what kind of activities and when in addition to the background of recommendations. It also improves the evaluability of ex-post evaluations.