Part 3

Program-level Evaluation

Part 3 Program-level Evaluation

Part 3 introduces program-level evaluations conducted by JICA in fiscal 2005.

Program-level evaluation analyzes a set of projects in relation to a specific country or development issue in a cross-sectional and comprehensive manner. Its objective is to draw out common recommendations and lessons and feed them back to efforts for improving JICA's technical cooperation.

There are two types of program-level evaluation: thematic evaluation and synthesis study of evaluation. Thematic evaluation sets a specific development issue or cooperation scheme as a theme along with a valuation analysis framework in line with the theme, and then analyzes a set of projects in relation to the theme for the purpose of drawing out recommendations and lessons common to those projects. Synthesis study of evaluation analyzes the terminal and ex-post evaluations of a set of projects in relation to a specific development issue or cooperation scheme in a comprehensive and cross-sectional manner for the purpose of drawing out general recommendations and lessons.

Since both types evaluate a set of projects or programs, more general and comprehensive recommendations and lessons can be drawn out than from project-level evaluation, and a wider range of feedback is possible. Specifically, in addition to feedback to individual projects, the outcomes of evaluation are used for feedback to program-level planning and implementation of JICA's cooperation; i.e. formulating and revising JICA Country Programs and thematic guidelines, or planning and implementation of a JICA Program that strategically combines a set of projects and has recently strengthened its approach.

JICA selects themes for evaluation strategically from a medium-term perspective in line with JICA's priority issues and internationally focused themes. In fiscal 2005, from the perspective of human security, aid reaching out to people and capacity development, sustainable development of regional society, and the approach for strengthening of partnerships with people in developing countries were selected as themes, and the evaluations shown in Table 3-1 were conducted.

In implementing the evaluations, in addition to domestic surveys based on the reports and other existing documents, field surveys were conducted involving interviews and questionnaire surveys with partner institutions and local residents, a beneficiary group of cooperation, in order to grasp the real picture of local cooperation field.

From the perspectives of securing objectivity and impartiality in evaluation and implementing evaluation based on specialized knowledge, participation of external experts and expanding evaluation commissioned for external specialized organizations are being promoted. For instance, JICA ensures that external experts with expertise in the themes concerned participate in evaluation committees, which formulate evaluation policies and examine evaluation results, as advisors. As evaluation by external organizations, Thematic Evaluation on Economic Partnership and Thematic Evaluation on South-South Cooperation, which will be introduced in Part 3, were contracted out to a university, think-tank, and a consulting firm. Furthermore, for all program-level evaluations, JICA asked external experts to conduct secondary evaluation to assess evaluation framework, analysis methods, and evaluation results based on their expertise and disclosed the results along with the evaluation reports.

JICA is working to disclose evaluation results to the public, and not just stakeholders. When an evaluation report is drafted, an open seminar is held. In the seminar, the outline of the evaluation is explained and opinions are actively exchanged at a panel discussion involving invited external experts and seminar participants. All evaluation reports are available on JICA's website (www.jica.go.jp/english/evaluation/index.html).

Of the program evaluations conducted by JICA in fiscal 2005, Part 3 provides summaries of an evaluation on assistance that reaches people in need, "Thematic Evaluation on Community Participation Approach," an evaluation on assistance for capacity development of developing countries, "Thematic Evaluation on Economic Partnership," and an evaluation on cooperation in terms of promotion of partnerships among countries and regions, "Thematic Evaluation on South-South Cooperation."

Table 3-1 Program-level Evaluations (Conducted in Fiscal 2005)

	Title of Evaluation	Target Country
Thematic Evaluation	NGO-JICA Joint Evaluation: Thematic Evaluation on Community Participation Approach	Indonesia, Zambia, Niger
	Thematic Evaluation on Capacity Development of Local Administrations (First Year)	Indonesia
	Evaluation by Third Party: Thematic Evaluation on Economic Partnership (Second Year)	Indonesia, Malaysia, Philippines, Thailand
	Evaluation by Third Party: Thematic Evaluation on South-South Cooperation	Indonesia, Cambodia, Thailand, Laos, El Salvador, Chile, Mexico, Uganda, Kenya
	Thematic Evaluation on Assistance for Palestine Refugees	Syria, Palestine, Jordan
	Program Evaluation (Education Sector in Malawi and Viet Nam) (First Year)	Viet Nam, Malawi
Synthesis Study of Evaluation	Synthesis Study of Evaluation: Higher Education (Second Year)	Thailand, Laos, Kenya, Tanzania

Chapter 1 Enhancing the Approach for Community- and People-centered Development

NGO-JICA Joint Evaluation: Thematic Evaluation on Community Participation Approach —Support for Community-initiated Development—

1 Outline of Evaluation Study

(1) Background and Objectives

JICA focuses on implementing projects that directly reach people in need under the concept of human security. In implementing these types of projects, the participation of the community is an important factor for effective cooperation. JICA currently implements diverse types of community participation approach across sectors, and purpose and positioning of community participation and the degree of participation are all different in each project. Therefore, the NGO-JICA Evaluation Subcommittee (hereinafter referred to as "the Subcommittee") has selected as case studies three ongoing technical cooperation projects. The objectives of this study are to analyze the types of community participation approach taken in each project, suggest important points for evaluation in the community participation approach and draw lessons that are applicable to similar projects.

1) Projects Subject to the Study

Three ongoing projects that incorporate the community participation approach were selected as case studies and domestic and field studies were carried out. Taking into account the fact that diverse types of community participation approach are taken in various sectors, the Subcommittee chose projects that are different in areas, regions and positioning of participation. Table 3-2 shows the projects subject to the study, areas, project periods, and so forth.

2) Evaluation Study Period and Teams

The Subcommittee conducted the study. Following discussions on the evaluation framework and collecting data from domestic studies from November 2004 to June 2005, a study team comprised of NGOs and JICA was established for each project and field surveys were conducted from July to September 2005. After the teams returned to Japan, evaluation results were put together and analyzed, and the evaluation framework was reviewed, to compile a report from October 2005 to March 2006. The Subcommittee and the evaluation consultant drafted the report based on the discussions at the Subcommittee meetings.

2 Framework of the Study on the Community Participation Approach

Based on the discussions that took place at the Subcommittee meetings, it was concluded that the projects subject to the study,

Table 3-3 Members of the Field Study Teams

Country (Period of the Survey)	Name	Organization
Indonesia (7/11-7/24, 2005)	Yosuke Tamabayashi	Administration Team, Region Dept. I, JICA
	Makoto Nagahata	i-i-network, Research and Action for Community Governance
	Tomoo Arakawa	Asia Volunteer Center
	Ryuko Hirano	Office of Evaluation, Planning and Coordination Dept., JICA
	Noriyo Aoki	IC-Net Limited (Consultant)
Niger (9/5-9/18, 2005)	Tsukasa Konishi	Association of Medical Doctors of Asia (AMDA)
	Miyuki Aoki	Service for the Health in Asian & African Regions (SHARE)
	Chieko Yokota	Office of Evaluation, Planning and Coordination Dept., JICA
	Noriyo Aoki	IC-Net Limited (Consultant)
Zambia (9/18-9/27, 2005)	Atsuko Isoda	Japan International Volunteer Center
	Yasushi Nozaki	Nagoya NGO Center
	Hiroshi Tanaka	The Institute for Himalayan Conservation
	Yuko Katsuno	Office of Citizen Participation, Training Affairs and Citizen Participation Dept., JICA
	Noriyo Aoki	IC-Net Limited (Consultant)

Table 3-2 Projects Subject to the Study

Project Name	Country	Area	Project Period	Abbreviation
Gunung Halimun Salak National Park Management Project	Indonesia	Environment	Feb.2004–Jan.2009	Indonesian Project
Project for the Improvement of School Management through Community Participation	Niger	Education	Jan.2004–Jan.2006	Nigerien Project
Project for Participatory Village Development in Isolated Areas	Zambia	Rural Development	June 2002–May 2009	Zambian Project

* See Chapter 1, Part 1 for the details of the NGO-JICA Evaluation Subcommittee

although different in community approach and the degree of participation, share a common direction toward goals to be achieved through community participation, which is to enable the community to develop the desire and willingness to solve its own issues and problems and continue activities on its own.

The Subcommittee discussed what "community-initiated development" means at workshops to establish a common concept as a framework of the study, and concluded that the following eight points are important when considering any development in which the community is enabled to carry out its activities sustainably and independently. The eight vital points are: (1) decision-making and leadership, (2) management, (3) communication, (4) community resources management, (5) community's initiative, (6) collaboration with outsiders, (7) highly-diverse participation, and (8) learning and vision (See Figure 3-1).

In order to achieve active participation by the community*, the study divided the process of the projects into four stages: (1) preparation stage, (2) problem analysis and planning stage, (3) implementation stage, and (4) sustainability stage. The Subcommittee worked out important aspects for the community , counterparts, and donors in each stage. Table 3-4 shows these points in each stage.

The four stages mentioned in this report indicate the stages where counterparts and donors expressly approach communities after the selection of target villages and thus are not necessarily related to the JICA's project cycle**.

(1) Preparation Stage

The preparation stage is the period before the project starts any form of intervention in the community. In this stage, the counterpart and experts from the donor countries share the purpose of the project and the concept of community-initiated

Figure 3-1 Community-initiated Development and its Important Elements

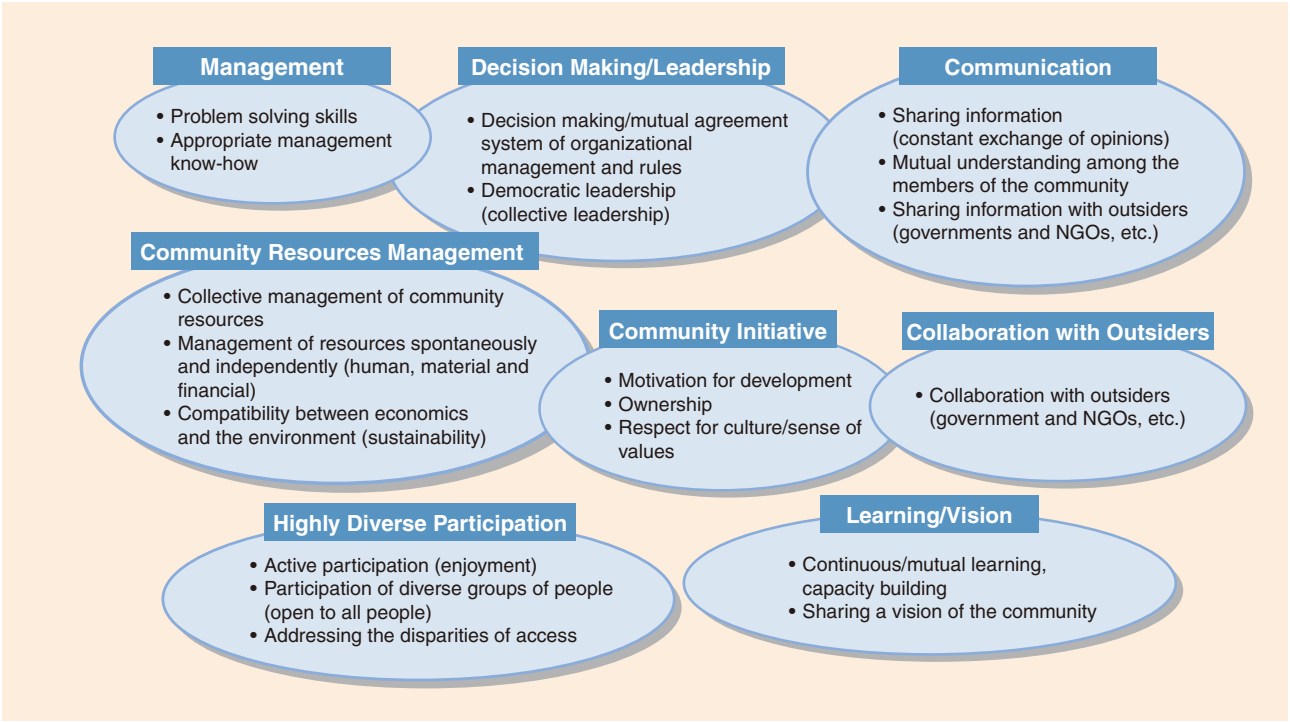


Table 3-4 Points of Evaluation According to the Process of Project Implementation

Preparation Stage	Problem Analysis and Planning Stage	Implementation Stage	Sustainability Stage
Mindset	Awareness	Initiative	Decision-making and leadership
Understanding the current situation of the target site	Organization building	Organizational management	Management
Building the implementation system	Problem analysis and planning	Community resources management	Community resources management
Community resources management	Community resources management	Monitoring	Collaboration with outsiders
	Institutionalization and extension	Institutionalization and extension	Highly-diverse participation
			Feedback to policies and systems
			Utilization and sharing of the experience gained

* In actual development projects, the term, "community" or "residents," refers to the entire community in some cases, a specific group and its members in other cases. The meaning depends on the project strategies, area and conditions of the community, etc.; however, this report does not specify the scope of the term.

** For instance, JICA does not set the specific target area and specific intervention with the community before the project starts in many cases. In addition, project activities would be continued by the community itself in the sustainability stage in some cases even though the donor's intervention has been completed. For these viewpoints, the processes are set from the aspect of intervention with the community.

approach to deepen mutual understanding. Thus, the first stage fosters important visions for the donors and counterpart and forms the basis for promoting community-initiated development. There are four important aspects of the preparation stage: mindset, understanding the current situation of the target site, building an implementation system, and community resources management. "Mindset" means that the counterpart and the donor recognize and share the view of promoting a community-initiated project. "Understanding the current situation of the target site" means that the counterpart and the donor cooperate with the community in order to understand the conditions of the community and to raise awareness within the community. "Building an implementation system" is conducted in consideration of the collaborative relationships with the existing administrative organizations and local NGOs. "Community resources management" means that the counterpart and the donor understand the common resources and management systems of the community.

(2) Problem Analysis and Planning Stage

The problem analysis and planning stage is the period in which the counterpart and the donors start their intervention in the community through facilitators. In this stage, the community identifies its issues and problems, analyzes them, and plans the activities with the facilitators (who are different from project to project depending on the counterpart, local NGOs, etc.). Building the community's awareness and solid institutions with care nurtures its initiative and strengthen its ownership. There are five important aspects of the problem analysis and planning stage: "awareness" of the community, "organization building" of the community, "problem analysis and planning" which the community carries out with the support of the counterpart and the donor, "community resources management," which involves activities that consider sustainable use, and "institutionalization and extension," which the counterpart and the donor work on with sustainable development in mind.

(3) Implementation Stage

This stage is the period in which the community commences its activities based on their ownership. It is preferable that the community's institution becomes reinforced and the management system developed, as the (community) members realize the importance of sustainability and monitoring for their activities. There are five important aspects of the implementation stage: "initiative" of the community, "organizational management" with transparency, sustainable "community resources management," "monitoring," with which the community reviews their activities to give feedback, and "institutionalization and dissemination" for future sustainability.

(4) Sustainability Stage

The sustainability stage refers to the stage where the community continuously implements the activities by itself even after the donor terminates its input. In this stage, it is desirable that the community collaborates with the counterparts within the existing or new system. The community identifies the issues that they are able to solve by themselves and those that need support from outside in carrying out activities, with the help of the counterpart in some cases. During this stage, it is desirable for the community to have nurtured the eight aspects mentioned in the beginning of this section as shown in 1-2 Framework of the Study. We have selected the five most important aspects from those eight aspects: decision-making and leadership, management, community resources management, collaboration with outsiders, and highly diverse participation. In addition, there are two other important viewpoints for the counterparts and donors to consider: feedback to policies and systems and utilization and sharing of the experience gained.

3 Outline of the Projects and Perspectives on the Community Participation Approach

An outline of the projects and perspectives on the community participation approach are introduced as follows.

(1) Indonesia

The purpose of the project in Indonesia is to conserve biodiversity in the Gunung Halimun Salak National Park. The project is being implemented with the aim of formulating a management plan for the national park to conserve its biodiversity. While the current Indonesian policy does not permit people to live in or practice cultivation in the national park, there are about 300 villages in the neighborhood. These villages have existed for 100 to several hundred years. Therefore it is not realistic to remove these indigenous people from the park. In other words, there is a gap between the legal system and the actual situation in the park. Furthermore, natural resources around the park are illegally exploited, accelerating deforestation. Thus, by presenting a model case of cohabitation with nature in pilot villages, the project attempts to use the experience of the pilot villages to formulate a management plan for the national park, and further incorporate it into the policies.

The project has set up six working groups for the formulation of the above-mentioned management plan, three of which have taken a community participation approach: namely, the groups for Conservation Village Model (MKK), Protection and Monitoring of Endangered Species, and Ecotourism and Environmental Education. For the activities of MKK, two villages were selected in the project, based on the socioeconomic surveys implemented in villages with serious deforestation problems. With the aim of building organizations for proactive conservation of forests, the forest police officers live in the target villages as facilitators to help them develop their own organizations. When the field survey of this evaluation study was implemented, it was only two months after the project started to approach the communities and there-

fore it was at the stage where efforts were being made to build awareness in the community through dialogue with the residents.

Two aspects characterize this project: concern for building awareness among the stakeholders starting with the preparation stage, and a sensibly approached implementation system based on the partnership. The project carefully worked on building awareness among local NGOs, local governments, and the counterpart national park staff. It also focused on building an implementation system through collaboration among the related stakeholders. The role of the national park staff is to control people who practice illegal logging and/or cultivation. Therefore at the beginning of the project, the national park staff of the Gunung Halimun Salak National Park, as the counterpart, and JICA experts did not necessarily share the same ideas as to why it is so important to take the community participation approach in the project. Hence, the experts utilized opportunities such as the revision of the PDM and field surveys to understand the situation and background of the villages in order to build collaboration and share the concept of community participation for the project. Although there had been little communication and shared information among the stakeholders before the project started, the relationships and collaboration among them are reinforced little by little through the joint field surveys and seminars.

(2) Niger

The purpose of the project in Niger is to establish school management on the COGES model through community participation. In Niger, the rate of school enrollment at the elementary school level was about 50% in 2005, which was low even among low-income countries. In order to solve education-related problems, it was regarded as important to manage schools in a participatory manner, attract the community's interest in schooling and education, and reflect local needs and resources for effective school management. However, COGES, as the policy of the Niger government, did not illustrate concrete measures. Therefore the project was launched to provide support for COGES to improve the school enrollment rate and the quality of basic education by demonstrating the methods to practice the COGES policy and propose concrete manuals. These activities involved sustainable school management, which reflects the local needs, by the initiative of the COGES comprising of community representatives and school teachers. Furthermore, the project intended to institutionalize the model by providing a model for sustainable school management by the COGES and its support system. The project clearly identified the community as the implementing body and made efforts to develop the capacity of existing administrators who supported the community and strengthened the organizations. It can be said that this is the project that places the community at the center of problem-solving and implementation.

Evaluation team interviewing local people (Niger)

At first, the project began by conducting democratic elections where everyone could vote for the members of COGES as representatives of their community. Democratically elected COGES members implemented improvement measures using their own ability and resources through discussions on the improvement of the school environment, planning, and gathering resources in and outside of the community. The project produced a manual on the election for the establishment of COGES and a manual on formulating and carrying out a school improvement plan. Based on these manuals, the project conducted training for COGES members. In addition, the project established a monitoring system implemented by COGES supervisors and COGES officers and supported joint management of the COGES by commune. The project was also engaged in awareness-raising activities by the community, such as the campaign for girls' education.

The field study targeted two villages where COGES activities were carried out well and one village with difficulties. In the villages showing good progress, it is observed that the people are widely sharing the idea that the school belongs to them and the issues surrounding the school can be solved by themselves through an implementation of elections and school improvement plans, thus showing positive signs of change in the people as well as concerned parties. Moreover, the people had started to show interest in community issues other than school-related ones. On the other hand, in the village with difficulties, the democratic election had not functioned well due to the existing power structure, and no substantial progress had been made in their activities.

The characteristic of this project is to establish a multi-layered support system for COGES using the existing administration, and at the same time, it considers the capacity development of administrators. In addition, in response to the expansion of COGES, the project has formed regional groups of COGES and supports the formation of the alliance of COGES groups in an attempt to strengthen the sustainable support system at the regional level. The projects minimized input by fully utilizing existing local systems and resources, with the aim of establishing an implementing system in such a way so that the counterpart implementing body can continue the project on their own.

(3) Zambia

The purpose of the project in Zambia is to establish a rural development model through community participation in isolated areas. Specifically, it aims to nurture the ownership of the community and community organizations through implementation of

micro projects in village-unit communities, thus building an autonomous community by allowing them to be in charge of sustainable community development. This approach is based on the experience of JICA experts who have applied this rural development model in other developing countries.

Micro projects are carried out in 15 villages each year. To begin with, agricultural extension workers who received training analyzes the problems in each village with the cooperation of the community, and, based on the analysis, the community drafts a proposal for a micro project. Based on the proposal, the Department of Agriculture Coordination Office distributes funds from the project to each community and, with the support of the extension workers the community carries out the micro project. The project aims to empower the people to carry out sustainable village development activities through implementation of such a micro project.

In the micro project villages that the field survey team visited, there were some cases which have shown signs of initiative, such as taking proactive actions through a cycle of micro projects: namely, issue analysis, planning, and implementation, and expressing the importance of monitoring by external organizations. On the other hand, there were some villages mired in problems associated with leadership and fund management and there was a gap between issue analysis and planning.

There are two characteristics of the Zambian Project. First, it involves various stakeholders at four different levels of implementation at the village, the province, the state government, and the central government. Second, the community can take an opportunity to implement the project using funds based on their own analysis and plan.

4 Results of a Comprehensive Analysis Based on the Evaluation Points

This section explains the results of comprehensive analysis of case studies using the evaluation framework for each process as determined in Section 1-2.

(1) Preparation Stage

1) Mindset

JICA experts and the counterparts should realize that the main actor in development is the community and the role of outsiders is support. It is therefore important that JICA experts demonstrate these attitudes to the counterparts not only through training, but also through OJT.

In the project in Indonesia, the counterparts have changed their way of thinking; they came to realize that in order to protect the forest, it is necessary for them to understand the way of life of the communities surrounding the forest and encourage their motivation towards creating community forests, rather than controlling and oppressing them. For this purpose, it was necessary to revise the project document right after the project had begun, reorganize the activities, and conduct socioeconomic surveys. In addition to the awareness of the community about the forest conservation, the counterparts also have come to understand the necessity of developing a new legal framework, since the current policy does not allow cultivation and habitation within the park. Until the awareness was formed, JICA experts worked to show the importance of the cohabitation with the community and of the attitude of learning from the community, the main actor, in order to realize sustainable national park, through various channels, such as OJT, joint studies with NGOs, and workshops.

2) Understanding the Current Situation of the Target Site

Grasping the socioeconomic situation in the targeted site leads to better understanding of the potential issues and concerns that the community holds. It also contributes to the formulation of effective strategies to approach the communities. These surveys can be utilized for improving the collaborative relationships among the stakeholders in one case, and the results of the surveys are utilized for selecting target sites in another case. Thus, the results are used not merely for data collection for reports, but also as materials for discussion of how to build collaborative relationships among the local NGOs, local governments, and counterparts, as well as how to approach the community, which in the end contributed to nurturing the new mindset of project stakeholders.

The Indonesian Project conducted the socioeconomic survey jointly with counterparts and local NGOs to select a pilot village and the inventory survey to understand the situation of the 300 villages that are assumed to live inside the national park. The field survey gave good opportunities for the national park staff and NGO members who had had no connection with each other before the project to build a cooperative relationship and announce the expansion of the national park for the community.

3) Building an Implementation System

It is very important to note that various stakeholders from the community level to the central government level are actively involved in the project. Their active involvements will ensure ownership of the partner country after the problem analysis and planning stage and sustainability of the community activities even after the project.

In the project in Niger, administrative officers at each level who are associated with the Ministry of Basic Education and Literacy have gained the sense of ownership and have actively been involved in the promotion of the project. Moreover, local NGOs with abundant experience in education have been incorporated in the implementation system, contributing to the promotion of community participation.

4) Community Resources Management*

There are two types of projects in terms of resources man-

* Community resources include human resources, local materials, funds and natural resources. Therefore the budget from outside is included.

agement: the first type consists of projects focused on utilizing local resources and minimizing the amount of input from outside in solving problems, and the second one consists of projects whose input from outside has already been incorporated as a model.

The Indonesian Project aims to build a community organization that can manage the natural resources without depending on inputs from outside. Although an income generating activity is an option for formulating an organization that can conduct proactive forest conservation, it may not be applied depending on the situation, in an attempt to minimize the amount of input from outside in general. On the other hand, the Zambian Project has allocated about US$10,000 per village and US$100 per household, and the community has shared the cost of the materials and labor, such as for infrastructure construction.

(2) Problem Analysis and Planning Stage

1) Awareness

Awareness means that the community recognizes that they are the main actors for solving the issues by sharing the issues and visions for solution with cooperation from outside, such as from the counterparts. In some projects, residents in the community realize that the community activities are for the community and go beyond the personal interests of individuals. In such projects, the counterparts and JICA promote a proactive awareness of the community while paying attention to the transparency of decision making, the degree of information sharing, and the degree of representation of community groups. On the other hand, when there is no clear awareness, many problems remain. Raising awareness in terms of nurturing independence is vital even after the implementation stage, and therefore, it is important for the counterparts and JICA to address this issue in accordance with the level of awareness and experience of the community.

In the project in Niger, residents in the community understood the importance of education subconsciously, although they felt some mental distance with respect to education and schools. Therefore, the community conducted an election in which the residents could participate freely for the first time, and selected the representatives of their school from their community. By conducting such democratic election, the community changed its attitude towards education, and they became interested in gaining knowledge through school enrollment and in the development of their community.

In the project in Indonesia, the socioeconomic survey revealed a big difference in terms of socio-historical background between the two targeted villages. Based on such result, the project applied different approaches in accordance with each situation. For instance, for the village that needed more time to understand the issues and nurture awareness, the project would allocate more time for developing “awareness.”

2) Organization Building

It is important to build an independent organization that can create a network with other organizations by utilizing information and resources in cooperation with the counterparts and donors. For such organization building, the ability of a facilitator who supports the community is important. JICA has tried to establish a framework to support such organization building of the community.

In the Nigerien Project, the group of representatives of the community organization played an important role in school management. Before the project started, the traditional authorities were the members of the committee acting as guardians. However, JICA believed that democratic elections for selecting the representatives of the committee would contribute to the effective and sustainable activities as well as active participation that would bring the benefits to the whole community. Thus, the community elected parent association members. Furthermore, the counterparts and JICA experts gave careful consideration to the traditional authorities when the community selected new leaders for the school and provided training in dealing with politics in order to avoid friction between the newly elected leaders and the traditional authorities.

3) Problem Analysis and Planning

Understanding the local resources that the community can utilize and organizing activities that the community can work on by itself to solve its issues would contribute to the strengthening of the organization and partnership.

In the Zambian case, the community analyzed the problems and planned their activities with the support of the extension workers. However, as time for problem analysis and planning activity is quite limited, the designed micro projects were not necessarily consistent with the solution to the issues raised in the problem analysis.

4) Community Resources Management

In the community where the members thoroughly discussed how to utilize its natural resources in the planning stage, the planning, rules, and management of those resources are performed in a sustatainable way, whether there are inputs from outside or not. The awareness that the community tries to solve the issues by themselves leads to less dependency on outsiders, which results in the ownership of the community and sustainability of activities. In addition, in villages with rich natural resources, the residents maintain their households by utilizing these natural resources, and thus it seems important for them to be aware of utilizing these natural resources in a sustainable manner.

In the project in Niger, the philosophy was to solve issues and problems by themselves. Therefore, the community tried to solve the issues by itself, such as by utilizing local resources to improve the school environment, while minimizing the cost for the activities. When they need extra funds, the community tried to share costs as much as possible.

5) Institutionalization and Extension

The study suggests that it is important for the counterparts and JICA to support institutionalization and extension of implementation systems and methods, by taking the termination of the project into consideration from its beginning so that the sustainability of the activities of communities as well as the approach are ensured.

In the Indonesian case, the related local governments (district level) are involved after selecting pilot sites with consideration given to the sustainability of the activities. If the activities are implemented at community levels in line with regional development, the local governments have the possibility of working on the concerned villages even after the termination of the project.

(3) Implementation Stage*

1) Initiative

Good collaboration among the diverse stakeholders such as the communities, counterparts, and JICA experts would contribute to active participation.

In the Nigerien case, the community improved its initiative and gained confidence in the implementation of activities through the experience of solving the issues in their school. Moreover, the parents whose children did not go to school also participated in the community activities, thus showing the extension of the activity to the entire community. When the community faced the issues, the related stakeholders such as the JICA office, the project office, NGOs, staff of the school management committee, and the central government shared the issues, and each actor tried to improve the condition.

2) Organizational Management

If the community holds regular meetings, shares information within the community, discusses and reconsiders activities when a problem arises, it suggests that the organizational management of the community organization is strengthened. Such progress of the organizational management is effective for the independence of the community.

In the Nigerien case, the school management committee held periodic meetings and discussed issues and activities. The committee suggests occasional switching of the leader of the committee. The system of consultation with the staff in COGES or the COGES alliance is introduced in case issues/problems occur.

3) Community Resources Management

There are three important aspects regarding sustainability after the project has been completed: managing resources by utilizing local resources during the implementation, identifying activities that the community can implement by themselves from the activities that require support from outside, and awareness of the importance of the sustainable natural resources management by the community.

In the Zambian case, some communities placed an emphasis on making all the community members understand how to deal with community funds. Specifically, the people are closely bonded and local leadership is properly exercised to establish the community fund and they can formulate a plan to solve future issues of the community, and some residents proposed that they should establish an independent committee for the auditing purpose. On the other hand, in some villages rules and regulations on resources management did not fully function.

4) Monitoring

Building a community-initiated monitoring system would contribute to the sustainable activities after the project is terminated.

In Niger, as the Nigerien government decided to set up COGES for all the elementary schools, it becomes difficult for the COGES staff as government officials to monitor all the schools. Therefore each commune, as the minimum administrative unit, formed a COGES alliance, which conducted training, consulting and monitoring for each COGES.

In Zambia, an expert in the field of monitoring has been newly assigned to establish the community-led monitoring system. The project is on its way to formulating specific items and tools for monitoring (i.e. a checklist to be used by managers and others) with the involvement of extension workers.

5) Institutionalization and Extension

If the community participation approach in a project can establish policies or systems in the government, it would contribute to extension of the approach and enhance the sustainability of the outcomes of the project.

The Nigerien case illustrates that the government of Niger could apply the approach and the implementation system that the project formulated to the general policy. In addition, the low-cost monitoring method of the project was shared with other donors, and promoted among other potential users.

(4) Sustainability Stage**

In the project in Niger, school management activities with community participation strengthened the community's independence and self-reliance. Many communities started to think about the development of the community comprehensively and negotiation skills to deal with outsiders were nurtured. Some communities have shown an attitude to proactively solve health care and water shortage issues, besides the issues of education. They have thus started to utilize both internal and external funds for these purposes.

* Since the Indonesian Project was at the preparation stage and the early stage for problem analysis and planning, we do not include any analysis of the implementation stage for the Indonesian Project.

** Since all three targeted projects are still being implemented, the aspects of sustainability were not obvious. However, some efforts that can lead to sustainability can be seen in the Nigerien Project, and we will describe them in the report.

5 Lessons Learned

Based on the results of the analysis of the three projects through the processes described in Section 1-4, the Subcommittee concluded that the following five aspects are important for outsiders: building an implementation system, facilitation, awareness/organization building, community resources management, and monitoring/follow-up. Table 3-5 shows the importance of each aspect at each stage of the implementation process. The following lessons learned would help implement more effective cooperation.

(1) Building an Implementation System

It is important to clarify the roles of the related actors to increase a community's initiative and to reinforce collaboration among the actors from the preparation to the implementation stages.

With regard to the clarification of the roles of the related actors, it is important for the counterparts and experts dispatched by donors to share objectives and methods of the project and to clarify the role of each actor as well as the community during the preparation stage. At the problem solving and planning stage and implementation stage, the role of each level, community, local governments and central government, needs to be consolidate through activities.

With regard to the collaboration among related actors, it is vital to build a collaborative implementation system among villages, regions, local governments, and central government in order to execute activities with due consideration given to sustainability and synergy effect. Therefore the importance is the organic collaboration among these actors even during the preparation stage. In the case of community participatory projects, review of the system is carried out mainly in the field where necessary during the problem-solving and planning stage, and as a result, feedback to the central government tends to be delayed. Thus it is necessary for the actors involved to share the problems in a swift manner.

(2) Facilitation

Facilitation* is an important item from the preparation to the implementation stages. In the preparation stage, it is important to foster facilitators through training and OJT. In the stage for problem analysis and planning and the implementation, both the community facilitators and facilitators from outside, such as NGOs and the local government, are important. It is also necessary for facilitators to be flexible in adapting to the actual situation in the community.

Facilitators working at the community levels constantly encounter new issues and events once the community sets out actions. It is therefore effective to provide opportunities for increasing their capacity, such as periodic training, let alone OJT.

Besides the facilitators from external bodies, facilitators acting as central figures within the community become necessary in order to realize sustainability of the community activities. Collaboration among the facilitators from both inside and outside is critical to sustainable activities. In the case of a pilot project whose aim is to reflect the community activities on the policies, the officers from the local governments as the implementation organizations should act as facilitators. This will increase the versatility and lead to diffusion. When using external organizations such as local NGOs as facilitators, it is necessary to establish sustainable implementation system incorporating them.

Since economic and social conditions, as well as awareness-raising and institutionalization of support system, are all different in each community, facilitation needs to correspond to the degree of maturity of the community. For example, in communities with low levels of awareness, facilitators need to take enough time to raise awareness. In communities with difficulties in promoting activities, facilitators need to study the causes jointly with the community members. Facilitation in line with the progress is required.

(3) Awareness-raising and Organization Building

Awareness-raising and organization-building are important aspects from the preparation to the implementation stages, especially in the problem analysis and planning stages. Other three important aspects are building awareness for carrying out activities for the community itself, building organizational norms, and nurturing representative leaders.

Awareness-raising is the basis for the execution of activities in the community, and leads to securing autonomy and sustain-

Table 3-5 Importance of Each Aspect in Each Implementation Process

	Preparation Stage	Problem Analysis and Planning Stage	Implementation Stage	Sustainability Stage
Building an implementation system	◎	○	○	□
Facilitation	○	◎	◎	□
Awareness/ organization building	○	◎	○	□
Community resources management	◎	◎	◎	□
Monitoring/follow-up	— —	○ —	◎ ○	○ ◎

(Note) ◎ Most Important ○ Important □ Necessary for sustainability

* Facilitation refers to supporting activities and draws on people's abilities when they carry out activities independently and supports effectively the process of achieving the problem solving on their own. Facilitators support the process when the community aims to solve a problem by also promoting linkages with the outside community.

ability of activities. This is because awareness of the community for the necessity of problem-solving jointly encourages their ownership. To that end, it is important for the residents to understand that solving problems through community activities will also help solve problems of individuals.

In forming organizations, it is important to make sure residents share and agree with the process of formation. In order to achieve transparent organization management, setting rules including leadership change, formation of self-governing regulations to carry out transparent decision-making, and building autonomous organizations based on the disclosure of information.

Representativeness of the leaders refers to capability to coordinate opinions of individuals in a democratic manner when raising awareness and institutionalizing the community. In some cases, the democratic process of electing leaders has increased the transparency of the organization, benefited the interests of the whole community, and had a positive influence on the participation and proactive execution of activities. In cases where traditional authorities take up a position due to social and cultural background, it is necessary to pay adequate attention to whether there is no impartiality in the decision-making process or among participating social classes.

(4) Community Resources Management

Community resources management is important from the preparation to implementation stages. Community resources are the basis for the community's activities. By managing and utilizing resources on the basis of the community's ownership, the sustainability of the activities and natural resources would be enhanced

It is obvious that community residents manage community resources by themselves when it comes to community activities. It would be difficult to nurture ownership of the community if the input of resources such as external funds is made known before the residents' awareness becomes mature. It is therefore desirable for the residents themselves to identify which community resources can be used and which factors needs external support. Then, input should be made in a timely manner after assessing the degree of awareness and institutionalization on an as-needed basis. It is also necessary to use local and natural resources as much as possible, and manage resources with due consideration give to sustainable use.

In particular, as far as proper conservation and utilization of natural resources are concerned, not only the community's self-help efforts, but also establishment of legal and administrative systems is significant. When management of natural resources by the community is legally limited, it is necessary for the donors and counterparts to urge the partner country to change the system in view of the sustainable utilization of resources.

(5) Monitoring and Follow-up

It is important to build a community-based monitoring system in the problem analysis stage and conduct monitoring during the implementation stage. Moreover, it is also important to build a follow-up system, which is highly crucial after the project completion.

In order to establish a community-based monitoring system, it is important to incorporate the review and monitoring of residents' activities into the activity cycle of the community. Residents themselves should affirm the progress of activities within the organization, identify the problems and ask external advice when necessary. Furthermore, monitoring would become more effective and efficient when a system where organizations in other communities collaborate with each other to monitor themselves jointly is established as a community monitoring system.

If there is no system for feedback, monitoring may end up being a mere accumulation of information. Thus it is desirable to establish a system where all the concerned parties can share the monitoring results and improve their activities based on the results.

BOX 7 Thematic Evaluation on Capacity Development of Local Administration

To enhance the approach for community-based development, Thematic Evaluation on Capacity Development of Local Administration was started in fiscal 2005, and is continually implemented in fiscal 2006. Here, the outline of the evaluation is introduced.

1. Outline of Evaluation Study

Based on the progress of decentralization in developing countries, JICA places emphasis on (1) improving the efficiency and effectiveness of administrative functions, (2) promoting balanced decentralization, and (3) encouraging participation and improving transparency as development objectives in relation to support for governance to ensure administrative functions. Since the end of the 1990s, JICA has implemented support for local administrations in Indonesia, Thailand, and other countries in Asia. Recently, such support programs for decentralization and local administrations have been launched continuously, not only in Asia but also in Africa, the Middle East, Latin America, and other regions.

Under these circumstances, JICA has conducted Thematic Evaluation on Capacity Development of Local Administrations since fiscal 2005, taking up the case of Indonesia. The study systematically first clarified the development challenges on capacity development of local administrations, which is important for decentralization (development challenge chart). Then analysis was made on how JICA and other donors have approached these challenges to extract lessons that contribute to future cooperation in this field.

Based on discussions, the Evaluation Study Committee evaluation developed the development objective chart for capacity development of regional local administrations in Indonesia, whose evaluation axis is shown below.

Superior Objectives	Major Objectives
1. Development of a system and framework for local autonomy	1-1. Clarifying the relationship between the central and local governments
	1-2. Clarifying the authority/role/relationship of local governments
	1-3. Promoting the representation system for democratic administrative control
	1-4. Ensuring transparency and accountability of the administration
2. Establishment of a system for financial management	2-1. Improving the efficiency of the administrative and financial operations through reforming the local government financing system
	2-2. Establishing a fair and neutral revenue system for local government finances
	2-3. Establishing an efficient expenditure system for local government finances
3. Capacity development of local government officials	3-1. Reforming the civil service system for better administrative performance
	3-2. Expanding the training and system for capacity development of local government officials
4. Effective and efficient administration of local governments	4-1. Improving the processes of planning, implementation, and evaluation
	4-2. Improving administrative services and increase the efficiency
	4-3. Enhancing the organizational capacity
	4-4. Improving administrative capacity through the promotion of public participation
	4-5. Promoting leadership

2. Evaluation Results

Support for capacity development of local administrations in JICA's projects concentrates on superior objectives No. 3 and No. 4, approaching particularly major objectives 3-2, 4-1, 4-2, and 4-4. Superior objectives 3 and 4, which influence improvements in administrative services through capacity development of local administrations, are important challenges also for the other donors. In contrast, most of other donors place emphasis on supporting institutional and framework development as targeted in superior objectives 1 and 2.

This study revealed that JICA's projects approach several major objectives under different several superior objectives. As found when approaching the superior objectives No.3 and No.4, capacity development of government officials and good practice of administrative services lead to securing sustainability by linking these two superior objectives and creating a synergy effect for each objective. In all of the projects studied, capacity development of the counterparts, the local government officials, is regarded crucial. Thus, OJT was always highlighted because it encourages learning through experience while working together with counterparts.

Summarizing JICA's approaches by timeline and regions, the continuous efforts in South Sulawesi province from the citizen level to the head of provincial government level, have had quite a positive impact in terms of achieving sufficient understanding of participatory community development and cooperation between the local autonomies and the civil society, and in terms of making actual progress with its cooperation.

3. Lessons Learned

Based on the evaluation results, lessons for more effective cooperation are obtained from the following two viewpoints

(1) Approaches to the Development Objectives

As for approaches to the development objectives, two lessons were obtained: (a) importance of strategic efforts by grasping the big picture and structural relatedness on the issue of capacity development for local administrations; and (b) effectiveness of medium to long-term efforts in a certain region targeting multi-layered stakeholders surrounding the local government.

(2) Project Planning and Implementation

The following lessons were extracted for project planning and implementation: (a) choosing appropriate counterparts at the time of devolution, (b) capacity development of local administrations balanced in theory and practice, (c) enhancing coordination among various stakeholders, (d) utilizing the leadership of the heads of local governments, (e) modeling outputs obtained from the concerned projects, and (f) Japan's unique aid approach focusing on local ownership.

Chapter 2 Contribution to Capacity Development in Developing Countries

Evaluation by Third Party: Thematic Evaluation on Economic Partnership —Social Capacity Development in Trade Sector and Development Assistance—

1 Outline of Evaluation Study

(1) Background and Objectives

Since the 1980's, JICA has implemented technical cooperation in the trade and investment sector, such as "Trade Training Center" projects, which is project-type technical cooperation (currently called technical cooperation project), in Indonesia, Malaysia, the Philippines, and Thailand. In the meantime, the trade and investment environment in East Asia has greatly changed. As mutual dependence in the region deepens, a new way of developing cooperation and independence has been sought. Under such circumstances, JICA feels a growing need for assistance to build institutions necessary for free and efficient competitive markets, enhance balanced economic infrastructure, and strengthen competitiveness in the private sector through reinforcement of economic partnerships.

With this background, JICA commissioned a third party, the Joint Venture of Hiroshima University and Mitsubishi Research Institute, Inc., to comprehensively evaluate assistance in the trade sector from 1980 to 2005 in the four countries mentioned above while reviewing the process of capacity development in each country for the purpose of obtaining lessons and recommendations that will contribute to improvements in JICA's future assistance in the relevant sector for the targeted countries, as well as for other developing countries.

(2) Evaluation Study Period and Team

1) Evaluation Study Period

February 2005 to March 2006. Four field studies were conducted in the targeted four countries, namely Indonesia, Malaysia, the Philippines, and Thailand, during this period.

2) Evaluation Study Team

The evaluation study was supervised by the Office of Evaluation of the Planning and Coordination Department, and commissioned to the Joint Venture of Hiroshima University and Mitsubishi Research Institute, Inc., as an evaluation study by a third party. An Evaluation Study Committee was also set up, consisting of the following evaluation committee members, evaluation advisors, and JICA Economic Development Department, as well as observers from ministries concerned. Evaluation was carried out in compliance with the policies determined by the Evaluation Study Committee, and surveys, value judgments, and the compilation of the report was undertaken by the Joint Venture as the external evaluators.

[Evaluation Committee Members]

Akifumi Kuchiki, Executive Director, Japan External Trade Organization

Atsushi Suzuki, Senior Coordinator, Planning Department, Japan External Trade Organization

Hisatsugu Yoshida, Statutory Auditor, Japan Indonesia Petrochemical Investment Corporation

[Evaluation Advisors]

Shujiro Urata, Professor, Waseda University Graduate School of Asia-Pacific Studies

Keiichi Tango, Senior Executive Director, Japan Bank for International Cooperation

Teruyuki Tanabe, Director, Development Finance Research Center, Japan Bank for International Cooperation

(3) Scope of Evaluation

Four countries were selected for the evaluation study; namely, Indonesia, Malaysia, the Philippines, and Thailand. Japan not only has had close ties with these countries through trade and investment, but also has provided relatively large-scale input for assistance in the trade and investment sector. The period from 1980 to 2005 was to be evaluated since Japan started various assistance in the trade sector represented by JICA's "Trade Training Center" projects during this period. In addition, this evaluation is mainly targeted at local small and medium-sized enterprises (SMEs) in the manufacturing sector, which had been the main target of JICA's assistance in trade sector during this period. "Trade sector" means direct export-promotion such as trading business, the provision of marketing services for companies, and the establishment of trade-related laws and regulations, as well as response to the recent trend of WTO and Free Trade Agreement (FTA). In addition, assistance for fostering SME/supporting industry is also included in this evaluation scope.

2 Framework of Evaluation

(1) Evaluation Questions

Since JICA's capacity assessment method is still under consideration, the evaluation study adopted social capacity assess-

ment (SCA) as a method to analyze capacity development (CD) in the trade sector of the targeted countries. The SCA method has been developed by the 21st century COE Program of Hiroshima University, "Social Capacity Development for Environmental Management and International Cooperation." To begin with, social capacity is defined* as the capacity to solve the development issues in each social sector, composed of three actors; the government, the firms, and the citizens, and also comprehensive capacity that includes the interaction of each actor. This evaluation clarifies the overall export capacity of society and its development process through the SCA method. Based on the results, this evaluation analyzes and examines amounts of aid inputs necessary for achieving effective assistance and the degree of contribution to social capacity development by assistance. It should be noted that the contribution to capacity development through partnership with other Japanese aid agencies is also taken into account for the evaluation.

Based on this evaluation framework, we set the following main evaluation question.

Was the series of JICA cooperation centering on the trade sector (such as "Trade Training Center") in the four targeted countries effective for each country's trade capacity development? At that time, did JICA consider consistency with recipient's development and coordination with other donor agencies?

The subquestions of the main evaluation question are as follows.

a. Have the impacts of JICA's assistance in the trade sector been appropriate in relation to timing, quantity, quality, and the local government's policy and input of other donors?
b. What kinds of relationships were there among social capacity development, social economic situation, and export performance?
c. How have companies' export capacities been developed?
d. How has government's capacity to promote export been developed?

(2) Evaluation Method

1) Social Capacity Assessment (SCA)

a. Actor-Factor Analysis

Actor analysis deals with the level and condition of social capacity from the standpoint of the condition of capacity and mutual relationships of each social actor (government, export industry, private export service provider). Factor analysis adopts the three factors: (1) capacity to plan and implement policies and measures (policies/measures factors = P factor); (2) human, financial, and physical resources in organization that embody capacity (human, financial, and physical resources in organization= R factor); and (3) knowledge, information, and skills required as the basis for the other factors (knowledge/skills factor =K factor). All three factors of capacity are necessary to improve performance.

With regard to export capacity of the firms, it was difficult to obtain indicators of three factors for all the four countries throughout the target period. Therefore, we adopted proxy variables for the three factors. First, labor productivity (value added/number of employees) in the manufacturing sector was adopted as a proxy variable for the P factor. Second, the ratio of employment in the manufacturing sector to total employment was adopted as a proxy variable for the R factor. Third, gross enrollment ratio of secondary education** was adopted as a proxy variable for the K factor. With regard to the government, we adopted the following variables for the three factors. First, enactment of relevant legislation such as the export promotion act and the SMEs promotion act, establishment of mid-term plans for export promotion and SMEs development, was adopted as a variable for the P factor. Second, establishment of trade training center, export promotion agency, specialized ministry, and agency for SMEs promotion, and a specialized financial institution for SMEs was adopted as a variable for the R factor. Third, issuance of annual reports by government ministries and agencies in charge of trade, manufacturing, and SMEs was adopted as a variable for the K factor. In addition, with regard to mutual relationships between the government and the private firms, conditions for having dialogues and meetings were also examined.

b. Development Stage Analysis

The development stage of social capacity is divided into the system-making stage, the system-working stage, and the self-management stage, and we seek to make clear at which stage the current social capacity standard is. We also analyze the process leading up to the stage, and the next rational level of the goal of the social capacity and the path leading up to it. Moreover, we construct a prerequisite for clarifying the quality and quantity, timing and sequence of assistance for the program of development policy and aid policy. Specifically, in the development stage analysis for the four countries, transitions from the system-making stage to the system-working stage and from the system-working stage to the self-management stage are shown in the following sections, based on the evaluation of Actor-Factor Analysis (2 actors x 3 factors and their mutual relations).

(3) Social Capacity Development in Trade and Evaluation of JICA's Assistance

As a viewpoint of evaluation we set two large points: "total evaluation of JICA's assistance in the field of trade" and "the contribution of JICA's assistance to social capacity development in the targeted countries." We decided to analyze both contribution of assistance to social capacity development (in the government sector) and consistency of assistance with social capacity development stages, taking into consideration the importance of grasping the relationship between social capacity development and

* However, when this concept is applied to CD in the trade sector, it is necessary to consider the facts that the role of firms is relatively larger and that of the government and the citizens are more limited in the trade sector than in other development and assistance sectors and that the impact of assistance on development (trade) performance is relatively smaller than it is on other elements, such as foreign exchange.

** (Includes students over school age) Total number of enrollment/school age-population.

aid inputs from multiple perspectives. In particular, it was difficult to obtain detailed data of aid inputs, such as amounts and man-months, dating back to 1980; therefore, we evaluated based on the number of projects in each year*.

From the next section, we explain the result of surveys and analysis in the four countries, namely, Indonesia, Malaysia, the Philippines, and Thailand, using the evaluation framework and methodology mentioned above.

3 Evaluation Analysis

(1) Social Capacity Development in the Four Targeted Countries

The levels of capacity development in 1980 and 2005 and JICA's aid inputs in each country are compared to obtain the contribution of aid input. Here, analysis results of capacity development are shown.

Table 3-6 shows the development of the government's capacity factors. First, "policy/measures factors (P factors: the formulation of medium-to-long-tern plan of industry/trade [National Development Plan] and fundamental law and basic plan of export/SME promotion)" have been steadily achieved benchmarks in general. On the other hand, there are gaps between the Malaysia-Thailand group and Indonesia-Philippine group in the other two factor categories of human, financial, physical resources in organization factors (R factors: the establishment of export-promoting agencies [the establishment of foreign and local offices, SME promoting agencies, and the organizational restructuring adapting to environmental changes]) and knowledge/skills factors (K factors: publication of statistics and white papers on trade and manufacturing, and issuance of annual reports by government ministries and agencies in charge of trade, manufacturing, and SMEs). With regard to the relationships between the government and business (including industrial associations), all four countries have reached a certain level.

With regards to the firms sector, as shown in Table 3-7, Malaysia, Thailand, and Indonesia have achieved a smooth increase in capacity factors; Malaysia has achieved high marks in all three sectors; and Thailand and Indonesia follow in order. On the other hand, the Philippines has had difficulties developing its capacity smoothly, although it was enjoying high performance as of 1981.

Figure 3-2 shows the outlines of the development stage analysis of the process of social capacity development in the trade sector in the four targeted countries based on the analysis in the government and the firms business sectors. All the four targeted

Table 3-6 Social Capacity Development in Trade in the Four Targeted Countries

Capacity Factors	Check items of Capacity Evaluation	Indonesia		Malaysia		Philippines		Thailand	
		1980	2005	1980	2005	1980	2005	1980	2005
Policies and measures (P)	Medium and long-term plan-making (National development plan) on industry and trade	✓	✓	✓	✓	✓	✓	✓	✓
	Establishment of basic laws on export promotion	✓	✓	✓	✓	✓	✓	✓	✓
	Establishment of basic laws on SMEs promotion		✓				✓		✓
	(Relationship between the government and enterprises) Dialogue and meeting between the government and enterprises		✓		✓		✓		✓
Human, financial and physical resources in organization (R)	Establishment of export promotion organization	✓	✓	✓	✓		✓	✓	✓
	Establishment of overseas office of export promotion organization	✓	✓		✓			✓	✓
	Establishment of SMEs promotion organization		✓		✓		✓		✓
	Organizational restructuring adapting to environmental changes				✓				✓
Knowledge and skills (K)	Publication of statistics		✓	✓	✓	✓	✓		✓
	Publication of trade white paper				✓				
	Publication of annual report by export promotion organization		✓		✓				✓

(Note) Cells are checked when items are achieved.

Table 3-7 Social Capacity Development in Trade in the Four Targeted Countries (Capacity of the Business Sector)

	Policies and Measures (P) (Labor productivity of manufacture industry constant 2000, US$)	Human, Financial and Physical Resources in Organization (R) (Ratio of employees in manufacture industry to employees in total, %)	Knowledge and Skills (K) (Enrollment rate of secondary education, %)
Indonesia	1,628 (1981)	8 (1981)	29 (1980)
	3,932 (2003)	13 (2002)	61 (2002)
Malaysia	10,316 (1981)	15 (1982)	48 (1980)
	16,935 (2004)	21 (2004)	70 (2002)
Philippines	6,754 (1981)	10 (1981)	64 (1981)
	6,507 (2004)	10 (2004)	84 (2002)
Thailand	4,842 (1981)	7 (1981)	29 (1980)
	10,052 (2004)	15 (2004)	81 (2002)

* Although it is desirable to quantify the aid input based on the characteristics of each project, we had no choice but to adopt "the number of projects" due to data limitation. However, input in four countries can be regarded as more similar, compared with developing countries in other regions. We believe that we have been generally successful in evaluating contributions of assistance to capacity development and effectiveness and efficiency of assistance although the analysis based on the number of projects is limited.

countries started the system-making stage in the early to mid 1960s, such as establishment of a legal framework concerning trade promotion and development of responsible governmental agencies. Later, Malaysia and Thailand moved from the system-making stage to the system-working stage in the latter half of the 1980s and in the latter half of the 1990s, respectively. They have been in transition to the self-management stage in the years after 2000, as evidenced by the fact that they have been able to restructure their organization according to the change in environment. On the other hand, Indonesia and the Philippines had already reached the final phase of the system-making stage in the middle of 1990. However, affected by the Asian financial crisis of 1997, Indonesia was set back to the system-making stage and is still in the process of rebuilding its systems. The Philippines lacks government trade promotion capacity, and the productivity of firms has seen sluggish growth. Although the legal framework has been developed , it has not contributed to the actual export performance. Accordingly, it is concluded that the Philippines remains in the final phase of the system-making stage.

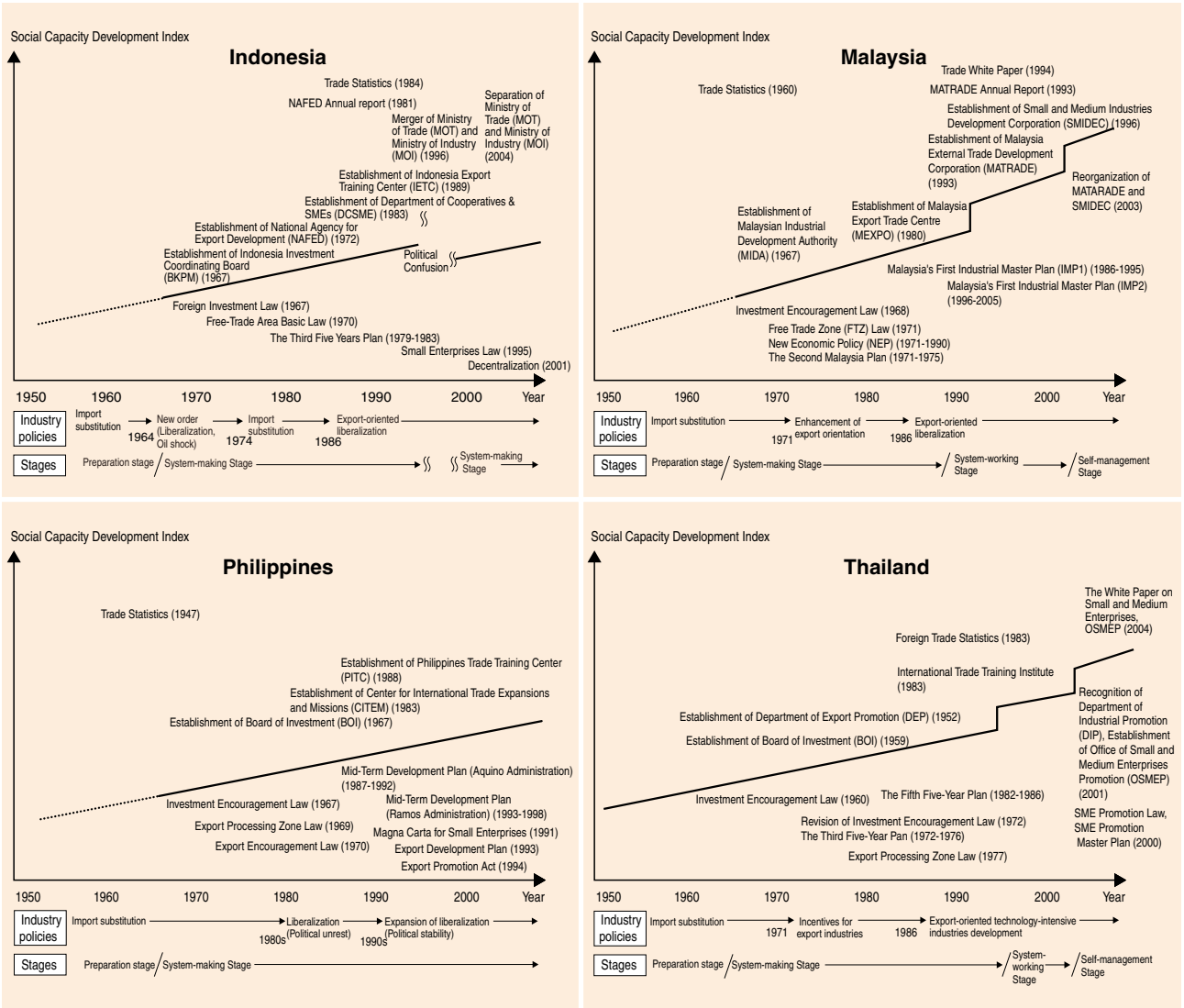
(2) Contribution of JICA's Assistance to the Capacity Development of Each Country

1) Indonesia

a. Contribution of JICA's Assistance to Capacity Development of the Government

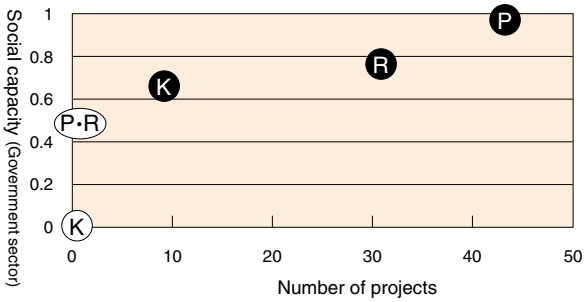
In order to examine the contribution of JICA's assistance to the capacity development of the Indonesian government*, we plotted the number of projects on the horizontal axis and the social capacity (the government) on the vertical axis in Figure 3-3, showing changes by capacity in 1980 and in 2005. The projects are sorted out based on capacity factors and counted in each year (See Table 3-8 for details of the projects). With regard to social capacity (the government), based on the benchmark of achievements, each factor is regarded as being either 1 (achieved) or 0 (not achieved) and the average scores are calculated for each factor category.

Figure 3-2 Social Capacity Development in Trade Sector in Targeted Four Countries



* We focused on the government's export promotion capacity, because JICA's assistance has mainly been input into government sector.

Figure 3-3 Contribution of JICA's Assistance to the Capacity Development of the Indonesian Government



(Notes 1) P indicates policies/measures factors; R indicates human, financial, and physical resources in organization factors; and K indicates knowledge/skills factors.

(Notes 2) ○indicates the capacity level as of 1980; and ●indicates the capacity level as of 2005

As a result, it turned out that Indonesia has advanced its capacity in the factors where JICA has extended a lot of inputs, which suggests that JICA's assistance has been effective. The K factors of the Indonesia government have remained at a low level; the growth rate of this factor category is high in spite of the relatively small inputs of JICA's assistance, which suggests that JICA's assistance has been efficient.

b. Consistency of Social Capacity Development Stages with JICA's Assistance

As shown in Table 3-8, in concert with the change to export-oriented industrialization in the mid-1980s, JICA began assistance focused on small and medium-sized enterprises development and industrial development, and also supported the establishment of the trade training center. These inputs would have made a significant contribution to Indonesia's system formulation. As a result of the confusion after the economic crises in 1997 and afterwards, it became necessary to rebuild the system and regain what was lost. For this purpose, JICA implemented various addi-

Table 3-8 JICA's Assistance Inputs in Indonesia by Development Issue

Capacity Factor	Development Issues	Project Name	System-making Stage
			1980 1985 1990 1995 2000
Policies and measures (P)	Export-promoting development plan	The Second Phase of the Follow-up on the Development of Supporting Industries in Indonesian Export Promotion	
	Export-promoting development plan	Empowerment of Customs System in Indonesia	
		The Capacity Building Program on the Implementation of the WTO Agreements	
		Improvement of Customs Procedures on Special Fields (Intellectual Property Rights)	
		Management of Export Credit Agency	
		Improvement of Trade Environment in Capital Region	
	Promotion and development of SME's, supporting industry and industry	Project on Promotion of SMEs	
		Industrial Sector Promotion and Development Project	
		Plan-making of Human Resources Development in Skills and Technique Sector	
		Industrial Promotion and Development Plan (Supporting Industry)	
		The First Phase of the Follow-up Study on the Development of Supporting Industries in Indonesian Export	
		Support for SMEs' Promotion	
		Project on Supporting Industries Development for Casting Technology	
		Support for SMEs	
		Enhancement of SMEs Cluster Project	
	Establishment of industry-related legislation	Promotion of Industrial Standardization and Quality Control Projects	
		Industrial Property Rights Administration	
Human, financial, and physical resources in organization (R)	Establishment of trade-related organization, human resources development	Improvement of Trade Procedures Administration Project	
	Assistance for trade training center	Indonesia Export Training Center (Phase 1)	
		Indonesia Export Training Center (Phase 1 Follow-up)	
		Indonesia Export Training Center (Phase 1 Aftercare)	
		Indonesia Export Training Center (Phase 2)	
		Indonesia Export Training Center (Phase 2 Follow-up)	
		Regional Export Training and Promotion Center	
	Promotion of SMEs, supporting industry and industry	Establishment of Metal Processing Promotion Center	
		Establishment of Industrial Technique Information Center Project	
		SMEs' Human Resource Development Project	
		SMEs' Human Resource Development Project (Follow-up)	
Knowledge and skills (K)	Acquisition, analysis and release of trade-related information and skills	Development of Trade Commerce Statistics System	
		Export Promotion (Market Analysis, Development)	
		Industrial Project Development Basic Study (Improvement of Trade Environment in Indonesian capital region)	
		Promotion of Trade, Investment and Industry	

Distance training for local areas (Regional Export Training and Promotion Centers in Indonesia)

tional assistance including projects aimed at trade-related legislation, establishment of organization concerned, and human resource development.

Compared to Malaysia and Thailand, social capacity development in Indonesia has not been sufficiently achieved*. Therefore, it is still in the phase where focused capacity development is necessary in order to achieve transition to the system-working stage. Also, as Indonesia has a much larger land mass and population than the other three countries, it would require relatively large inputs. Accordingly, it is necessary for JICA and the international community, as well as Indonesia itself, to invest more resources inputs for capacity development continuously.

On the other hand, it should also be noted that, at the project level, there are successful cases in promoting capacity development such as Indonesian Export Training Center (IETC), which has started from a JICA technical cooperation project and then expanded to operate at local levels on its own, and which is considering starting South-South cooperation towards Africa.

2) Malaysia

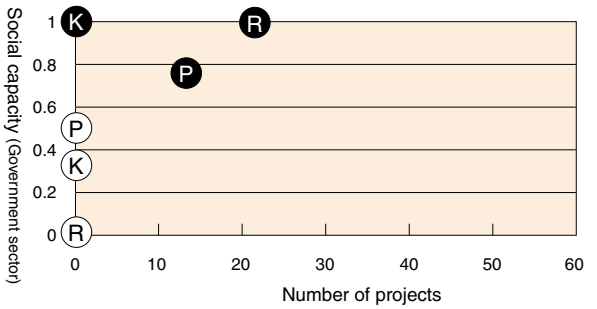
a. Contribution of JICA's Assistance to Capacity Development of the Government

In order to examine the contribution of JICA's assistance to capacity development of the Malaysian government, using the same method as we applied to Indonesia, we plotted the number of projects on the horizontal axis and the social capacity (the government) on the vertical axis in Figure 3-4, showing changes by capacity in 1980 and in 2005. The number of projects, as shown in Table 3-9, is the total number of projects in each year based on the categories in accordance with relevant capacity factors. As a result, it suggests that Malaysia has smoothly developed its social capacity despite relatively small aid inputs from JICA. It is assumed that Malaysia itself has had strong ownership and led its capacity development on its own; therefore, development assistance has been extended at a minimum level required.

b. Consistency of Social Capacity Development Stages with JICA's Assistance

As shown in Table 3-9, from the system-making stage to the system-working stage in Malaysia, JICA implemented projects for industrial promotion including SMEs and supporting industries. During the transitional period from the system-working stage to the self-management stage, JICA provided support related to the trade sector such as assistance to the Malaysia External Trade Development Corporation (MATRADE) and WTO capacity building projects. This process of assistance indicates that various project inputs were sequentially implemented. As Malaysia's level of capacity development has shifted to the self-management stage, JICA considers supporting South-South coop-

Figure 3-4 Contribution of JICA's Assistance to Capacity Development of the Malaysian Government



(Notes 1) P indicates policies/measures factors; R indicates human, financial, and physical resources in organization factors; and K indicates knowledge/skills factors.

(Notes 2) ○indicates the capacity level as of 1980; and ●indicates the capacity level as of 2005.

Table 3-9 JICA's Assistance Inputs in Malaysia by Development Issue

Capacity Factor	Development Issues	Project Name	System-making Stage			System-working Stage			Self-management Stage
			1980	1985	1990	1995	2000		
Policies and measures (P)	Establishment of trade-related legislation	The Capacity Building Program on the Implementation of the WTO Agreements							
	Promotion and development of SMEs, supporting industry and industry	Promotion and Development of Industry Sector							
		Construction of Kulim Hi-Tech Park							
		Promotion and Development of Industry Sector (Supporting Idustry)							
		Supporting Industry Technology Transfer Project							
		Formulation of Action Plan to Develop Advisory Capabilities of Malaysian Development Financial Institutions for SMEs							
Human, financial, and physical resources in organization (R)	Assistance for trade trainig center	Malaysia External Trade Development Cooperation							
	Promotion of SMEs, supporting industry and industry	Metal Industrial Technology Center							
		Research on Fine Ceramics							
		Casting Technology Center							

* This assessment is just in comparison with more advanced developing countries such as Thailand and Malaysia. There is no doubt that Indonesia (as well as the Philippines, which is addressed later) has improved its social capacity better than other developing countries in general. JICA's assistance should be evaluated for its role in having contributed to Indonesia's capacity development to reach the final phase of the system-making stage.

eration under the Malaysia Technical Cooperation Programme (MTCP) scheme.

3) The Philippines

a. Contribution of JICA's Assistance to Capacity Development of the Government

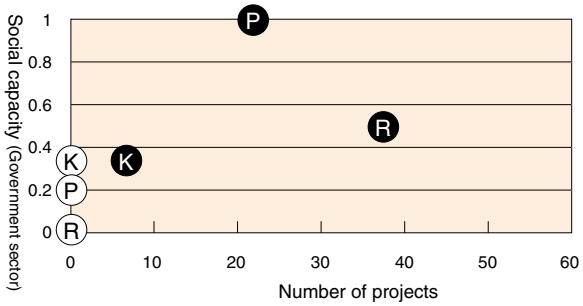
In order to examine the contribution of JICA's assistance to the capacity development of the government of the Philippines, using the same method we applied to Indonesia, we plotted the number of projects on the horizontal axis and the social capacity (the government) on the vertical axis in Figure 3-5, showing changes by capacity in 1980 and in 2005. The number of projects, as shown in Table 3-10, is the total number of projects in each year based on the categories in accordance with relevant capacity factors. The results of the analyses did not indicate a significant contribution of JICA's assistance to social capacity development in the Philippines when compared to the other three countries. There would be several constraints that have hindered the contribution of JICA's assistance to the Philippines' social capacity development; for instance, the country has received a relatively small number of projects compared to Indonesia and Thailand; and its government sector has limited human and financial resources. As shown in the figure, the improvements in R factors and K factors were limited.

b. Consistency of Social Capacity Development Stages with JICA's Assistance

Table 3-10 shows that a variety of assistance was provided to the Philippines simultaneously after 2000 as observed in the case of Indonesia. Economic cooperation in trade and investment from Japan includes not only the Philippines Trade Training Center (PTTC) project but also reinforcement of customs systems, and WTO capacity building. In addition, JICA has implemented technical cooperation projects on industrial technologies such as food packaging.

The results of the analyses suggest that JICA's trade sector assistance in the Philippines needs additional and intensive inputs to achieve the transition to the system-working stage because the Philippines' social capacity is still underdeveloped compared to Malaysia's and Thailand's. The country is still in the phase where capacity development is strongly required in order to achieve transition to the system-working stage. Accordingly, it would be necessary for the international community as well as the Philippines itself to continue to invest more resources inputs for capacity development.

Figure 3-5 Contribution of JICA's Assistance to the Capacity Development of the Philippine Government



(Notes 1) P indicates policies/measures factors; R indicates human, financial, and physical resources in organization factors; and K indicates knowledge/skills factors.

(Notes 2) ○indicates the capacity level as of 1980; and ●indicates the capacity level as of 2005.

Table 3-10 JICA's Assistance Inputs in the Philippines by Development Issue

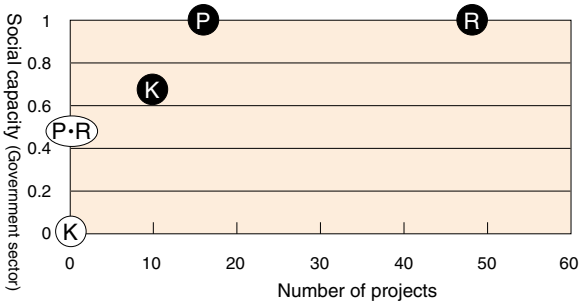
Capacity Factor	Development Issues	Project Name	System-making Stage (1980 / 1985 / 1990 / 1995 / 2000)
Policies and measures (P)	Export-promoting development plan	Development of Cavite Export Processing Zone and Investment Promotion Plan	
	Establishment of trade-related legislation	The Capacity Building Program on the Implementation of the WTO Agreements	
	Promotion and development of SMEs, supporting industry and industry	Master Plan of Coal Industrial Technology Development	
		Promotion and Development of Industry Sector	
		Industrial Environment Management Study	
		Plan-Making Support of SMEs Development	
	Establishment of Industry-related legislation	Industrial Standardization and Quality Control Project	
		Industrial Property Modernization	
Human, financial and physical resources in organization (R)	Assistance for trade tarining center	Trade Training Center	
		Trade Training Center (Follow-up)	
	Promotion of SMEs, supporting industry and industry	Metal and Casting Technology Center	
		Industrial Standardization and Electric Testing Technology	
		Software Development Training Center	
		Improvement of Mold Technology	
		Electronic Products Testing Technical Cooperation	
		Improvement of Regional Food Packing Technology	
Knowledge and skills (K)	Acquisition, analysis and release of trade-related information and skills	Study on Measurement of the Time Required for Trade	
	Acquisition, analysis and release of industry-related information	Production Statistics Development Plan	
		Production Statistics Development Plan Follow-up Study	

4) Thailand

a. Contribution of JICA's Assistance to Capacity Development of the Government

In order to examine the contribution of JICA's assistance to capacity development of the Thai government, we plotted the number of projects on the horizontal axis and the social capacity (the government) on the vertical axis in Figure 3-6, showing changes by capacity in 1980 and in 2005. The number of projects is as shown in Table 3-11, the total number of projects in each year based on the categories in accordance with relevant capacity factors. In the case of Thailand, as in the case of Indonesia, capacities have been more developed where JICA has extended more inputs, which would indicate the effectiveness of JICA's assistance. Although K factors remain at a relatively low level compared to other factors, this factor category has shown a high increase from 1980 to 2005 in spite of a relatively low level of aid inputs from JICA.

Figure 3-6 Contribution of JICA's Assistance to the Capacity Development of the Thai Government



(Notes 1) P indicates policies/measures factors; R indicates human, financial, and physical resources in organization factors; and K indicates knowledge/skills factors.

(Notes 2) ○ indicates the capacity level as of 1980; and ● indicates the capacity level as of 2005.

b. Consistency of Social Capacity Development Stages with JICA's Assistance

As shown in Table 3-11, overall, it seems that necessary assistance has been sequentially provided, just as it was done in Malaysia.

Specifically, along with enhancement of the export-oriented policy in the 1980s, the assistance inputs to the International Trade Center (ITTC, currently International Trade Training Institute [ITTI]) started. Then, several development studies and technical cooperation projects for the promotion of industry, SME, and supporting industry were conducted. During the transitional period from the system-working stage to the self-management stage, JICA implemented cross-industrial projects in each factor category such as assistance for WTO capacity building, development of consulting services to promote SME cluster and regional development, and a Thai measurement and standards organization project.

4 Evaluation Results

(1) Contribution* to the Capacity Development of the Government

As mentioned above, we compared the capacity levels of the

Table 3-11 JICA's Assistance Inputs in Thailand by Development Issue

Capacity Factor	Development Issues	Project Name	System-making Stage			System-working Stage		Self-management Stage
			1980	1985	1990	1995	2000	
Policies and measures (P)	Establishment of trade-related legislation	Capacity Building Program on the Implementation of the WTO Agreements						
	Promotion and development of SMEs, supporting industry and industry	Promotion and Development of Industry Sector						
		Promotion and Development of Industry Sector (Supporting Industry)						
		Development of Consulting Service for Thai SMEs Cluster and Regional Development						
	Establishment of Industry-related legislation	Industrial Standardization and Testing and Measurement System Development Study						
		SMEs Promotion Support						
		Management Consulting of SMEs						
Human, financial and physical resources in organization (R)	Assistance for trade training center	Trade Training Center						
		Trade Training Center (Follow-up)						
	Promotion of SMEs, supporting industry and industry	Metal Processing and Machine Industry Development						
		Industrial Standardization Test Training Center						
		National Computer and Software Training Center						
		North Ceramic Center						
		Increase of Productivity						
		Institution-building of SMEs' Management Consulting						
		Improvement of Mold Technology						
		Industrial Standardization Test Training Center (Aftercare study team)						
Knowledge and skills (K)	Acquisition, analysis and release of industry-related information	Industrial Property Information Center						
		National Measurement Standard Institution						

* Here, "contribution" is used in a broader and more general sense than "the concept of contribution," which was used in Chapter 3, Part 1, "JICA Program Evaluation."

governments of the targeted countries and JICA's assistance inputs as of 1980 and as of 2005, and examined the contribution of JICA's assistance inputs. As a result of plotting the capacity levels and assistance inputs on two axes, we have found that the levels of each capacity factor have improved in the four countries and JICA's assistance has played an important role in such improvements (Figure 3-3, Figure 3-4, Figure 3-5 and Figure 3-6). In Indonesia and Thailand, improvements of social capacity levels are proportionate to the amount of JICA's assistance inputs, which indicates that the contribution of JICA's assistance has been relatively large. On the other hand, Malaysia has been successful in developing its capacity in spite of the small amount of JICA's inputs; among others, capacity development in R factors has been remarkable in Malaysia. In the Philippines, the contribution of JICA's assistance is not significant compared to others; the country has shown relatively little increase in R factors and K factors.

(2) Consistency of Social Capacity Development Stages in Trade with JICA's Assistance

Based on the social capacity development stage analysis of the four countries, we evaluate consistency of JICA's assistance with the social capacity development stages in the four countries. JICA's assistance can be classified into two categories based on the characteristics of inputs in hindsight.

In the first type, the focus of assistance will shift according to social capacity development stages. Among targeted countries, Malaysia and Thailand are categorized as this type, and JICA's assistance for Malaysia and Thailand is evaluated to be consistent with their development stages. The second type is due to the insufficient development of social capacity, one in which various types of assistance are implemented at the same time in order to realize the transition to the system-working stage. The second type can be called "additional input" type assistance, whereas the first type can be called the "sequential input" type assistance. Indonesia and the Philippines are considered to be the second type.

Examining the consistency of JICA's assistance with the social capacity development stages it can be concluded that the "sequential input" type assistance implemented in Malaysia and Thailand seems to have been more desirable in terms of efficiency and ensuring recipients' ownership. However, it would be more realistic to say that those countries' strong ownership enabled efficient assistance. In the cases of Indonesia and the Philippines, JICA's assistance has been consistent with the development stages in the sense that it has been in line with the situation of the countries. However, more efforts would be required to promote self-help in developing countries and facilitate capacity development based on their ownership.

(3) Coherence with Higher Policies and Partnership between JICA and Other Agencies

Japan has conducted international cooperation in the trade sector based on the policy of "the trinity of assistance, trade, and investment." This policy typically materialized in the Southeast Asian countries. Japan's assistance has led to improving the investment climate, which fosters foreign direct investment such as that from Japanese corporations, and to promoting export. Ultimately this strategy contributes toward the economic growth of developing countries. The following shows the roles of the Japanese government institutions concerned in relation to each actor in four countries, which is the framework of analysis.

In the "hard" aspect of capacity development, JBIC's yen loans have taken an important role (the grant aid scheme has also contributed to the infrastructure development in Indonesia and the Philippines), while JICA has played a major role in the "soft" aspect by assisting institutional building. In terms of assistance for trade-related policy-making and implementation, JETRO, in addition to JICA, has played an important role, through such activities as support for export industrialization and the One Village One Product Campaign. In addition, assistance to the government for enhancing its export promotion services has been implemented mainly by JICA, and partly implemented by JETRO as its cooperation with export promotion organizations. With regard to SMEs capacity development, JETRO, JODC and AOTS have played major roles in extending assistance. Assistance to private industrial associations and export assistance industry has been mainly implemented by JETRO.

With the abovementioned demarcation, the coordination between JICA and other assistance related agencies has been generally effective. Furthermore, in each developing country, there is an ODA Task Force among embassies, JICA, JBIC and JETRO, and the coordination among agencies is being strengthened. However it is necessary to reconsider more effective ways of coordination toward more effective and efficient cooperation.

(4) Consistency with a Developing Country's Development Policy

The four countries we evaluated in this report adopted export-oriented industrialization policies by the mid-1980s. More specifically, the governments encouraged investment in export-oriented industries with policy measures such as low-interest government financing as well as by providing subsidies and lowering export-tariffs. In addition, as trade liberalization advanced in the world through the WTO, FTAs, and EPAs, the governments have shifted their focuses from export promotion assistance targeting individual industries/companies to establishment and improvement of the system and environment to promote capacities in the private sector.

In the meantime, Indonesia and the Philippines, faced with strong competitors such as Malaysia and Thailand in the neighborhood, set similar targets to those of the relatively advanced countries. In that sense, donors' assistance was consistent with the development policies of those countries. However, it needs to be carefully reviewed whether the development policies of Indonesia and the Philippines themselves were appropriate, taking

also into consideration the policies to protect domestic industries in these countries. In countries where industrial development has been achieved to a certain level and its national income is relatively high, such as Thailand and Malaysia, social capacity has also been developed to some extent. Therefore, the focus of the recipient government's policy is to grow high value-added industries based on their developed social capacity. Accordingly, assistance to these countries should focus on the private sector, rather than on the government sector, to promote direct investment to these countries and imports from them. Development assistance to Thailand and Malaysia is already shifting in this direction.

5 Lessons Learned and Recommendations

In this section, based on the lessons learned from evaluation results for the four countries, we set forth recommendations for enhancing aid effectiveness, especially in situations where social capacity is not smoothly being developed. More specifically, we point out the importance of accurately identifying the social capacity development stages, enhancing program-based assistance, promoting a "G to B" approach, and extending appropriate assistance that matches the country's social capacity.

(1) Toward Program-based Assistance*

Based on the evaluation results of Indonesia and the Philippines, JICA's assistance has contributed to the governments' capacity development to some extent. However, when considering the consistency of JICA's assistance in capacity development of the whole society including the business sector, these countries have not been able to reach the system-working stage. Therefore, it is necessary to plan assistance programs that take into consideration comprehensive social capacity development.

When formulating programs, we need to consider levels of capacity by actor/factor that are identified based on the Social Capacity Assessment, and development assistance's timing, quantity, quality, and sequence based on the development stages. Above all, a major focus is placed on what kind of assistance is necessary to achieve development from the system-making stage to the system-working stage.

The period from the system-making stage or pre-system-making stage to the self-management stage may require a few decades; therefore, one single program would not be sufficient. In fact, programs should have mid-term goals, such as a shift to the system-working stage, covering a period of five to 10 years. Here, we show a long-term cooperation program in order to show the overall picture covering development process from the system-making stage to the self-management stage. Based on the evaluation results of the four countries as well as OECD (2001)** and JICA Institute for International Cooperation (2003)***, the overview of the trade-related cooperation program in accordance with social capacity development stage is shown in Table 3-12. Due to the abovementioned characteristics, this would not be applied simply as it is to any country or region; instead, this should be taken as a sort of conceptual model.

Cooperation programs can be classified into two types: pro-

Table 3-12 Development Assistance Programs that Correspond to Social Capacity Development Stages

Trade Sector

Social Capacity Development Stage		Preparation Stage	System-making Stage	System-working Stage	Self-management Stage
Policies and measures (P)	Export-promoting development plan	■			
	Establishment of trade-related organization (Response to liberalization and facilitation such as WTO)		■	▒	
Human, financial and physical resources in organization (R)	Establishment of trade-related organization, Human resource development (such as customs, quarantine and trade finance)		■	▒	
	Assistance for Trade Training Center (Export-support, information, training for private companies)		▒	■	
Knowledge and skills (K)	Acquisition, analysis and release of information such as statistics		■		
Support for South-South cooperation					■

Industry Promotion Sector

Social Capacity Development Stage		Preparation Stage	System-making Stage	System-working Stage	Self-management Stage
Policies and measures (P)	Promotion and development of SMEs, supporting industry and industry		■	■	
	Establishment of industry-related legislation		■	▒	
Human, financial and physical resources in organization (R)	Promotion of SMEs, supporting industry and industry		■	■	
	SMEs promotion organization		▒	■	
Knowledge and skills (K)	Acquisition, analysis and release of information such as statistics		■		
Support for South-South cooperation					■

Note: ■ dark gray indicates that focused inputs are required; ▒ light gray indicates that preliminary or follow-up inputs are required.

* Here, "program" refers to a cooperation scheme with a mid- and long-term viewpoint, and does not necessarily correspond to the definition of "JICA program" used in Chapter 3, Part 1, "JICA Program Evaluation."

** Organisation for Economic Co-operation and Development (2001) The DAC Guidelines: Strengthening Trade Capacity for Development

*** JICA Institute for International Cooperation (2003) Approaches for Systematic Planning of Development Projects: Trade and Investment Promotion

grams that directly deal with export promotion and programs that aim to enhance the competitiveness of the private sector in a host country.

In trade-related areas (in a narrow sense), a master plan on export promotion should be formulated at the preparatory stage. The master plan is a basic policy for developing social capacity and clarifies areas that require assistance. The master plan should be formulated in consideration of enhancing the private sector's competitiveness. Based on the master plan, from the system-making stage to the system-working stage, assistance related to three factors (P, R, and K) should be implemented.

At the system-making stage, assistance for the development of a trade-related law system (P), organization and human resources development in customs/quarantine or trade finance agencies (R), and statistical data collection/analysis/publishing support (K) should be extended. When capacity development assistance achieves certain results, assistance for development of a trade-facilitation law (P) and the establishment of trade training centers (R) should follow. In relation to trade training centers, as the experience of Thailand shows, assistance toward export promotion agencies (DEP in Thailand and MATRADE in Malaysia) should be implemented simultaneously, to make assistance more effective. This is because the trade training center and the export promotion organization should be closely coordinated. By means of capacity development in three factors in the government sector, the government is able to support capacity development in the private sector. By developing related capacity, the private sector can also contribute to the advancement of overall social capacity development. At this stage, JICA's cooperation program should include the following fields: formulating master plans, promoting participation in law-formulation process, enhancing understanding on the legal system, and fostering the private sector's feedback to services provided by related government organizations.

At the early system-working stage, assistance, which was implemented at the late system-making stage, should be continued. As the case in Indonesia shows, at the completion of capacity development for the system-making stage, extending the scope of trade training center projects from the capital to the regions could result in larger impacts. Capacity development for consulting in response to EPA and FTA also becomes important. Utilizing this sequence of assistance from the system-making to the system-working stages, Japan's assistance could move its focus on to South-South cooperation.

In the meantime, similar sequential inputs are also required, in principle, in the area of industrial development. Both trade promotion (in a narrow sense) and SMEs/supporting industries promotion are required to enhance trade performance.

In addition, in order to ensure the effectiveness of development assistance programs, comprehensive approaches are necessary; in other words, it is important to consider not only trade promotion, and SMEs/supporting industries promotion, but also public sector reform and improvement of market conditions. It is also important to consider priorities of trade promotion in the country-level socioeconomic development plans.

Also, there are possibilities that the region can not enjoy efficient resource allocation when individual countries pursue independent programs on their own. In this regard, it may be necessary for countries to undertake policy coordination and to make cooperative programs at the regional level with due consideration given to the benefits of individual countries. As far as the four countries in this evaluation are concerned, export promotion and SMEs promotion policies that benefit individual countries in the frameworks of ASEAN and the East Asian Community should be considered.

(2) From "Government to Government (G to G)" to "G to G plus Government to Business (G to B)"

One of the most important points in assisting in capacity development is to develop overall social capacity by utilizing the relationships among various actors. It is necessary to choose the best actors among them to improve effectiveness, instead of limiting the choice to the targeted actor. In this sense, the promotion of active participation of the business sector (private sector) is one of the effective options in pursuit of ensuring comprehensiveness and spontaneity, which are important in the CD process. From the perspective of the trend of donors' assistance, G to B is one of the effective options. However, flexibility is required when implementing assistance for providers who directly provide services to firms and assistance for facilitators who support the providers, with consideration given to a complementary relationship between the two.

(3) Applying Past Experiences to South-South Cooperation

In order to strengthen economic ties between Japan and East Asian countries, it is important to provide social capacity development assistance to least developed countries such as Cambodia, Laos, Myanmar and Viet Nam (CLMV), in addition to the four targeted countries. The importance of such activity is expected to contribute to the future "East Asian Community."

From a wider perspective, all four countries are expected to play important roles to implement South-South cooperation for African development, which is the most important issue in development assistance, as Malaysia and Indonesia have already addressed this issue. JICA and other Japanese governmental agencies have the experience of assistance "placing importance not only on development results but also on the capacity development process." Supporting South-South cooperation is a challenge for these organizations to expand and improve their activities. For Indonesia and the Philippines, which are still in the process of moving from the system-making stage to the system-working stage, South-South cooperation may be limited in scope, but reviewing their experience at this stage and conveying their experiences to other countries is an important learning process for African countries and is expected to enhance two countries' ownership.

BOX 8 Synthesis Study of Evaluation: Higher Education

From the perspective of human resource development in developing countries, "Synthesis Study of Evaluation: Higher Education" was conducted in fiscal 2005. The summary of the study is introduced here.

1. Objective of the Synthesis Study

The synthesis study targeted JICA projects in support of higher education focusing on universities that are expected to play a larger role as centers of excellence in developing countries. Cross-sectional analysis was conducted for evaluation results of individual projects based on the three functions of universities: improvement of educational activities, capacity building of research institutions, and encouragement of social activities.

2. Results of the Study

This synthesis study classified projects in various sectors, departments, and regions (eight countries, 12 projects) according to the above-mentioned three functions and made an analysis from the viewpoints of approach, impact/spreading effects, and sustainability.

(1) Project Approach

Projects for improvement of educational activities and projects for capacity building of research institutions both took a mid- to long-term approach of addressing the development issues by increasing the number of excellent human resources and utilizing research findings, respectively through improvements in teaching staff, curriculum, and facilities at universities and enhancement of human resources, and by improving the research environment and capacity building for researchers. On the other hand, projects for encouraging social activities were expected to achieve outcomes in a relatively short-term because universities were directly involved in regional development activities such as organizing farmers' groups, afforestation, and fishpond management. Because the encouragement of social activities utilizes the educational and research functions of universities, the projects for encouraging social activities subject to the study are usually a hybrid type, combined with the other two types of projects.

(2) Project Impact/Spreading Effects

Projects for improvement of educational activities and for capacity building of research institutions incorporated external factors such as securing employment opportunities and opportunities to utilize research findings in the process of achieving the overall goals. Although some efforts by universities such as support for employment for graduates were observed, partnerships between universities and industry and reflection of research findings on policies were not sufficient to address these external factors. Therefore, it is desirable to include some kind of measure into project activities. As for projects for encouraging social activities that are usually combined with other types of functions, project purposes/goals were not sufficiently shared among concerned parties in some cases. It is therefore important to set specific targets and form a unified recognition of those targets. In addition, it became clear from this analysis that continuous partnerships with Japanese universities significantly contribute to the emergence of impacts.

(3) Project Sustainability

When it comes to sustainability, the foremost issue is securing finance for every type of project. As compared to the other two types of projects, projects for encouraging social activities hold a relative advantage in financial terms because universities sometimes directly reach out to the society so they can receive donors' financial support more easily from the perspective of contributing to poverty reduction. Although storage and maintenance of materials and equipment provided in projects is also an issue common to all types of projects, there were cases where introduction and maintenance of equipment contributed support from other donors after the termination of projects or the organizational development.

3. Lessons Learned

Based on the analysis results, the following four lessons learned are summarized for raising sustainability after the termination of projects as well as expanding impacts.

(1) Formulation of hybrid projects for encouraging social activities

From the viewpoints of capacity development of higher educational institutions and effective utilization of resources that local universities have, it is important to support the efforts of higher education institutions' involvement in social activities through hybrid projects for encouraging social activities combined with other functions.

(2) Support for improvement of management

It is indispensable to provide managerial support such as operational management, financial management and equipment maintenance. Especially, proper equipment maintenance, which improves reputation of target institutions, increases opportunities to get involved with social activities, and facilitates to secure excellent human resources, is meaningful in terms of project sustainability.

(3) Continuous partnerships with Japanese universities

It is important for a Japanese university to get involved organizationally from the formulation stage of projects and consider which forms and contents of partnerships would be most sustainable, in prospect of the picture after the termination of projects.

(4) Involvement with South-South cooperation

JICA is required to support the target organizations' efforts of establishing networks with other domestic and international organizations and organizations outside their regions through South-South cooperation.

A Counterpart utilizes equipment provided.
(King Mongkut's Institute of Technology, Ladkrabang, Thailand)

Chapter 3 Enhancement of International/Regional Partnership

Evaluation by Third Party: Thematic Evaluation on South-South Cooperation

1 Outline of Evaluation Study

(1) Background and Objectives

JICA defines South-South Cooperation (SSC) as "mutual cooperation aimed at fostering self-sustaining development that involves deepening relationships among developing countries, while implementing technical and economic cooperation," and has been promoting it by means of various schemes. Specifically, programs such as Third-country Training Program (TCTP) in which an implementing country is selected as a core of SSC on the basis of the results of JICA technical cooperation projects and the country accepts the training participants from other developing countries (recipient countries) and Third-country Expert Dispatch (TCED), which sends experts to the recipient countries, are being implemented.

However, the recent expansion of scope and diversion of forms of SSC assistance require understanding of current status and clarification of future operational and systematic issues of SSC accordingly.

Thematic Evaluation on South-South Cooperation was thus conducted in order to examine various measures to support SSC more effectively and efficiently.

(2) Evaluation Study Period and Team

1) Evaluation Study Period

From August 2005 to March 2006 (Field studies were conducted in Asia from August 21, 2005 to September 9, 2005, in Latin America from August 28, 2005 to September 16, 2005, and in Africa from September 4, 2005 to September 23, 2005.)

2) Evaluation Study Team

This evaluation was commissioned to Kaihatsu Management Consulting, Inc., to be conducted as an evaluation by a third party. The progress of the evaluation study was supervised by the Office of Evaluation of the JICA Planning and Evaluation department. Evaluation policies and results were shared and exchanged as necessary in an Evaluation Study Committee consisting of related personnel including JICA's Issue-specific Task Force on SSC set up by JICA.

(3) Scope of Evaluation

Major SSC implementing countries (Thailand, Indonesia, Mexico, Chile, and Kenya) and recipient countries (Laos, Cambodia, El Salvador, and Uganda) were selected from Asia, Latin America, and Africa as targets of case study analysis. The projects to be analyzed as case studies in this evaluation study were extracted based on the regional characteristics and evaluation focus.

In addition to the above-mentioned nine countries, questionnaire surveys were conducted subjecting the agencies in charge of international cooperation (ACIC) in recipient and implementing countries as well as JICA overseas offices in order to complement the field studies. Questionnaire surveys were conducted in the countries where JICA offices are in place.

This evaluation study deals with intra-regional SSC activities, and not inter-regional (e.g. Asia-Africa cooperation) activities are not directly targeted in this evaluation study.

Table 3-13 Countries Subject to Case Study

Target Area	Implementing Country	Recipient Country
Asia	Thailand, Indonesia (ASEAN office)	Cambodia, Laos
Latin America	Chile, Mexico (reference)	El Salvador
Africa	Kenya	Uganda

2 Framework of the Study

(1) Evaluation Questions

According to the above-mentioned objectives, the following study questions were set.

a. How have SSC support activities been positioned and implemented among the implementing and recipient countries?
b. What kind of effects has JICA's support for SSC brought to the development of the implementing and recipient countries?
c. What kind of improvement measures are required to achieve more effective and efficient support for SSC* from strategic, systematic, and operational aspects?

* The objectives of SSC are stated as "Efficiency and Increase in Impact to End-Recipient Countries through Assistance Connection and Resources Utilization with New Emerging Donor Countries" and "Support for New Emerging Donor Countries to Become Donors" (JICA "Thematic Guidelines: South-South Cooperation" January 2005).

(2) Evaluation Methods

Based on the questions above, the following analysis was conducted. The analysis framework is largely divided into case study analysis and questionnaire surveys.

1) Case Study Analysis

As case study analysis, field surveys were conducted in the selected target countries. Information on implementing structure and projects of SSC assistance was collected through document study, site visits, and interviews. The collected information was examined and analyzed from the following perspectives.

a. Cooperation Schemes

JICA's support for SSC comes in many forms, which were briefly divided into the following four types for the purpose of the analysis.

- Third-country Training Program for Group (TCTPG)

The program in which a developing country (implementing country) with the support of JICA accepts training participants from another developing countries (recipient countries) to transfer and promote development experiences, knowledge, and techniques. Group training is conducted by bringing together personnel engaged in the subject field from neighboring developing countries. It is the popular case for JICA to implement TCTP through the intermediation of an implementing organization in the specific developing country to which the assistance program was provided by JICA in the past.

- Contract-based Third-country Training Program (TCTP)

TCTP refers to procurement in the forms of training that are sourced from a third country but not from Japan directly. This type of input is conducted when it is required due to the lack of direct sourcing from Japan, or it is assumed to be more appropriate when it is sourced from the concerned neighboring countries. It is the general case for JICA to implement this program to the counterpart as part of the JICA technical cooperation project implemented in the recipient country.

- Third-country Expert Dispatch (TCED)

With the support of JICA, the experts from a developing country (implementing country) are dispatched to transfer and promote development experiences, knowledge, and techniques to the other developing country (recipient country). These experts are dispatched when the knowledge and techniques of the implementing country as assistants are deemed necessary for more effective technical cooperation (support type), or when their knowledge and techniques are especially effective for the expansion of the results (expansion type).

- Others

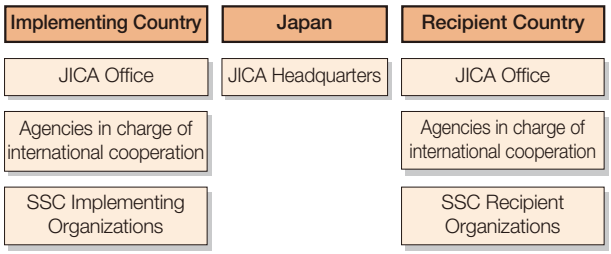
There are other various types of SSC schemes tailored to regional characteristics. For example, in Asia, the JICA-ASEAN Regional Cooperation Meeting (JARCOM) is established as a matchmaking mechanism between the implementing countries and the recipient countries. In Latin America, "mini-projects" are conducted, in which the implementing countries and Japan jointly support the recipient country. These are promoted simultaneously with the framework of technical cooperation focusing on the capacity development of newly emerging donor countries.

b. SSC Project Positioning and Involvement Degree of Concerned Organizations

SSC involves at least three countries: the implementing country, the recipient country, and Japan. Naturally there are more stakeholders than in conventional bilateral cooperation (see Figure 3-7).

By interviewing these various stakeholders of target countries, the case study analysis as shown in the following section attempts to clarify how the roles played in each SSC project are located in their policies, strategies, planning activities, and general positioning.

Figure 3-7 Organizations Involved in the SSC Implementation



c. Effects

The effects of the JICA SSC support activities are considered to be structured along the following three different levels of capacity development of concerned persons or institutions: (1) the individuals participating in training or individuals receiving technical transfer from an expert (individual level); (2) organizations dispatching training participants or organizations hosting experts (organizational level); and (3) beyond organizations (national and societal level). This study analyzes which particular levels of the effects of said SSC projects are found, as well as the specific factors in question. The criteria under consideration are treated in Table 3-14.

d. Promoting and Impeding Factors for Effects and Future Issues

The promoting and impeding factors that are deemed to exert an influence on the SSC project outcomes were clarified. Based on those factors found, the issues pertaining to SSC promotion were extracted by region for a more effective and efficient application of JICA SSC support activities in the near future.

2) Questionnaire Survey

For complementing the results obtained from the case studies and understanding the overall trend in a more balanced way, the following questions were studied through the questionnaire survey. The survey targeted JICA offices and ACICs in implementing and recipient countries.

a. SSC positioning and strategy
b. Collection and utilization of information of SSC results
c. Involvement in planning and implementation of TCTPG
d. SSC follow-up and outcomes understanding

The analysis aimed at defining common features and differ-

Table 3-14 Outcome Classification

Contribution and Effect Levels	Contribution and Effect Contents
Individual	Improvement of technical or other specialized knowledge of individuals by receiving training programs or the guidance of experts
Organization	Changes in organizations, such as recipient bodies, implementing bodies, and agencies in charge of international cooperation (ACICs), directly related to SSC support projects. These changes, based on contributions and effects obtained at the individual level, include improvement of knowledge and skills in the organization and transformation of organizational structure and systems.
National and society	Changes brought by contributions and effects obtained at the organizational level and expanded outside of the organization in question directly involved. These changes include those found in country policy, strategy, and system, as well as people's beliefs and culture.

ences pertaining to current situations, outcomes and issues through a comparison approach between implementing countries and recipient countries as well as among regions, extracting and examining a constant trend and its factors.

3 Evaluation Results

(1) Case Study

1) Asia (Recipient Country: Thailand; Implementing Countries: Cambodia and Laos)

a. SSC Project Positioning and Involvement Degree of Concerned Organizations

Based on the results of the questionnaire survey, it became clear that the positioning of and relationship with the support activities for SSC vary for the TCTPG and the contract-based TCTP.

In TCTPG, the implementing organizations utilize their technology and experience to support TCTPG with the assistance of the JICA office of the implementing country and the responsible agencies in the implementing country. In many cases, Japan regards TCTPG as a means to expand the outcomes of Japanese technical assistance to the neighboring countries while the responsible agencies in the implementing country regard it as part of the national aid policy. The implementing organizations take the projects as opportunities for internationalization and for promoting overseas business. Since TCTPG is conducted at the request of the implementing country to Japan, it tends to be conducted in the assistance frameworks of Japan and the implementing country. Therefore, the recipient organizations tend to respond in a passive manner, and cases were found where organizational strategies, such as how to utilize the training opportunities in the future, are not clear. Also, from the perspective of the national-level strategies of how to expand the outcomes of the SSC activities, the involvement of the responsible organizations and JICA office in the recipient country tends to be insufficient.

On the other hand, contract-based TCTP, which is conducted as part of technical cooperation projects at the request of the recipient countries, is characteristically a cooperation activity initiated by the recipient countries. In this form of assistance, JICA offices of the recipient countries are greatly involved in concluding contracts with the implementing organizations of the implementing countries. Therefore, while flexible application of SSC corresponding to the needs of the recipient countries is possible, the involvement of the agencies charged in the international cooperation in the implementing countries tends to be limited.

In the case of TCED, conducted as part of the technical cooperation projects at the request of the recipient countries, it is similar to the above-mentioned contract-based program and can offer support corresponding to the needs with the involvement of concerned organizations in the recipient countries.

In order to balance the involvement of concerned organizations of both sides in the SSC support that characteristically involves many parties, the JICA-ASEAN Regional Cooperation Meeting (JARCOM) was established in Asia. JARCOM is expected to reflect the development need of participating countries to the cooperation activities by offering an opportunity for all concerned organizations and JICA in implementing and recipient countries to meet and discuss the project formulation process and can be regarded as a mechanism to formulate more effective SSC projects through careful matching of the resources of implementing countries with the needs of recipient countries. Through JARCOM, the involvement of recipient organizations of SSC, which was limited in the TCTPG, has increased.

b. Effects of Support for SSC

The training implementing organizations targeted in the study independently make efforts to enhance the training curriculum and improve textbooks, etc., and have sufficient skills as the cooperation implementing organization. These organizations take TCTP as opportunities for development, such as internationalization. However, many training courses merely transfer general knowledge to training participants instead of being operated for the purpose of solving issues specific to the recipient countries. The implementing organizations did not consider the enhancement of organizational capacity and knowledge through the follow-ups provided in the recipient countries as their responsibility.

Under such situations on the implementing side, especially in TCTPG where strategic involvement of concerned organizations in recipient countries is limited in the dispatch of training participants, the effects of training were largely limited to individual levels. In other words, the dispatching organizations of training participants are not able to conduct tactical selection and the dispatch of training participants when implementing organizations recruit them. In some cases, they did not even consider the training opportunities to enhance organizational capacity in the first place, so the expansion of effects beyond the individual was limited.

On the other hand, in contract-based TCTP where the

involvement is spontaneous and there is a clear vision on the part of concerned organizations on the recipient side in training participation, there are many cases where the effects of training appear at the organizational levels. Reasons for such advantages are that the training implementing organization can easily recognize the specific issues and needs of recipient countries, and that pre- and post-training support can be provided through the technical cooperation projects, implemented in the recipient countries.

TCED, when it is positioned as part of the technical cooperation projects in recipient countries, was as highly effective as contract-based TCTP. For TCED, it was pointed out to be important whether or not there was organizational support from the dispatch agencies.

Thus, purpose and degree of involvement vary, especially in recipient countries in Asia for different forms of assistance, and therefore the effects appear differently depend0ing on how much recognition of the cooperation effects is shared

JARCOM is expected to facilitate between implementing and recipient organizations for concept sharing, however because it was established only recently, the evaluation of specific effects could not be conducted.

c. Promoting and Impeding Factors for Effects and Future Issues

Promoting Factors

First, one of the factors that promote the effects of SSC in Asia is the existence of implementing organizations as the leading education organizations. The implementing organizations studied are high-level educational institutes and training institutes. Those organizations, place themselves as the leading educational institutes in their respective disciplines in the countries and have sufficient levels of technology to independently implement SSC. The secound promoting factor is clear understanding of outcomes at recipient organizations. Clear purposes and the spontaneous involvement of recipient organizations in dispatching training participants determine whether or not the effects will reach beyond the individual level. Achievement tends to be attained when implementing organizations appropriately understood the objectives of recipient organizations. The reasons are considered to be that consideration is given by implementing organizations in the training contents to reflect the objectives and needs of recipient countries, as in the cases of contract-based TCTP. Therefore, communication between implementing and recipient organizations is also a factor to facilitate effects. In the case of TCED, clear strategic positioning of SSC in the implementing organizations as the expert dispatch agencies and providing organizational support became important factors in implementing effective cooperation. Lastly, the common or similar language constitutes one of the important elements of realizing the outcomes. When SSC is provided as contract-based TCTP or through TCED, if a common or similar language was used between implementing and recipient countries, efficient and effective supports can be provided not only in training but also in producing the texts. This promoting factor was especially apparent in the cooperation between Thailand and Laos in Asia.

Impeding Factors

Many of the impeding factors were found in those related to the implementation of TCTPG in Asia. First, as the TCTPG is usually promoted in the framework of implementing countries, the recipient organizations tend to be passive, thus it is difficult to send training participants in a strategic and planned manner. Also, in many cases, concerned organizations in recipient countries, including JICA office and ACIC, did not clearly position the existing training as a tool to resolve the development issues at the national level, which limited the realization of outcomes. Such ambiguous positioning of support for SSC showed that the JICA office of the recipient country rarely obtains and accumulates information about which counterpart organizations dispatched what kind of staff and to what TCTPG. Furthermore, different from contract-based TCTP, TCTPG faces a lack of communication between implementing and training organizations. Training participants were basically selected through diplomatic channels so that the degree of freedom that the training implementing organizations enjoyed was greatly limited. Such a communication gap was an impeding factor for sharing objectives between the concerned organizations at many stages of cooperation, including the selection of appropriate training participants.

The need for establishing an equal partnership with JICA is also pointed out as an issue by ACICs. For example, Japan and Thailand concluded the Partnership Program (PP)*, under which both countries implement support for SSC to other developing countries. However, in reality, its actual modalities do not necessarily reflect the direction that Thailand hopes for, as observed in the facts that an official request for joint projects should be submitted by the Thai side, and the Japanese intention is strongly reflected in TCTPG.

2) Latin America (Implementing Countries: Chile and Mexico; Recipient Country: El Salvador)

a. Positioning of SSC at Concerned Organizations

In Latin America, where the countries share common languages and cultural backgrounds, and where regional cooperation and economic integration is advancing, there is a movement to develop cooperation for resolving issues common to the region. SSC has been noted as a means to promote such a development in the region and the motivation for the SSC is quite high. On the Japanese side, support for SSC in the region has been also actively promoted with the view that it is very important for realizing the effective and efficient utilization of aid resources.

Under such conditions, not only TCTPG and contract-based TCTP, but also TCED, each concerned organization of the recip-

* Framework for a developing country that became a donor country and Japan to implement assistance to other neighboring developing countries jointly, including cost sharing, as equal partners

ient countries (JICA office, ACICs, and recipient organizations) positions them in line with its own strategies and is proactively involved in them with clear objectives. However, in TCTPG, the involvement of the implementing side tends to be comparatively strong, as is the case in Asia.

In Chile, the implementing country studied, cooperation focusing on capacity development as emerging donor countries (assistance for developing countries to become donors) is implemented as a technical cooperation project. In line with this framework, the new cooperation schemes of SSC, such as mini-projects and broad regional seminars were conducted. In SSC as part of the support for the country to become a donor, not only the ACICs and implementing organizations of implementing countries who are naturally proactively involved in the projects, but also the main players of the assistance excluding ACICs of recipient countries were proactively involved, especially in the case of mini-projects where most related parties were involved in the implementation of projects as compared with the other SSC support schemes.

b. Effects of Support for SSC

In Latin America, recipient organizations dispatching training participants were proactively involved in TCTPG as well as in other programs. They select trainees based on the individual action plans, in a specific training program, selected the training participants, and obligated the training participants to submit the reports after returning, thus regularly feeding back the knowledge and techniques acquired through training to the organizations. Although it is not easy to evaluate the degree of contribution of each training to the capacity development of organizations concerned, in assuming that a series of systems work well, it can be concluded that participation in training could contribute to the effects at the organizational level beyond the individual level.

In some cases of contract-based TCTP and TCED, the programs not only contributed to the enhancement of organizational knowledge but also to the improvement of working effectiveness to solve issues specific to recipient countries such as the construction and improvement of a laboratory utilizing the training contents acquired. In this assistance scheme, effects reached beyond the organizational level, a situation that was similar to the cases in Asia.

In the mini-projects positioned to help the ex-recipient country become a donor, enhancement of operational and management skills in aid projects of the ACICs in implementing countries was observed in planning and monitor evaluations of the projects. In addition to the effect of capacity development as a donor that appears on the implementing country side, cases were observed where specific outcomes for the solution of issues were found, for example, in a dairy farm subject to the mini-project, which received the technical transfer, improvement in such aspects as milk production and animal hygiene was clearly observed.

c. Promoting and Impeding Factors for Effects

■ Promoting Factors

The sharing of language, culture, social backgrounds, and geographical conditions was an important promoting factor observed in Latin America. In particular, many similar opinions said that being able to communicate with one another in a common language contributed to effective and efficient technical transfer and follow-up. In Latin America, in the course of economic integration like the MERCOSUR, issues related to the enhancement of economic levels of low- to medium income countries are being tackled. In the movement for regional integration, SSC is widely recognized as a means for resolving regional issues. This is demonstrated in many SSC projects incorporating regional specific issues where expansion of outcomes was observed at the regional level. The clear objectives of implementation of SSC led to the establishment of systems for promoting SSC in the region as a whole, such as regular annual seminars. In the seminars, implementing countries make efforts to understand the needs of recipient countries so that needs and resources were relatively well matched. Most implementing organizations have high qualities for capacity of organizational management, technology, and knowledge, and have a technical level high enough to provide a prescription suitable to the development level of the recipient countries as they implement many technical cooperation projects, apart from support for SSC, held in the country as well as within the region. Recipient organizations also make efforts to expand cooperation effects to the organizational level beyond the individual level, such as the case where they decide on the dispatch of training participants in light of organizational policies and establish a feedback system from individuals to organizations.

■ Impeding Factors

All supporting projects for SSC and their implementing organizations studied here attained certain achievements, and no factors impeding the outcomes were found. However, in the form of assistance for developing countries to become donors that need to pursue two objectives, namely, the capacity developments of both implementing and recipient countries, issues for consideration are indicated as being the difference in acknowledgement regarding the positioning of support projects for SSC and the cost sharing for the implementation of SSC projects among implementing organizations.

3) Africa (Implementing Country: Kenya; Recipient Country: Uganda)

a. Positioning of SSC at Concerned Organizations

In Africa, where development is relatively delayed to this day aid and financial resources are limited even in implementing countries, and the past acceptance of aid tends to determine technical superiority in the region. Therefore, SSC in this region features a horizontal relationship where each implementing organization carries out various projects utilizing its superiority in a specific area, as opposed to a perpendicular relationship in which a relatively developed implementing country conducts projects for recipient countries. For example, Uganda, which was subject to

this study, was not only the recipient country of SSC but also the implementing country providing SSC to its neighboring countries with assistance from several donors, including JICA. Therefore, donors tend to initiate SSC and the strategic involvement of organizations in implementing and recipient countries at the national level was limited.

Under such situations, many TCTPG were conducted as part of the activities of respective technical cooperation projects that JICA promoted in implementing countries. Therefore, concerned organizations in implementing countries, including JICA offices, tended to acknowledge TCTPG as a means for inputting projects, and in that sense the positioning of SSC was clear. On the other hand, although recipient organizations take training opportunities as a means for human resources development, their involvement in project formulation was not intense and limited to the application to training in a passive manner. The strategic involvement of concerned organizations, including JICA offices, in recipient countries is generally limited and understanding of aid acceptance status was insufficient. However, in some of those recipient countries of TCTPG where technical cooperation projects in similar areas were implemented with a similar time frame, the recipient organizations clearly positioned the program as a means to achieve the specific objectives of the projects.

Only limited cases of contract-based TCTP and Third-country Experts were studied here, but technical cooperation projects were implemented in recipient countries in each case. Therefore, recipient organizations were also actively involved in the program to reflect their needs on the SSC contents to achieve the objectives.

b. Effects of Support for SSC

In TCTPG, it was confirmed that most participants fully understood the training contents, and effects at the individual level were evident, such as the fact that new knowledge and technology was acquired. However, the impacts at the organizational level vary by case. In the recipient organizations, where a systematic utilization of training outcomes was not fully acknowledged and a system to share the outcomes in the organization was not established, the utilization of training outcomes did not spread beyond the individual levels. On the other hand, some cases where the outcomes reached the organizational levels were observed in which the recipient organizations utilized the outcomes of TCTPG so as to expand their organizational activity realm after returning from the training and formed a specific plan to solve the issues pertaining to their countries. Such expansion of outcomes beyond the individual level was evident when another JICA project in a similar area was implemented in recipient organizations or in the case of JICA projects not being implemented, when an organizational system was established.

Training participants from neighboring countries in a third-country training program held in Kenya

What was seen clearly in Africa was that the implementing organizations of TCTPG were aware of the effects at the organizational level. In an implementing institute with limited opportunities to conduct training courses, third-country training provides a golden opportunity for enhancing their own capacity of training implementation. In addition, several implementing organizations said that by absorbing various cases and experiences through discussions with training participants from several African countries, the capacity development of individual lectures was achieved. As effects observed at the organizational level, there is the enhanced distinction of implementing organizations and increased orders of other training activities.

Although only limited cases were studied, the effects were expected to reach the organizational level in the countries where technical cooperation projects are implemented

c. Promoting and Impeding Factors for Effects

Promoting Factors

As with the cases of Latin America, some aspects in common, such as language, culture, environment, and history, contribute to the achievement of training outcomes. Especially in sub-Saharan Africa, the countries have much in common in terms of the culture, history, and natural conditions thus the same background is shared between training participants and lecturers. It was confirmed that these conditions helped spread the experience actively and effectively among the trainees and lecturers. Ex-ante needs survey in recipient countries, the evaluation by training participants, the follow-up survey after training, and then the reflection of results on the training contents all contributed to the better understanding of participants and the utilization in the recipient organizations. In addition, similar to the cases involving contract-based TCTP when technical cooperation projects are in progress, the sense of ownership was raised, especially in the recipient organizations, for cooperation by bearing part of the project costs. In this case, the more active involvement of recipient organizations was attained in reflecting their needs at the time of project formulation and activities to achieve their objectives at the time of project implementation. Furthermore, the advantages of the contract-based TCTP, holding a short timeframe from formulation to implementation, also contributed to the facilitation of project process. Lastly, in the case that the recipient organizations transmit and promote the knowledge and technology obtained by SSC to the outside, the recipient side tends to have a system for such work and thus the effects of support for SSC tended to be disseminated beyond the individual level.

■ Impeding Factors

When the facilities/equipment used by implementing and recipient organizations are different, the technology and knowledge learned at the training could not be utilized, which impeded the full realization of effects. Special attention needs to be paid when the implementing organizations of training are superior to other organizations in terms of facilities/equipment. Also, as a fundamental fact, when the training contents do not meet the needs of recipient countries, it is hard for the training outcomes to generate the effects at the society and organizational levels. Insufficient understanding of the needs of a recipient country, no feedback of training participants in course evaluations, and inflexibility to the needs of participants limited the outcomes of cooperation.

(2) Questionnaire Survey

This survey was conducted with JICA offices and the ACICs in recipient countries, as well as with implementing countries.

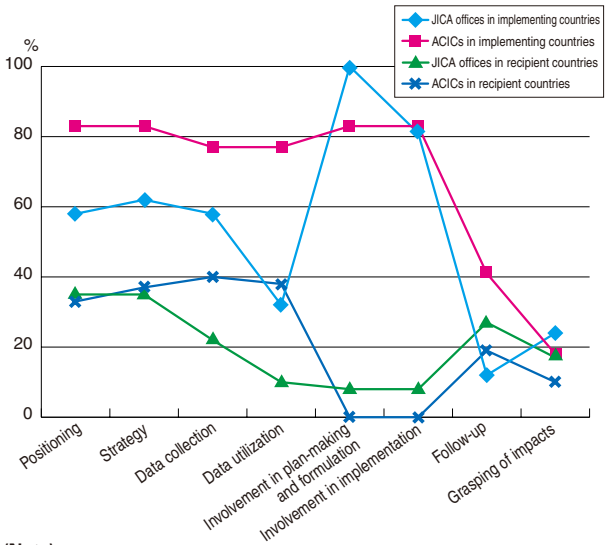
1) SSC Positioning and Strategy

SSC policies were evaluated based on the following judgment criteria: the inclusion of support for SSC activities in JICA's Country Program and the existence of concrete development plans for the ACICs. In addition, based on the criteria for both JICA offices and the ACICs, the existence of a concrete strategy to commit to SSC and SSC strategies were evaluated.

As a result, it was observed that SSC implementing parties generally recognize SSC as a means of providing development assistance. Many JICA offices hold SSC as a strategically "effective aid scheme to spread transferred technologies to neighboring countries" (Figure 3-8).

In contrast many JICA offices in recipient countries do not recognize SSC as a measure of input in planning their activities.

Figure 3-8 Ratio by Item for Each Type of Studied Bodies



(Note)
Axis of ordinates: ratio in the total number of JICA offices or the ACICs which have replied.
Axis of abscissas: study item

Some offices responded that SSC has no clear status in their Country Programs. Others pointed out that they are nowhere near the point of planning a strategy for SSC as they have only become aware of allocation in group training when they receive an application form for the training. Many of the ACICs in recipient countries positioned SSC, especially TCTPG, as a means of developing human resources in their own country in the form of "updating the knowledge and technical skills of staff members," an idea that is not usually clearly recognized as part of development plans.

2) Collection and Utilization of Information of SSC Results

In this section, whether or not individual bodies properly understand the actual situation of SSC was clarified. In general, a strong interest in cooperation activities leads to the active gathering and accumulation of information and its objective-oriented utilization.

The survey revealed that the JICA offices and ACICs in implementing countries are eager to gather information as implementation bodies of aid activities. On the other hand, the offices in recipient countries seldom gather information. The reason for their inability is the difficulty to access and obtain information as referred to in typical statements such as "we are not involved in the procedure relating to the dispatch of training participants to TCTPG after the encouragement of application" and "information on the names and number of training participants actually participating in courses is not forwarded by the liaison office in some cases" (Figure 3-8).

As for the utilization of information by JICA offices, the purpose is often to use the compiled information as material in policy talks and at other meetings with the government of the recipient country. The ACICs in recipient countries utilize information for the purpose of "reporting to personnel authorities" or "reporting at a related meeting/conference" and the number of cases where information is gathered in conjunction with development efforts was small.

3) Involvement in Planning and Implementation of TCTPG

Although most JICA offices and the ACICs in implementing countries are involved in the planning and formulation of TCTPG, only a very limited number of JICA offices and the ACICs in recipient countries were involved. The same tendency was observed in the implementation of TCTPG (from Figure 3-9 to Figure 3-12).

The background of these results shows that TCTPG starts with the involvement of the JICA office in the country where this training takes place. There are some cases where JICA offices in implementing countries actively planned the projects using the project formulation study scheme and other relevant schemes. There are also cases where the liaison office in an implementing country jointly plans projects with JICA as part of the country development policy. In Africa, it is pointed out that support by Japanese counterparts (experts and JICA office) is required for the

commencement of a new project.

In contrast, JICA offices and the ACICs in recipient countries are not very much involved in either the planning or implementation of TCTPG. As mentioned above, the general situation of JICA offices is that "they currently become aware of allocation to a training course when sent the application requirements," thus illustrating the inevitable passive stance of recipient countries.

4) SSC Follow-up and Outcomes Understanding

For both JICA offices and the ACICs in implementing countries, as well as for the recipient countries, the involvement in follow-up activities for SSC is low. Understanding of the outcomes of SSC is also low (Figure 3-8).

As an example of follow-up, some of the JICA offices in implementing countries dispatch a study team to recipient countries and conduct a fact-finding study on ex-trainees. However, the existing follow-up activities remain at the level of individual persons. No follow-up activity is reported, even the capacity building of an organization receiving an expert and/or training. In the recipient countries, follow-up activities include submission of reports and interviews. Many ACICs simply replied that no special follow-up activities are conducted. In regard to understanding of the outcomes, related parties refer to joint evaluation with the JICA office as an opportunity to understand the outcomes.

5) Regional Characteristics

The questionnaire survey revealed that SSC, especially TCTPG, is principally an implementing country-oriented activity. As a general trend, there is a huge gap in the degree of commitment between implementing and recipient countries. At the same

Figure 3-9 Ratio by Item for JICA Offices in Implementing Countries by Region

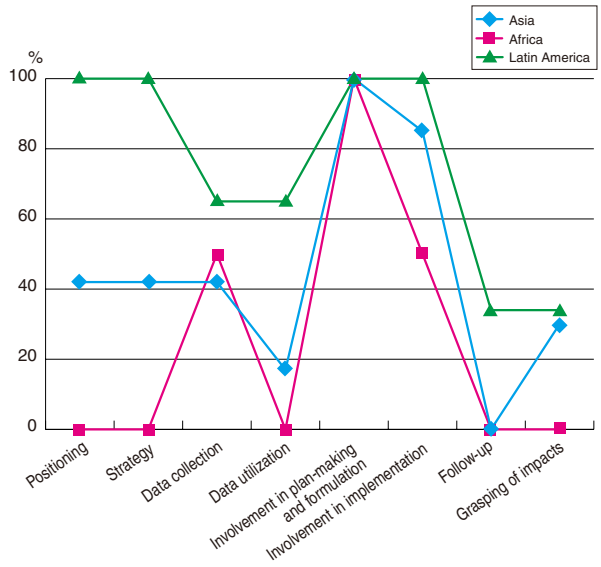


Figure 3-10 Ratio by Item for ACICs in Implementing Countries by Region

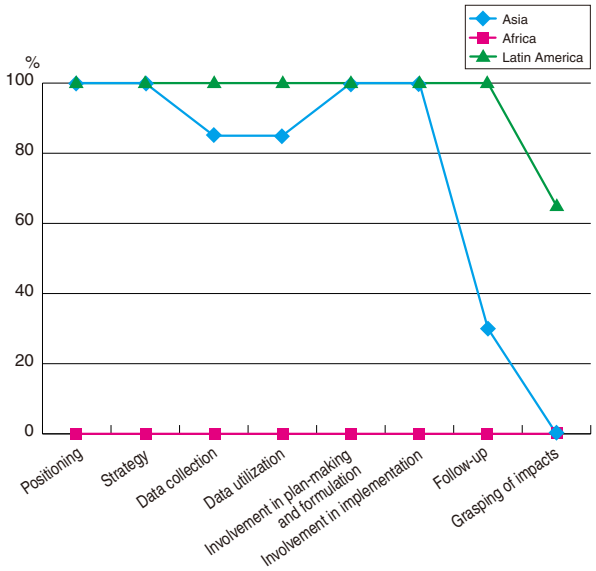


Figure 3-11 Ratio by Item for JICA Offices in Recipient Countries by Region

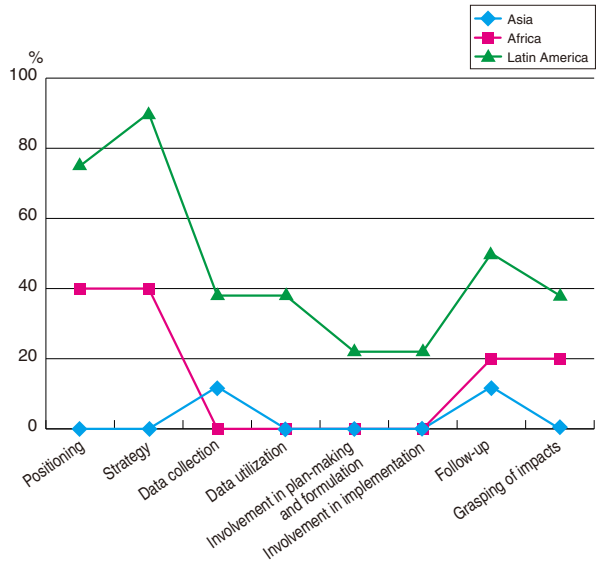
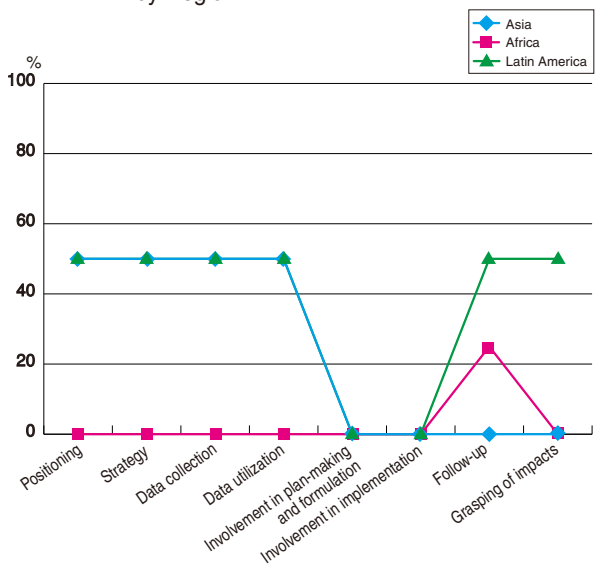


Figure 3-12 Ratio by Item for ACICs in Recipient Countries by Region



time, regional characteristics were observed as follows.

In Asia, where many TCTPGs are implemented, SSC is basically implemented within the framework set by the implementing country. The involvement of the recipient country is small and the general level of awareness of SSC as a means of development is low. In Latin America, where Japanese assistance input cannot be expected as much as in Asia, both the implementing countries and recipient countries have a high level of awareness of SSC and appear to maintain sufficient communication. Recipient countries in this region, especially, positioned SSC as a means of development. In Africa, the actual situation of SSC is that it is implemented within JICA's aid framework rather than that of the implementing countries. The involvement of the ACICs in both implementing and recipient countries is small in this region (Figure 3-9 to Figure 3-12).

(3) Conclusions

Based on the results of the case study analysis and questionnaire survey mentioned above, the current status of SSC (types of activities, positioning, and effects) and the promoting and impeding factors affecting the realization of outcomes are summarized by region in Table 3-15 and Table 3-16, respectively.

4 Recommendations

The recommendations drawn from the analysis can be summarized as follows.

(1) Relationship with Recipient Countries

As for the relationship with recipient countries, JICA needs to enhance the support for SSC based on recipient countries.

Since the recipient countries are the ones that aim to attain the outcomes of cooperation in the end, formulation and implementation of projects that reflect the needs of the recipient countries and their actual situations need to be promoted. Clear identification of those needs and actual situations (as project and program input factors for the purpose of solving issues of recipient countries) in the development strategies of the recipient countries at the time of project formulation is required. Flexible and timely responses to the needs of the recipient countries in project operation are also required.

Especially with regards to TCTPG, it is important to shift the conventional project formulation and implementation that focused on implementing countries to ones that focus more on recipient countries so that training contents appropriately reflect the needs of them and the training participant dispatch organizations can systematically and organizationally utilize the training opportunities.

Table 3-15 Current Implementation Status of SSC by Region (Types of Support Activities, Positioning and Effects)

	Types of Support Activities	Positioning	Effects
Asia	1. TCTPG 2. Contract-based TCTP 3. TCED 4. JARCOM	1. While positioning in the concerned organizations of implementing countries is clear, positioning in the concerned organizations of recipient countries is unclear. 2. Although positioning in recipient countries is clear, involvement of the ACICs in particular in implementing countries is small. 3. Positioning in the recipient countries is clear. 4. Positioning in the concerned organizations of both implementing and recipient countries is clear.	1. Effects are limited at the organizational level as they do not expand beyond the acquiring of knowledge and techniques at the individual level in recipient organizations. 2. Effects reached the organizational level beyond the individual level in recipient organizations. 3. Same as above. 4. Effects are greatly expected.
Latin America	1. TCTPG 2. Contract-based TCTP 3. TCED 4. Mini-projects and broad regional seminars as part of support for developing countries to become donors	1. Involvement of implementing countries is relatively large and positioning in the concerned organizations in recipient countries is clear. 2. Positioning in the recipient countries is clear. 3. Same as above. 4. All concerned organizations excluding the ACICs in the recipient countries are proactively involved under a clear positioning of the projects.	1. Effects beyond the individual level in the recipient organizations (such as organizational knowledge improvement) were observed. 2. In some cases, effects reached not only the organizational level in the recipient organizations but also the societal level. 3. Same as above. 4. In addition to the effects at the societal level in the recipient countries, organizational capabilities of ACICs in the implementing countries were enhanced.
Africa	1. TCTPG (mainly implemented at the same time with the technical cooperation projects for the implementing organizations) 2. Contract-based TCTP 3. TCED	1. Clear positioning in the concerned organizations in the implementing countries (especially the aspect of JICA-initiated projects is strong.) Positioning of concerned organizations in the recipient countries is generally weak except for the cases where related projects are implemented. 2. Positioning in the recipient countries is clear. 3. Same as above.	1. Capability was enhanced at the individual level in the recipient organizations but the effects at the organizational level only became evident when the projects were clearly positioned. In the implementing organizations, the projects as part of the technical cooperation projects contributed to the enhancement of capabilities at the organizational level. 2. Effects at the organizational level are anticipated. 3. Same as above.

Table 3-16 Promoting and Impeding Factors by Region

	Promoting Factors	Impeding Factors
Asia	• Implementing organizations which function as leading educational institution • Recipient organizations clearly recognizing the effects of SSC • Smooth communication between the implementing and the recipient organizations • Strategic positioning of SSC in the implementing organizations (TCED) • Common language among the implementing and the recipient countries	• Difficulty in planned and organizational dispatch of TCTPG training participants by the recipient organizations • Unclear positioning of the projects at the national level in the recipient countries • Communication gap between the implementing and the recipient organizations • Lack of equal partnership between the implementing countries and Japan
Latin America	• Similarities in language, culture, social background and environment between the implementing and the recipient countries • Clear positioning of SSC at the regional level • Matched needs of recipient countries and resources of the implementing countries • Implementing organizations of high quality in organizational management and technologies • Clear organizational strategies in the recipient organizations and establishment of a system to expand the outcomes	• No special notes
Africa	• Similarities in language, culture, social background and environment between the implementing and the recipient countries • Understanding the needs of training participants in the implementing organizations and activities to reflect the needs on the training contents • Cost sharing by recipient organizations • Implementation of related projects in the recipient organizations	• Gap of facilities/equipment used in the implementing organizations and the recipient organizations • Inappropriate cooperation contents that do not reflect the needs of the recipient countries

In order to promote the outcomes in the recipient countries, a system should be established so as to provide continuous support after the completion of the cooperation (follow-up) as necessary.

(2) Relationship with Implementing Countries

With implementing countries, JICA is required to enhance the partnerships with concerned organizations.

Considering the fact that these implementing countries are expected to become emerging donors, especially when promoting SSC jointly with these countries, it is necessary to fully discuss aid policies (priority cooperation fields, etc.) with ACICs and promote SSC as joint projects with regard to cooperation fields and policies that are found to be consistent with those of Japan. The cases of SSC projects that are jointly promoted by Japan and implementing countries need to be based on a more equal partnership.

Implementing organizations that have established leading roles in their fields can provide effective resources for SSC. For the expansion of the SSC resources, it is necessary to promote collection and sharing of information that enhances the network regarding these resources which are not only those that accepted Japanese aid in the past but also other high-quality implementing organizations.

(3) Involvement of the Relationships between Implementing and Recipient Countries

Considering the above, it is important for JICA to establish a mechanism and system to encourage the information exchange among concerned organizations so that the needs of recipient countries are matched well with the adequate resources of implementing countries. At the formulation and implementation of individual SSC projects, JICA needs to encourage communication between recipient and implementing organizations and secure smooth information sharing and coordination among concerned parties at each stage (e.g. needs study, establishment of training objectives, selection of training participants, selection of training contents, monitoring and evaluation, and follow-up).

JICA is required to promote the accumulation and sharing of various information further related to the implementation of support for SSC (e.g. actual results of SSC projects, lists of participants to TCTP, cooperation outcomes, needs, and resources) and establish a more stable system for continuous improvement of SSC.

Part 4

Secondary Evaluation by the Advisory Committee on Evaluation

Secondary Evaluation by the Advisory Committee on Evaluation

Masafumi Kuroki
Vice-President
Chairperson of JICA Evaluation Study Committee

JICA established the Advisory Committee on Evaluation in fiscal 2002 and since then has committed itself to enhancing the evaluation system and improving projects using evaluation results while receiving advice from the Committee. As part of that effort and in order to increase transparency and objectively in evaluation results, the Advisory Committee on Evaluation has evaluated terminal evaluations conducted by JICA (secondary evaluation), the results of which have been published in the Annual Evaluation Report since fiscal 2003. This fiscal year, as well, with the help of the Japan Evaluation Society, the Advisory Committee on Evaluation set up a working group consisting of third-party experts in evaluation to conduct secondary evaluations. The results of the secondary evaluations are presented the following pages.

This year's secondary evaluation first examined the quality of terminal evaluations (primary evaluation) conducted by JICA in fiscal 2004 and 2005. Also, based on the information contained in the terminal evaluation reports, individual projects were evaluated by the working group. In addition, as a new attempt, field studies in relation to seven projects, which were selected based on the results of the past secondary evaluations, were carried out by some members of the Advisory Committee on Evaluation.

In terms of quality of primary evaluation, the result of the secondary evaluation shows that eight out of nine evaluation criteria received more than three points on a scale of five and quality improvement was observed when comparing the secondary evaluation results of fiscal 2004 and 2005 with 2003. Nonetheless, areas that JICA needs to improve were pointed out: for example, the evaluation team composition and the participation of partner countries in evaluation were not sufficiently described in the reports; more figures and tables should be used for a convincing analysis; and measures for improving the quality of evaluation by overseas offices are required.

With respect to the quality of projects themselves, the average scores for all the five evaluation criteria reached three on a scale of five and the projects in fiscal 2004 and 2005 were graded higher than those in fiscal 2003. In order to improve the quality of future projects, it was recommended that assessment from "suitability as a means" in the evaluation criteria of "relevance" is required and the viewpoint of "cost-effectiveness" in the evaluation criteria of "efficiency" should be enhanced.

As a result of the field studies conducted by some members of the Advisory Committee on Evaluation, the method of secondary evaluation was basically confirmed to be appropriate and effective. At the same time, improvements in the description of contents and methods of terminal evaluation reports and review of the contents of the checklist used for secondary evaluation were recommended in order to further increase effectiveness of secondary evaluation.

Considering the secondary evaluation results examined from the viewpoints of the third party, JICA will take further steps to implement more effective and efficient projects and improve project evaluation. In particular, emphasis will be placed on improving the evaluation capacity of overseas offices. Also, JICA will strive to develop evaluation methods in relation to cost-effectiveness.

Last but not least, I would like to express my sincere gratitude to every member of the Advisory Committee on Evaluation and its working group for offering valuable comments and recommendations. The members carefully examined 45 terminal evaluation reports (60 reports if the previous years are included) from various aspects and exercised their ingenuity in conducting secondary evaluation.

Chapter 1 Results of Secondary Evaluation Fiscal 2006

Advisory Committee on Evaluation/
Secondary Evaluation Working Group

1-1 Objectives, Targets, Methods of Evaluation

(1) Objectives

Who should evaluate ODA projects? There might be a number of potential evaluators. If evaluations are performed by stakeholders, it is expected that detailed evaluation in light of circumstances are possible since the evaluators have profound knowledge of the project and region and fully understand the activities and various situations. Also, feedback will more likely fully function, leading to improvements in the project. On the other hand, it could result in lenient evaluations since they may make too much allowance for circumstances, which gives rise to problems in transparency and neutrality. Due partly to the nature of its operation, JICA manages a number of relatively small-scale projects, and for the terminal evaluation alone, the number is around 50 every year. Therefore, JICA, in reality, can not but conduct the internal evaluation; or if not that, it has to seek the assistance of outside stakeholders, such as the supporting committee members, to conduct the evaluation.

Accordingly, as a means of overcoming the expected disadvantages while taking advantage of internal evaluation, objectivity and neutrality can be achieved by conducting internal evaluation thoroughly in compliance with the guidelines and through secondary evaluation by external experts on the results of the internal evaluation. This secondary evaluation does not aim to re-evaluate individual projects but to grasp the general trend of the quality of terminal evaluations and suggest ways for improvement.

The Plan-Do-Check-Act (PDCA) cycle is an effective tool to improve projects constantly. Evaluation corresponds to the Check part of this cycle. If the concept is applied to the process of evaluation, the PDCA cycle of evaluation will be referred to as planning of evaluation, implementation of evaluation, evaluation of evaluations, and improvement of evaluation. In order to diminish the bias of evaluation, it is important to incorporate the views of external examiners; however, in reality, they do not necessarily have to evaluate every single project. At the least, a certain level of transparency and objectivity can be secured if the external examiners' view is incorporated into the Check part of the PDCA cycle.

Evaluation is a series of processes that includes collecting information, conducting analysis, drawing out recommendations/lessons, and compiling reports based on an evaluation framework.

In order to ensure reliability of primary evaluation such as terminal evaluation of projects as in previous years and facilitate the disclosure of easy-to-understand evaluation results, the secondary evaluation in fiscal 2006 was performed with a focus on the following questions.

a. Evaluation of the quality of primary evaluation
   - Is the primary evaluation qualified enough?
   - Has the quality of primary evaluations improved year by year?
   - What tasks should be carried out to further upgrade the quality?

b. Evaluation of projects by secondary evaluators based on the reports (i.e. primary evaluation)
   - What is the result of secondary evaluation of the project?
   - Have the evaluation results of projects improved year by year?
   - What are the factors that influence the evaluation results of projects?

(2) Evaluators

There occurs a question about who conducts secondary evaluation. The principle of secondary evaluation refers to whether the evaluation results themselves are convincing, rather than whether they are correct or incorrect. There is no single answer to this question of how evaluation should be carried out, but the answer varies depending on the evaluator's background and the sense of value that affects the evaluation. If numerical targets are set for projects, it is easier to agree as to whether the project purposes have been achieved or not. It is still natural that there are gaps in opinions on the reasons for it and response measures. Even if a secondary evaluator has been provided, there is no guarantee that his/her secondary evaluation result is the utmost and foremost. It is quite probable that results are different when another evaluator conducts secondary evaluation. In such cases, it is safer and more practical to come up with a framework to allow opinions of several secondary evaluators with some level of ability, rather than finding one excellent evaluator.

JICA has established the Advisory Committee on Evaluation to solicit opinions on the nature of JICA evaluation and its results. However, due to the nature of the committee, the opinions there tend to be too general, making it difficult to conduct detailed secondary evaluation on each evaluation result. Thus, it is practical to set up a working group to perform secondary evaluation by taking time to scrutinize the results of the internal evaluation and discuss the outcomes at the meeting of higher committees.

It was fiscal 2003 when JICA launched the secondary evalu-

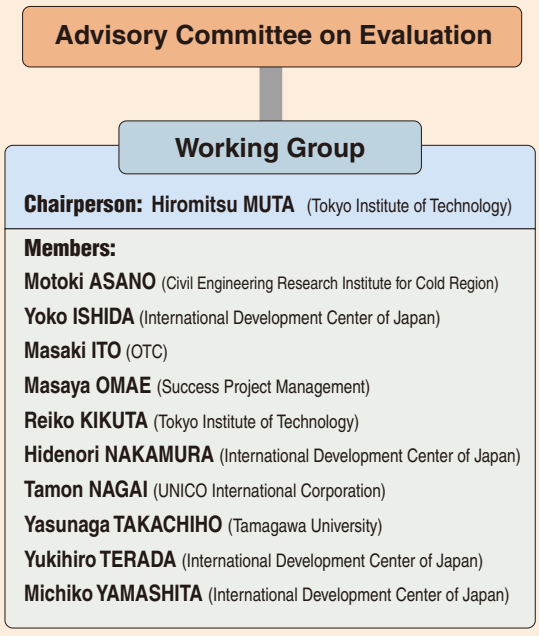
ation on the terminal evaluation by setting up the Working Group. Eight members of the Advisory Committee on Evaluation took charge of the secondary evaluation in fiscal 2003. In fiscal 2004, the Secondary Evaluation Working Group was formed under the Advisory Committee on Evaluation, consisting of six experts and eight JICA staff members (primarily evaluation chiefs of each department). The experts were selected on the basis of recommendations by the Japan Evaluation Society to guarantee the objectivity of the selection. The differences in evaluation tendency between experts and JICA staff were also observed, which leads to the conclusion that there is no significant difference in evaluation tendency between them.

As the development of methodology became complete enough for practical application, in fiscal 2004, the work of the secondary evaluation was subcontracted to the Japan Evaluation Society in fiscal 2005. In fiscal 2006 also, the work was subcontracted to the Japan Evaluation Society. The Society formed an evaluation team comprising 10 members. The members were recruited within the Society for transparency. The secondary evaluation system of fiscal 2006 is illustrated in Figure 4-1.

(3) Evaluation Targets

The secondary evaluation of this year targeted 28 terminal evaluations conducted in fiscal 2004 and 17 terminal evaluations in fiscal 2005. All of these 45 projects were subjects for study. Moreover, for the year-to-year comparison six evaluations in 2004 and nine evaluations in 2003, which had been subject to the previous secondary evaluation, were selected for the secondary evaluation in this year (Appendix 1).

Figure 4-1 Secondary Evaluation System



(4) Evaluation Design and Methods

If it is possible for all the study members to study all the evaluation reports, the mean scores for each evaluation criterion (evaluation viewpoint/criterion) will reflect the opinions of all the evaluators and the results will be free of bias. This is because the results would be biased unless the opinions of a certain number of evaluators are averaged, since each evaluator has different backgrounds and opinions. However, in reality, the workload placed on each evaluator is too enormous to carry out. For example, it takes two to three hours at least for an evaluator to read the report thoroughly and fill in the scores and comments on an evaluation sheet. Including those that had been taken over from the previous year, the number of reports can be more than 60 per year. It would be an excessive burden for the working team, even if it is not impossible.

Thus, in fiscal 2006, each evaluation report was read by four different evaluators. For example, a member of the evaluation working group shared all 60 reports, two shouldered 30 reports each, one member read 24 reports, and six members read 16 reports each. This scheme allows us to treat the judgment criteria of the one key member as the norm of the entire group and adjust the judgment criteria of the other evaluators. Although fairness is more likely with four evaluators rather than one, it is still unavoidable that the tendency of the specific evaluators could affect the results. Theoretically, the scores given by each evaluator can be divided into two parts: true score of the evaluation target (free of personal evaluation bias of the evaluator) and coefficient of evaluation tendency for each evaluator (strictness/leniency coefficient: error tendency of individual evaluator). Accordingly, as in previous years, a method of statistical analysis (analysis of variance) was employed in order to differentiate these two parts so that the evaluation tendency of evaluators was adjusted to obtain the unbiased estimate of evaluation scores that are free of personal evaluation tendency.

The comparative study was conducted year-by-year by sampling the series of the evaluation of a project over years. These projects that had been evaluated repeatedly can serve as so-called "seam allowance" for equating. Using the seam, it is possible to correlate link the secondary evaluation results of fiscal 2005 and 2006. True estimates of the evaluation scores were calculated for fiscal 2005 and fiscal 2006; however, the evaluation standard itself may be different. In order to see the distribution of evaluation scores, it is effective to match both the mean scores and variances for two years based on the seam by conversion. Specifically, the results of the secondary evaluation of fiscal 2005 should be converted in such a way so that the mean scores and variances for each fiscal year corresponded to each other. With the proper sampling for the seam, such a simple conversion is sufficient to make a comparison. In this way, evaluation data obtained individually can be processed and analyzed as a large pooled sample through the equating of disconnected evaluation information in various ways using the seam allowance.

(5) Structure of Evaluation Sheet

The secondary evaluation of terminal evaluation has two objectives. One is to evaluate the quality of terminal evaluation and the second is to check the quality of a project using the terminal evaluation.

Basically, in a secondary evaluation experts evaluate the evaluation results (reports) based on a set of evaluation viewpoints. Evaluation items listed in the evaluation sheet and the criteria were made based on the criteria for good evaluations in the Revised JICA Evaluation Guidelines (March 2004).

Improvements were made on the evaluation sheet for fiscal 2006 such as by adding evaluation items based on the evaluation results of fiscal 2005. For example, for the criterion of "evaluability," two viewpoints were set: "evaluability of project purpose" and "evaluability of overall goal." In response, in place of one viewpoint with regard to the assessment of performance, three viewpoints were added: "measurement of results (outputs)," "measurement of results (project purpose)," "measurement of results (overall goal)." Furthermore, since the criterion of "recommendations/ lessons learned" was rated low in the previous years, the criterion was divided into "recommendations" and "lessons learned" for clearer understanding of the issues and making the evaluation sheet easier to check. The five-point rating scale makes it possible for a year-to-year comparison with the results of fiscal 2005. Table 4-1 shows the changes in evaluation viewpoints from fiscal 2004 to 2006.

The evaluation viewpoints in fiscal 2006 are shown in Table 4-2 and Appendix 2. In the following section, analysis was made based on these evaluation viewpoints. Evaluation was made on the basis of the following five-point scale for rating both viewpoints and scoring.

5: Sufficient/high
4: Fairly sufficient/high
3: Average
2: Slightly insufficient/low
1: Insufficient/low

1-2 Quality of Terminal Evaluation Examined through Reports

(1) Overview of Evaluation Results

The secondary evaluation in the last fiscal year targeted a total of 45 terminal evaluations (28 evaluations in fiscal 2003 and 17 in fiscal 2004). This fiscal year, 45 terminal evaluations were assessed: 28 in fiscal 2004 and 17 in fiscal 2005, after the last evaluation. The average scores for individual evaluation criteria are shown in Figure 4-2. Among all the criteria, which are "evaluability," "evaluation framework," "data collection," "assessment of performance," "analysis method," "five evaluation criteria," "recommendations," "lessons learned," and "reporting," the scores are relatively high for the criteria of "data collection" for evaluation, "assessment of performance" in analyses, "five evaluation criteria" associated with appropriateness of analysis of DAC's five evaluation criteria, future "recommendations," and "lessons learned." However, the average scores for "evaluability" that asks whether an appropriate evaluation is possible, "analysis method," and "reporting" are slightly lower. The average score for "evaluation framework," which concerns the composition of the evaluation team and the degree of the partner country's participation in evaluation, failed to reach 3.0, whereas the average

Table 4-1 Comparison of Evaluation Viewpoints and Rating Scale between Fiscal 2004, 2005 and 2006

Fiscal Year	2004		2005		2006	
Evaluation Criteria	Viewpoints	Rating	Viewpoints	Rating	Viewpoints	Rating
Evaluability	4 (3-point scale)	10-point scale	4 (5-point scale)	5-point scale	6 (5-point scale)	5-point scale
Evaluation Framework	4 (3-point scale)	10-point scale	3 (5-point scale)	5-point scale	2 (5-point scale)	5-point scale
Data Collection	5 (3-point scale)	10-point scale	4 (5-point scale)	5-point scale	4 (5-point scale)	5-point scale
Assessment of Performance	4 (3-point scale)	10-point scale	4 (5-point scale)	5-point scale	6 (5-point scale)	5-point scale
Analysis Method	3 (3-point scale)	10-point scale	3 (5-point scale)	5-point scale	3 (5-point scale)	5-point scale
Evaluation (Result by DAC's Five Criteria)	7 (3-point scale)	10-point scale	6 (5-point scale)	5-point scale	6 (5-point scale)	5-point scale
Recommendations	4 (3-point scale)	10-point scale	3 (5-point scale)	5-point scale	3 (5-point scale)	5-point scale
Lessons Learned	4 (3-point scale)	10-point scale	3 (5-point scale)	5-point scale	3 (5-point scale)	5-point scale
Reporting	4 (3-point scale)	10-point scale	3 (5-point scale)	5-point scale	3 (5-point scale)	5-point scale
General Criteria for Good Evaluation	4 (3-point scale)	10-point scale				
Evaluation of the Project: Relevance		10-point scale	3 (5-point scale)	5-point scale	3 (5-point scale)	5-point scale
Evaluation of the Project: Effectiveness		10-point scale	2 (5-point scale)	5-point scale	2 (5-point scale)	5-point scale
Evaluation of the Project: Efficiency		10-point scale	2 (5-point scale)	5-point scale	3 (5-point scale)	5-point scale
Evaluation of the Project: Impact		10-point scale	3 (5-point scale)	5-point scale	3 (5-point scale)	5-point scale
Evaluation of the Project: Sustainability		10-point scale	5 (5-point scale)	5-point scale	5 (5-point scale)	5-point scale
Evaluation of the Project: Overall Evaluation		10-point scale				

Table 4-2 Secondary Evaluation Criteria

I. Criterion: The precondition for conducting appropriate evaluation was possible (Evaluability)
Viewpoints:
- Evaluability of Project Plan (Preliminary Study/PDM)
- Target Group
- Evaluability of Project Purpose
- Evaluability of Overall Goal
- Logic of Project Design
- Project Monitoring

II. Key Evaluation Criteria

1. Criterion: Evaluation Framework
   Viewpoints: Time Frame of Evaluation Study
   Evaluation Team Composition—Impartiality and Specialty
   Level of Counterpart Participation
2. Criterion: Data Collection
   Viewpoints: Evaluation Questions
   Appropriateness of Data Collection Methods and Data Sources
   Data/Information Sources
   Sufficiency of Data/Information Obtained
3. Analysis
   - 3.1 Criterion: Assessment of Performance
     Viewpoints:
     - Measurement of Results (Outputs)
     - Measurement of Results (Project Purpose)
     - Measurement of Results (Overall Goal)
     - Examination of Project Implementation Process
     - Examination of Qualitative Causal Relationships—Logic of Project Design
     - Examination of Quantitative Causal Relationships—Before and After
   - 3.2 Criterion: Analysis Method
     Viewpoints:
     - Objective Analysis
     - Holistic Analysis
     - Analysis of Promoting and Impeding Factors
4. Criterion: DAC's Five Evaluation Criteria
   Viewpoints:
   - Relevance
   - Effectiveness
   - Efficiency
   - Impact
   - Sustainability
   - Conclusion
5. Recommendations/Lessons Learned
   - 5.1 Criterion: Recommendations
     Viewpoints:
     - Sufficiency of Recommendations
     - Relevance and Credibility of Recommendations
     - Usability of Recommendations
   - 5.2 Criterion: Lesson Learned
     Viewpoints:
     - Sufficiency of Lessons Learned
     - Relevance and Credibility of Lessons Learned
     - Usability of Lessons Learned
6. Criterion: Reporting
   Viewpoints:
   - Presentation/Legibility and Clarity
   - Utilization of Tables and Figures
   - Presentation of Primary Data

III. Project Evaluation Based on the Written Report (DAC's Five Criteria)

1. Criterion: Relevance
   Viewpoints:
   - Validity
   - Necessity
   - Appropriate Approach
2. Criterion: Effectiveness
   Viewpoints:
   - Achievement Level of Project Purpose
   - Causal Relationships between Outputs and Project Purpose
3. Criterion: Efficiency
   Viewpoints:
   - Clear Input Cost
   - Cost-befit Performance
   - Appropriate Implementation Process
4. Criterion: Impact
   Viewpoints:
   - Achievement Level of Impact
   - Logics on Causal Relationships of Impact
   - Unanticipated Impact (Both Positive and Negative)
5. Criterion: Sustainability (Post-JICA's Cooperation)
   Viewpoints:
   - Mechanism of Securing Sustainability
   - Level of Sustainability
   - Organizational Sustainability
   - Technological Sustainability
   - Financial Sustainability

scores for eight other evaluation criteria out of nine, except for "evaluation framework," are 3.0 or higher.

As for the distribution of scores, as shown in Figure 4-3, many are distributed between 2.5 and 4.49. Many projects scored 3.0 or higher for "evaluability," "data collection," "assessment of performance," "five evaluation criteria," "recommendations," and "lessons learned." For "evaluation framework" and "analysis method," half of the projects scored less than 3.0 and the other half 3.0 or higher.

In sum, it can be concluded that the quality of terminal evaluations belongs to the higher level than "medium" on the grading scale.

(2) Evaluation Results by Criterion

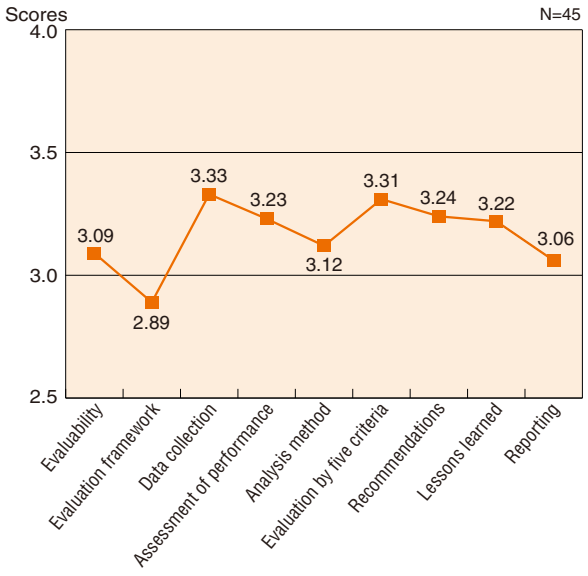
The viewpoints of each evaluation criterion were rated, and qualitative data was collected in the forms of comments of the evaluators that were written in the additional boxes on the sheet. We will summarize the current conditions and issues of the quality of terminal evaluation by criterion based on the evaluation results of scores for the viewpoints of each evaluation criterion and the comments from the evaluators. Figure 4-4 illustrates the average scores results for viewpoints under each evaluation criterion as well as those for evaluation criteria.

1) Evaluability

"Evaluability" is a criterion that asks about the appropriateness of set conditions for an evaluation. This item is evaluated based on the following six viewpoints.

- Evaluability of project plan (preliminary study/PDM): whether the project plan (preliminary study/PDM) was appropriate for evaluating the project
- Target group: whether the target group, or the beneficiary of the project, was set clearly and properly
- Evaluability of project purpose: whether the indicators and

Figure 4-2 Score Results by Evaluation Criterion (Average)



specific target values are clearly defined for each output and project purpose so that they can be used to measure the level of the project achievement

- Evaluability of overall goal: whether the indicators and specific target values are clearly defined for overall goals so that they can be used to measure the level of the project achievement
- Logic of project design: whether the PDM used for the evaluation describes a clear and realistic logic flow from Overall goal – Project Purpose – Outputs – Inputs, considering important external assumptions
- Project monitoring: whether monitoring of outputs, activities, and inputs was regularly conducted, and the information including statistical data was accumulated during project implementation

The score results (average) reveal gaps in quality of the evaluations for each viewpoint. For example, the scores for "target group," "logic of project design," and "project monitoring" are 3.1 or higher, securing the "average" level or higher in the grading scale. Among them, "target group" scored 3.3 on average, which is higher than other viewpoints. On the other hand, "evaluability of overall goal" scored 2.8 on average and failed to achieve the "average" level. The specific item, "evaluability of overall goal," is a new viewpoint that was added in 2006. The low total scores are likely to be attributed to the fact that there were not a few projects with a weak causal relationship between the overall goal and project purpose.

The projects with high scores have tendencies: they logically and clearly set the project purposes and indicators and incorporated baseline studies, or were appropriately designed with thorough preparations based on past experiences. Also, high scores were given to those projects that conducted monitoring using PDM that had been improved at the time of mid-term evaluation, and to one that carefully planned and implemented monitoring and collected data necessary for evaluations every year. On the other hand, projects whose indicators to measure the achievement of the goals were not set, or were too abstract/inappropriate to conduct evaluation, and projects in which PDM was less accepted and not utilized for monitoring turned out to have low ratings.

2) Evaluation Framework

"Evaluation framework" refers to the evaluators of terminal evaluation. This criterion consists of two viewpoints.

- Evaluation team composition: whether the evaluation team

Figure 4-3 Distribution of Scores by Evaluation Criterion

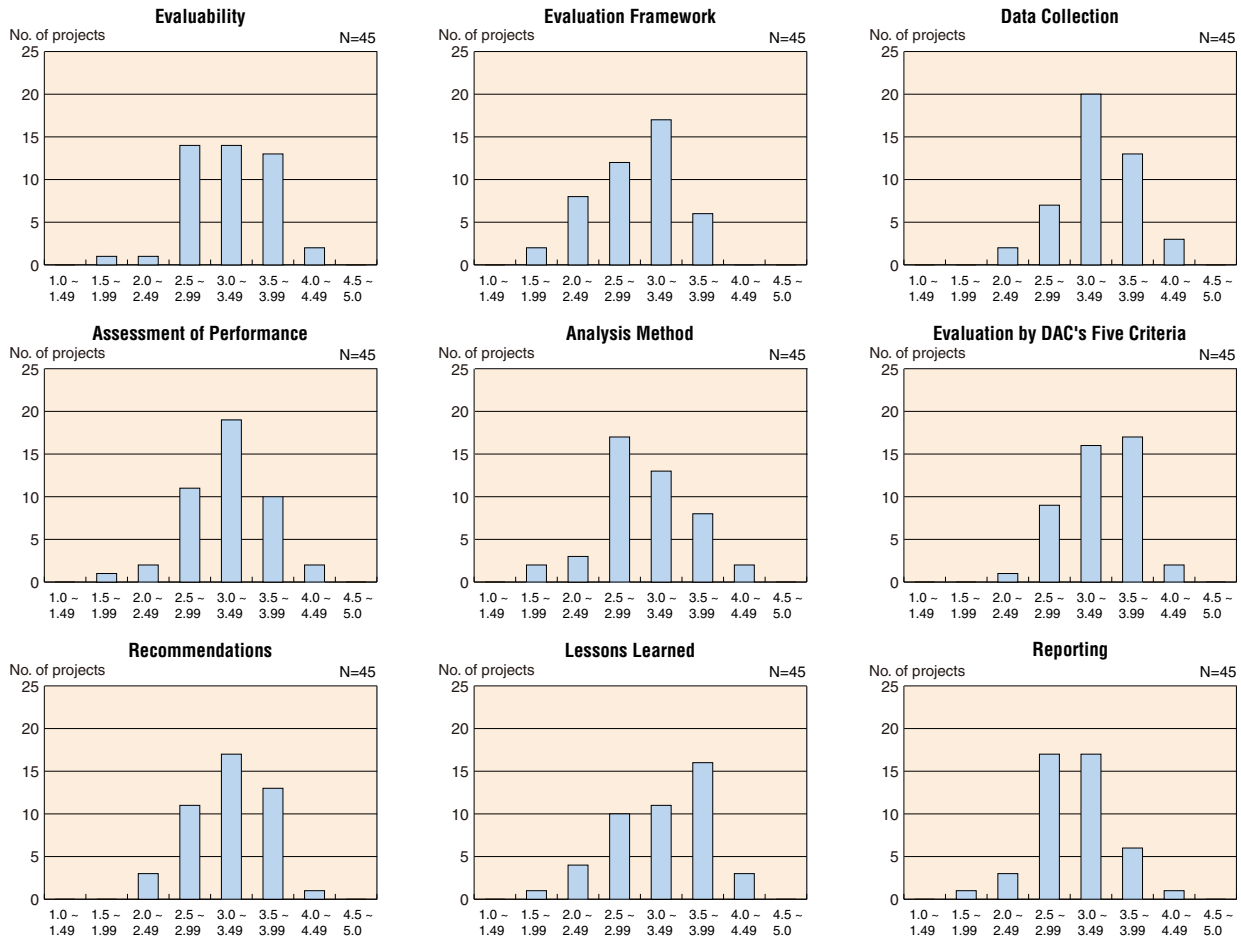
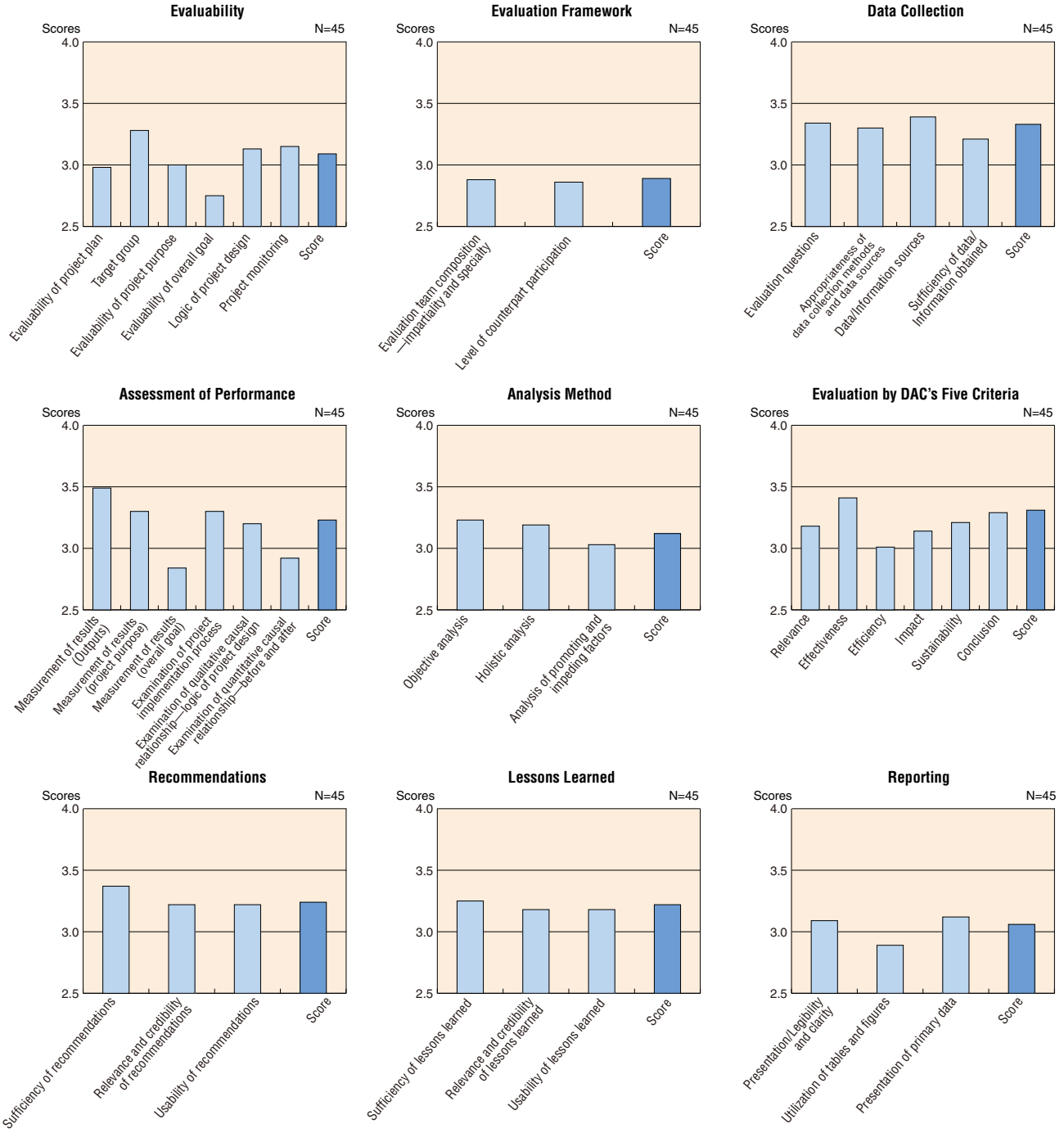


Figure 4-4 Score Results for Viewpoints under Each Evaluation Criterion (Average)



members of the project are qualified enough to conduct professional and impartial evaluations

- Level of counterpart participation: whether the counterparts in the developing country participated sufficiently in the evaluation as evaluators

The average scores for these viewpoints all resulted in 2.9 points, and so did not clear the "medium" level, and are lower than the viewpoints of other evaluation criteria.

Regarding the evaluation team composition, evaluation teams consisted of JICA staff members, evaluation analysts, and other members. There is a case where project stakeholders such as members of the domestic support committee, consultants, or dispatched experts join the team as members. In another case, the team consisted of two members: one JICA staff member and one local consultant. Although such team formation may gain considerable specialization, it is somewhat difficult to secure neutrality and impartiality. Such cases may lead to the low scores for the composition of evaluation team.

"Level of counterpart participation" checks to what extent the partner country actually participated in the project evaluation process. In the case of highly rated projects, they prepared

joint evaluation and not only identified the names and specialty areas of evaluators from the partner country, but also guaranteed the objectivity of those evaluators and provided detailed information on the method of joint evaluation as well as the number of meetings. On the other hand, in the cases with low scores, joint evaluation teams were not formulated; the report did not reveal the names of team members from the partner country and did not describe how the evaluation was performed even though it mentioned the evaluation, which made it hard to determine the level of participation of the partner countries in the evaluations.

3) Data Collection

"Data collection" intends to check how data were collected. This criterion is assessed based on the following four viewpoints.

- Evaluation questions: whether specific and practical questions were set in line with the evaluation purposes appropriately so that they can contribute to realistic information collection plans
- Appropriateness of data collection methods and data sources: whether several different data collection methods were used to increase the objectivity and credibility of information obtained
- Data/information sources: whether the sources of the data/information are explained adequately in the evaluation report
- Data collection: whether the data/information was sufficient to answer the evaluation questions in terms of both quality and quantity

The viewpoints on "data collection" show little variance in the quality of evaluation, with all the average scores being over 3.2 and attaining the "medium" level. Thus, the scores are relatively higher than viewpoints on the other evaluation criteria. The average score of 3.4 on "data/information sources" is relatively higher than those on the other evaluation viewpoints.

It is reported that many projects studied collected data appropriately. There was a project in which stakeholders had such a strong awareness about monitoring that they accumulated data through daily information updates in preparation for evaluations. Also, there was a project in which evaluation questions were appropriately narrowed down, data were collected from wide sources covering existing documents, relevant authorities, project stakeholders, training participants and host companies, etc, and the information sources were clearly identified. On the contrary, some projects reportedly did not collect sufficient data. For example, the data sources were biased: in one project the data sources were limited to stakeholders, while in another data was not collected to assess the achievement of the overall goal.

4) Assessment of Performance

"Assessment of performance" is evaluated with the following six viewpoints.

- Measurement of results (outputs): whether the achievement level of outputs was properly measured against the target values set by the indicators.
- Measurement of results (project purpose): whether the achievement level of the project purpose was properly measured against the target values set by the indicators.
- Measurement of results (overall goal): whether the achievement level of the overall goal was properly measured against the target values set by the indicators
- Examination of project implementation process: whether the project implementation process (monitoring, decision making, communication within the project) was thoroughly examined, through which impeding and/or promoting factors to achievement of outputs, project purpose, and overall goal are identified
- Examination of qualitative causal relationships—logic of project design: whether the logic of the project design was thoroughly verified, through which impeding and/or promoting factors to achievement of outputs, project purpose, and overall goal are identified
- Examination of quantitative causal relationships—before and after: whether the causal relationships were thoroughly examined to verify that effects for the beneficiaries have resulted from the project interventions

In the 2006 evaluation, a slight revision was made to "assessment of performance." That is, measurement of results was divided into three categories: outputs, project purpose, and overall goal. Also, viewpoints on causal relationships were better specified by paraphrasing them as "qualitative causal relationship" and "quantitative causal relationship."

The evaluation scores for the viewpoints in "assessment of performance" show large variance in the quality of evaluations. Among the viewpoints, the average scores for "measurement of results (outputs), "measurement of results (project purpose)," "examination of project implementation process," and "examination of qualitative causal relationships" are all 3.2 or higher. The viewpoint, "measurement of results (outputs)" scored the highest of all viewpoints at 3.5. On the other hand, the average scores for "measurement of results (overall goal)" and "examination of quantitative causal relationships" are less than 3.0, thus failing to reach the "medium" level.

In the projects with the high scores for evaluation, causal relationships with the goal achievement and the current conditions about important external factors in line with PDM, or the details of successful and unsuccessful factors in relation to the achievement level of outputs were separately understood. On the other hand, some projects did not fully assess results due to discrepancies between the overall goal and the project purpose, and other projects assessed the current conditions qualitatively, but did not get to do so quantitatively, resulting in a lack of quantitative data. It is assumed these caused low scores for "measurement of results (overall goal)" and "examination of quantitative causal relationships."

5) Analysis Method

In "analysis method," evaluation is evaluated based on the following three viewpoints to check how analysis is performed.

- Objective analysis: whether the data was objectively analyzed based on a series of scientific discussions, and an effort was made to quantify the data where feasible
- Holistic analysis: whether the data interpretation was drawn by examination and analysis of different methods, and from various aspects
- Analysis of promoting and impeding factors: whether factors that promote and impede effects were adequately analyzed in light of the project logic (cause-effect) and the project implementation process (such as project management)

The average score results for all the viewpoints achieved 3.0 or higher (average) at the "medium" level. The projects receiving high scores include one that carried out monitoring at the implementing stage and implemented holistic analyses based on the data accumulated in the monitoring over a number of years; and another that objectively analyzed outputs, process, and logic from holistic standpoints, though the analysis was qualitative, before drawing a conclusion. Another highly-rated project performed analyses appropriately using quantitative data, questionnaires, and interviews. On the other hand, low scores were rated due to insufficient analyses in terms of objectivity and holistic approach; specifically, objectivity suffered when analyses were based on the limited information from project stakeholders and the holistic approach was compromised when data were obtained from questionnaires alone. Furthermore, some projects performed insufficient analyses on promoting and impeding factors although those factors were present, and other projects conducted analyses that lacked logic.

6) Evaluation by Five Criteria

"Evaluation" means to evaluate based on six evaluation viewpoints: DAC's five evaluation criteria plus "conclusion," which is to check whether the conclusion was drawn based on holistic viewpoints on the basis of the concerned five evaluation criteria.

- Relevance: whether perspectives for evaluation of "Relevance" (validity and necessity of a project in light of needs of beneficiaries, project implementation as an appropriate approach to problem solving, consistency of policies, etc.) were sufficiently covered
- Effectiveness: whether perspectives for evaluation of "Effectiveness" (achievement level of project purpose, causal relationships between outputs and project purpose, etc.) were sufficiently covered
- Efficiency: whether perspectives for evaluation of "Efficiency" (comparison with other similar projects through cost analysis, cost-effectiveness analysis, etc.) were sufficiently covered
- Impact: whether perspectives for evaluation of "Impact" (achievement level of overall goal, causal relationships between project purpose and overall goal) were sufficiently covered
- Sustainability: whether the perspective for evaluation of "Sustainability" (mechanism of securing sustainability and outcomes to be produced in terms of policies and systems, organizational and financial aspects, technical aspects, socio-culture, and environment) were sufficiently covered
- Conclusion: whether the conclusion was drawn based on holistic viewpoints on the basis of the five evaluation criteria.

The average score results for all the viewpoints received 3.0 or higher, exceeding the "medium" level, yet showing a variance in evaluations of the viewpoints. Among the viewpoints, the average score for "effectiveness" is the highest at 3.4 and is relatively higher than viewpoints on other evaluation criteria.

For "efficiency," the average score was the lowest of the six viewpoints at 3.0. "Efficiency" was rated the lowest in the secondary evaluation for fiscal 2005 as well. This criterion questions whether perspectives (comparison with other similar projects through cost analysis, cost effectiveness, etc.) are sufficiently covered. Many projects did not mention the comparison with similar projects and cost-effectiveness, and did not provide adequate information concerning operating costs, all of which led to the low score.

7) Recommendations

The criterion, "recommendations," concerns the following three viewpoints.

- Sufficiency of recommendations: whether the recommendations fully consider all the impeding and promoting factors identified during the evaluation process
- Relevance and credibility of recommendations: whether the recommendations are based on the information obtained through the process of data analysis and interpretation and as a result, the recommendations are objective and convincing
- Usability of recommendations: whether recommendations are practical and useful for feedback and follow-ups, with a specific time frame

The average scores for these viewpoints are 3.2 or higher, securing relatively high evaluation considering a small variance of the quality in evaluations. Among them, "sufficiency of recommendations" is high at 3.4.

Many projects appropriately assessed the achievement of results and provided holistic recommendations with positive and negative factors logically summarized; provided practical recommendations through analyses of the project outputs; and provided recommendations based on evaluation analysis. These projects received high scores. On the other hand, some projects drew out recommendations from other than evaluation processes, and did not provide clear bases for recommendations without presenting clear relationships between evaluation results and recommendations. In some projects, impeding factors were not reflected on recommendations because analysis of impeding factors was insufficient, and the background of recommendations was not clear because recommendations were presented in an itemized list. These projects received low scores.

8) Lessons Learned

The criterion of "lessons learned" includes the following three viewpoints.

- Sufficiency of lessons learned: whether the lessons learned fully consider the impeding/promoting factors identified during the evaluation process
- Relevance and credibility of lessons learned: whether the lessons learned are based on the information obtained through the process of data analysis and interpretation and as a result, the lessons learned are objective and convincing
- Usability of lessons learned: whether the lessons are generalized and conceptualized so that they are widely applicable

The average scores are 3.2 or higher, which is relatively high, with a small variance in the quality of evaluations.

Many projects presented reasonable lessons by identifying promoting and impeding factors from fully analyzed results and evaluation processes, and provided useful lessons for other similar projects with specific descriptions. In some cases, however, no specific directions were provided for what to do and how to do it, so that few could be applied to other projects because of insufficient analysis of impeding factors, or some lessons were confined to superficial remarks.

9) Reporting

"Reporting" covers the three viewpoints shown below.

- Presentation/legibility and clarity: whether the evaluation report is simple and clear, and understandable to readers—in light of the structure, font, terminology, and data presentation
- Utilization of tables and figures: whether tables and figures are effectively utilized to visually present statistics and analysis results
- Presentation of primary data: how sufficient primary data such as those on targets and results of interviews and questionnaires or sources are presented properly in the report

The scores for "presentation/legibility and clarity" and "presentation of primary data" are 3.1 or higher, while "utilization of tables and figures" is 2.9, failing to reach the average level.

The reports of some projects were well written and easy to read; for example, the correspondence between outputs/purpose and indicators was clearly demonstrated, evaluations were performed in line with PDM, tables and figures were effectively used, and the description was plain and logical. On the other hand, however, some reports remained too general, without provision of PDM, and too many pages were devoted to the list of participants for seminars and workshops without clear description as to how the evaluation analysis was done. In fiscal 2006, several terminal evaluation reports were written in English and compiled by overseas offices, but they generally lacked evaluation analyses, provided too many descriptions about materials other than evaluations, which received low scores in quality in the end.

(3) Examples of Good Quality Evaluation Reports and Poor Quality Evaluation Reports

The revised JICA Guidelines for Project Evaluation (March 2004) explains in detail important points to be considered for appropriate evaluation. However, it is not easy to write a report that is easy to understand and highly qualified. If some reports of terminal evaluations that are highly qualified are presented using the results of secondary evaluation, the reports of these evaluations can serve as role models. And if evaluation studies and reporting are conducted with reference to the methods and contents in these models, the quality of reports will be secured more easily.

The quality of terminal evaluations were evaluated from the nine evaluation criteria: "evaluability," "evaluation framework," "data collection," "assessment of performance," "analysis method" "evaluation by five criteria," "recommendations," "lessons learned," and "reporting." The overall quality of the terminal evaluations was ranked based on the value obtained by dividing the total scores for the nine evaluation criteria by the number of criteria. The highest attainable score is five and the lowest is one, and the medium level is three as the average. We selected the top four cases of evaluations and the worst four cases, while giving consideration to the distribution of the overall scores. The scores for nine criteria of these eight evaluations are shown respectively on the web graphs in Figure 4-5 and Figure 4-6. Table 4-3 shows the average scores and the differences in the average scores for evaluation criteria of the top four evaluations and the last four evaluations.

As clearly observed in Figure 4-5 and Table 4-3, the average scores of the top four evaluations are quite high at 3.8 or higher for "data collection," "assessment of performance," "analysis method," "criteria by five evaluation," and "lessons learned." In particular, the score for "evaluation by five criteria" is high at 4.0. In specific terms, the factors contributing to such high scores are: data sources are clear, appropriate data were sufficiently collected, the implementation process, performance and effects of projects were fully assessed and examined from the qualitative and quantitative aspects, collected data were objectively analyzed from various aspects and promoting and impeding factors to the onset of effects were analyzed, evaluations were conducted covering necessary prospective with respect to five evaluation criteria, and useful lessons that are objective and convincing and can be used for similar projects were drawn from the information on impeding and promoting factors obtained during the evaluation processes.

On the other hand, as evidenced in Figure 4-6 and Table 4-3, for the worst four projects, there is a tendency where the scores for "evaluability," "evaluation framework," "assessment of performance," and "reporting" are relatively low. As indicators for the project purpose and overall goal are vague and lack logic, it was difficult to assess performance, which resulted in an obscure basis for determining performance and weak quantitative analysis. There were some reports that neither contained primary data nor

Figure 4-5 The Top 4 Projects for its Quality of Terminal Evaluation

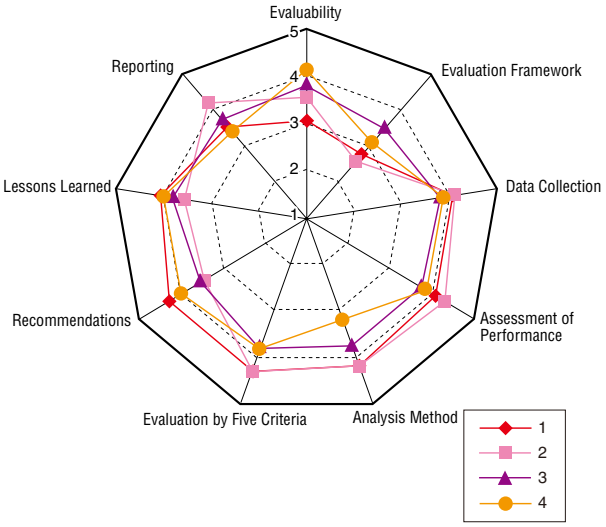


Figure 4-6 The Worst 4 Projects for its Quality of Terminal Evaluation

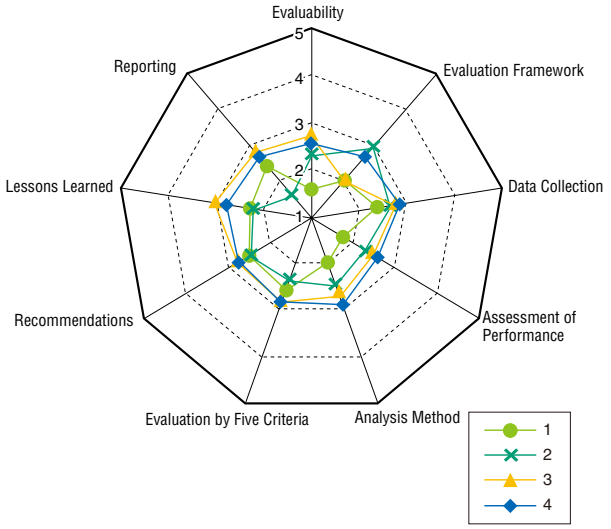


Table 4-3 Score Results of the Top 4 and Worst 4 Projects (Average)

Evaluation Criteria	Average Scores		Difference in Average Scores
	Top 4 projects	Worst 4 projects	
Evaluability	3.58	2.29	1.29**
Evaluation Framework	3.01	2.38	0.63
Data Collection	3.90	2.62	1.29**
Assessment of Performance	3.97	2.26	1.71**
Analysis Method	3.81	2.51	1.30**
Evaluation by Five Criteria	4.03	2.63	1.40**
Recommendations	3.77	2.58	1.19**
Lessons Learned	3.82	2.58	1.24**
Reporting	3.69	2.33	1.36**

**The difference in significance level between the top and worst four projects is 1% on average.

provided necessary information. These factors caused the low scores for the quality of the terminal evaluations.

In every evaluation criterion, the difference in the average scores between the top and worst four projects are statistically significant, and the top four projects are rated higher than the worst four. A large difference was found between the two groups in the average scores for "evaluability," "data collection," "assessment of performance," "analysis method," "evaluation by five criteria," and "reporting," indicating that these criteria are important factors for evaluating the quality of reports.

The four evaluation reports rated as being high in quality are listed in Table 4-4, and those rated as being poor in quality in Table 4-5.

The project that obtained the highest score for its terminal evaluation is Project on Establishment of Control Capacity for Industrial Wastewater and Waste in Argentina. In the basin area of the Matanza River, which runs through the Buenos Aires district, soil and groundwater contamination were caused by domestic and industrial wastewater, calling for urgent action to control toxic materials. However, the National Water Institute of Argentina did not possess technology, knowledge, and experience to fully address the issue. Thus, the project was implemented with the purpose of empowering the National Water Institute to develop a foundation for chemical analysis, contamination assessment, and cleaner production in order to tackle the industrial pollution issues. Meanwhile, since there was a change in the environment surrounding the project, such as the national drastic economic crisis, the project plan was revised so as to enable the project to carry out its activities without relying on the Matanza Project, which had been premised on IDB support. The technology was smoothly transferred and the project purpose will most likely be achieved. Furthermore, a positive impact was observed; the project set up a new department called the Cleaner Production and Sustainable Consumption Unit within the Environment and Sustainable Development Agency, which increased the understanding of cleaner production in the industrial sector, and thus, production process improvements have started.

With regard to quality of the terminal evaluation, all the evaluation criteria of "data collection," "assessment of performance," "analysis method," "evaluation by five criteria," "recommendations," and "lessons learned" scored more than four points. The terminal evaluation of this project was determined to be quite qualified for the following reasons.

In the aforementioned evaluation, sufficient data were collected. The assessment of achievement level based on the indicators and the examination of the implementation process as to the response to changes in important external factors are clearly described. Also, objective analyses from various aspects are performed, including impeding factors and the background of the revision of PDM. Evaluations were fair and valid based on the achievement level. Furthermore, the conclusion is logical enough, and the recommendations are described in a concrete and appropriate way and suitable for the project. Lessons learned are also

Table 4-4 Terminal Evaluations of Good Quality

Country	Project Name	Total Score	Fiscal Year of Evaluation
1 Argentina	Project on Establishment of Control Capacity for Industrial Wastewater and Waste	3.80	2004
2 Thailand	Project for Development of Trauma Center Complex	3.78	2004
3 Philippines	Water Buffaloes and Beef Cattle Improvement Project	3.68	2005
4 Ghana	Improvement of Educational Achievement in Science, Technology and Mathematics (STM) in Basic Education	3.67	2004

Table 4-5 Terminal Evaluations of Poor Quality

Country	Project Name	Total Score	Fiscal Year of Evaluation
1 Thailand	Project on Local Management Cooperation in Thailand	2.15	2004
2 Viet Nam	Strengthening of National Institute of Veterinary Research	2.36	2004
3 Myanmar	Project for Primary Health of Mothers and Children	2.66	2005
4 Cambodia	The Capacity Building for the Forestry Sector	2.69	2004

described in a specific and detailed manner.

The worst project for its terminal evaluation quality is Project on Local Management Cooperation in Thailand. As decentralization progressed in Thailand, the capacity development of local governments and coordination among them were increasingly sought after to meet the needs of the community. This project thus aimed to formulate guidelines for cooperation among local governments and promote such cooperation. The guidelines are almost completed and discussions for the revision of laws are underway to promote cooperation among local governments.

Looking at the quality of the terminal evaluation, however, the scores for every evaluation criterion are less than 2.6 and the score for "assessment of performance" is less than two points. The quality of terminal evaluation of this project was rated low for the following reasons.

The evaluation standards are unclear partly because PDM and the evaluation grid had not been developed. Data was collected solely from the questionnaires, resulting in insufficiency, and the contents of questions are irrelevant. Assessment of performance was based on the questionnaires alone, no referrals were made to the results of the survey; consequently the performance was assessed without a clear logic. Though a quantitative analysis was attempted, the analysis based on questionnaire surveys alone lacks objectivity. Because project activities were not fully described, it is somewhat unclear as to what and how it was evaluated. By not following the JICA Guidelines in general, the evaluation turned out to be weak in objectives and reasoning.

(4) Year-to-Year Changes in the Quality of Evaluation

The Secondary evaluation of terminal evaluations has been carried out since fiscal 2003, targeting 38 terminal evaluations conducted in fiscal 2002, 38 in fiscal 2003, 45 in fiscal 2004, and 17 in fiscal 2005, besides those conducted this fiscal year (FY2006). The project evaluations should guarantee high quality of study in order to convey accurately the outcomes of implemented projects to the readers. We will take a look at how the quality of terminal evaluation has changed over the years. The terminal evaluations subject to secondary evaluation in fiscal 2002 were not included in this year-to-year analysis of quality changes because many of the evaluation criteria and viewpoints were far different from those subject to secondary evaluation in fiscal 2003 and afterwards.

The evaluators of secondary evaluation are different every year. Even though evaluation criteria are the same, evaluation viewpoints are slightly different over the years. Rating scales also changed; a 10-level rating scale was adopted in fiscal 2004, whereas a five-level rating scale was used in fiscal 2005 and fiscal 2006. Thus, considering the differences in evaluation standards, the evaluation results of projects that were evaluated twice were used to convert the evaluation scores to unify the evaluation scale. In other words, the evaluation scores of fiscal 2005 were converted to the scale of fiscal 2006. The scores of the terminal evaluations conducted in fiscal 2004 were first converted to the scale of fiscal 2005 and the obtained scores were then converted to the scale of fiscal 2006. It must be noted that the terminal evaluations subject to secondary evaluation twice adopted the original scores, not the converted scores.

Furthermore in fiscal 2004 and fiscal 2005, the recommendations and lessons learned were lumped together as a single criterion, while, in fiscal 2006, they were separated into respective criteria, "recommendations" and "lessons learned." Thus, for the results of secondary evaluation conducted in fiscal 2004 and fiscal 2005, both the total scores of three viewpoints on recommendations and the total scores of three viewpoints on lessons learned were divided proportionally according to the respective percentage of the total score in an attempt to evaluate "recommendations" and "lessons learned" separately.

The average scores of 38 projects in fiscal 2003, 45 projects in fiscal 2004, and 17 projects in fiscal 2005 were obtained by evaluation criterion, which are shown in Figure 4-7 and Table 4-6. As for the changes in the average scores between 2003 and 2004, the scores of 2004 are significantly higher statistically for "data collection," "evaluation by five criteria," "recommendations," "lessons learned," and "reporting". Regarding the differences between fiscal 2003 and fiscal 2005, the average scores

Figure 4-7 Year-to-year Changes in the Quality of Evaluations (Average Scores)

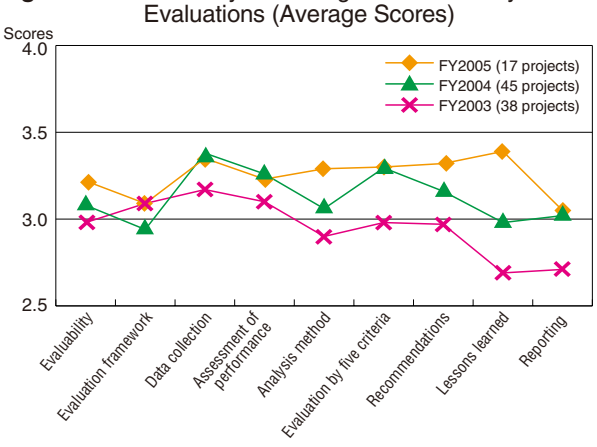


Table 4-6 Year-to-Year Changes in the Quality of Evaluations (Average Scores)

Evaluation Criteria	Average Scores			Difference in the Average between Years		
	FY2003(A)	FY2004(B)	FY2005(C)	(B)-(A)	(C)-(A)	(C)-(B)
I Preconditions for Conducting Appropriate Evaluation						
Evaluability	2.98	3.08	3.22	0.10	0.24	0.14
II Key Evaluation Criteria						
Evaluation Framework	3.09	2.94	3.09	–0.15	0.00	0.15
Data Collection	3.17	3.38	3.35	0.21*	0.18	–0.03
Assessment of Performance	3.10	3.26	3.23	0.16	0.13	–0.03
Analysis Method	2.90	3.06	3.30	0.15	0.39**	0.24
Evaluation by Five Criteria	2.98	3.30	3.30	0.32**	0.33*	0.00
Recommendations	2.97	3.16	3.32	0.19*	0.36**	0.16
Lessons Learned	2.70	2.98	3.40	0.29*	0.70**	0.41*
Reporting	2.71	3.02	3.05	0.31**	0.34**	0.03

* The difference in significance level between the scores in fiscal years is 5% on average.
** The difference in significance level between the scores in fiscal years is 1% on average.

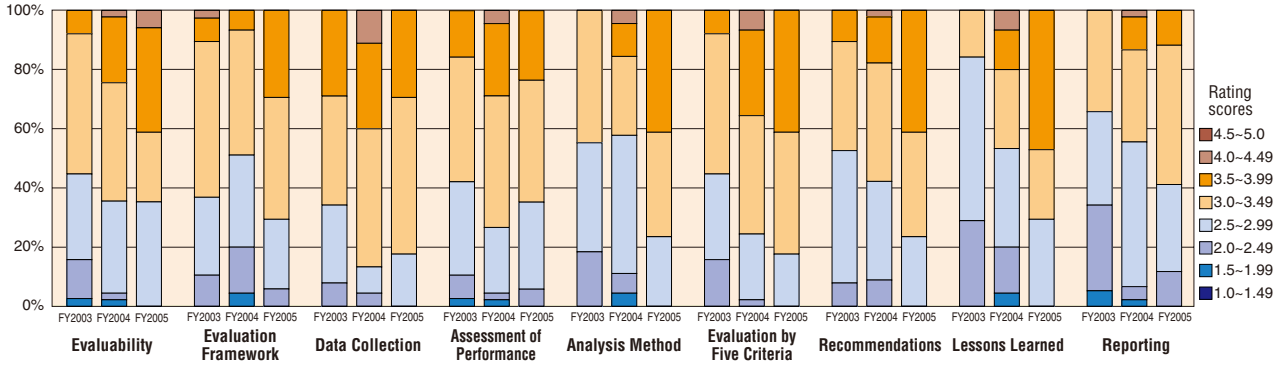
for "analysis method," "evaluation by five criteria," "recommendations," "lessons learned," and "reporting" of fiscal 2005 are significantly higher statistically. Due to the limited number of samples (17 projects for fiscal 2005) it cannot be generalized, still it is fair to say that the average score for "lessons learned" of fiscal 2005 is statistically higher than those of fiscal 2004 and the scores of fiscal 2005 tend to be high in general. Based on these facts, the quality of terminal evaluation seems to have improved gradually from fiscal 2003 to fiscal 2005, although the difference between fiscal 2004 and fiscal 2005 is not statistically significant.

Year-to-year changes in the quality of terminal evaluation were examined last year, too (See p125, Annual Evaluation Report 2005). There is a difference in the average scores of fiscal 2003 and 2004 between last year and this year. This is attributed to the facts that the scores for each criterion were converted to this year's scale and that the number of projects studied in fiscal 2004 was only 17, while the number increased this year to 45, adding 28.

Last year's secondary evaluation concluded that the quality of terminal evaluations of fiscal 2004 was higher than that of fiscal 2003. The same conclusion was reached this year. The number of projects of fiscal 2004 for which last year's (fiscal 2005) secondary evaluation was conducted was 17, but it increased to 45 in fiscal 2006, thus attaining more reliable results. Based on the above results, it is confirmed that the quality of terminal evaluations of fiscal 2004 improved compared to the previous year.

Next, look at the changes in distribution of the scores for each evaluation criterion. For each, the scores ranging from 1.0 to 5.0 were divided into eight groups of 0.5-point increments. The bar chart, Figure 4-8, illustrates the percentage of reports with scores categorized into the eight groups. If the bar for fiscal 2003 and the one for 2004 are compared, it is clear that in 2004, the percentage of the scores in the 1.0 and 2.0 ranges decreased from those in fiscal 2003 in many criteria, while the percentage of the scores in the 3.0 and 4.0 ranges increased. As for the criteria of "evaluability," "data collection," and "assessment of performance," although there are no statistical differences for average scores by years, the percentage of the reports with scores between 1.0 and 2.9 decreased, while the percentage of scores over 3.5 increased. For "analysis method," in fiscal 2004 the percentage of the scores between 2.5 and 2.99 as well as those over 3.5 increased and some achieved more than 4.0 points. In fiscal 2005, if compared to 2003 and 2004, the percentage of the scores lower than 2.5 tends to decrease, while the scores over 3.5 increase. From the above results, it can be said that the quality of terminal evaluations of fiscal 2004 and fiscal 2005 improved compared to the one in 2003.

Figure 4-8 Changes in the Quality of Terminal Evaluations (Distribution of Scores, 2003-2005)



(5) Evaluation by JICA Headquarters and Evaluation by Overseas Offices

In line with the decentralization of operations, JICA started "projects in overseas offices in charge" at eight overseas offices on a trial basis since October 2004, which has expanded to 30 offices in 2005. Under this system, the overseas offices are entrusted with the authority to carry out a series of operations from project formulation to implementation and project evaluation. Likewise, terminal evaluations that had been conventionally conducted by the headquarters were gradually taken over by overseas offices for these projects under direct management. Among the target projects for secondary evaluation, two projects of 2004 were ones carried out by overseas offices and three were selected in 2005.

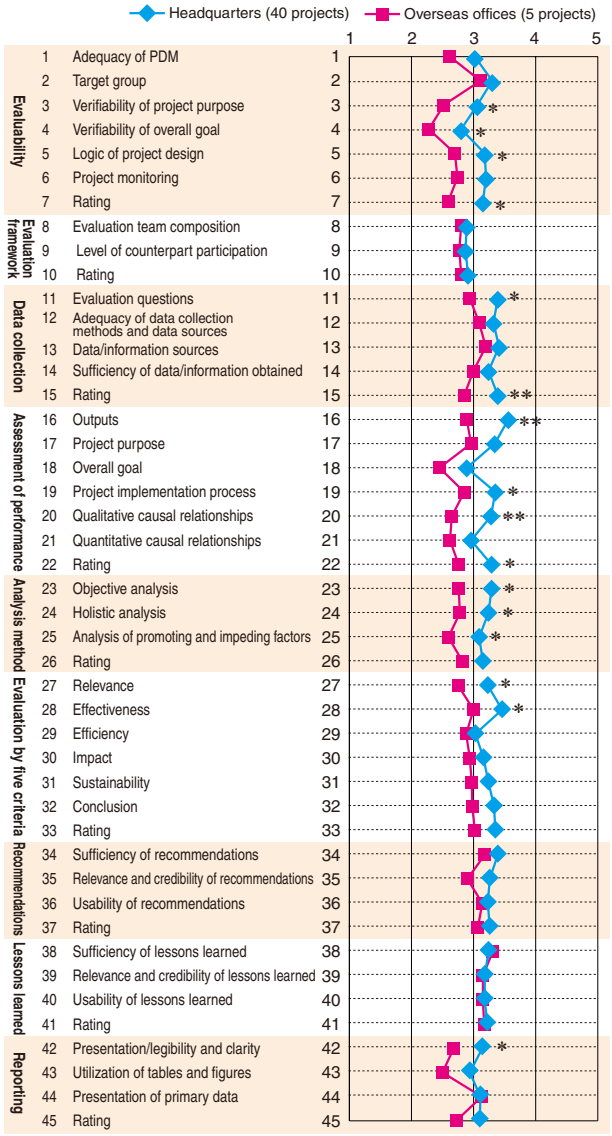
Figure 4-9 compares the scores of the terminal evaluations conducted by JICA headquarters to overseas offices.

Although the number of projects for overseas offices is limited to five, it is clear that the scores of overseas offices tend to be lower in every evaluation criterion than the ones conducted by the headquarters.

In the criterion of "evaluability," the scores for both "verifiability of project purpose," "verifiability of overall goal," and "logic of project design" indicate statistically significant differences. The scores for overseas offices are rated lower than those for headquarters, most of which remain in the 2.0 range. In the "data collection," statistically significant differences are found for "evaluation questions" and "ratings," and the scores rated by overseas offices are lower than the ones rated by the headquarters. A statistically significant difference is found for "assessment of performance," the scores for "outputs," "implementation process," and "qualitative causal relationship," and the scores are again rated lower for overseas offices than the headquarters. As for "analysis method," the scores for "objective analysis," "holistic analysis," and "analysis of promoting and impeding factors" are statistically and significantly different, and the scores rated by overseas offices are lower. None of the scores of overseas offices for "assessment of performance" and "analysis" reached 3.0 points. With respect to "five evaluation criteria," the scores for "relevance" and "effectiveness" are statistically and significantly different, and the scores rated by overseas offices are lower than those rated by the headquarters. The scores for "presentation/eligibility and clarity" of the criterion of "reporting" show a statistically significant difference, and the scores rated by overseas offices are lower than those by the headquarters.

When looking at the ranking of total scores of evaluation reports compiled by overseas offices, one report is ranked in the sixth place, but the remaining four reports are among the bottom 11 projects. It is therefore clear that the quality of the terminal evaluation reports compiled by overseas offices is relatively low. The reason for the low quality of the terminal evaluation reports of the projects managed by overseas offices may be that evaluations were not performed in line with PDM, which led to a weak logical understanding about the project evaluation and insufficient assessment of performance and analyses.

Figure 4-9 Quality of Evaluations Conducted by the Headquarters and Overseas Offices



*The difference in significance level between the scores in fiscal years is 5% on average.
**The difference in significance level between the scores in fiscal years is 1% on average.

However, with respect to "recommendations" and "lessons learned," the scores of overseas offices for most of the evaluation criteria are in the 3.0-3.9 range, attaining the same level of evaluation for the headquarters. "Recommendations" and "lessons learned" are drawn out from the implementation process and achievements of projects; however, it is important to draw out recommendations and lessons based on the situations of not only the projects, but also partner countries. Since overseas offices are more familiar with conditions in the partner countries, this may have contributed to an increase in the "average" level of assessment on "recommendations" and "lessons learned." High quality evaluations will be possible if overseas offices try to conduct evaluation in line with JICA Guidelines (2004) and use the advantages of overseas offices.

(6) Implementation of Ex-ante Evaluation

JICA has worked to establish a consistent evaluation system from ex-ante to ex-post along the implementation cycle of a project. As part of such efforts, ex-ante evaluation was introduced in fiscal 2001 to examine the necessity and priority of a project and the appropriateness of a project plan based on the expected effects prior to the launch of the project.

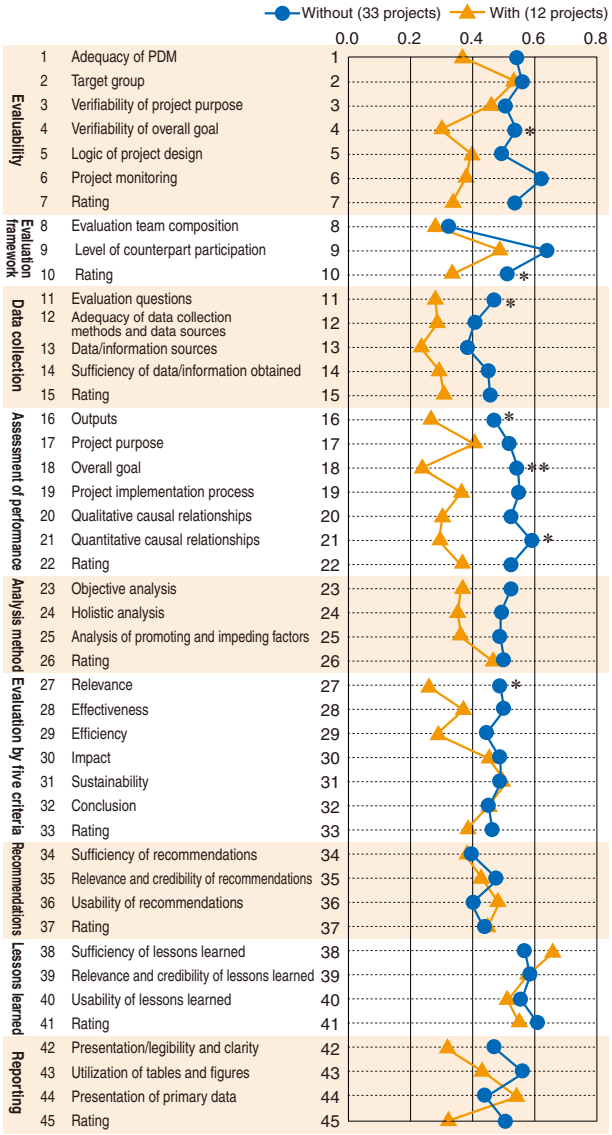
That first batch of projects in which ex-ante evaluations were introduced in 2001 will soon be terminated. Among the secondary evaluations, eight projects in fiscal 2004 and four projects in fiscal 2005 underwent ex-ante examination as such.

There is an assumption that whether or not a project is launched upon the approval of the results of ex-ante evaluation may have considerable influence on the quality of project and the quality of the reports. From the standpoint of consistency of project evaluation from ex-ante to terminal stages, ex-ante evaluation is supposed to set measurable goals at each stage in advance with the same viewpoints as those set at the terminal stage, examine thoroughly the causal relationship between the project purpose and overall goal, collect information on numerical indicators at the initial conditions, and present justified estimates about the change in indicators after the completion of the project. If a project is designed well in the clear causal relationship of structure as well as necessary indicators, it should proceed successfully. If an evaluation report is compiled in accordance with the changes in each indicator, the evaluation report will be convincing and of high quality.

The secondary evaluation this year attempted to compare the average scores between the projects with and without ex-ante evaluations, in addition to the conventional analyses. However, the results of analysis of fiscal 2006 exhibited no significant difference statistically in the two groups for all the evaluation criteria.

Figure 4-10 indicates the degree of variance (standard deviation) of the scores for the projects with and without ex-ante evaluations. The graph clearly shows that the variance of the scores generally tends to be smaller for the group with ex-ante evaluation than those without concerned evaluation. A statistically significant difference is found in the criteria of "evaluability: verifiability of overall goal," "rating of evaluation framework," "data collection: evaluation questions," "assessment of performance: outputs," "assessment of performance: overall goal," "assessment of performance: quantitative causal relationship," and "five evaluation criteria: relevance"; and the variance of the scores for the ex-ante evaluated group is smaller than those for the non-ex-ante evaluated group. In other words, the quality of terminal evaluations is homogenized within the ex-ante evaluated group. Even though the number of projects with ex-ante evaluations is limited, this suggests the possibility that ex-ante evaluation may make terminal evaluation easier. However, considering the small number of target projects and that ex-ante evaluations themselves have gone through improvements and refinements several times since its introduction, re-analysis is warranted for fiscal 2007 to confirm these points.

Figure 4-10 Implementation of Ex-ante Evaluation (Standard Deviation of Scores)



*The difference in significance level between the scores in fiscal years is 5% on average.
**The difference in significance level between the scores in fiscal years is 1% on average.

(7) Summary of the Quality of Primary Evaluation

The overall quality of terminal evaluations attained a certain level; however, the score for "evaluation framework" is relatively lower than other evaluation criteria. In the criterion, the scores for the viewpoints of "composition of evaluation team" and "level of counterpart participation" are both low. An evaluation team is often comprised of a JICA staff member, an evaluation analyst, and one evaluation member. Naturally, when a project stakeholder is included in the evaluation team, it is difficult to judge whether neutrality and fairness are ensured, while specialization is guaranteed. Regarding the level of counterpart participation, it may be because the participation of counterparts at the time of evaluation study is vague and the report does not describe the specialization and neutrality of evaluators of the partner country and

implementation method of evaluations.

The evaluation sheet for fiscal 2006 was revised so as to incorporate the relationship between the viewpoints of "evaluability" and those of "assessment of performance." Among the viewpoints of "evaluability," the scores for "verifiability of overall goal" are low and among the viewpoints of "assessment of performance" the scores for "assessment of performance: overall goals" are relatively lower than the other viewpoints. From these results, it is assumed that primary evaluation on assessment of performance may be influenced if the indicators of the overall goal are not clearly identified in the PDM and if the causal relationship between the project purpose and overall goal are vague. Therefore, assessment of performance will be made easier when the indicators for overall goal are appropriately set and when the causal relationships between project purpose and overall goal are clearly defined.

With respect to "efficiency" in the criterion of "evaluation," many evaluations assessed efficiency from the aspect of the implementation process alone, such as the timing of dispatch of experts and provision of equipment and materials. Only a few evaluations assessed and described efficiency from the aspect of cost efficiency by conducting cost-benefit comparison with other similar projects. It is necessary to conduct primary evaluation with due consideration given to cost effectiveness for the sake of accountability to the people.

The quality of terminal evaluation improves every year, and the secondary evaluation of last year showed that the quality of project evaluations in fiscal 2004 has improved compared to that of fiscal 2003. Such a conclusion is the same as that of the last fiscal year, but it is more reliable since the number of studied evaluations is larger than that in the last fiscal year. Therefore, it has been confirmed that the quality of terminal evaluations in fiscal 2004 has improved.

JICA has adopted "overseas office's direct project management" on a trial basis since 2004 by endowing the authority to conduct the series of operations for projects. Overseas offices have conducted terminal evaluations on these projects. When terminal evaluations conducted by them are compared to those by the headquarters, the quality of the former tends to be lower. The possible reasons for the low scores include weak logical understanding of project evaluations, insufficient assessment of performance and analyses, and the fact that evaluations were not conducted in line with JICA's Evaluation Guidelines. The number of projects under overseas office's direct management is expected to rise in the future, and the guidance for evaluation method, thorough adoption of evaluation standards, and maintenance of the quality of evaluations will have to be addressed.

The frequency of the use of tables and figures is rated low as shown in the criterion of "reporting." It is thus necessary to use tables and figures and describe them in a clear and understandable manner with the awareness that the reports are readable to the public, let alone project stakeholders. Some evaluations devoted many pages to descriptions of the process of project implementation, while providing insufficient space for analysis of how the results were attained. It is still desirable to present evaluation results in a convincing way even if the project results turned out to be worse than expected.

(8) Improving Primary Evaluation

As observed above, secondary evaluations were conducted and some valuable comments for increasing the quality of primary evaluation were obtained by the secondary evaluators. Some essential points obtained from these analyses are summarized below.

Some of these points were listed in the secondary evaluation report of fiscal 2005. Since a project takes a few years to be completed, a simple execution of recommendations of fiscal 2005 would not instantly bring about a direct change, but quality would gradually be improved by accumulating such efforts.

Similar factors seen in fiscal 2005 are also identified in fiscal 2006. The following points, though some may overlap, should be key factors for the betterment of the quality of primary evaluation.

1) Timing of Terminal Evaluation

Most terminal evaluations are conducted anywhere from a few months to six months before the termination of a project, in view of the project improvement based on the evaluation results. In the last six months or so of a project various activities are finalized. The current timing of terminal evaluation may hinder the accurate measurement of project achievements. Therefore, it is essential to consider the timing of evaluation, depending on the characteristics of each project and the timing of the expected onset of effects. In the case that the evaluation team concludes in its recommendations that the target will be achieved by the time of the completion of the project, though it will not have been achieved by the time of terminal evaluation, it is desirable to disclose the final results as a response to the recommendation of the evualtion.

2) Composition of Evaluation Team

Considering the quality of evaluations, it is necessary to increase the participation of partner countries in evaluations. Also it is desirable for the report to include descriptions about the evaluators: his/her involvement in the concerned project and/or evaluation method.

3) Data Collection

Sufficient data collection enables the accurate measurement of the achievement of goals. However, in some reports, data collection was insufficient, which lead to an insufficient assessment of performance, resulting in the low quality of evaluation.

Data collection should be in line with PDM, but in the case where data cannot be obtained by the method described in PDM, it is necessary to try to collect data by alternative means. The sources (e.g. questionnaires and interviews) were quite limited, in some cases, to counterparts inside of the implementing organiza-

tion and trainees. It is necessary to expand the scope of data sources from the policy making level to beneficiaries and surrounding communities for confirmation of relevance and process.

As for efficiency, some evaluations did not sufficiently analyze cost efficiency. That is not to say that a vast amount of funds can be spent to achieve the project purpose. Nonetheless, it is necessary to collect data required to evaluate cost efficiency by comparing them with similar projects.

4) Understanding of Important External Assumptions

It is necessary to enhance the assessment of performance regarding the items listed as external factors. When analyzing the effectiveness of projects, it is not enough to confirm only achievement. In order to verify how much the project contributed to the achievement of the goals, it is essential to understand firmly various internal and external factors that may greatly affect the outcomes of a project.

5) Partnership among Projects

Some projects are follow-up projects or a part of grant aid. In such cases, it is not always clear whether the achievements are the results of the project itself or those of related projects. Some reports did not mention the related project or its effects, and thus it is necessary to convince the readers by referring to the related information.

6) Objective Analysis

Objectivity cannot be reached solely through the results of quantitative analysis. Some reports only listed positive results and did not describe how it was achieved. Even in qualitative analysis, it is important to describe the reason for the results and the process by which they were attained, and objectivity can be achieved by providing the logical reasons for such conclusions.

7) Viewpoint for Assessment of Impact

Since terminal evaluation is conducted several months prior to the actual termination of a project, it seems to be a viable approach to evaluate the degree of achievement of the goal/purpose, relevance, and efficiency, and to compile recommendations about sustainability through the assessment of the implementation system. However, this is not the case with the impact, which is the prediction as to how much impact (positive/negative) is brought about in the future. In some cases it is questionable whether the impact will actually happen by the time of the termination of the project. It is necessary to discover an impact, no matter how small it may be, to present as the basis for the prediction and to increase the credibility, instead of presenting wishful thinking.

8) Report Writing

There are some reports without a PDM or an evaluation grid. It is necessary to present guidelines for writing a report. Even if the project period is less than a year, the report needs to be in line with the guidelines. As it is expected that more and more will be managed and evaluated by overseas offices in the future, more detailed guidelines are necessary to maintain the quality of evaluation.

A report should start with a summary, followed by the main text describing details and raw data attached at the end. The main text is more understandable if it follows the PDM procedures, starting with goals and proceeding with activities carried out to achieve the goals.

Tables and figures illustrated concisely and clearly would be a good tool for readers. However, not a few reports went too far in generalization by simply stating in the text, for example, "interests of students in science increased," giving no basis for such a statement, and readers need to look into the evaluation grid to find the details (in some cases, the details are still unclear). It is understandable to readers if the report contains some detailed and logical descriptions in the text by, for example, presenting concise data for the basis of important items.

Other cases provided the results of analysis on promoting and impeding factors in the summary, although the main text mentioned no such thing. It is necessary to ensure consistency between the main text and the summary.

Some reports contained a large number of supplementary documents as attachments, such as the list of participants in the seminar, while the main text itself was short. There were many attachments that were not referred to in the main text and seemed to be unnecessary. A line-up of facts and lists that seem to be unrelated to the evaluation or analysis should be excluded from the report, and instead should be included only in a CD-ROM.

In sum, what is most important about the report writing is that it be easy to read, especially for the general public. In areas such as basic research and medicine, in particular, when an achievement is made in an experiment, it becomes more understandable to non-experts if an additional explanation is given as to how much impact the concerned achievement has in a broader perspective. For example, success in the cultivation of a microorganism is the first step toward the development of a drug for early detection of a disease. Furthermore, it becomes more understandable if the report states how long it would take for the development of drug from the cultivated microorganism.

9) Role of Terminal Evaluation and Secondary Evaluation

The purpose of evaluation is first to confirm the facts and make a judgment about the success or failure of each fact that follows. In the case where only a judgment is mentioned with insufficient confirmation of the facts, the issue is whether or not the reader will believe the content. If the facts are accurately confirmed, the reader will be able to make a judgment different from that of the report about the facts.

First of all, it is important in terminal evaluation to accurately understand the achievements of the project purpose and the process that leads to the achievements. After confirming a fact,

judgment should be made about the fact, followed by a confirmation of the implementing system of the partner country, a discussion of future support systems, and a compilation of recommendations and lessons.

When conducting the secondary evaluation, if facts have been sufficiently established at the time of terminal evaluation, the secondary evaluators are able to make judgments based on the facts of the terminal evaluation report, thus allowing them to compare their judgments with those of the primary evaluators.

1-3 Project Evaluation by Secondary Evaluators Based on Terminal Evaluation Reports

(1) Summary of the Secondary Evaluation of Projects

We conducted the secondary evaluation on 28 projects evaluated in fiscal 2004 and 17 projects in fiscal 2005 using the terminal evaluation reports from the perspective of the five DAC Evaluation Criteria. Figure 4-11 shows the result of the project evaluation gleaned from the reports by the secondary evaluators.

All the average scores for the projects are in the 3-point range, being above the level of "average." Among the five evaluation criteria, the average scores for "relevance" was the highest at 3.4 points, while the average scores for "efficiency" and "impact" are relatively low at 3.1 points or lower.

Figure 4-12 illustrates the distribution of scores for the project evaluation. All of the scores for "relevance" are over 2.5 points, including some at 4.0 points and higher. Most of the scores are clustered between 3.5 and 3.99 points with a small variance and generally in the higher range. The scores for "effectiveness" and "sustainability" are evenly clustered between 2.0 and 3.99 with some given 4.0 points or higher. No more than 4.0 points are given to "efficiency," and although some fall in the range of 3.5 and 3.99, most scores fall in the range of 2.5 and 3.49, showing relatively low ratings. As for the scores for "impact," some are in the 1-point range and none are 4.0 points or higher, showing low ratings.

(2) Project Evaluation from Viewpoints for Each Criterion

We conducted secondary evaluation from various viewpoints for the five evaluation criteria based on the information obtained

Figure 4-11 Project Evaluation by Secondary Evaluators

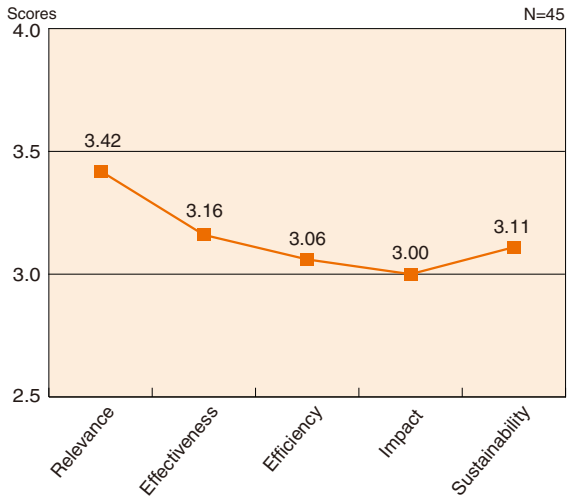


Figure 4-12 Distribution of Evaluation Scores for Projects by Secondary Evaluators

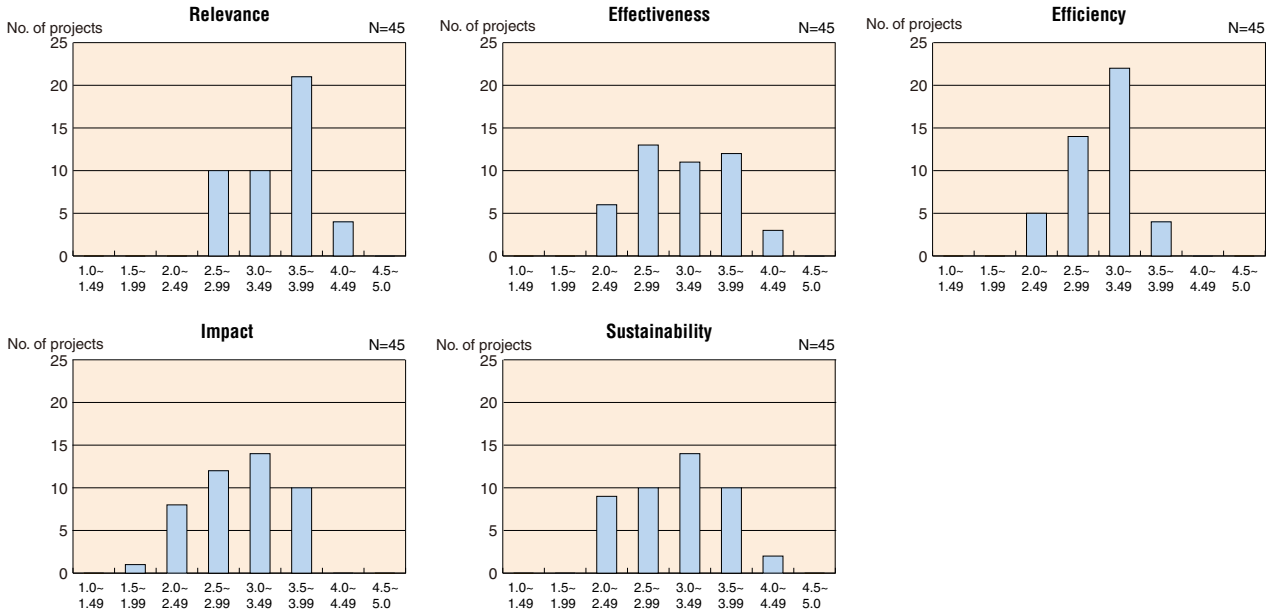
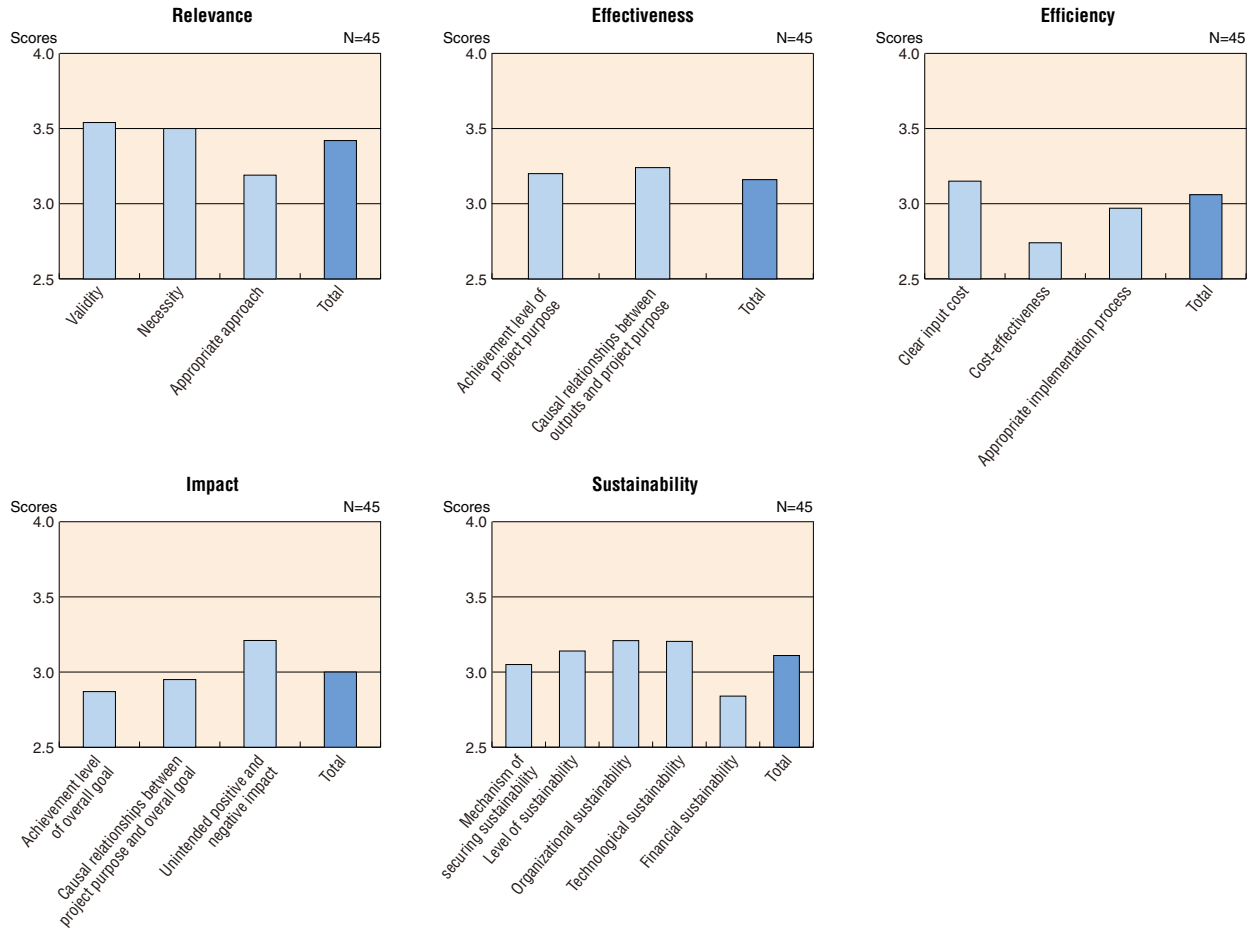


Figure 4-13 Project Evaluation by Secondary Evaluators: Viewpoints (Average Scores)



from the reports. Figure 4-13 shows the average scores for the viewpoints.

1) Relevance

The average scores for all the viewpoints of "relevance" are high. Among the three viewpoints, the average scores for "validity" and "necessity" of project implementation are high with more than 3.5 points. The average score for "appropriate approach" as to whether the approach was appropriate and effective for achieving project purposes is 3.2 points, relatively lower than those for other viewpoints.

A project that implemented drug control targeting five countries were evaluated high not only on "validity" and "necessity" but also on "appropriate approach" because of the good design of the project implemented as regional cooperation. On the other hand, the projects that aimed to improve cattle hygiene or develop rural infrastructure were evaluated somewhat favorably on "validity" of the project purpose and "necessity," while they were rated low on "appropriate approach" based on the conclusion that the approach of enhancing the research institute or technical center to achieve the project purposes was not appropriate.

2) Effectiveness

In the criterion of "effectiveness," "achievement level of project purpose" and "causal relationships between outputs and projects purpose" received a relatively high average score of around 3.2 points.

Those projects in which indicators for the achievement of purposes were all achieved and the outputs led to outcomes were evaluated high on "effectiveness." However, a project was evaluated low on "effectiveness" if the external factor of delayed dispatch of experts due to late visa issuance failed to achieve the outputs, resulting in the project purposes not being achieved.

3) Efficiency

In the criterion of "efficiency," the average score for "clear input cost," a viewpoint to measure if the input cost, for example, for the purchase of equipment and dispatch of experts was made clear, is relatively high with 3.2 points. However, the score for "cost-effectiveness," to see if efforts to achieve more effects with lower costs were made, is low with 2.8 points, which is the lowest rating of all the viewpoints under all the evaluation criteria.

The projects that were evaluated high on "efficiency" made efforts to reduce costs through local procurement of equipment, maintain consistency in technical transfer through training by short-term experts to their counterparts at the agencies where they work, and save costs through utilizing the equipment and facilities on the side of the partner countries. On the other hand,

some projects were evaluated low, because "although a very expensive compost plant was constructed, it is not utilized well" and that "dispatch of experts and counterparts was delayed."

4) Impact

Among the three viewpoints under the criterion of "impact," the average score for "achievement level of overall goal" to see if the planned effects were achieved or likely to be achieved through the achievement of project purposes was the lowest at 2.9 points. On the other hand, average score for "unintended positive and negative impact" to see an emergence of unintended impact such as economic impact on policies, target society and beneficiaries, and gender equality was the highest at 3.2 points.

One of the projects that was evaluated high on "impact" achieved its project purpose of establishing a housing evaluation system, producing impacts such as increased supply and demand for good housing, and resulted in unintended impacts; for example, a movement to establish a technical standard for housing parts that were introduced by the implementation of the project emerged and the local government started to establish an implementing agency for the national implementation of the system.

5) Sustainability

Most viewpoints were more than 3.0 points on the average. Among the three viewpoints in relation to the establishment of a mechanism for securing sustainability, the average scores for "organizational sustainability," which concerns the organizational capability of securing sustainability, and "technological sustainability," which measures whether the techniques and skills obtained through a project are maintained or expanded, are relatively high at 3.2 points. On the other hand, the average score for "financial sustainability," which questions if any measures were taken to secure budgets, is 2.8 points, which is the lowest among all the viewpoints under "sustainability."

In a project aimed at improving the regional medical care system, most counterparts who received technical transfer continue to be involved in the activities. The project was evaluated high on "sustainability" because transferred technology can be maintained and managed, the implementation organization has sufficient capabilities to maintain and develop the effects of the project, and reliable political and financial support were obtained.

(3) Analysis by Viewpoint for Relevance

When looking at project implementation chronologically, a project is started with the relevance of the project examined. Let's take a look at the connection between the relevance evaluated at the beginning of a project and the subsequent implementation process and outcomes.

Table 4-7 illustrates the correlation between the scores for the viewpoints in the criterion of "relevance" and those for viewpoints and evaluation criteria of "effectiveness," "efficiency," "impact," and "sustainability." It is clear that viewpoints for relevance have a high level of correlation with the scores for evaluation criteria of "effectiveness," "efficiency," and "sustainability," with the highest level of correlation with "impact." "Relevance" is evaluated from the three viewpoints of "validity," "necessity," and "appropriate approach." Of these, "appropriate approach" has the highest correlation to other evaluation criteria in the ratings, especially to "achievement level of project purpose" and "causal relationships between outputs and project purpose" for "effectiveness," "achievement level of overall goal" and "causal relationships between project purpose and overall goal" for "impact," and "level of sustainability" and "organizational sustainability" for "sustainability."

Therefore, it can be concluded that "appropriate approach" for "relevance" in the project is highly related to the emergence of

Table 4-7 Correlation between Relevance and Other Four Criteria

Evaluation Criteria/Viewpoints		Relevance			
		Validity	Necessity	Appropriate Approach	Overall Rating
Effectiveness	Achievement level of project purpose	0.330 *	0.424 **	0.647 **	0.549 **
	Causal relationships between outputs and project purpose	0.545 **	0.624 **	0.674 **	0.626 **
	Overall rating	0.471 **	0.525 **	0.725 **	0.632 **
Efficiency	Clear input cost	0.392 **	0.455 **	0.448 **	0.473 **
	Cost-effectiveness	0.334 **	0.495 **	0.480 **	0.522 **
	Appropriate Implementation process	0.390 **	0.499 **	0.589 **	0.613 **
	Overall rating	0.405 **	0.497 **	0.627 **	0.621 **
Impact	Achievement level of overall goal	0.517 **	0.544 **	0.697 **	0.696 **
	Causal relationships between project purpose and overall goal	0.580 **	0.538 **	0.645 **	0.647 **
	Unintended positive and negative impact	0.429 **	0.447 **	0.580 **	0.625 **
	Overall rating	0.586 **	0.632 **	0.738 **	0.786 **
Sustainability	Mechanism of securing sustainability	0.475 **	0.559 **	0.599 **	0.624 **
	Level of sustainability	0.532 **	0.588 **	0.671 **	0.666 **
	Organizational sustainability	0.454 **	0.518 **	0.622 **	0.632 **
	Technological sustainability	0.262	0.402 **	0.464 **	0.361 *
	Financial sustainability	0.426 **	0.438 **	0.488 **	0.481 **
	Overall rating	0.449 **	0.544 **	0.558 **	0.604 **

*Correlation is shown at 5% of significance level.
**Correlation is shown at 1% of significance level.

project outcomes and sustainability and also it is important to select appropriate means and methods in implementing a project.

(4) Project Evaluation by Sector

Projects are implemented across a variety of sectors. The evaluation target can be categorized: 24 projects in the sector of social development, seven in agricultural development, six in forest and natural environment, six in health and medical care, and two in mining and industrial development. The projects in social development include human resources development, rural development, and pollution prevention. Agricultural development includes agriculture promotion, rural environment conservation, and enhancement of a veterinary research institute. The projects in forest and natural environment include forest fire prevention, water management improvement, and afforestation techniques for degraded area. The projects in heath and medical care include regional medical care improvement, maternal and child health, and medicine management. The projects in mining and industrial development include energy control.

Figure 4-14 and Table 4-8 illustrate the project evaluation by sector. Although the number of projects evaluated varies from sector to sector, the evaluation results exhibit differences by sector. All the average scores for each evaluation criterion in the sectors of social development, health and medical care, and mining and industrial development, are more than 3.0 points, achieving the level of "average" or higher. A similar evaluation tendency is observed among social development, health and medical care, and mining and industrial development, with relatively lower scores given for "effectiveness," "efficiency," and "impact" as compared to "relevance" and "sustainability."

As for the projects in health and medical care, Project for Development of Trauma Center Complex in Thailand, was a technical cooperation project aimed at establishing a model for trauma prevention in line with the actual conditions of local cities in order to enhance the care and prevention of trauma caused by traffic accidents. The regional emergency system was established earlier than the national system, resulting in a lower death rate by traffic accident. As impacts from the project, hospitals in areas other than the target area started to refer to the project activities and emergency life guards who were trained and recruited through the project obtained national accreditation. The average score for "relevance" of this project is 4.1 points; for "effectiveness," "efficiency," and "impact" they are all 3.8 points or higher, and for "sustainability" the score is 3.5, resulting in a very high rating.

In contrast, in the sectors of agricultural development and forest and natural environment, the average scores for many evaluation criteria show a similar tendency, falling in the range from 2.0 to less than 3.0. In those sectors, the average scores for "impact" and "sustainability" are lower than those for "relevance," "effectiveness," and "efficiency." As clearly shown in Table 4-8, the average scores in the sectors of rural development and forest and natural environment are lower than those in the sectors of social development and health and medical care, showing significant difference. The tendency of average scores being generally lower in the sectors of agricultural development and forest and natural environment than those in the other sectors was also observed in the results of the secondary evaluation in fiscal 2005.

The evaluation on six projects in the forest and natural environment sector shows a variance. The Forest Fire Prevention Management Project (Phase 2) in Indonesia was a technical cooperation project that set the project purpose as conducting forest fire prevention management activities in order to protect national parks from forest fires. In the project, the comprehensive forest fire prevention management model was about to be completed at the target national park. The total average score for the five evaluation criteria for this project is 3.4 points, with all the average scores for every criterion at 3.2 points or higher, including the average scores for "effectiveness" and "sustainability" at 3.7, resulting in a high rating. On the other hand, total average scores of four projects in the sector are 2.8 points or lower. The lowest score in overall evaluation was given to Technology Development for Revegetation and Utilization of Degraded Areas in the Semi-arid Region of the Northeastern Brazil, whose project purpose was the recovery of degraded area and prevention of desertification. Due to a significant delay in dispatching experts, the project purpose has not been achieved and it is now difficult to forecast the achievement of the overall goal. The average scores for all the evaluation criteria for this project are in the 2-point range.

Figure 4-14 Evaluation by Sector (Average)

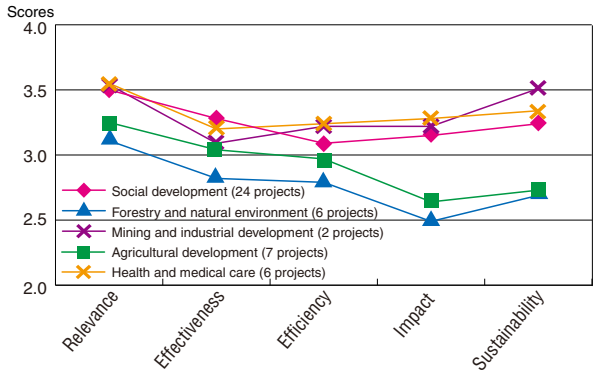


Table 4-8 Evaluation by Sector (Average)

	Social Development	Health and Medical Care	Mining and Industrial Development	Agricultural Development	Forestry and Natural Environment	Difference in Average Scores
Relevance	3.50	3.55	3.54	3.25	3.11	
Effectiveness	3.28	3.20	3.09	3.04	2.82	
Efficiency	3.09	3.24	3.22	2.97	2.79	
Impact	3.15	3.28	3.22	2.64	2.49	**
Sustainability	3.24	3.34	3.51	2.73	2.69	*
Total	24	6	2	7	6	

*The difference in significance level among sectors is 5% on average.
**The difference in significance level among sectors is 1% on average.

Figure 4-15 Evaluation by Region (Average)

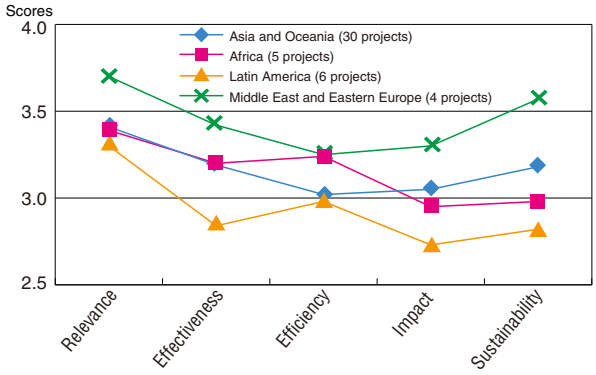


Table 4-9 Evaluation by Region (Average)

	Asia and Oceania	Africa	Latin America	Middle East and Eastern Europe	Difference in Average Scores
Relevance	3.41	3.39	3.30	3.70	
Effectiveness	3.19	3.20	2.84	3.42	
Efficiency	3.02	3.24	2.98	3.25	
Impact	3.03	2.95	2.73	3.30	
Sustainability	3.13	2.98	2.82	3.57	*
Total	30	5	6	4	

*The difference in significance level among regions is 5% on average.

(5) Project Evaluation by Region

Projects are widely implemented across regions. The number of projects subject to the secondary evaluation in fiscal 2006 is 30 in Asia and Oceania, six in Latin America, five in Africa, two in the Middle East, and two in Eastern Europe. As the number of projects in the Middle East and Eastern Europe is small and the mean scores for the evaluation criteria show a similar tendency, these two regions were merged into one group for analysis purposes. Figure 4-15 and Table 4-9 indicate the result of evaluation by region.

As for the average scores by region, "sustainability" was rated higher in the Middle East and Eastern Europe than in Latin America, with a significant difference statistically; however, no significant differences were observed among the regions for the other criteria. However, as evidenced in Figure 4-15, Asia and Oceania, the Middle East, and Eastern Europe show a similar tendency, where "relevance" and "sustainability" were rated relatively high while "efficiency" was rated the lowest of the evaluation criteria. Africa and Latin America also show a similar tendency for the evaluation criteria, where "relevance" and "efficiency" were rated relatively high and "impact" was rated the lowest.

In fiscal 2005, the studied evaluations of the Middle East received low marks for every criterion compared to the other regions, while relatively good marks by Latin America. In fiscal 2006, however, Middle East and Eastern Europe received relatively high ratings as shown in Figure 4-15 as opposed to the results of Latin America.

The projects in Latin America were rated relatively high or low, showing a wider variance among the projects. For example, Development of Method of Research and Education in Electric Field in Mexico was a technical cooperation project aimed at enhancing the capacity of instructors for preparing teaching materials at vocational schools using new electric technologies. The impacts could be observed, for example, where organizations other than counterparts became interested in many applicable teaching materials developed with the advanced technology, and thanks to easier communications with other countries, they are planning the formulation of teaching materials in cooperation with the other countries. This project was rated relatively high, with average scores of 3.2 points or higher. In contrast, in the Improvement of the Small-medium Dairy Farm Management Project in Paraguay, aimed at establishing a dairy management model suitable for the management improvement of small and medium-size farms through dairy farming, the project activities as a target deviated from the original project purpose because the causal relationships between the indicators of the project purpose and the level of achievement were not appropriate. Though the average score for "relevance" of this project are in the 3-point range, the average scores for all other criteria are in the 2-point range. Among the other project studied in Latin America, the above-mentioned Technology Development for Revegetation and Utilization of Degraded Areas in the Semi-arid Region of Northeastern Brazil is included.

Table 4-10 Distribution of the Target Projects by Region and Sector

Sector \ Region	Asia and Oceania	Africa	Latin America	Middle East and Eastern Europe	Total
Social development	18	2	2	2	24
Agricultural development	4	1	2	0	7
Forestry and natural environment	4	1	1	0	6
Health and medical care	3	1	1	1	6
Mining and industrial development	1	0	0	1	2
Total	30	5	6	4	45

Table 4-10 lists the projects based on regions and sectors of the projects. As shown in the table, half of all the projects implemented in Latin America are in the agricultural development and forest and natural environment sectors. The projects in those sectors were rated lower than projects in other sectors as shown in the project evaluation by sector. This likely led to the low overall rating for the Latin America region.

(6) Project Evaluation by Year

Figure 4-16 and Table 4-11 show the changes in average scores for project evaluation by year. As shown in Figure 4-16, all the average scores for all evaluation criteria of projects in fiscal 2004 and 2005 are higher than those in fiscal 2003. Table 4-11 indicates the results of the statistical analysis. There is a statisti-

Figure 4-16 Year-to-Year Changes of Project Evaluation by Secondary Evaluators (Average Score)

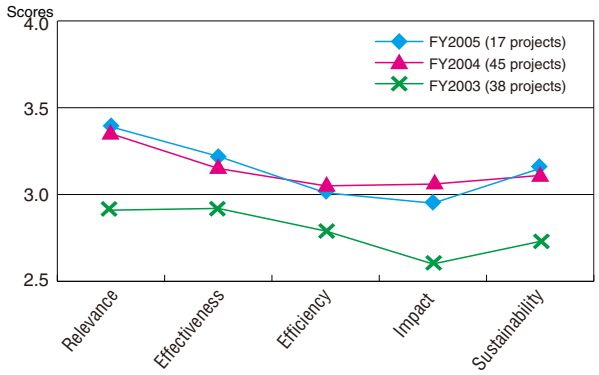


Table 4-11 Year-to-Year Changes of Project Evaluation by Secondary Evaluators (2003-2005)

	Average Score			Difference in Average Scores		
Evaluation Criteria	FY2003 (A)	FY2004 (B)	FY2005 (C)	(B)-(A)	(C)-(A)	(C)-(B)
Relevance	2.91	3.35	3.39	0.44**	0.48**	0.04
Effectiveness	2.92	3.15	3.22	0.23*	0.30*	0.08
Efficiency	2.79	3.05	3.01	0.25**	0.21	–0.04
Impact	2.60	3.06	2.95	0.46**	0.35*	–0.11
Sustainability	2.73	3.11	3.15	0.38**	0.43**	0.05

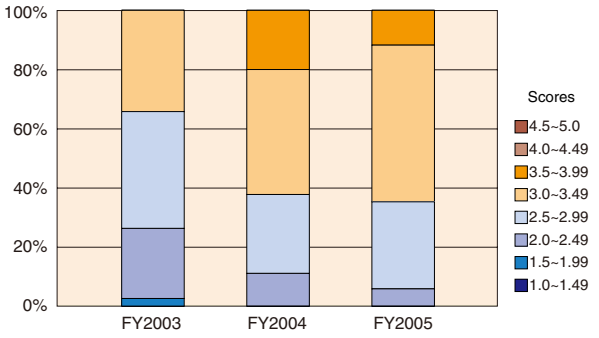
* The difference in significance level between the scores in fiscal years is 5% on average.
** The difference in significance level between the scores of fiscal years is 1% on average.

cally significant difference in average scores for all evaluation criteria between the projects of 2003 and 2004, and the scores of 2004 are rated higher. Comparing the projects in 2003 to those in 2005, the latter are rated higher for all evaluation criteria, and a statistically significant difference can be observed in the scores for "relevance," "effectiveness," "impact," and "sustainability." However, there are no significant differences between 2004 and 2005, which received similar evaluations for all criteria.

In Figure 4-17, the distribution of total scores or the average of all the evaluation scores is projected. As shown on the bar charts, though in 2003, there were projects whose total scores remain in the range from 1.0 to less than 2.0, there are no such projects in fiscal 2004 and 2005. The number of projects that were rated less than 2.5 points is decreasing in fiscal 2004 and 2005, and the ones with more than 3.5 points increased.

The results of last fiscal year's analysis showed that projects

Figure 4-17 Distribution of Total Scores (Average Score)



in fiscal 2004 were rated higher by secondary evaluators than those in fiscal 2003. Comparing the project evaluation between fiscal 2003 and fiscal 2004, similar to the results obtained last fiscal year, projects implemented in fiscal 2004 were rated higher than those in fiscal 2003. The results of this fiscal year show that the scores for the projects in fiscal 2004 and fiscal 2005 are significantly higher than those in fiscal 2003 from a statistical point of view. Last fiscal year's analysis targeted 17 projects in fiscal 2004, while this fiscal year targeted 45 in fiscal 2004, providing steadier results. Although the evaluations are based on the reports, from the above results, it was confirmed that projects in fiscal 2004 were rated higher than those in fiscal 2003.

(7) Evaluations by JICA Headquarters and Overseas Offices, and Introduction of Ex-ante Evaluation

Following the trend of decentralization, JICA has adopted "direct project management by overseas offices" at eight overseas offices on a trial basis since October 2004. Under this system, the overseas offices are entrusted with the authority to carry out the series of operations from project formulation to implementation, and project evaluation. Since April 2005, the number of supervising offices had expanded to 30. Comparing projects managed by the headquarters and those by overseas offices, though there were differences in the evaluation quality of terminal evaluation reports as mentioned in Section 1-2-(5), no differences were observed in the results of the project evaluation gleaned from the reports by secondary evaluators.

In addition, since the projects on which ex-ante evaluations had been introduced will soon be terminated, among the projects studied this year, 12 projects underwent ex-ante examination. No differences between the projects with and those without ex-ante evaluation were observed in the results of the project evaluation by secondary evaluators.

However, the numbers of terminal evaluations is quite limited for direct management projects by overseas offices and projects with ex-ante evaluation, so the analysis result of this fiscal year is far from being definite. In the future, it is expected that the greater the number of terminal evaluations for projects managed by overseas offices and those that underwent ex-ante evaluation, the more stable will be the results obtained.

(8) Macro Factors Affecting Project Outcomes

1) Analysis by Correlation

In the previous section, we made the comparative analysis on evaluation results for various outcome indicators of projects in terms of aid sector and target region. With this analysis, it is clear that the outcomes of projects (results of five evaluation criteria) differ depending on the sector and region. However, they are not the only factors that can affect the outcomes of projects. For example, "project scale" can be such an influential factor. It might be assumed that the larger the project scale, the bigger the impact, which makes it easier to generate outcomes; or, it can be

assumed in an opposite way, this makes it more difficult to maintain project outcomes. The cooperation period can also be a potential factor: assumed that the longer the cooperation period, the easier it is to obtain outcomes. Or, on the contrary, a long cooperation period will make it difficult to facilitate outcomes, which may lead to fewer effects.

The conditions of target countries also affect the facilitation of outcomes. For example, since various physical, technological, and organizational conditions are required to generate project outcomes, it can be assumed that factors such as overall financial strength, organizational management capacity, level of governance and general intellectual standard of the partner country impact the outcomes. It is also assumed that the level of those impacts varies by outcome index. Finally, considering the relations between sector and region and these macro factors, it is also important to decide what really impacts the project outcomes.

Therefore, we will focus on not only "project scale" and "cooperation period," but also "GDP/cap" as an indicator of financial strengths of the partner country, "human development index (HDI)" for the organizational management capacity and level of governance, and "education index" which indicates the general intellectual standard, in order to see the relations with projects. This analysis targeted 60 projects that second evaluators in fiscal 2006 directly assessed (45 newly added in fiscal 2006 and 15 projects as overlaps evaluated in fiscal 2005). As for "project scale" and "cooperation period," the data/information was obtained from the terminal evaluation reports. The values for "GDP/cap," "HDI," and "education index" were taken from the Human Development Report (UNDP, 2006). "Education index" refers to the synthesized index of the adult literacy rate and enrollment rates of primary, secondary, and higher education, and "HDI" is the index synthesizing the average mortality at the time of birth, education index, and GDP. Logarithm natural figures were used for "GDP/cap."

In Table 4-12, the correlations between the scores for the criteria and viewpoints of five criteria evaluation and the above-mentioned factors for 60 projects are indicated. As shown clearly in the table, the scores for "relevance," "effectiveness," "efficiency," and "impact" among the five evaluation criteria are not largely correlated to these factor variants except for a few. In other words, regardless of the conditions of these factors, some projects achieved outcomes while others did not.

On the other hand, when it comes to "sustainability," both the criterion and its viewpoints show some close correlations with external factors that are not in direct relation to projects such as "GDP/cap," "HDI," and "education index." In particular, the criterion and each of the viewpoints have strong correlations with "GDP/cap" and "HDI." Among the viewpoints, technological sustainability, organizational sustainability, and financial sustainability show strong correlations. Because of the strong correlations among "GDP/cap," "HDI," and "education index," it is difficult to determine which is the specific factor that affects the facilitation of outcomes. However, it is obvious that factors such as the financial strength, organizational management capacity, governance and general intellectual standard of the partner country affect sustainability in a broad sense. Also, the result of "sustainability" is convincing enough, because the factor usually

Table 4-12 Correlation between Project Evaluation with Five Evaluation Criteria and Various Factors

Evaluation Criteria		Cooperation Period	Project Scale	GDP/cap	HDI	Education Index
Relevance	Validity	0.157	0.043	0.112	0.137	0.147
	Necessity	0.143	– 0.010	0.171	0.185	0.198
	Appropriate approach	0.081	– 0.031	0.183	0.147	0.078
	Score	0.148	0.044	0.150	0.158	0.123
Effectiveness	Achievement level of project purpose	0.129	0.093	0.025	0.053	0.042
	Causal relationships between outputs and project purpose	0.137	0.121	0.142	0.172	0.161
	Score	0.146	0.105	0.045	0.071	0.053
Efficiency	Clear input cost	0.205	0.190	0.059	0.110	0.274 *
	Cost-effectiveness	– 0.005	– 0.145	0.091	0.124	0.154
	Appropriateness of Implementation process	0.030	0.111	0.159	0.152	0.080
	Score	0.037	0.117	0.198	0.221 +	0.148
Impact	Achievement level of overall goal	0.148	0.117	0.099	0.142	0.093
	Causal relationships between project purpose and overall goal	0.083	0.110	0.215 +	0.202	0.151
	Unexpected positive and negative impact	0.040	0.055	0.141	0.171	0.193
	Score	0.179	0.099	0.168	0.188	0.125
Sustainability	Mechanism of securing sustainability	0.128	0.097	0.252 +	0.252 +	0.186
	Level of sustainability	0.245 +	0.193	0.231 +	0.262 *	0.211
	Organizational sustainability	0.128	0.183	0.358 **	0.339 **	0.291 +
	Technological sustainability	0.240 +	0.228 +	0.403 **	0.407 **	0.399 **
	Financial sustainability	0.129	0.228 +	0.286 *	0.292 *	0.232 +
	Score	0.066	0.131	0.366 **	0.358 **	0.317 *

+Correlation is shown at 10% of significance level.
*Correlation is shown at 5% of significance level.
**Correlation is shown at 1% of significance level.

Figure 4-18 Top 4 Projects

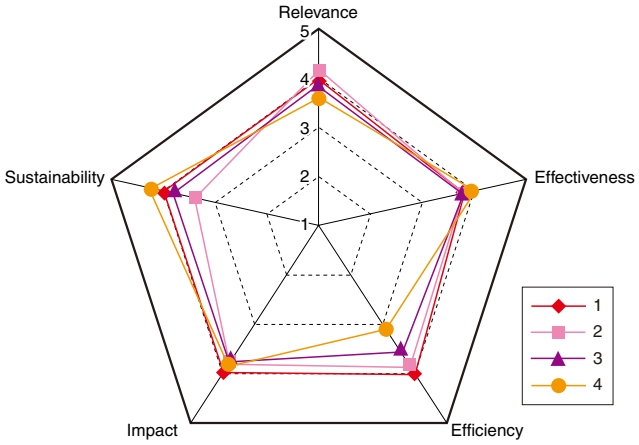
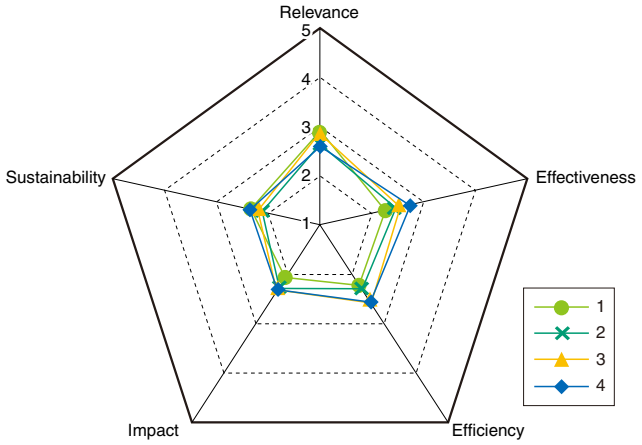


Figure 4-19 Worst 4 Projects



depends on the efforts and systems of the partner country after the project is terminated.

In addition, the fact that one of the viewpoints, "mechanism of securing sustainability," does not have any strong correlation with the external factors compared to other viewpoints can indicate that mechanism of securing sustainability is incorporated into a project under any conditions and at the same time, it can also be concluded that it is difficult to secure sustainability without the external conditions provided.

2) Necessity of Factor Analysis

Many factors other than these above-mentioned factors can affect the project outcomes. In addition to the socioeconomic variants, the political condition is also an important variant. Because these factors are strongly correlated to one another, they have to be considered together to determine the effective factor. In order to stabilize the results, a sufficient number of samples (evaluation results) needs to be collected. This analysis is worth a try when sufficient samples are collected in and after fiscal 2007.

(9) Total Project Evaluation by Secondary Evaluators

Based on the aggregates of scores for the five evaluation criteria, which the secondary evaluators gave by judging from the reports (1 to 5 points), the top four projects and worst four projects were selected from 45 projects in fiscal 2004 and fiscal 2005, all of which were subject to this fiscal year's secondary evaluation. Figure 4-18 and Figure 4-19 indicate the total evaluation

Table 4-13 Differences between Top 4 and Worst 4 (Average Scores)

Evaluation Criteria/Viewpoints		Average Scores		Difference in Average Scores
		Top 4 Projects	Worst 4 Projects	
Relevance	Validity	3.79	3.16	0.62 *
	Necessity	3.81	3.09	0.72 *
	Appropriate approach	3.99	2.44	1.54 **
	Score	3.86	2.73	1.13 **
Effectiveness	Achievement level of project purpose	3.88	2.40	1.48 **
	Causal relationships between outputs and project purpose	3.79	2.88	0.92 **
	Score	3.87	2.51	1.36 **
Efficiency	Clear input cost	3.36	2.61	0.75 *
	Cost-effectiveness	3.07	2.27	0.79
	Appropriateness of Implementation process	3.66	2.46	1.20 **
	Score	3.59	2.37	1.22 **
Impact	Achievement level of overall goal	3.81	2.11	1.70 **
	Causal relationships between project purpose and overall goal	3.75	2.41	1.35 **
	Unexpected positive and negative impact	3.84	2.31	1.53 **
	Score	3.81	2.19	1.62 **
Sustainability	Mechanism of securing sustainability	3.73	2.32	1.41 **
	Level of sustainability	4.01	2.24	1.76 **
	Organizational sustainability	3.90	2.29	1.61 **
	Technological sustainability	3.77	2.59	1.17 **
	Financial sustainability	3.88	2.02	1.86 **
	Score	3.86	2.24	1.62 **

*The difference in significance level between the average scores of the top and worst four projects is 5%.
**The difference in significance level between the average scores of the top and worst four projects is 1%.

scores for those projects in terms of the five evaluation criteria. Table 4-13 compares the average scores for the evaluation criteria and viewpoints for the top four projects and the worst four project group.

As shown in Figure 4-18, Figure 4-19, and Table 4-13, the average overall scores for "relevance," "effectiveness," and "sustainability" of the top project group are around 3.9 points or more, while the average score for "efficiency" are relatively low with 3.6 points, showing a variance in ratings. As for the average overall scores for the five evaluation criteria of the worst project group, "impact" and "sustainability" are rated relatively low while "effectiveness" is rated relatively high, although there is a variance in ratings.

Comparing the differences in average scores between the top project group and the worst project group, there is a statistically significant difference for each evaluation criterion, and the first group is rated higher than the second one. Between the two groups, the difference in average scores for "relevance" is small while that for "impact" and "sustainability" is large.

Next, let's analyze the differences between the "good" projects and the "bad" projects based on each evaluation criterion. Comparing the scores for each viewpoint between the top project group and the worst project group, the average scores for any viewpoint in the criteria for "impact" and "sustainability" is higher in the good project group, and differences in the average scores between both groups are statistically significant. However, as for "relevance," "effectiveness," and "efficiency," a disparity was observed in the differences between both groups in some viewpoints. The difference in average scores for "appropriate approach" in "relevance," "achievement level of project purpose" in "effectiveness," and "appropriate implementation process" in "efficiency" was large between the two groups and the average score for every viewpoint in the top four group is higher.

The highly rated projects received high scores for "appropriate approach" in "relevance," "achievement level of project purpose" in "effectiveness," "appropriate implementation process" in "efficiency," and all the viewpoints in "impact" and "sustainability." Based on these results, it can be assumed that a project is rated high when appropriate means are adopted at the project implementation, the achievement level of project purpose is high, and an appropriate implementation process is adopted so that spreading effects are observed and lead to a high level of sustainability. In other words, it is indicated that approach and methods of project implementation are important factors for the success of a project.

Table 4-14 and Table 4-15 list the top four projects and the worst four projects in the secondary evaluation. The project that received the highest total score is Research of Performance Assessment and Product Certification for Residential Building in China. The construction of residential buildings is in progress in China, which requires quality improvement with the establishment of a performance assessment system for housing and a certification system for the products and promoting a healthy residential building industry in order to develop an ethical and orderly housing market. The project aimed to establish a performance assessment system for housing and a certification system for housing products. A trial performance assessment system was implemented and institutional preparation is almost complete to implement a product certification system; both systems are scheduled to be fully implemented in 2005.

This project received 3.9 to 4.0 points for every evaluation criterion. The reasons for the high rating can be summarized as follows. First, "effectiveness" was rated high, because the establishment of methods for data collection and data examination regarding the safety and comfort level of housing that was achieved as an outcome contributed to the establishment of both of the aforementioned systems. Then, "efficiency" was marked high, because the specialization of dispatched experts and the timing of dispatch were appropriate and the equipment was locally procured. The achievement of the project purpose facilitated the achievement of the overall goal on the one hand, and the concept of "housing projects" consisting of multiple products was introduced and the technical standard of "housing products" was promoted by the project on the other hand, thus generating high "impacts." Likewise, "sustainability" was evaluated high, because the certificate standard established by the project is under consideration to become a national accreditation, and it has been decided that the Chinese counterpart agency of the project will

Table 4-14 Ranking of the Top 4 Projects Rated "Excellent" by Secondary Evaluators

Country	Project Name	Total Score	Fiscal Year of Evaluation
1 China	Research of Performance Assessment and Product Certification for Residential Building	3.95	2004
2 Thailand	Project for Development of Trauma Center Complex	3.78	2004
3 Turkey	Project on Energy Conservation	3.74	2005
4 Thailand	Development of the Method of Urban Development	3.73	2004

Table 4-15 Ranking of the Worst 4 Projects Rated "Poor" by Secondary Evaluators

Country	Project Name	Total Score	Fiscal Year of Evaluation
1 Brazil	Technology Development for Revegetation and Utilization of Degraded Areas in the Semi-arid Region of the Northeastern Brazil	2.33	2004
2 Thailand	A Pilot Project to Construct a Recycling System in Southern Thailand	2.34	2005
3 Viet Nam	Strengthening of National Institute of Veterinary Research	2.48	2004
4 Cambodia	The Capacity Building for the Forestry Sector	2.48	2004

continue to play a leading role in the establishment of both systems.

In contrast, the project that received the lowest total score is Technology Development for Revegetation and Utilization of Degraded Areas in the Semi-arid Region of the Northeastern Brazil. In the semi-arid region of northeastern Brazil, where degraded land is rapidly expanding, this project aimed to develop afforestation technology and promote sustainable cattle production technology utilizing the afforestation technology for the purpose of recovering the degraded areas and preventing desertification. In this project, due to the late issuance of Brazilian visas to the experts, experts were dispatched more than one year after the start of the project. Because of this delay, the project purpose was not achieved and the forecast of the achievement of the overall goal was also difficult. Thus, the extension of cooperation period was recommended.

The highest score that the project received was 2.9 points for "relevance" criterion. The scores for "effectiveness," "efficiency," and "sustainability" were all around 2.3 points, and the one for "impact" did not even reach 2.0. The reasons for the overall low rating can be considered as follows. In terms of "effectiveness," the delay in the dispatch of experts caused another delay in the actual start of the project by more than one year, and as a result, the project purpose was not achieved. In terms of "efficiency," factors such as the delay in the dispatch of long-term experts caused by the external condition of delay in visa issuance, the delay in material and equipment procurement, and insufficient allocation of counterparts decreased efficiency. As for "impact," because the project purpose was only partially achieved, the project was not at the stage of achieving the overall goal. Because the methods for promotion could not be identified, the project could not obtain the emergence of impacts.

(10) Summary of Project Evaluation by the Secondary Evaluators Based on the Reports

"Relevance" of the target projects was generally high and the other factors, "effectiveness," "impact," and "sustainability," achieved a certain level.

When "five evaluation criteria" were examined in terms of viewpoints, the "validity" of project implementation was high in terms of consistency with Japan's aid policies, JICA Country Programs, the development policies of the partner countries, adequacy of the implementation as ODA, and priority of project implementation as cooperation in the partner country and sector. The "necessity" of the project was also high with regards to whether the project is in line with the needs of the target group, area, and society, and whether those needs are still present. On the other hand, the viewpoint of "appropriate approach" was marked relatively low with regards to whether the approach was appropriate as an effective solution to the development issues, whether the approach was appropriate to solve the preset development issue (overall goal), whether the selection of target area and group was appropriate, whether Japanese technology was superior, and whether partnership with other donors and related projects in the partner county was planned and implemented to achieve higher level of outcomes.

As for "efficiency," the viewpoint of "clear input cost" was rated relatively high: the viewpoint asks whether unit costs for purchasing equipment and dispatching experts were clearly presented. On the other hand,"cost-effectiveness" was rated low, less than 3.0 points: this viewpoint questions whether efforts for cutting costs were made (e.g. using local resources), whether there was any alternative means to reduce the cost, whether it was impossible to produce greater achievements at the same costs, and whether the cost-effectiveness was high compared to similar projects of other donors and/or the partner country.

As for "sustainability," what were marked high scores were for the viewpoint of "organizational sustainability," regarding the positioning of activities in the policies and whether organization of the implementing agency was stable enough for continuous effects, and the viewpoint of "technological sustainability," asking whether technology and capacity acquired in the project were maintained and expanded and whether equipment was properly maintained and managed. What was rated low, on the other hand, was the viewpoint of "financial sustainability" regarding whether budget, e.g. operating expenses, was secured, and if the measures for budget were sufficient, with low scores falling below 3.0.

In spite of the limitation described above, when evaluation results were chronologically compared from 2003 to 2005, there were significant differences between 2003 and 2004 and between 2003 and 2005, showing that projects in fiscal 2004 and 2005 are higher in quality than projects in fiscal 2003. Analysis made last fiscal year also showed a significant difference between projects in fiscal 2003 and projects in fiscal 2004. Many projects in fiscal 2004 were evaluated this fiscal year so that it can be concluded that this year's results are more stable and confirmed the results of the last fiscal year. However, no significant differences were observed between fiscal 2004 and fiscal 2005.

When the projects rated generally high and projects rated generally low by secondary evaluators were compared, there was a significant difference in each of the five evaluation criteria. Since the difference is especially large in "effectiveness," "impact," and "sustainability," it is necessary to pay particular attention to these criteria when managing projects.

A comparative analysis was conducted by sector and region. The sectors of social development, health and medical care, and mining and industrial development received relatively higher scores for each criterion. Those three sectors tended to receive relatively lower scores for "effectiveness," "efficiency," and "impact" than those for "relevance" and "sustainability" on average. As for the agricultural development and forest and natural environment sectors, the average scores for most evaluation criteria are in the 2-point range and both sectors tended to receive relatively lower scores for "impact" and "sustainability" than those for "relevance," "effectiveness," and "efficiency" on aver-

age. With regard to regional comparisons, the Eastern Europe and the Middle East region were rated relatively high while Latin America was rated low. There was a similar tendency in the results for the Middle East and Eastern Europe region, and the Asia and Oceanic region. Every evaluation criterion was rated average or higher and "relevance" and "sustainability" were rated relatively high while "efficiency" was rated the lowest. The tendencies for Latin America and Africa were similar, with relatively high scores for "relevance" and "efficiency," while the lowest scores were for "impact." In the comparison by sector and region, only a small number of projects belong to a group sometimes, when projects with extreme outcomes more likely to affect the rating for the whole group. In order to minimize such noise and to obtain stable analysis results, more projects should be subject to the analysis.

When comparing the projects managed by JICA headquarters and those managed by overseas offices, a difference in the evaluation quality of terminal evaluation reports was confirmed, whereas there were no differences in the project evaluation by secondary evaluators. As for projects with ex-ante evaluation and projects without ex-ante evaluation, no differences were observed in the project evaluation by secondary evaluators either. Since the number of projects managed by overseas offices and projects with ex-ante evaluation subject to this year's analysis was quite small, we have to wait for further detailed analysis with more such projects as samples.

Various factors are believed to influence the project outcomes. Among them, "project scale," "cooperation period," "GDP/cap," "HDI," and "education index" were selected to check the correlations among the criteria and viewpoints of the five evaluation. Some viewpoints in the criterion of "sustainability" had a strong correlation with GDP/cap, HDI and education index. Although these factors are external factors, not directly related to projects, it is clear that factors such as financial strength, organizational management capacity, governance, and general intelligence standard affect sustainability in a broad sense. It can be assumed that sustainability strongly depends on the efforts and mechanism of the partner country after the project is completed.

(11) For the Betterment of the Quality of Projects

In sum, some points for improving the quality of projects can be summarized as follows.

1) Appropriate Approach for Project Implementation

A project commences with an examination of the relevance, which is closely related to the subsequent implementation process and outcomes. The project evaluation by secondary evaluators for "relevance" resulted in relatively low scores for the viewpoint of "appropriate approach" compared to those for "validity" and "necessity." However, as discussed in 1-3 (3), there is a strong correlation between "appropriate approach" and project outcomes and sustainability.

It is therefore necessary to select an appropriate approach and method in implementing projects. Appropriate approach and method ensure the achievement of a project purpose, the generation of impacts, and an increase in sustainability, consequently leading to the improvement of quality of the whole project. Examining the appropriateness of approach at ex-ante evaluation is a key to the future success of the project.

2) Clear Causal Relationships between the Project Purpose and Overall Goal

The outcome defined as the overall goal emerges when the project purpose is achieved. However, some projects had weak relationships between the project purpose and overall goal. In order to facilitate the outcome of the overall goal, it is necessary to further clarify the causal relationships among activities, project purpose, and overall goal. It is also important to set an appropriate overall goal in consideration of the fact that the project may lose its direction if the overall goal deviates too much from the project purpose.

3) Setting Indicators and Numerical Targets

Some projects set numerical targets that are unlikely to be achieved; for example, indicators to measure the level of achievement of the project activities and purpose were not set, or no clear numerical targets (parameter) were provided even if the indicators were set. In designing a PDM, it is important to fully examine whether the indicators respond accurately to the activities and purpose. It is also vital to set a numerical target in order to conduct an objective verification.

4) Utilization of PDM

Some projects that utilized the PDM for monitoring purposes were generally rated high at the secondary evaluation. Utilization of PDM enables the concerned parties to be aware of what needs to be done and how in order to achieve the purposes/goals, thus contributing to the facilitation of project outcomes.

5) Better Understanding of PDM among Concerned Parties

It turned out that in some projects there was a discrepancy in understanding with regard to the project purpose between Japan and the counterparts. It is necessary to avoid abstract expressions and use clear wordings in the definition of words used for PDM. It is also necessary for both parties to fully understand the project purpose and process leading to the achievement of the purpose by communicating with each other sufficiently.

6) Response to Changes of External Conditions

In some projects, external conditions such as a change in the political climate of the partner country significantly affected the progress of the project. When a significant change in external conditions is observed, it is necessary to take measures such as significantly modifying the project contents based on the mid-term evaluation instead of continuing the project as it is.

Appendix 1 List of Projects Subject to Secondary Evaluation in Fiscal 2006

Fiscal 2004 (New Targets): 28 projects	
Argentina	Project on Establishment of Control Capacity for Industrial Wastewater and Waste
Bangladesh	Mobile Arsenic Center for Mitigation of the Arsenic Contamination of Drinking Water
Brazil	Technology Development for Revegetation and Utilization of Degraded Areas in the Semi-arid Region of the Northeastern Brazil
Cambodia	The Capacity Building for the Forestry Sector
Chile	The Project on Conservation of the Environment and Rural Development with Farmers' Participation for the Mediterranean Dryland Zone of Chile
China	China-Japan Friendship Project on the National Center for Safety Evaluation of Drugs
China	Human Resource Development Project for Water Resources
China	Research of Performance Assessment and Product Certification for Residential Building
Egypt	The Water Management Improvement Project in the Nile Delta
Fiji	Information and Communication Technologies (ICTs) Capacity Building at the University of the South Pacific
Ghana	Improvement of Educational Achievement in Science, Technology and Mathematics (STM) in Basic Education
Ghana	The Small-scale Irrigated Agriculture Promotion Project (Follow-up)
Hungary	Human Resources Development for Environmental Engineers at the College of Dunaujvaros
Indonesia	Human Resources Development for Local Governance
Indonesia	Strengthening of Polytechnic Education in Electric-related Technology
Iran	Project on the Improvement of Audio-visual Aids and Instruction Methods in Vocational Training at the Instructor Training Center (ICT)
Mexico	Development of Method of Research and Education in Electric Field
Paraguay	Improvement of Small and Medium Scale Dairy Farm Management Project
Philippines	Project for Strengthening of Continuing School Based Training Program for Elementary and Secondary Science and Mathematics Teachers (SBTP-ELSSMAT)
Sri Lanka	Project for Human Resource Development in Information technology through Capacity Building of University of Colombo School of Computing
Thailand	Regional Cooperation Project on Capacity Building of Drug Analysis for Improvement of Drug Law Enforcement in Thailand, Cambodia, Lao P.D.R., Myanmar and Viet Nam
Thailand	Development of the Method of Urban Development
Thailand	Project for Development of Trauma Center Complex
Thailand	The Project on the Practical Energy Management Training Center
Thailand	Project on Local Management Cooperation
Tunisia	The Project for Strengthening of Reproductive Health Education
Viet Nam	Strengthening of National Institute of Veterinary Research
Viet Nam	The Project for Improvement of Cattle Artificial Insemination Technology
Fiscal 2005 (New Targets): 17 projects	
Bangladesh	The Project to Set Up Rural Development Engineering Center
China	Water Environment Restoration Pilot Project in Taihu Lake
Indonesia	The Forest Fire Prevention Management Project (Phase 2)
Indonesia	The Demonstration Study on Carbon Fixing Forest Management
Indonesia	Establishment and Capacity Building of Regional Export Training and Promotion Centers
Kazakhstan	Technical Cooperation for the Improvement of Health Care Services in the Semipalatinsk Region
Laos	Development of Bases to Autonomously Carry out Reading Promotion Project
Malaysia	Project on Networked Multimedia Education System
Myanmar	Project for Primary Health of Mothers and Children
Paraguay	Strengthening Continuing Education in Nursing and Midwifery in the South of the Republic of Paraguay
Philippines	Water Buffaloes and Beef Cattle Improvement Project
Thailand	A Pilot Project to Construct a Recycling System in Southern Thailand
Thailand	The Project on Capacity Building for Environmental Management and Airside Paved-area Maintenance of Suvarnabhumi Airport
Thailand	Development Vocational Opportunities and Creative Activities for People with Disabilities and Commercializing Hill-tribes Peoples' Crafts
Thailand	Project on Developing the Capacity of the Government to Post Evaluate the Externally Funded Project
Tunisia	Project for the Establishment of the Vocational Training Center for the Electric and Electronics Industry
Turkey	Project on Energy Conservation
Both Years as Seam Allowance (2004 and 2005): 15 projects	
Brazil	The Technological Development Project for Sustainable Agriculture in Eastern Amazonia
Chile	Improvement of Productivity for the Small-scale Dairy Farmers Project
China	Anhui Primary Health Care Technical Training Center
China	Research Project on Timber from Man-made Forests
Kenya	Promotion of Sustainable Community Based Small-holder Irrigation
Malaysia	The Project for the Development of Technology Related to the Processing of Feed Based on Agro-industrial By-products of Oil Palms Production (Follow-up)
Malaysia	The Project for Strengthening of Food Safety Programme
Nepal	Community Development and Forest/Watershed Conservation Project (Phase 2)
Senegal	High-level Technician (BTS) Training Project at the Senegal-Japan Vocational Training Center
Philippines	Environmental and Productivity Management of Marginal Soils
Philippines	Promotion of the Ship Inspection System and Technique
Thailand	The Reforestation and Extension Project in the Northeast of Thailand (Phase 2)
Viet Nam	Project on the Improvement of Higher Maritime Education
Viet Nam	The Project for Strengthening Training Capability for Technical Workers in the Hanoi Industrial College
Zambia	Technical and Vocational Training Improvement Project (Aftercare)

Appendix 2

Secondary Evaluation Check Sheet (Fiscal 2006)

Evaluator		Date
Project title		

Rating criteria

1) Rate viewpoints and criteria in green cells and orange cells based on a scale of 1 to 5. [I – III]
5: Sufficient/high
4: Fairly sufficient/high
3: Average
2: Slightly insufficient/low
1: Insufficient/low
*: Cannot tell

2) Rate familiarity in green cells choosing from the dropdown list.

3) Write down highlights and notable points (including good practices) in the space for comment. [I – IV]

I. Preconditions for appropriate evaluation (evaluability)

[Appropriateness of Project Plan (Preliminary Study or PDM)] Whether project plan (preliminary study/PDM) is designed properly?			Rating
Viewpoint	Whether the revised PDM used for the evaluation is a better tool for evaluation than the original. Whether the project purpose in the revised PDM is not set lower than the original.		
[Target Group]			Rating
Viewpoint	The target group, beneficiaries of the project, is clearly and appropriately set.		
[Verifiability of Project Purpose] Whether project output and purpose are set properly in the project plan so as to measure the achievement?			Rating
Viewpoint	The indicators and specific target values (parameter) are clearly defined for each output and project purpose.		
[Verifiability of Overall Goal] Whether the overall goal is set properly in the project plan so as to measure the achievement?			Rating
Viewpoint	The indicators and specific target values (parameter) are clearly defined for overall goal.		
[Logic of Project Design] Whether "activity," "output," "project purpose," and "overall goal" are relevant logically?			Rating
Viewpoint	The PDM for the evaluation sets a clear and realistic hypothesis and logical flow considering important external assumptions.		
[Verifiability of Performance and Implementation Process] Whether project monitoring is conducted and documentation is properly conducted?			Rating
Viewpoint	Monitoring of outputs, activities, and inputs was regularly conducted, and the information including statistical data is accumulated during project implementation.		
Rating	**Comment**		Overall

II. Secondary Evaluation for Each Criterion

1. Evaluation Framework			
[Evaluation Team Composition (Neutrality/Fairness/Expertise)] Whether evaluation team is organized considering neutrality, fairness, and expertise.			Rating
Viewpoint	Whether it is clearly mentioned in the report about the concerns for the neutrality/fairness/expertise of manpower resource. Or, (if not,) based on the information on the evaluation report, judge whether fairness and neutrality are not corrupted, or whether the quality of evaluation is not harmed due to lack of expertise or imbalance of evaluation team composition.		
[Level of Counterpart Participation] Whether the participation of counterpart is sufficient (as an evaluator).			Rating
Viewpoint	Whether there is a concrete description in the report about the sufficient participation of counterpart to evaluation (=engagement with the understanding evaluation method in the series of evaluation activities by project stakeholders or other third company in the counterpart country).		
Rating	**Comment**		Overall

2. Data Collection*1		
[Evaluation Questions] Whether evaluation questions are set properly.		Rating
Viewpoint	Evaluation questions are set in line with evaluation purposes and set properly in the evaluation grid. General questions regarding evaluation criteria are narrowed down to more specific sub-questions to identify necessary information/data to be collected.	
[Appropriateness of Data Collection Methods and Data Sources] Whether methods and resources for data collection are appropriate.		Rating
Viewpoint	Several different data collection methods are used to increase accuracy and reliability of the data/information obtained. The data/information is obtained from a broad range of stakeholders, including the end beneficiary groups.	
[Clarity of Data/Information Sources] Whether the data/information sources are clearly referred.		Rating
Viewpoint	The sources of the data/information are adequately explained in the evaluation report in the forms of references and the lists of interviewees.	
[Sufficiency of Data/Information Obtained] Whether information is sufficiently collected.		Rating
Viewpoint	Data collection is conducted based on the evaluation grid, and the data/information is sufficient to answer the evaluation questions, and additional information/data is gathered for unexpected and newly confronted questions during the evaluation process.	
Rating	**Comment**	Overall
3. Analysis		
3.1 Assessment of Performance and Verification		
[Comprehension and Verification of Project Performance (Outputs)] Whether outputs are comprehended and verified sufficiently.		Rating
Viewpoint	Achievement level of outputs is measured with the target values set by the indicators.	
[Comprehension and Verification of Project Performance (Project Purpose)] Whether the achievement of project purpose is comprehended and verified.		Rating
Viewpoint	Achievement or expected level of project purpose is measured with the target values set by the indicators.	
[Comprehension and Verification of Project Performance (Overall Goal)] Whether the achievement of overall goal is comprehended and verified.		Rating
Viewpoint	Achievement or expected level of overall goal is measured with the target values set by the indicators.	
[Comprehension and Verification of Project Performance (Project Implementation Process)] Whether the implementation process is comprehended and verified.		Rating
Viewpoint	The project implementation process is thoroughly examined, through which impeding and/or promoting factors to achievement of outputs, project purpose, and overall goal are identified.	
[Comprehension and Verification of Project Performance (Qualitative Causal Relationship—Logic of Project Design)]		Rating
Viewpoint	The logic of project design is thoroughly verified, through which impeding and/or promoting factors to achievement of outputs, project purpose, and overall goal are identified*2.	
[Comprehension and Verification of Project Performance (Quantitative Causal Relationship—Before and After)]		Rating
Viewpoint	The causal relationships are thoroughly examined to verify that effects for the beneficiaries have resulted from the project interventions*3.	
Rating	**Comment**	Overall
3.2 Analysis Method		
[Objective Analysis] Whether objective analysis is conducted based on data.		Rating
Viewpoint	The data is objectively analyzed from the facts based on a series of scientific discussions, and an effort is made to quantify the data where feasible.	
[Holistic Analysis] Whether holistic analysis is conducted.		Rating
Viewpoint	The data interpretation is drawn by examination and analysis of various methods and aspects.	
[Analysis of Promoting and Impeding Factors] Whether the analysis of promoting/impeding factors is conducted.		Rating
Viewpoint	Factors that promote and impede effects are adequately sufficiently analyzed in light of the project logic (cause-effect) and the project implementation process (such as project management).	
Rating	**Comment**	Overall

4. Evaluation by Five Criteria*4			
[Five Evaluation Criteria (Relevance)] Whether the evaluation on relevance is sufficient.			Rating
Viewpoint	Perspectives for evaluation of "Relevance" (validity and necessity of a project in light of needs of beneficiaries, project implementation as an appropriate approach to problem solving, consistency of policies, etc.) are sufficiently covered.		
[Five Evaluation Criteria (Effectiveness)] Whether the evaluation on effectiveness is sufficient.			Rating
Viewpoint	Perspectives for evaluation of "Effectiveness" (achievement level of project purpose, causal relationships between outputs and project purpose, etc.) are sufficiently covered.		
[Five Evaluation Criteria (Efficiency)] Whether the evaluation on efficiency is sufficient.			Rating
Viewpoint	Perspectives for evaluation of "Efficiency" (comparison with other similar projects through cost analysis, cost-effectiveness analysis, etc.) are sufficiently covered.		
[Five Evaluation Criteria (Impact)] Whether the evaluation on impact is sufficient.			Rating
Viewpoint	Perspectives for evaluation of "Impact" (achievement level of overall goal, causal relationships between project purpose and overall goal) are sufficiently covered.		
[Five Evaluation Criteria (Sustainability)] Whether the evaluation on sustainability is sufficient.			Rating
Viewpoint	Perspective for evaluation of "Sustainability" (mechanism for securing sustainability and outcomes to be produced in terms of policies and systems, organizational and financial aspects, technical aspects, socio-culture, and environment) are sufficiently covered.		
[Total Evaluation (Conclusion)] Whether conclusion is drawn properly.			Rating
Viewpoint	The conclusion is drawn based on holistic viewpoints that are in turn based on the five evaluation criteria.		
Rating	**Comment**		Overall
5. Recommendations/Lessons Learned*5			
5.1 Recommendations			
[Recommendations (Sufficiency of Recommendations)] Whether recommendations are drawn sufficiently.			Rating
Viewpoint	The recommendations fully consider the impeding/promoting factors identified during the evaluation process.		
[Recommendations (Relevance and Credibility of Recommendations)] Whether recommendations are drawn from the evaluation results and include persuasive contents.			Rating
Viewpoint	The recommendations are based on the information obtained through the process of data analysis and interpretation. As a result, the recommendations are objective and convincing.		
[Usability of Recommendations] Whether recommendations are presented well enough to be applicable for future activities.			Rating
Viewpoint	The recommendations are practical and useful for feedback and follow-ups, with a specific time frame as well as target of responsibility.		
Rating	**Comment**		Overall
5.2 Lessons Learned			
[Lessons (Sufficiency of Lessons Learned)] Whether lessons are fully drawn.			Rating
Viewpoint	The lessons learned fully consider the impeding/promoting factors identified during the evaluation process.		
[Lessons (Relevance and Credibility of Lessons Learned)] Whether lessons are drown from the evaluation result and include persuasive contents.			Rating
Viewpoint	The lessons learned are based on the information obtained through the process of data analysis and interpretation. As a result, the lessons learned are objective and convincing.		
[Usability of Lessons Learned] Whether lessons are presented well enough to be applicable for future activities.			Rating
Viewpoint	The lessons are generalized and conceptualized so that they are widely applicable in the future.		
Rating	**Comment**		Overall

6. Reporting			
[Presentation (Conciseness, Clarity, Clearness)] Whether the report is presented in a concise and clear manner so that the readers comprehend easily.			Rating
Viewpoint	The evaluation report is simple and clear, and understandable to readers—in light of the structure, font, terminology, and data presentation. The PDM is stated in the beginning of the body text. Logical structure and major points are clearly described in an easily understandable manner.		
[Utilization of Tables and Figures] Whether the intentions are presented with tables and figures.			Rating
Viewpoint	Tables and figures are effectively utilized to present statistics and analysis results visually.		
[Presentation of Primary Data] Whether the contents and results of interviews/questionnaires are stated.			Rating
Viewpoint	Sufficient primary data such as those on targets and results of interviews and questionnaires or sources are presented properly in the report.		
Rating	**Comment**		Overall

III. Evaluation of the Project Based on the Report

Fill in comments if there are any external assumptions that might affect the following Five Evaluation Criteria.

1. Relevance (Validity and Necessity for Project Implementation)			
[Validity] Whether there is validity of project implementation.			Rating
Viewpoint	The project is consistent with Japan's aid policies, JICA Country Program, and development policies of the partner country. Its implementation in ODA is relevant. The priority of project implementation is high as cooperation in the partner country and target sector.		
[Necessity] Whether there is necessity of project implementation.			Rating
Viewpoint	The project is in line with the needs of the target group, area, and society. Those needs are still present and logically understood including priority.		
[Appropriate Approach] Whether project design is appropriate.			Rating
Viewpoint	The approach is appropriate to solve the preset development issue (overall goal). The selection of target area and group is appropriate. Japanese technology is superior. To achieve higher level of outcomes, partnership with other donors and the related projects in the partner county is planned and implemented.		
Rating	**Comment**		Overall
2. Effectiveness (Achievement of Project Purpose)			
[Achievement Level of Project Purpose] Whether project purpose is achieved.			Rating
Viewpoint	Project purpose has been (is going to be) achieved.		
[Causal Relationships between Outputs and Project Purpose] Whether cause-effect relationship is strong enough.			Rating
Viewpoint	Project purpose has been (is going to be) achieved as a result of outputs. Important assumptions which might affect the achievement of outputs and project purpose were properly identified. There were special factors which inhibited or promoted effectiveness.		
Rating	**Comment**		Overall
3. Efficiency (Efficiency of Project)			
[Clarity of Input Cost] Whether input cost is comprehended clearly.			Rating
Viewpoint	Unit costs for purchasing equipment and dispatching experts are clearly presented.		
[Cost-effectiveness] Whether utmost efforts are made for cost-effectivess.			Rating
Viewpoint	Efforts to cut down on costs were made (using local resources).There was no alternative means that could have led to the same achievements at lower costs. It was impossible to produce greater achievements at the same costs. Compared to similar projects of other donors and the partner country, the cost-effectiveness was high.		
[Appropriate Implementation Process] Whether the implementation process is appropriate.			Rating
Viewpoint	The inputs were made in a timely manner with appropriate scale and quality.		
Rating	**Comment**		Overall

4. Impact (Expected, Unexpected Effect by the Achievement of Project Purpose)			
[Achievement Level of Overall Goal] Whether planned effect is attained due to the achievement of project purpose.			Rating
Viewpoint	Effects planned in the project (overall goal) have been achieved (or are likely to be achieved based on clear grounds) as a result of achievement of project purpose. Problem-solving for the target project has progressed.		
[Causal Relationships Regarding Impact] Whether there are causal relationships between the project purpose attained and expected effect.			Rating
Viewpoint	Impact was generated as a result of achievement of project purpose. There were special factors that promoted or impeded planned effects including important assumptions.		
[Unexpected Positive and Negative Impact] Whether unexpected positive and negative impacts affect.			Rating
Viewpoint	There are political impacts and economical impacts on the target society, inside the implementing agency, and on the beneficiary. Other impacts on organization, development of related regulation and laws, gender equality, human rights, disparity between rich and poor, peace and war, and environmental protection are present. There are special factors that brought unexpected positive and negative impacts. When there are many unexpected positive impacts, rate 5 and when there is a few, rate 4; when there are many unexpected negative impacts, rate 1, and when there is a few, rate 2; when there are no unexpected impacts, rate 3.		
Rating	Comment		Overall
5. Sustainability (Sustainability after Completion of JICA's Technical Cooperation)			
[Mechanism of Securing Sustainability] Whether mechanism for sustainability are institutionalized through project implementation.			Rating
Viewpoint	Mechanisms and devices for securing sustainability (management capacity of the implementing agency, policy support from the supervising agency, demand for activities of the implementing agency, securing financial basis) were considered in the project.		
[Level of Sustainability] Whether the effects would last after the completion of aid.			Rating
Viewpoint	Effects aimed for in the project (project purpose and overall goal) are (will be) sustained after the termination of cooperation.		
[Organizational Sustainability] Whether there is sufficient capability of organizaion to secure sustainability.			Rating
Viewpoint	The positioning of activities in the policies and organization of the implementing agency is stable enough to conduct activities that will continue effects after the termination of cooperation.		
[Technological Sustainability] Whether there are sufficient skills and techniques to secure sustainability.			Rating
Viewpoint	Technology and capacity acquired in the project are maintained and expanded. Equipment is properly maintained and managed.		
[Financial Sustainability] Whether there is sufficient finance to secure sustainability.			Rating
Viewpoint	Budget including operating expenses is secured. Measures for securing budget are sufficient.		
Rating	Comment		Overall

IV. Familiarity toward the Concerned Project

Prior Information about the Project	Rating
Viewpoint	1. None 2. Little 3. Some 4. Much 5. Substantial
Familiarity with Region	Rating
Viewpoint	1. None 2. Little 3. Some 4. Much 5. Substantial
Familiarity with Expertise	Rating
Viewpoint	1. None 2. Little 3. Some 4. Much 5. Substantial

V. Overall Comment

Notes:

*1 Major data collection methods
1. Literature review
2. Direct observation
3. Questionnaire survey
4. Interview survey
5. Focus group discussion

*2 Qualitative approach to analyze causal relationships
1. Construct information on implementation process from inputs through activities to outputs, and from outputs to objectives
2. Attempt to explain the logical relationship between project implementation and effects
3. Analyze the process to transfer and disseminate technologies through activities
4. Clarify the relationship between project implementation and effects by conducting detailed and in-depth survey of a small target region or small target group (e.g. case study)

*3 Quantitative approach to analyze causal relationships
1. See changes of the target society/ beneficiary after the project
2. Compare the target society/ beneficiary with another society/ beneficiary without the project
3. Combination of 1 and 2 (experimental design method)
4. Combination of 1 and 2 (quasi- experimental design method)

*4 Refer to Chapter 2, Part 3 of the Revised JICA Guideline for Project Evaluation as for the viewpoints regarding five evaluation criteria

*5 Definition of Recommendation and Lessons Learned
Recommendations: include specific measures, suggestions, and advice on a target project for JICA or those concerned in the implementation agencies
Lessons Learned: can be learned through the experience of a target project and fed back to on-going similar projects or to project finding and planning process in the future

Chapter 2 Results of Field Studies Conducted by the Advisory Committee on Evaluation

2-1 Outline of Evaluation Study

(1) Background and Objectives

For the purpose of increasing transparency and objectivity of evaluation results, the Advisory Committee on Evaluation, as part of its activities since fiscal 2003, has evaluated terminal evaluations conducted by JICA (secondary evaluation) to review evaluation quality and improvements.

Secondary evaluation is a scheme in which external experts review the validity of JICA's project evaluation using terminal evaluation reports (evaluation conducted by JICA: internal evaluation) that are open to the public from the same viewpoints and information as the public have. Since its introduction of a secondary evaluation method in fiscal 2003, the committee has kept improving the method through various efforts such as revising the check sheet and discussing differences in evaluation tendencies between internal and external evaluators. Until now, however, it has not been reviewed whether various results of secondary evaluation properly reflect actual situations.

In response to the growing awareness of these issues, discussions within the committee in view of secondary evaluation reached the conclusion that they assess the effectiveness of the secondary evaluation method and provide recommendations based more on actual situations. Finally, it was decided that its members should actually visit project sites to check the facts described in the terminal evaluations, the feedback status of the evaluation results, and the subsequent emergence of outcomes after the evaluation, and then make comparisons with the results of the secondary evaluation in order to examine the appropriateness and effectiveness of secondary evaluation and the status of use of evaluation results.

(2) Evaluation Study Members

For this evaluation study, the sub-working group was set up under the Advisory Committee on Evaluation, consisting of a chairperson and three Committee members, the secretariat of the Japan Evaluation Society, and the Office of Evaluation of JICA. The sub-working group discussed the study methods (framework, viewpoints, and study items) for field studies and analyzed the results of the field studies.

[Kenya] October 29 to November 4, 2006

Hiromitsu Muta: Chairperson of the Advisory Committee on Evaluation (Dean, Graduate School of Decision Science and Technology, Tokyo Institute of Technology)

Field study conducted by the Advisory Committee on Evaluation

Hidenori Nakamura: Secretariat of Japan Evaluation Society

Masahiro Ueki: Office of Evaluation, Planning and Coordination Department, JICA

[Philippines] October 22 to 25, 2006

Atsuko Aoyama: Member of the Advisory Committee on Evaluation (Professor, Department of International Health, School of Medicine, Nagoya University)

Kaoru Hayashi: Member of the Advisory Committee on Evaluation (Professor, Faculty of International Studies, Bunkyo University)

Hidenori Nakamura: Secretariat of Japan Evaluation Society

Masashi Yamamoto: Office of Evaluation, Planning and Coordination Department, JICA

[Laos] October 22 to 27, 2006

Atsuko Isoda: Member of the Advisory Committee on Evaluation (Professor, Kagawa Nutrition University/Vice-President, Japan International Volunteer Center)

Michiko Yamashita: Secretariat of Japan Evaluation Society

Yuichi Ichikawa: Office of Evaluation, Planning and Coordination Department, JICA

* The field study in Laos received the partial participation of committee member Tsuneo Sugishita (Professor, Faculty of Humanities, Ibaraki University), who was visiting the country for other purposes.

(3) Study Items

Based on the background and objectives mentioned in section (1), the following study items were set up to conduct field studies. Prior to the field studies, the evaluation study team conducted secondary evaluation on the evaluation reports of the target projects based on the check sheet of secondary evaluation (fiscal 2006 version). Using these results and the past secondary evaluation results, the evaluation study team made a comparative examination of the findings from the field studies.

(Comparative examination with secondary evaluation results)

- Compare the secondary evaluation results of the target projects with actual situations observed through the field studies, and examine the reason for any discrepancy in evaluation results.

(Check the current situations of the target projects)

- Check how the counterparts have responded to the evaluation results, recommendations, and lessons learned obtained from the terminal evaluation.
- Check whether possible impacts described in the terminal evaluation have been generated and whether sustainability has been maintained.

(Examine improvements in JICA's project evaluation)

- Examine JICA's project evaluation and management based on the actual conditions identified in the field studies.

(4) Target Projects

Seven projects were selected for field studies from among projects on which secondary evaluation was conducted in fiscal 2004 and 2005. The selection was made with the following conditions: a project-level ex-post evaluation was not performed in fiscal 2006 for the purpose of avoiding overlapped evaluation; a subsequent or similar project has been implemented, allowing the interview about the situations during and after the project from relevant stakeholders. In addition, the scores of the past secondary evaluations of the target projects were also considered to be dispersed.

(Two projects in Kenya) Strengthening of Mathematics and Science in Secondary Education Project / Promotion of Sustainable Community Based Small-holder Irrigation

(Two projects in the Philippines) Research and Development Project on High Productivity Rice Technology / The Project for Upgrading Human Resource Development for Air Navigation Systems Specialist at the Civil Aviation Training Center Manila

(Three projects in Laos) Aquaculture Improvement and Extension Project / The Project on Electric Power Technical Standard Establishment / The Forest Conservation and Afforestation Project (Phase 2)

2-2 Study Results

(1) Comparison with the Results of Secondary Evaluation

Since fiscal 2004, the quality of projects based on the reports has been assessed together with the quality of primary evaluation in the secondary evaluation. Accordingly, the field studies also assessed based on these two viewpoints whether the results of secondary evaluation are different from actual situations, and if so what the reasons are for such differences.

The results of the field studies are outlined as follows.

[Study Results]

With regard to the quality of primary evaluation, both comparison of the results of primary and secondary evaluation before the field studies and findings from the filed studies identified no major factors that may cause changes in the value judgments in the secondary evaluation conducted preliminarily. Therefore, it can be concluded that the secondary check on the contents of evaluation reports will enable us to grasp the general tendency of quality of JICA's project evaluation. It should be noted, however, that information available for this study was somehow limited compared to the terminal evaluations as information was collected only one day or so for each project, whereas a field study is usually conducted over a few weeks in terminal evaluation.

With regard to the quality of projects based on the reports, an analysis was made to see whether the secondary ratings on projects based on the terminal evaluation reports in terms of the DAC five evaluation criteria, relevance, effectiveness, efficiency, impact, and sustainability were appropriate compared to the actual conditions. As a result, five out of seven projects were found to be appropriate while the scores for two were considered slightly higher or lower compared with the description of the respective evaluation reports. This indicates that secondary evaluation on the quality of projects based on evaluation reports is also appropriate and the project evaluation through secondary evaluation is also effective.

As mentioned above, the effectiveness of secondary evaluation was confirmed overall, but some problems that need to be improved were observed in individual projects; for example, no reference was made to points that were assessed in past evaluations such as ex-ante and mid-term evaluation; information sources in the evaluation were not identified; information sources were limited to immediate stakeholders of the project and no interviews were conducted with related organizations and beneficiaries; collected data was not appropriately processed; and descriptions in the PDMs are not consistent between Japanese and English. The field studies also revealed that counterparts' opinions were not reflected appropriately in some evaluation results although JICA's project evaluation, including terminal evaluation, shall be conducted jointly with the partner country in principle. For these reasons, the quality of some projects based on the reports was rated lower or higher than the actual situations.

One of the reasons for the discrepancy between the results of secondary evaluation and findings from a field study is that a terminal evaluation report, which will be used for secondary evaluation, is based on the information available a few months prior to the end of the projects. JICA's terminal evaluation, which provides recommendations for project improvements based on the evaluation results, is conducted in this way to set time to respond to the recommendations. At the time of terminal evaluation, naturally a prospective evaluation is performed on effectiveness, impact, and sustainability, which are the degrees of achievement of the project purpose, the relations between the project purpose

and overall goal, and continuity of the activities after the termination of the project, respectively. From the field studies, it was recognized that one project did not actually meet the prospective level of the achievement at the time of the terminal evaluation, though the terminal evaluation concluded it was effective or most likely to generate outcomes.

(2) Current Situations of the Target Projects

Though the primary objective of this study is to examine the effectiveness of secondary evaluation as part of the mission assigned to the Advisory Committee on Evaluation, for the purpose of checking the situations of JICA's project evaluation, this study extends its scope to evaluating how the evaluation results have been utilized, particularly recommendations/lessons obtained from the terminal evaluation, and whether estimates at the time of terminal evaluation was appropriate. It also includes an analysis of impacts that would be achieved within several years after the end of the project and an assessment of the subsequent status of sustainability.

[Study Results]

The field studies found that six projects generally responded with recommendations/lessons obtained from the terminal evaluations and one project failed to do so with many of them. Impacts and sustainability estimated in the terminal evaluations have been mostly realized in two out of seven projects, indicating that the estimates at the time of terminal evaluation was appropriate, whereas impacts and sustainability have not been achieved at the satisfactory level in two projects. For the remaining three projects, which are succeeded by a subsequent project, it is difficult to determine whether the achievement of impacts and sustainability is directly attributed to the target project or to the subsequent one.

The study also looked into the situations of contributing and inhibiting factors that had been analyzed in the terminal evaluations. As a result, contributing or inhibiting factors that were described in the terminal evaluation reports were found to still exist in three projects. Though one of the target projects had received negative evaluation on its sustainability in the terminal evaluation, it experienced drastic positive change in the social environment, such as increasing social demands for the project outputs after the end of the project, thus the counterpart department in charge was upgraded to a ministry with a larger budget allocation. On the other hand, the field studies identified inhibiting factors in three projects, which had not been observed in the terminal evaluations.

(3) Recommendations

1) Improvement of Secondary Evaluation

As for secondary evaluation, effectiveness of the evaluation method has been confirmed in terms of both evaluation of the quality of primary evaluation and project evaluation by secondary evaluators based on primary evaluation reports. Although serious improvements will not be required in this regard, continuous efforts for improvements are preferable in order to draw out more accurate evaluation results.

a. Improvement of Secondary Evaluation Check Sheet

—In order to conduct more accurate secondary evaluation, variance in viewpoints among evaluators should be minimized in the evaluation based on the secondary evaluation check sheet. For example, with regard to "evaluation team composition—impartiality and specialty" under the evaluation criterion of evaluation framework, evaluation depends on the perspectives of the evaluator on project evaluation (internal/external, impartiality/neutrality). To resolve such an issue, terminal evaluation should be clearly defined within JICA and the viewpoints in the check sheet should be defined more clearly in order to avoid the variance of value judgments of second evaluators.

—The environment surrounding JICA's project evaluation has been changing due to the introduction of ex-ante evaluation, concepts about PDM developed for evaluation (PDMe), and projects managed by overseas offices. As more projects are now subject to secondary evaluation with mixed framework before and after the introduction, the check sheet of secondary evaluation needs to be revised appropriately to respond to those situations.

b. Additional Case Analysis for Extracting Good/Bad Practices

—Since the effectiveness of secondary evaluation has been confirmed through the field studies, implementation of field studies in the same way that the study in fiscal 2006 was conducted should not be necessary. However, as a result of secondary evaluation, good or bad practices provide elements that can be utilized to improve future project evaluation and management, such as the writing of evaluation reports and the project management method. Therefore, lessons applicable to other projects can be extracted from additional analysis of several projects picked up from the results of secondary evaluation on what causes the difference in evaluation. This can be realized by referring to additional information on individual projects (implementation study report, midterm evaluation report, and project completion report prepared by the project at its end) as circumstances demand. Efforts should not be limited to the project in question; by comparing the evaluation of one project with the evaluation reports of other projects in a similar sector and referring to the ex-ante evaluation sheet of its subsequent project, the quality of secondary evaluation can be improved.

2) Improvement of Terminal Evaluation (Primary Evaluation)

a. Standardization of Reporting Items of Terminal Evaluation

—The items and amount of information described and the depth of analysis in the terminal evaluation reports vary from report to report. Though the Revised JICA Evaluation Handbook (March 2004) provides a table of contents, from looking at the actual

reports, it seems that the way the background of PDM revisions and monitoring conditions were described is not uniform across the reports. In order to overcome this problem, the evaluation system requires further improvements; for example, the standardization of reporting items, their contents, and quantity should all be properly known to the project implementation department, and the evaluation and monitoring division should further commit itself to equalizing the overall quality of project evaluation. Moreover, the quality management of evaluation by the project implementation departments themselves can be enhanced, for example, by making a check list of items that should be described in an evaluation report while referring to the efforts on secondary evaluation made by the Advisory Committee on Evaluation to see whether necessary information is included, and, if it is not, whether a reasonable explanation is provided as to why it is not included can be checked before releasing the report.

—JICA's evaluation consists of ex-ante, mid-term, terminal, and ex-post evaluation and the report for each evaluation is made independently in each project. The focus on reporting is different depending on the type of evaluation. Within JICA, these reports are utilized as basic information in the subsequent evaluations, but the general public is less likely to review a series of evaluation reports from ex-ante to ex-post. Therefore, brief descriptions of the past evaluation results are needed.

b. Description of Follow-ups

—Terminal evaluation is conducted a few months prior to the end of a project so that the project can be improved based on the evaluation results before it ends. Accordingly, effectiveness, which represents the degree of achievement of the project purpose, and impact and sustainability after the project, are usually estimated, leading to unclear status of eventual achievements at the end of the project in many cases. Therefore, additional descriptions should be provided on the degree of achievement of each item and follow-ups, such as measures for areas yet to be achieved, items concerned, and problems based on the situation when the terminal evaluation reports are being compiled.

—Contributing and inhibiting factors, which may change from the time of terminal evaluation due to changes in the situations of the partner country, need to be reviewed in ex-post evaluation.

3) Improvement of Project Management

a. Adopting Program Approach

—When assistance is provided continuously over phases for one implementation agency, it is difficult to determine the effects of each phase after the project is terminated. Also, many projects are implemented in combination with grant aid and yen loans, not independently, and in that case it is difficult to evaluate the effects of technical cooperation alone. In formulating a project plan, therefore, the overall goal should be set first with consideration given to the impact on the overall sector in the partner country, and then the impacts should be considerd as a program, including other projects (yen loans, etc.) in the same or related sector in addition to the effects of the precedent and subsequent projects.

Chapter 3 Improving JICA's Evaluations and Projects (Recommendations)

Hiromitsu Muta
Chairperson of the Secondary Evaluation Working Group
Chairperson of the Advisory Committee on Evaluation

1 Overall Assessment

The Advisory Committee on Evaluation conducted secondary evaluations on terminal evaluations as it did in fiscal 2005, and also carried out field studies on the projects on which terminal evaluations had been performed. The following conclusions are drawn from the analysis results.

Improving the Quality of Evaluations and Evaluation Results

The secondary evaluation of this fiscal year confirmed that the quality of terminal evaluation reports improved from fiscal 2003 to fiscal 2004 and that the overall project evaluations derived from evaluation reports also improved. Furthermore, a tendency for improvement is observed from fiscal 2004 to fiscal 2005. As pointed out last year, the direct cause of such improvements is assumed to be the revision of Evaluation Guidelines. However, it also may be that a strong move towards improvements in evaluations, which had been the basic cause, supported the improvements.

Confirmation of Effectiveness of Secondary Evaluation by Field Studies

Secondary evaluations are conducted by reading the terminal evaluation reports, or the primary evaluation. However, the question had always been a matter of great interest to the Advisory Committee ever since the Secondary Evaluation was launched three years ago as to whether it was possible to perform appropriate secondary evaluations without visiting the actual project sites. In response to such a question, four members of the Advisory Committee on Evaluation had an opportunity to undertake studies directly on the projects on which terminal evaluations were conducted, by visiting project sites in the Philippines, Laos, and Kenya. The aim was to identify where the difference lies by putting together results from terminal evaluations, secondary evaluations on terminal evaluations, and the field study. As a result, there is no huge difference in general, and the current methods of terminal and secondary evaluations were found to be appropriate. Nonetheless, some projects were evaluated to have insufficient description for terminal evaluations. Specifically, some part of the necessary description is omitted or biased. These issues, as described later, will be solved by improving terminal evaluations.

2 Major Evaluation Results

Items of Terminal Evaluation Report

Secondary evaluation is the evaluation that is conducted based on what is written in terminal evaluation reports; and therefore, no secondary evaluation is possible on what is not written in the report. It is theoretically feasible for secondary evaluators to perform secondary evaluations using various data, including those collected independently, but this is impractical. Considering the fact that the evaluation reports are read not only by secondary evaluators but also by vast numbers of readers who are not directly associated with projects, the evaluation reports should contain "confirmation of facts" as well as "judgment on the facts."

If facts are properly described, the secondary evaluators are able to make judgments based on their own criteria and compare them with the judgments of terminal evaluators. If only judgments are available without a sufficient description of facts, the secondary evaluators do not have any other choice but to believe or not to believe what is written without solid grounds, or take it with a grain of salt. Therefore, it is most important to provide a sufficient description of facts. If any facts are missing or biased, appropriate secondary evaluation cannot be performed. On the contrary, if facts are described appropriately, judgment can be secondarily corrected.

The confirmation of facts should not rely on a particular data source. It is important to devise ways to cross-check the data by collecting as many numerical data and qualitative data from many people, and to obtain information from both successful and unsuccessful cases.

According to on-site interviews during the field survey, some respondents identified the fact that important items had already been contained in previously published reports, such as ex-ante or mid-term evaluation reports, as the reason for not providing them in the terminal evaluation reports. Necessary items are not con-

tained in some terminal evaluation reports since the current style of secondary evaluation was not assumed initially where third party evaluators conduct evaluations by carefully reading terminal evaluation reports alone. However, readers have a practical difficulty when going through every report to find necessary items, which a writer may have written somewhere. In other words, terminal evaluation reports should contain what has been written previously, such as ex-ante evaluation tables, summary of mid-term evaluation reports and important items, though they may overlap. Terminal evaluation reports are essential to conclude all the project activities to maintain a system under which a third-party performs secondary evaluations by reading them.

Timing of Terminal Evaluation and Follow-up of Recommendations

It is important to conduct terminal evaluations when the outcome is observed as much as possible. On the other hand, it is essential to start terminal evaluations at around six months before the termination of the project in order to create a space for efforts to complete the initial plan within the remaining timeframe of the project. Even so, with regard to the recommendations for project team and counterpart government to be completed by the time of the completion of the project, if the outcomes at the time of the completion are reported and are contained in the terminal evaluation report, a third party will be able to understand how the recommendations were executed by the time of the completion. It is a matter of course that this will serve as an important reference when conducting secondary evaluation.

Thus, in order to make the secondary evaluation more effective, it is necessary to secure ways to gain certain understanding from project formulation to onset of outcomes when a terminal evaluation report is read by, for example, providing a quotation or a summary of a passage, even if it is written for other purposes.

Evaluation of Projects Managed by Overseas Offices

A characteristic of the fiscal 2006 analysis is lower secondary evaluation results for the project evaluations conducted by overseas offices than those for conventional evaluations. This is attributed to the method of evaluations and reporting style since there is little difference in the quality of projects but rather in the quality of evaluations. The secondary evaluation basically gives high marks to the quality of evaluation if it is conduced in line with the Evaluation Guidelines, and thus it is assumed that overseas offices did not thoroughly follow the Evaluation Guidelines.

Since the number of projects managed by overseas offices is expected to increase in the future, activities are needed to maintain and improve the quality of evaluation by, for example, providing more training opportunities in evaluation for overseas offices.

Role of Ex-ante Evaluation

The basis for high quality evaluation is to carry out consistent evaluations from ex-ante to mid-term, terminal, and ex-post evaluations. To set specific objectives and indicators in ex-ante evaluation and to continue monitoring towards achieving objectives are effective for compiling high quality evaluation reports, and would ensure bringing about the success of the project itself. Analysis results of this fiscal year cannot conclude that the evaluation results of the projects on which ex-ante evaluations were performed are higher than those on which ex-ante evaluations were not carried out. However, the variations among the evaluation results (the standard deviation) were surely smaller. Ex-ante evaluations were conducted on several projects that were the targets of the fiscal 2006 analysis, but they were still at an incipient stage and the method of ex-ante evaluation made some changes afterwards. Thus detailed analysis is needed in fiscal 2007 and onwards.

3 Toward Further Improvements

The following are the specific items suggested for improvement in this year's analysis.

(1) Improvements in Terminal Evaluation

Relevance

Traditionally, relevance determines whether evaluations are in line with the aid policy of Japan or the development plan of the partner country. The secondary evaluation revealed that "suitability as a means" (a viewpoint of whether the implementation of the project was relevant to the achievement of goals) shows the highest correlation with other evaluation criteria. This supports the common sense idea that a practical project with a solid plan will succeed.

Considering the various unstable conditions in developing countries, it is predicted that a project may not attain its anticipated goals due to accidental factors. Nevertheless, it is still important to plan a realistic and feasible project. It is also necessary to continue to consider the items under relevance.

Efficiency

Efficiency is rated lower than other evaluation criteria every year. Cost must be clarified to evaluate efficiency. However, it is not always easy to specify the necessary cost of a project. In the case where equipment is provided and construction work is carried out, efficiency can be discussed by expressing the cost in market value or by comparing the cost actually incurred with the market value since similar goods and services can be procured in the market. However, in the case of technical cooperation, it is difficult to convert the transferred technology into cost and it is not easy to measure the achievement in terms of monetary value.

That being said, no comparison with other similar projects is possible if it is not known how much resources have been invest-

ed in the project. Thus, it is necessary to start with a complete description of expenses in all projects by specifically stipulating the basic method of presentation; for example, the purchase of goods and services should be expressed in monetary terms and expenses associated with allowances for experts are measured on a man-months basis.

External Factors and Sustainability

Evaluation results of sustainability of projects are found to be closely related to some macro variables. Sustainability maintains the achievement of artificial intervention, or namely, the project. To that end, there must be social capacity in many senses. Lack of social capacity (a certain level of affluence or governance) makes it difficult to attain sustainability. Of course, it depends on the type of project, but generally speaking, when sustainability is difficult, it is even more important to strengthen the efforts towards future sustainability during the project activities.

With respect to sustainability by sector, the scores for agricultural development, and forestry and natural environment are lower than other sectors. It is necessary to investigate whether it is due to the characteristic of the sectors that some time is required until sufficient achievements are observed or it is affected by the region or country where the project is implemented. A continuation of secondary evaluations helps accumulation of data from various aspects of projects, but a continuation of factor analysis is still required to determine what is important to ensure project achievement.

Checklist for Description

A good evaluation report, in principle, is written in line with the Evaluation Handbook. First, in order to collect necessary data at the time of terminal evaluation, it is necessary to compile a checklist of the information to be contained in the terminal evaluation report and assess the evaluation report in accordance with the checklist. When an officer in charge confirms whether necessary data are listed or reasons are given for not listing (not necessary or unavailable information, etc.), and then the evaluation report submitted to the JICA headquarters is re-examined from the same perspective, we can at least avoid the situation where necessary items are not described without a good reason.

Understandable Descriptions

Understandable descriptions with tables and figures are still insufficient. The readers of terminal evaluation reports are not limited to JICA insiders. Reports will be more understandable when consideration is given to the general public as readers.

Integrated Evaluation

When cooperation is continuously carried out by a single implementing organization over several phases, it is difficult to make judgments about the outcomes of cooperation unique to each phase. In some cases, it is not known if any outcomes generated in one project are caused by sustainability of the project or the implementation of the subsequent project. When technical cooperation is implemented in combination with grant aid or yen loan, it is difficult to measure the outcomes of technical cooperation alone. Moreover, some reports did not sufficiently mention related projects. It is necessary to discuss the methodology of how to evaluate these elements. Though it depends on the cases, consideration should also be given to evaluating a series of related projects in an integrated manner.

(2) Improvements in Secondary Evaluation

Presentation of Examples of Evaluation Scale

Secondary evaluation is an evaluation conducted by several experts based on a five-point rating scale for individual viewpoints and scores. The evaluation tendency of individual evaluators must be cancelled out by gathering many secondary evaluations. In reality, however, it is natural to have a certain degree of bias depending on the group of evaluators.

It is thus necessary to devise a way to reduce the difference in scores among secondary evaluators. If an evaluator feels it is difficult to make judgments for secondary evaluation just by reading reports, it means that scoring is difficult due to lack of information. If evaluation is conducted based on scoring standards, the conclusions are easy to come by. Since judgment is easy to make if references are clearly stated, it is necessary to devise ways to present examples of evaluation judgment for each of the five-level scores: for instance; a score of five is given to this case and four to this case, etc. In particular, with respect to an "evaluation framework" for which secondary evaluation scores were low, it is easier to evaluate if there are clear standards in terms of composition of the evaluation team, and the level of participation of the partner country.

Utilization of Field Follow-up Study

The field studies for this year concluded that it is not necessary to conduct terminal evaluations in conjunction with field studies, but this is not to say that field studies are useless. Evaluation from different viewpoints would surely create a new discovery. The question now is whether the discovery is worth the extra work. It certainly carries little meaning if it is only the confirmation of evaluation results. However, if it is conducted to explore factors that contribute to best practices or worst practices, a field follow-up study is significant. It seems difficult, in some cases, to understand in what specific respects a project excels and the background that made it possible from reading terminal evaluation reports alone, in addition to general remarks on whether the project is going well. In that case, it is certainly significant to consult with terminal evaluators or to conduct a field follow-up study, however short it may be, focusing on the viewpoints to be re-evaluated. Furthermore, in the case where drastic changes are made to external factors, such as a regime change, a field follow-up study is meaningful in considering responses in accordance with the current conditions.

List of Evaluations of Individual Projects in Fiscal 2005

●Ex-ante Evaluation (109 Projects)

Project Name	Country/Area	Cooperation Scheme
Asia		
The Study on the Construction of Raichak-Kukurahati Bridge	India	Development Study
The Feasibility Study on the Development of High-Axle Load Multimodal Dedicated Freight Corridors with Computerised Control for Delhi-Mumbai and Delhi-Howrah Rail Routes	India	Development Study
The Study on Public-Private Partnership Scheme Plan for Development of Trans Java Toll Road	Indonesia	Development Study
Detailed Design Study of North Java Corridor Flyover Project	Indonesia	Development Study
The Program for Strengthening In-service Teacher Training of Mathematics and Science Education at Junior Secondary Level	Indonesia	Technical Cooperation Project
Project for Research and Education Development on Information and Communication Technology in Sepuluh Nopember Institute of Technology	Indonesia	Technical Cooperation Project
Project for Improving Higher Education Institutions through University-Industry-Community Links in Gadjah Mada University	Indonesia	Technical Cooperation Project
The Project for Promotion of the Sustainable Coastal Fisheries	Indonesia	Technical Cooperation Project
Project for Developing the Information System of Small Area Statistics	Indonesia	Technical Cooperation Project
Keeping Peace and Strengthening Integration in Post-conflict Areas	Indonesia	Technical Cooperation Project
The Study on the Reform of Health Care Services in Navoi Region	Uzbekistan	Development Study
Uzbekistan-Japan Center for Human Development (Phase 2)	Uzbekistan	Technical Cooperation Project
Kazakhstan-Japan Center for Human Development (Phase 2)	Kazakhstan	Technical Cooperation Project
Strengthening of Solid Waste Management for the Municipality of Phnom Penh	Cambodia	Technical Cooperation Project
The Project for Improving Science and Mathematics Education at Upper Secondary	Cambodia	Technical Cooperation Project
Legal and Judicial Cooperation for the Bar Association	Cambodia	Technical Cooperation Project
Promotion of Medical Equipment Management System	Cambodia	Technical Cooperation Project
Technical Service Center for irrigation System Project (Phase 2)	Cambodia	Technical Cooperation Project
The Project on Improving Official Statistics	Cambodia	Technical Cooperation Project
Promotion of School Based Management and Capacity Development of Zonal Education	Sri Lanka	Technical Cooperation Project
The Project for Establishment of Japan Sri Lanka College of Technology to Strengthen Technical Education	Sri Lanka	Technical Cooperation Project
Agricultural and Rural Development for Rehabilitation and Reconstruction through Community Approach in Trincomalee	Sri Lanka	Technical Cooperation Project
The Project on the Land Readjustment Promotion	Thailand	Technical Cooperation Project
The Study on Natural Disaster Prevention in Pyanj River	Tajikistan	Development Study
Japan-China Cooperation Center for Meteorological Disasters	China	Technical Cooperation Project
Study on the Improvement of the Rural Pension Insurance System	China	Development Study
Project for Business Human Resource Development	China	Technical Cooperation Project
HIV/AIDS Prevention Project in Gansu Province	China	Technical Cooperation Project
Project for Capacity Building of Reproductive Health and Family Care Service in Central and Western Region	China	Technical Cooperation Project
Hospital Infection Control Project in Guangzhou	China	Technical Cooperation Project
The Study on Water Supply and Sewerage System in Karachi	Pakistan	Development Study
Project for Sustainable Arsenic Mitigation under the Integrated Local Government System	Bangladesh	Technical Cooperation Project
Safe Motherhood Promotion Project	Bangladesh	Technical Cooperation Project
The Project for the Capacity Development of Teaching Staff in the Faculty of Engineering, the National University of Timor-Leste	Timor-Leste	Technical Cooperation Project
The Study for Mapping Policy and Topographic Mapping for Integrated National Development Plan	Philippines	Development Study
The Feasibility Study on the Development of Road Ro-Ro Terminal System for Mobility Enhancement	Philippines	Development Study
Enhancement of Hydrographic Capabilities for Navigational Safety	Philippines	Technical Cooperation Project
The Project for Strengthening the Flood Management Function of DPWH	Philippines	Technical Cooperation Project
Maternal and Child Health Project	Philippines	Technical Cooperation Project
Strengthening Local Health System in Benguet Province	Philippines	Technical Cooperation Project
Capacity Development Project on Water Quality Management	Philippines	Technical Cooperation Project
The Project for Capacity Development of ODA Management	Viet Nam	Technical Cooperation Project
Capacity Building of HCMUT to Strengthen University-Community Linkage	Viet Nam	Technical Cooperation Project
Project for Enhancing Functions of Agricultural Cooperatives	Viet Nam	Technical Cooperation Project
Capacity Development for HIHE to Control Emerging and Re-emerging Infectious Diseases	Viet Nam	Technical Cooperation Project
Fundamental Technology Transfer Project for Measles Vaccine Production	Viet Nam	Technical Cooperation Project
Project for Improvement of Productive Technology in Small and Medium Scale Dairy Farms	Viet Nam	Technical Cooperation Project
Viet Nam-Japan Human Resources Cooperation Center (Phase 2)	Viet Nam	Technical Cooperation Project
Implementation Support for 3R Initiative for a Sound Material-cycle Society in Hanoi	Viet Nam	Technical Cooperation Project
Master Plan Study on Strategic Agricultural and Rural Development Plan	Myanmar	Development Study
Teaching Methods Improvement Project towards Children's Development	Mongolia	Technical Cooperation Project
The Project for Strengthening Human Resources Development of Nursing/Midwifery	Laos	Technical Cooperation Project
Project for Improvement of Meteorological and Hydrological Service	Laos	Technical Cooperation Project
Lao-Japan Human Resource Cooperation Center (Phase 2)	Laos	Technical Cooperation Project
Latin America		
The Study on the Formulation of Geographic Data Base of the Principal Cities in the Atlantic Coast	Colombia	Development Study
Project for Strengthening the National Food Safety Program	Chile	Technical Cooperation Project
The Study on Capacity Development for the Effective Management of Sustainable Development Programme in the Border Region Development	Dominican Republic	Development Study
The Project of the Capacity Development for Improvement of Livestock Hygiene in the Southern Part of South America through Regional Technical Cooperation	South America	Technical Cooperation Project
Study and Valuation to Promote Biodiversity Conservation in Forest Reserves in Peninsula of Azuero	Panama	Technical Cooperation Project
Project for Improvement of School Management	Paraguay	Technical Cooperation Project
Sustainable Use of Forest Resources in Estuary Tidal Floodplains in Amapa	Brazil	Technical Cooperation Project
The Study on Preventive Measures against Road Disasters on Main National Roads	Bolivia	Development Study
The Improvement of Teaching Method in Mathematics (Phase 2)	Honduras	Technical Cooperation Project
Strengthening of Air Monitoring Program	Mexico	Technical Cooperation Project

Project Name	Country/Area	Cooperation Scheme
Europe		
The Study on the Development Plan for Sewerage System and Sewerage Treatment Plant for Greater Tirana	Albania	Development Study
Integrated Water Management	Bulgaria	Development Study
Oceania		
Project for Strengthening Long Distance Education	Paupa New Guinea	Technical Cooperation Project
Middle East		
Inter-Communal Rural Development Project	Afghanistan	Technical Cooperation Project
The Project on Support for Expansion and Improvement of Literacy Education	Afghanistan	Technical Cooperation Project
The Study on Groundwater Resources Potential in Kabul Basin	Afghanistan	Development Study
The Study for the Water Resources Management and Rural Water Supply Improvement	Yemen	Development Study
Empowering People with Disability through Community Development in the Sharqiya Governorate	Egypt	Technical Cooperation Project
The Regional Environmental Management Improvement Project	Egypt	Technical Cooperation Project
Strengthening Reproductive Health Project	Syria	Technical Cooperation Project
The Study on Sewerage System Development	Syria	Development Study
The Study on Master Plan of Quality/Productivity Improvement	Tunisia	Development Study
The Study on Integrated Urban Transportation Master Plan for the Istanbul Metropolitan Area	Turkey	Development Study
Improving Reproductive Health with a Special Focus on Maternal and Child Health	Palestine	Technical Cooperation Project
The Project for Capacity Development on Solid Waste Management in Jericho and Jordan River Rift Valley	Palestine	Technical Cooperation Project
Integrating Health and Empowerment of Women in the South Region Project	Jordan	Technical Cooperation Project
Capacity Development Project for Non Revenue Water Reduction	Jordan	Technical Cooperation Project
Africa		
Project for Irrigation Farming Improvement	Ethiopia	Technical Cooperation Project
Strengthening Infectious Disease Prevention, Control and Response in Amhara Region	Ethiopia	Technical Cooperation Project
The Study on Promotion and Development of Local Industries	Ghana	Development Study
Project to Support the Operationalization of the In-service Training Policy	Ghana	Technical Cooperation Project
Project for the Scaling up of Community Based Health Planning and Services Implementation in the Upper West Region	Ghana	Technical Cooperation Project
Technical and Vocational Education and Training Support Project	Ghana	Technical Cooperation Project
Tourism Development Project through Strengthening Public Private Partnership	Ghana	Technical Cooperation Project
The Regional Development Programme in Nyando District and Homa-Bay District	Kenya	Development Study
The Study on Integrated Flood Management for Nyando River Basin	Kenya	Development Study
Master Plan Study for Kenyan Industrial Development	Kenya	Development Study
Community Agricultural Development Project in Semi-arid Lands	Kenya	Technical Cooperation Project
The Project for Promotion of Sustainable Small-holder Irrigation and Drainage Development	Kenya	Technical Cooperation Project
Smallholder Horticultural Empowerment Project	Kenya	Technical Cooperation Project
Blood Safety Project	Kenya	Technical Cooperation Project
Integrated HIV and AIDS Care Implementation Project at District Level	Zambia	Technical Cooperation Project
Children and Youth Development Project in Kambia District	Sierra Leone	Development Study
Agricultural Development Project in Kambia District	Sierra Leone	Technical Cooperation Project
Study for the Reinforcement of Decentralization of the Education Administration	Senegal	Development Study
The Study on Groundwater Resources Development and Management in the Internal Drainage Basin	Tanzania	Development Study
Project for Institutional Capacity Strengthening for HIV Prevention	Tanzania	Technical Cooperation Project
The Study on Improvement Opportunities and Obstacles to Development Planning Process	Tanzania	Development Study
Capacity Strengthening of Labour Based Technology Training at ATTI	Tanzania	Technical Cooperation Project
The Study on Community Development around the Sudanese Refugee Camps	Chad	Development Study
The Study on Sahel Oasis Development	Niger	Development Study
Institutional and Human Resource Development Project for One Village One Product	Malawi	Technical Cooperation Project
Technical and Financial Assistance in Support of Physical Assets Management Programme	Malawi	Technical Cooperation Project
Development of Smallholder Irrigation Schemes Technical Cooperation Project	Malawi	Technical Cooperation Project
The Study on Sustainable Rural and Agricultural Development in Kigali Ngali Province	Rwanda	Development Study

● Mid-term Evaluation (24 projects)

Asia		
The Project on Enhancement of Civilian Police Activities	Indonesia	Technical Cooperation Project
Establishment and Capacity Building of Regional Export Training and Promotion Centers	Indonesia	Technical Cooperation Project
The Project for Prevention of Diarrheal Diseases (Phase 2)	India	Technical Cooperation Project
Supporting Gender Mainstreaming	Cambodia	Technical Cooperation Project
ASEAN University Network/Southeast Asia Engineering Education Development Network	Thailand	Technical Cooperation Project
Asia-Pacific Development Center on Disability	Thailand	Technical Cooperation Project
Sewage Works Technology Center	Thailand	Technical Cooperation Project
Philippine Coast Guard Human Resource Development	Philippines	Technical Cooperation Project
Quality Tuberculosis Control Programme	Philippines	Technical Cooperation Project
Improvement of Port Management System	Viet Nam	Technical Cooperation Project
Project for Strengthening the Food Industries Research Institute	Viet Nam	Technical Cooperation Project
Project for Improvement of environment Protection Technology for Metallurgical Combustion	China	Technical Cooperation Project
Latin America		
Natural Environment Conservation Project in the Iguazu Area	Argentina	Technical Cooperation Project
Urban Planning and Land Readjustment Project	Colombia	Technical Cooperation Project
Water Quality Monitoring Technique	Panama	Technical Cooperation Project
The Project for the Promotion of Self-management Enterprises of Women in Rural Area	Honduras	Technical Cooperation Project
Coastal Wetland Conservation in Yucatan Peninsula	Mexico	Technical Cooperation Project
Europe		
Project on Development of Business Management Skills Training Center for Small and Medium-sized Enterprises Managers	Bulgaria	Technical Cooperation Project
Middle East		
Support Programme for Reintegration and Community Development in Kandahar	Afghanistan	Technical Cooperation Project

Project Name	Country/Area	Cooperation Scheme
Project on Energy Management Promotion	Iran	Technical Cooperation Project
Africa		
Community-based Basic Education Improvement Project	Ethiopia	Technical Cooperation Project
Participatory Forest Resource Management Project in the Transitional Zone	Ghana	Technical Cooperation Project
Strengthening of Mathematics and Science in Secondary Education (SMASSE) (Phase 2)	Kenya	Technical Cooperation Project
Project on Support to the Improvement of School Management through Community Participation	Niger	Technical Cooperation Project

● Terminal Evaluation (73 projects)

Asia		
Integrated Sediment-related Disaster Management Project for Volcanic Areas	Indonesia	Technical Cooperation Project
The Forest Fire Prevention Management Project (Phase 2)	Indonesia	Technical Cooperation Project
Coal Mining Enhancement Project at Ombilin Mines Training College	Indonesia	Technical Cooperation Project
Freshwater Aquaculture Development Project	Indonesia	Technical Cooperation Project
The Demonstration Study on Carbon Fixing Forest Management	Indonesia	Technical Cooperation Project
The Project for Strengthening Decentralized Environmental Management System	Indonesia	Technical Cooperation Project
Establishment and Capacity Building of Regional Export Training and Promotion Centers	Indonesia	Technical Cooperation Project
Uzbekistan-Japan Center for Human Development	Uzbekistan	Technical Cooperation Project
Technical Cooperation for the Improvement of Health Care Services in the Semipalatinsk Region	Kazakhstan	Technical Cooperation Project
Kazakhstan-Japan Center for Human Development	Kazakhstan	Technical Cooperation Project
Battambang Agricultural Productivity Enhancement Project	Cambodia	Technical Cooperation Project
The Project for Technical Service Center for Irrigation System	Cambodia	Technical Cooperation Project
Developing Vocational Opportunities and Creative Activities for People with Disabilities and Commercializing Hill-tribe Peoples Crafts	Thailand	Technical Cooperation Project
The Project on Capacity Building for Environmental Management and Airside Paved-area Maintenance of Suvarnabhumi Airport	Thailand	Technical Cooperation Project
The Project to Develop the Recycling System for Local Communities in Songkhla Province	Thailand	Technical Cooperation Project
The Project on Developing the Capacity of the Government to Post Evaluate the Externally Funded Project	Thailand	Technical Cooperation Project
Project on Assistance of Public Health Insurance Information System Development	Thailand	Technical Cooperation Project
The Model Planning Project for Water-saving Measures on Large-scale Irrigation Scheme	China	Technical Cooperation Project
The Dairy Farming and Industry Development Project in Heilongjiang Province	China	Technical Cooperation Project
The Sino-Japan Friendship Center for Environmental Protection Project (Phase 3)	China	Technical Cooperation Project
Health-care in Poor Remote Area (Evaluation Seminar)	China	Technical Cooperation Project
Water Environment Restoration Pilot Project in Taihu Lake	China	Technical Cooperation Project
Project for Improvement of Tax Administration System	China	Technical Cooperation Project
Community Tuberculosis and Lung Health Project	Nepal	Technical Cooperation Project
The Project to Set Up Rural Development Engineering Center	Bagladesh	Technical Cooperation Project
Strengthening of Flood Forecasting and Warning Administration	Philippines	Technical Cooperation Project
Improvement of Earthquake and Volcano Monitoring System	Philippines	Technical Cooperation Project
Water Buffaloes and Beef Cattle Improvement Project	Philippines	Technical Cooperation Project
The Project for the Improvement of Occupational Safety and Health in Small and Medium Size Industries	Philippines	Technical Cooperation Project
Coal Mine Firedamp Gas Management Center	Viet Nam	Technical Cooperation Project
Program on the Instructor Training for Electric Power Sector	Viet Nam	Technical Cooperation Project
The Project for Strengthening Training Capabilities for Road Construction Workers in Transport Technical and Professional School No.1	Viet Nam	Technical Cooperation Project
Viet Nam-Japan Human Resources Cooperation Center	Viet Nam	Technical Cooperation Project
Japanese Technical Cooperation in the Legal and Judicial Field (Phase 3)	Viet Nam	Technical Cooperation Project
The Reproductive Health Project in Nghe An Province (Phase 2)	Viet Nam	Technical Cooperation Project
Project on Networked Multimedia Education System	Malaysia	Technical Cooperation Project
The Project for the Capacity Building of National Institute of Occupational Safety and Health in the Field of Occupational Safety and Health	Malaysia	Technical Cooperation Project
Project for Primary Health of Mothers and Children	Myanmar	JICA Partnership Program with NGOs, Local Governments and Institutes
Japanese Technical Cooperation on the Legal and Judicial Development Project	Laos	Technical Cooperation Project
The Upgrading IT Education Project (Information Technology Bridging Course)	Laos	Technical Cooperation Project
Reading Promotion Project	Laos	JICA Partnership Program
Africa		
Project for Capacity Building of ERA Training and Testing Center Alemgena	Ethiopia	Technical Cooperation Project
International Parasite Control Project	Kenya	Technical Cooperation Project
Research and Control of Infectious Diseases Project	Kenya	Technical Cooperation Project
Seminars on GIS	Kenya	Third-country Training
The Strengthening of Laboratory Systems for HIV/AIDS and TB Control Project	Zambia	Technical Cooperation Project
Cross Border Initiative Project	Zambia	Technical Cooperation Project
Project on Safe Water and Support of Community Activities	Senegal	Technical Cooperation Project
Strengthening District Health Services in Morogoro Region	Tanzania	Technical Cooperation Project
The Aquaculture Development Project in the Northwest Coastal Region (Extended)	Madagascar	Technical Cooperation Project
Mpumalanga Secondary Science Initiative (Phase 2)	South Africa	Technical Cooperation Project
Oceania		
The Fisheries Training Project (Extended)	Micronesia	Technical Cooperation Project
Middle East		
Improvement of Science and Mathematics Education in Primary Schools	Egypt	Technical Cooperation Project
Saudi-Japanese Automobile High Institute Project	Saudi Arabia	Technical Cooperation Project
Project for the Establishment of the Vocational Training Center for the Electric and Electronics Industry	Tunisia	Technical Cooperation Project
Project on Energy Conservation	Turkey	Technical Cooperation Project
Geologic Remote Sensing Project	Turkey	Technical Cooperation Project
Establishment of Industrial Automation Technologies Departments in Anatolian Technical High Schools	Turkey	Technical Cooperation Project

Project Name	Country/Area	Cooperation Scheme
Establishment of Extension System for Artisan Fisheries	Morocco	Technical Cooperation Project
Latin America		
The Project of Research and Development of Pejerrey Aquaculture and Propagation	Argentina	Technical Cooperation Project
Project for Vector Control for Chagas Disease	Guatemala	Technical Cooperation Project
JOCV Education Project	Guatemala, Honduras	JOCV Team Dispatch
Project on Productivity Improvement for Enterprises	Costa Rica	Technical Cooperation Project
Rehabilitation for Disabled People Project	Chile	Technical Cooperation Project
Enforcement of Japan Chile Partnership Programme (JCPP)	Chile	Technical Cooperation Project
The Technology Improvement Project for Irrigated Agriculture	Dominican Republic	Technical Cooperation Project
Integrate Plant Pest Management	Nicaragua	Technical Cooperation Project
Panama Canal Watershed Conservation Project	Panama	Technical Cooperation Project
Improvement of the Asuncion Central Market	Paraguay	Technical Cooperation Project
Strengthening Continuing Education in Nursing and Midwifery in the South of the Republic of Paraguay	Paraguay	Technical Cooperation Project
Strengthening the Agricultural Technical Support System to Small Scale Farmers in Tocantins State	Brazil	Technical Cooperation Project
The Improvement of Teaching Method in Mathematics	Honduras	Technical Cooperation Project
Project on the Assistance Plan for Small Producers in El Soconusco Region	Mexico	Technical Cooperation Project

● **Ex-post Evaluation (46 projects)**

Asia		
Higher Education Development Support Project	Indonesia	Technical Cooperation Project
The Project for the National Vocational Rehabilitation Center for Disabled People	Indonesia	Technical Cooperation Project
Dental Education Project at University of Peradeniya	Sri Lanka	Technical Cooperation Project
Nursing Education Project	Sri Lanka	Technical Cooperation Project
Project for Model Development of Comprehensive HIV/AIDS Prevention and Care (Phase 2)	Thailand	Technical Cooperation Project
The Research Center for Communication and Information Technology (ReCCIT), King Mongkut's Institute of Technology, Ladkrabang, (KMITL)	Thailand	Technical Cooperation Project
The Railway Training Center Project	Thailand	Technical Cooperation Project
The Project on Strengthening of the National Institute for the Improvement of Working Conditions and Environment	Thailand	Technical Cooperation Project
Bohol Integrated Agriculture Promotion Project	Philippines	Technical Cooperation Project
Upgrading Project for Plastic Molding Tool Technology	Philippines	Technical Cooperation Project
Capacity Building Project for Environmental Management in Mining	Philippines	Technical Cooperation Project
The Project on Electrical and Electronics Appliances Testing	Philippines	Technical Cooperation Project
Afforestation Technology Development Project on Acid Sulphate Soil in the Mekong Delta	Viet Nam	Technical Cooperation Project
The Viet Nam Information Technology Training	Viet Nam	Technical Cooperation Project
Maternal and Child Health Project	Mongolia	Technical Cooperation Project
The Project for Improvement of Medical Equipment for Second General Hospital	Mongolia	Grant Aid (Basic Design Study)
The Agricultural and Rural Development Project in Vientiane Province (Phase 2)	Laos	Technical Cooperation Project
Africa		
The Project for Reinforcement of Power Distribution Network in Addis Ababa	Ethiopia	Grant Aid (Basic Design Study)
The Project for the Improvement of the Maternal and Child Health In-service Training System and Program	Ghana	Technical Cooperation Project
Project for Improvement of Artisanal Fishery	Guinea	Grant Aid (Basic Design Study)
The Project for Groundwater Development in Laikipia and the Surrounding Areas of Samburu, Koibatek, and Baringo Districts	Kenya	Grant Aid (Basic DesignStudy)
Maternal and Child Health Services Project	Tanzania	Technical Cooperation Project
Dar es Salaam Power Supply System Expansion Project	Tanzania	Grant Aid (Basic Design Study)
The Project for Improvement Mahajunga University Hospital Centre	Madagascar	Technical Cooperation Project
Coastal Resources and Environmental Conservation Project	Mauritius	Technical Cooperation Project
Oceania		
Forest Research Project (Phase 2)	Paupa New Guinea	Technical Cooperation Project
Middle East		
The Project for Rural Water Supply in the Southern and Eastern Governorates	Yemen	Grant Aid (Basic Design Study)
The Water Supply Technology Training Improvement Project	Egypt	Technical Cooperation Project
The Infectious Diseases Control Project	Turkey	Technical Cooperation Project
Upgrading Exploration Technology of Mineral Resources	Morocco	Technical Cooperation Project
Information Technology Upgrading Project	Jordan	Technical Cooperation Project
The Project for the Specialized Training Institute	Jordan	Technical Cooperation Project
Latin America		
The Research Project at the Faculty of Veterinary Science, the National University of La Plata	Argentina	Technical Cooperation Project
The Project on the Aquaculture Development in Estuary of El Salvador	El Salvador	Technical Cooperation Project
The Project for the Strengthening of Agricultural Technology Development and Transfer	El Salvador	Technical Cooperation Project
Project of Strengthening of Nursing Education	El Salvador	Technical Cooperation Project
Improvement of Institute of School of Personnel of Health	Guatemala	Grant Aid (Basic Design Study)
Improvement of Mineral Processing Technology Concerning Medium and Small Scale Mines	Colombia	Technical Cooperation Project
The Project for Strengthening of Health Care in the Southern Region	Jamaica	Technical Cooperation Project
The Technical and Vocational Education and Training Improvement Project at Technical High Schools	Jamaica	Technical Cooperation Project
The Development of Benthonic Resources Aquaculture Project	Chile	Technical Cooperation Project
The Erosion Control and Afforestation Project in Watersheds of Semi-arid Area	Chile	Technical Cooperation Project
The National Center for Environment Project	Chile	Technical Cooperation Project
The Research Project on Soybean Production	Paraguay	Technical Cooperation Project
The Urban Transport Human Resources Development Project	Brazil	Technical Cooperation Project
The National Center for Environmental Research and Training (Phase 2)	Mexico	Technical Cooperation Project

Glossary

[A]

● Acceptance of Technical Training Participants
The Japanese government accepts leading administrators, engineers, technicians, and researchers from partner countries as trainees and conducts technical training aimed at transferring technologies and deepening their understanding of Japan. It is divided into two types; (1) a group-training course with fixed programs to which participants are invited, and (2) a country-focused training course that is designed to meet specific requests of each country.

● Accountability
Responsibility to furnish adequate and accurate explanations to citizens and the people of a partner country regarding contents of cooperation, financial affairs, and reasons behind decisions when proceeding with development aid and international cooperation activities and programs.

● Activities
"Activities" are carried out to achieve the output of a project. Each activity flow is described for every output in a logical framework (PDM).

● Advisory Committee on Evaluation
Advisory Committee on Evaluation, which was established in fiscal 2002, is composed of external experts (academics, NGOs, journalists, etc.) who are knowledgeable about development assistance and evaluation. They give advice to the Evaluation Study Committee on evaluation systems and methods. They also review the results of internal evaluations and contribute to the improvement of objectivity of the evaluation.

[B]

● Baseline Survey
Baseline survey investigates and analyzes the characteristics of a target area prior to the implementation of a project. These surveys are necessary when setting project objectives using indicators because reference values for the determined indicators must be clarified before starting a project.

● Basic Design Study (B/D)
Basic Design Study explores the feasibility of a grant aid project. The study formulates the basic concept of a project, as well as optimum plans and alternatives. Based on the study, a decision is made by the Japanese government on implementation of the grant aid project and its contents.

● Basic Human Needs (BHN)
The idea is to find ways to provide aid for direct use for people with low incomes. BHN refers specifically to basic living needs such as food, housing, clothing, safe drinking water, sanitary facilities, health care and education.

● Beneficiaries
Individuals, groups or organizations that receive the benefits of a project.

[C]

● Capacity Development (CD)
Process by which a developing country strengthens its own capacity in order to solve development issues. In contrast with capacity-building, whose aim is to build capacity from outside, capacity development refers to the endogenous process of building, strengthening, and maintaining capacity by a developing country.

● Community Empowerment Program
Support related to maternal and child health; welfare of the elderly, the disabled and children; and poverty alleviation measures are commissioned by JICA for non-governmental organizations active in the regions concerned (local NGOs). Currently this program is conducted as part of the JICA Partnership Program.

● Counterparts
Local personnel who work together with JICA experts, consultants, or Japan Overseas Cooperation Volunteers (JOCV) sent to developing countries and who receive technical instruction directly from them.

● Country-program Evaluation
Assessing the JICA cooperation projects of a country on a cross-sector basis. The overall impact of JICA cooperation and its implementation process in a country are analyzed and recommendations and lessons for future cooperation are offered to the country. The results of evaluation are reflected in improvements in JICA Country Program and cooperation methods for the country.

[D]

● Development Assistance Committee (DAC)
The Development Assistance Committee (DAC) was formed in 1961 as a subordinate agency of the Organization for Economic Cooperation and Development (OECD). DAC distributes aid information, adjusts aid policies, and examines the implementation of aid by member countries and their aid policies. Where necessary, it also gives advice to member countries.

● Development Study
Development Study supports the formulation of plans for public projects by dispatching a study team to contribute to social and economic advancement in developing countries. Reports, which are prepared based on the study results, provide partner governments with data for assessing social and economic development policies. They also offer international organizations and donor countries resources for studying the need for financial aid and technical cooperation.

● Disaster Relief
A cooperation scheme that is implemented in the case of a large-scale disaster in a foreign nation, especially a developing nation, based on the request of the affected country. It consists of personnel, material, and monetary contributions, and JICA is in charge of personnel and material support.

[E]

● Effectiveness
Effectiveness is a perspective to evaluate whether the project purpose is being achieved as initially planned and whether it can be attributed to the outputs of the project.

● Efficiency
Efficiency is a perspective in which a project is examined from the perspective of the effective use of resources; whether the achievement degree of outputs can justify (or will justify) the costs (inputs); in other words, whether there was no alternative means that could have made the same achievements at lower costs, or whether it was impossible to make greater achievements with the same costs.

● Empowerment
When independent decision-making capabilities and economic, social, legal, and political power are obtained with awareness and exercised by individuals or organizations, being able to make

decisions by themselves helps erase social inequalities.

● Evaluation Study Committee
An internal organization established by JICA in July 1981 to develop the systems and methods of evaluation.

● Ex-ante Evaluation
Ex-ante evaluation is performed when a project is requested by a partner country. It first involves a study of the project to determine its necessity as well as its conformity with the JICA Country Program. This is followed by an on-site evaluation to clarify details of the project and its expected outputs are clarified. Then, the relevance of the project is comprehensively examined and evaluated. In ex-ante evaluation, evaluation indicators are set and they are used to measure the effectiveness of the project in subsequent evaluation, from the mid-term evaluation to the ex-post evaluation.

● Experts
Experts dispatched to developing countries and international organizations carry out the formulation of development plans, research studies, instruction, extension activities, consulting and other work at a variety of locations, including government-related organizations, testing and research institutes, and academic and training institutions. Experts are classified by length of dispatch term into long-term (one year or longer) and short-term (less than one year).

● Ex-post Evaluation
Ex-post evaluation is an evaluation executed at a certain period of time after completion of a project. It is undertaken for the purpose of deriving recommendations and lessons that contribute to improving JICA Country Program and planning effective and efficient JICA projects, by focusing most notably on Impact and Sustainability among the Five Evaluation Criteria.

● External Evaluation
The evaluation of a development intervention conducted by entities and/or individuals outside the donor and implementing organizations.

[F]

● Fast Track System
A scheme that simplifies and reduces JICA's ordinary implementation processes to quickly plan and implement urgent projects, as in peace-building support and rehabilitation assistance for natural disasters. In a project approved for the system, the procedures related to project formulation, decision-making, preparation for implementation, and procurement are simplified.

● Feedback
The process of presenting findings of a monitoring and evaluation to concerned parties, so that the findings are incorporated into future policies and plans.

● Five Evaluation Criteria
The evaluation criteria advocated in "Principles for Evaluation of Development Assistance" by the Development Assistance Committee (DAC) in 1991. The five criteria are Relevance, Effectiveness, Efficiency, Impact, and Sustainability.

● Follow-up Cooperation
Technical Cooperation Project designed to extend cooperation in a specific sector that has not accomplished the project purpose.

[G]

● Gender
Social and sexual distinction formed by a set of values that a specific society shares and individuals possess.

● Gender Mainstreaming
Integrating gender aspects into development processes allows gender equality to be integrated in all policies and programs, and then both men and women can participate in decision-making processes with relation to all development issues.

● Good Practice
Good implementation cases that can be role-models for others.

● Grant Aid
Grant aid is financial assistance without the obligation of repayment, particularly directed to the least developing countries, whereas "Loan assistance" is a government loan with a long repayment period. The aim is to support economic and social development for Basic Human Needs, such as health care, water supply, education, HIV/AIDS, children's health, environment, population, and construction of basic infrastructure, which serve as the basis for the socioeconomic development of a country.

[H]

● Heavily Indebted Poverty Countries (HIPCs)
Developing countries that were defined as the poorest and most heavily indebted by the International Monetary Fund (IMF) and the World Bank in 1996. According to the standard of a 1993 per-capita GNP of US$695 or lower, with a cumulative debt in value terms of at least 2.2 times the scale of exports or at least 80% the amount of GNP, 42 countries are currently assigned HIPC status.

● Human Security
Human Security means focusing on individual people and building societies in which everyone can live with dignity by protecting and empowering individuals and communities that are exposed to actual or potential threats.
A practical approach to human security involves two general strategies: protection and empowerment. Protection shields people from acute threats of fear, such as conflicts, terrorism, crime, human rights violations, displacement, disease epidemics, environmental destruction, economic crises, and natural disasters; and from want, such as poverty, hunger and lack of educational and health services. Empowerment enables people to develop their abilities to make choices and take action on their own behalf so that they will be able to cope with these threats.

[I]

● Impact
Impact refers to positive and negative, primary and secondary long-term effects produced by a project, directly or indirectly, intended or unintended.

● Important Assumptions
"Important assumptions" are factors or risks that cannot be controlled by a project but may affect the progress of the project or the achievement of the goal. It is an element of logical framework (PDM), subject to periodical monitoring.

● In-country Training
A type of training implemented within a developing country in order to extend the knowledge and skills within the country. In most cases, the personnel who received a technical transfer play the central role in its implementation.

● Indicator
"Indicator" is a quantitative or qualitative variable that provides a simple and reliable means to measure achievement of or a change made by a project. A logical framework (PDM) should also include the initially targeted value of each indicator.

● Input
One of the components of logical framework (PDM), "input" refers

to the financial, human, and material resources used to implement a project.

● Internal Evaluation
Evaluation of a project conducted by JICA within the project management process.

[J]

● Japan Bank for International Cooperation (JBIC)
A special governmental corporation founded through the merger of the Overseas Economic Cooperation Fund (OECF) and the Export-Import Bank of Japan in October 1999 in order to support the implementation of ODA through yen loans and the trade and investment of Japanese companies. The yen loans division is scheduled to be merged with JICA in fiscal 2008.

● Japan Overseas Cooperation Volunteers (JOCV)
The Japan Overseas Cooperation Volunteers Program promotes and fosters volunteer activities by the youth of Japan who wish to work with local communities in developing countries and contribute to the economic and social development of the region to which they are dispatched.

● JICA Country Program
The JICA Country Program is a document formulated by JICA that presents JICA's direction on medium-term to long-term cooperation to the target country, to be implemented within the framework of country-specific aid policy. It encompasses development goals, development issues, project plans, and points to consider when implementing aid. It also provides a rolling plan for each development issue, covering a period of three to five years.

● JICA Program
A strategic framework that consists of a set of projects to assist a developing country in achieving mid- and long-term specific development goals (cooperation goals and appropriate cooperation scenario to achieve those goals). In contrast, "Program-based approach," which is a form of donor intervention at the multi-level, refers to cooperation implemented based on a principle of providing well-coordinated assistance to development programs of the partner country.

● JICA Partnership Program with NGOs, Local Governments and Institutes
This program is concerned with providing cooperation in areas of social development involving a small-scale but detailed response and intellectual support with Japanese NGOs, local government authorities, universities, and private companies possessing practical experiences in these areas. Currently this program is conducted as part of the JICA Partnership Program.

● Joint Evaluation
An evaluation carried out together with relevant organizations in the partner country or with other donors.

[L]

● Lessons Learned
Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.

● Loan Assistance (Yen Loan)
The term is paired with grant aid and refers to a government loan with a long repayment period and a low-interest rate for relatively large-scale projects that support socioeconomic development in developing countries. Since JBIC provides yen-based loans after examining projects, it is also known as yen loan.

● Local Cost
Of the funds necessary for the implementation of projects, local cost refers to the costs procured in partner countries in local currency, such as budget for local remuneration for construction and procurement of equipment. When a project is jointly implemented, it refers to costs that should be borne by the partner country (costs for land acquisition, facility construction, facility maintenance, and project management).

● Logical Framework
"Logical Framework" identifies the project's main elements (input, output, purpose, etc.) and their cause-effect relationships, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution, and evaluation. A similar framework is also applied to PDM. See "Project Design Matrix" (PDM)

● Logic Model
Logical presentation of processes and relations that lead to outcomes in a project or program. The model logically shows goals, outputs, and inputs as well as their cause-effect relations, indicators, and important assumptions.

[M]

● Means of Verification
Means of verification refers to information sources and survey methods used to measure the achievement of a project. One of the elements of logical framework (PDM).

● Meta-evaluation
Meta-evaluation refers to analysis of a series of evaluation results. It also examines the quality of evaluation and the performance of the evaluators, as the "evaluation of evaluation."

● Mid-term Evaluation
Refers to an evaluation conducted at the mid-term of a project, examining points such as the efficiency and relevance of the project. It provides information for deciding whether or not the initial planning needs to be revised.

● Millennium Development Goals (MDGs)
The eight "goals" to be ensured by 2015, announced at the United Nations Millennium Summit in 2000; (1) Eradicate Extreme Poverty and Hunger, (2) Achieve Universal Primary Education, (3) Promote Gender Equality and Empower Women, (4) Reduce Child Mortality, (5) Improve Maternal Health, (6) Combat HIV/AIDS, Malaria and Other Diseases, (7) Ensure Environmental Sustainability, and (8) Develop a Global Partnership for Development.

● Monitoring
A continuing function that uses a systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development project with indications of the extent of progress in the use of all allocated funds.

[N]

● NGO
Non Governmental Organization: Non profit-making organizations in non-governmental or private sectors

● NGO-JICA Council
Consultative organization to promote partnership between NGOs and JICA.

● NGO-JICA Evaluation Subcommittee
This organization, which is subordinate to the NGO-JICA Council, conducts interactive study on evaluation and development of evaluation methods.

[O]

● ODA
Official Development Assistance: Economic assistance provided by governmental organizations in developed nations to developing nations. It is divided into two categories; (1) bilateral assistance such as grant, loan, compensation, and technical cooperation, and (2) multilateral assistance where donors provide funds or contributions via international organizations.

● Organisation for Economic Co-operation and Development (OECD)
The OECD aims to maximize the member countries' economic growth, expanding trade, and helping nonmember countries develop more rapidly through exchange of economic data and creation of unified policies. The OECD has three major councils: Economic Policy Committee (EPC), Trade and Development Board (TDB), and Development Assistance Committee (DAC).

● Outcome
It refers to short-, medium-, and long-term effects achieved by the outputs of a project. Long-term effect is called "impact" in some organizations.

● Output
It refers to the services and results produced by the implementation of a project. In other words, it refers to the changes brought by the project including those related to the accomplishment of outcome. One of the elements of Logical Framework (PDM).

● Overall Goal
The overall goal refers to the indirect and long-term impact defined at the project-planning stage. One of the elements of logical framework (PDM).

● Overseas Training
It refers to "In-country Training" and "Third-country Training". See also "In-country Training" and "Third-country Training".

[P]

● Participatory Evaluation
An evaluation in which representatives of donors, implementing agencies, and stakeholders (including beneficiaries) work together to evaluate all stages of a project; plan a study, implement it and analyze study results.

● Partnership Program
A program under which Japan and a developing country, as an emerging donor, jointly provide assistance to another developing country on equal terms, including cost sharing.

● Peace-building
Comprehensive approaches to achieve peace, consisting of military action, political action (including PKO, preventive diplomacy, armament limitation and reconciliation, etc.), and development assistance. JICA takes care of development assistance, working in the field of reconciliation, governance support, security, rehabilitation of social infrastructure, economic recovery, support for the socially vulnerable, and humanitarian emergency relief.

● Performance
This information shows the achievement degree of project purpose and overall goal, output status, input situations, etc., in comparison to the achievement targets set in the planning stage.

● Poverty Reduction Strategy Paper (PRSP)
An independently prepared report that the 1999 World Bank and International Monetary Fund (IMF) Development Committee required of heavily indebted poor countries (HIPCs) hoping for debt reductions, for the purpose of approving or disapproving debt reduction. Special attention to poverty countermeasures is required in preparing the paper.

● Preconditions
An element of logical framework (PDM), "preconditions" refers to the requirements that must be satisfied before implementing a project.

● Primary Health Care (PHC)
An approach to health care in which diagnosis, treatment, and efforts to raise health standards are handled integrally on the local level. Available to all members of local communities, PHC aims to establish affordable and accessible systems of medical care. PHC is composed of eight elements: (1) health education, (2) provision of food and improvement of nutrition (3) supply of safe water and hygiene management, (4) maternal and child health (including family planning), (5) preventative vaccines, (6) prevention and control of epidemic illness prevailing in regions, (7) appropriate treatment of general illnesses and injuries, and (8) supply of essential drugs.

● Project Design Matrix (PDM)
PDM is the term used in the PCM method, describing the logical framework of a project to facilitate planning, monitoring, and evaluation. It is composed of elements such as narrative summary, indicators, methods to acquire data, external factors, input, and preconditions.

● Project Purpose
The project purpose is the target expected to be achieved by the completion of a project. One of the elements of logical framework (PDM).

● Project-type Technical Cooperation
A type of technical cooperation under which three kinds of aid schemes (dispatch of Japanese experts, acceptance of trainees, and provision of equipment) are integrated and implemented as a program. It has been integrated into Technical Cooperation Projects since fiscal 2002.

● Provision of Equipment
The provision of equipment needed generally for technical transfer. JICA provides the necessary equipment as a part of technical cooperation toward the effective implementation of the various types of Technical Cooperation Projects.

[R]

● Recommendations
Specific measures, suggestions and advice obtained from evaluation results aimed at enhancing the effectiveness, quality, or efficiency of the project concerned; redesigning the objectives; and/or the reallocation of resources.

● Relevance
Relevance, one of the Five Evaluation Criteria, refers to the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities, and partners' and donors' policies. In addition, it examines appropriateness of strategy or approaches taken by a project, as well as whether it has a legitimacy to be implemented through ODA.

● Results-based Management
A management strategy focusing on performance and achievement of outputs, outcomes, and impacts.

[S]

● Secondary Evaluation
Evaluation performed on an evaluation performed by another person (primary evaluation). It is also called meta-evaluation since it is an evaluation of an evaluation to verify the quality of primary evaluation. See also "Meta-evaluation"

● Senior Advisor
An expert who belongs to JICA. Overseas, they work as high-level advisors, project leaders, and general experts, while in Japan, they conduct various kinds of research, offer advice on research, train would-be experts, and instruct in technical training for participants overseas.

● South-South Cooperation
Mutual economic development among developing countries through regional cooperation. Since the capital-intensive, knowledge-intensive technology of the more developed countries often fails to meet the needs and the situations of developing countries, cooperation among developing countries through institutions such as the United Nations Conference on Trade and Development (UNCTAD) has been encouraged.

● Sustainability
One of the Five Evaluation Criteria. It refers to the continuation of benefits of a project after the project assistance is completed.

[T]

● Target Group
The specific individuals or organizations for whose benefit the development intervention is undertaken.

● Technical Cooperation Project
One of JICA's cooperation schemes launched in 2002. This scheme allows flexibility in terms of project period, scale, and components (e.g. dispatch of experts, acceptance of trainees, and provision of equipment). It is defined as "development aid to achieve a certain output within a certain period under the cause-effect relation among input, output and activities," including Project-type Technical Cooperation and team dispatch of experts.

● Technology Transfer
Organizations and individuals possessing specific skills transfer them to other organizations and individuals through education and training, and then strive to ensure that they take root and spread. In the case of international cooperation, production and managerial skills required for further development in developing countries are transferred from developed countries or companies.

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

● Thematic Guidelines
JICA's past experience and knowledge in relation to important points in implementing its activities and direction of cooperation are systematically compiled into the guidelines after analyzing situations, aid trends, approaches, and methods with regard to major development issues.

● Thematic Evaluation
Focusing on the themes of specific sectors, major issues (such as environment, poverty, and gender) and project schemes, a bundle of relevant projects are evaluated. The results of evaluation are reflected in establishing related development policies and the formation of related projects.

● Third-country Experts
Technical experts of developing countries dispatched to another developing country as south-south cooperation. Third-country experts are expected to transfer their techniques more effectively, making the most of the similarity of their environment, technical level, language and cultural aspects.

● Third-country Training
A type of training implemented by JICA aimed at enabling a partner country that was subjected to technical transfer from Japan to hand on the knowledge and techniques it has acquired to neighboring countries. The host country invites trainees from neighboring countries with similar natural, social, or cultural environments individually or in groups to be trained in the appropriate technique in accordance with each country's local circumstances. It has been integrated into Technical Cooperation Projects since fiscal 2002.

● Training in Japan
One of the forms of the "Acceptance of Technical Training Participants" conducted in Japan.

[V]

● Volunteer Program
In this report, it refers to Japan Overseas Cooperation Volunteers, Senior Volunteers, Japan Overseas Development Youth Volunteers, and Senior Volunteer for Overseas Japanese Communities.

Abbreviation

BHN: See "Basic Human Needs"
CD: See "Capacity Development"
CIDA: Canadian International Development Agency
DAC: See "Development Assistance Committee"
DFID: UK Department for International Development
HIPCs: See "Heavily Indebted Poverty Countries"
IMF: International Monetary Fund
JBIC: See "Japan Bank for International Cooperation"
JOCV: See "Japan Overseas Cooperation Volunteers"
MDGs: See "Millennium Development Goals"
OECD: See "Organisation for Economic Co-operation and Development"
PDM: See "Project Design Matrix"
PRSP: See "Poverty Reduction Strategy Paper"
UNDP: United Nations Development Programme
USAID: U.S. Agency for International Development
WBI: World Bank Institute
WHO: World Health Organization

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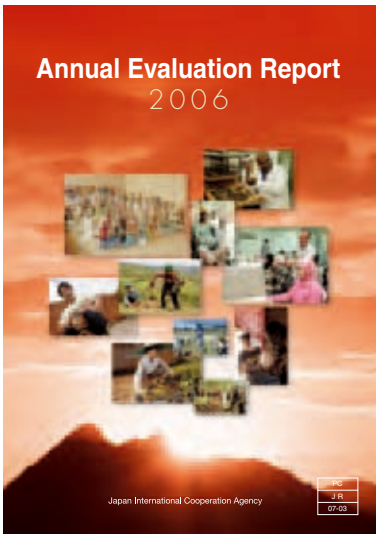

The Annual Evaluation Report introduces the outline of JICA's evaluation activities and summaries of individual evaluation results in fiscal 2005, with the purpose of giving a clear picture of how JICA's activities are being implemented effectively and efficiently as a whole.

[Summary]

Part 1 Evaluation in JICA

◆JICA's Evaluation Activities and Efforts for Expanding and Enhancing Evaluation

JICA has introduced and upgraded a consistent evaluation system from the ex-ante to ex-post stages, and promoted utilization (feedback) of evaluation results systematically for improving projects. JICA is also embarking on the development and improvement of evaluation methods in response to various cooperation modalities and new cooperation approaches. In addition, in order to increase transparency and objectivity in evaluation, the participation of external experts in evaluation is being encouraged in different ways, while disclosure of evaluation results is promoted through open seminars in addition to reports and a website.

◆Improving JICA's Cooperation Using Evaluation Results

As good practices for utilization of evaluation results, cases in which recommendations from the mid-term and/or terminal evaluation results of individual projects were subsequently utilized for revising project plans and implementation/operation systems, and cases in which lessons learned from the evaluation results of past similar projects were reflected in planning/operation of other individual projects are presented.

▪Case 1: Revision of Project Plan

In the Project for Strengthening Regional Health Network for Santa Cruz Prefecture in Bolivia, the activities were limited until the middle point due to recurrent personnel relocations in the public sector caused by changes of governments. A revision of the project plan in accordance with current conditions up to that point was then recommended in the mid-term evaluation. In response, it was decided that activities would be intensified for large health centers in the prefecture. As a result, this project brought about favorable outputs at the end of the project.

Activities at a health center (Bolivia)

▪Case 2: Revision of Project Implementation/Operation System

The terminal evaluation for the Project for the National Vocational Rehabilitation Center for Disabled People (NVRC) in Indonesia recommended that the Ministry of Social Affairs of Indonesia make efforts to strengthen the organization of NVRC in order to secure sustainability at the end of cooperation. According to the results of the ex-post evaluation conducted three years later, based on this recommendation, the ministry clearly positioned the activities of NVRC in its National Action Plan, leading to organizational and financial support for NVRC from the government. It is thus expected that NVRC will continue its activities to further increase job opportunities for persons with disabilities.

◆JICA Program Evaluation

In order to implement projects more strategically, JICA has been working to strengthen its program approach. In parallel, JICA has developed a method for program evaluation. With this evaluation method, efforts made for achieving development issues in the partner country are grasped systematically and then the JICA program's contribution to the solution of development issues is evaluated after confirming the positioning of the JICA program in the whole development picture of the partner country and examining its consistency and strategic aspect in the course of achieving the goal. In fiscal 2006, JICA conducted program evaluation for Asia, Africa, the Middle East, and Latin America.

Part 2 Project-level Evaluation

◆Overview of Evaluations of Individual Projects in Fiscal 2005

In fiscal 2005, JICA conducted 252 evaluations (ex-ante, mid-term, terminal, and ex-post evaluations) on individual projects. This section provides examples of evaluations at each stage with lists of the evaluations of individual projects as an appendix.

◆Synthesis Study of Evaluations (Project-level Ex-post Evaluations)

Based on the results of 39 ex-post evaluations conducted in fiscal 2005, the tendencies of project effects were analyzed. As a result, it was revealed that over 80% of the projects have shown impacts towards achieving their overall goals and maintained project outcomes.

In addition, the relationship between the emergence of project outcomes and promoting and impeding factors described in ex-post evaluation reports for each project was analyzed to examine what factors influence the emergence of outcomes. As a result, it was pointed out that "consistency between the needs of the beneficiaries and the cooperation sector" and "appropriate allocation of experts and counterparts" could be important promoting factors, and "inconsistency with the policy of the government" and "poor communications within the project and with related organizations" could be major impeding factors.

Furthermore, a comparative analysis of results between terminal evaluations and ex-post evaluations recommended that consistency and continuity among evaluations at each stage should be enhanced. Specifically in terminal evaluation, it is important to make objective value judgments based on solid grounds with ex-post evaluation in mind and draw out concrete and feasible recommendations. It is also important in ex-post evaluation to examine how recommendations and lessons drawn out in terminal evaluation are utilized.

Part 3 Program-level Evaluation

JICA conducts program-level evaluation to examine the effectiveness of JICA's cooperation comprehensively and improve future aid approaches in relation to specific development issues or cooperation modalities. In fiscal 2005, from the viewpoints of an approach for strengthening aid reaching out to people, support for capacity development in developing countries, and promotion of partnerships among countries and regions, themes were selected for evaluation. Among them, the Annual Evaluation Report 2006 presents summaries of the following three thematic evaluations.

—Enhancing the Approach for Community- and People-centered Development—

◆NGO-JICA Joint Evaluation: Thematic Evaluation on Community Participation Approach

(1) Background and Objectives

NGOs and JICA conducted a joint study targeting three ongoing technical cooperation projects in Indonesia, Niger, and Zambia that incorporate the community participation approach. The results of the study are summarized as follows.

(2) Framework of Evaluation

Designating the goal of the community participation approach as community-initiated development, the following eight vital points were drawn out as important perspectives when carrying out its activities effectively, and self-sustainably: (1) decision-making and leadership, (2) management, (3) communication, (4) community resources management, (5) community initiative, (6) collaboration with outsiders, (7) highly-diverse participation, and (8) learning and vision. In order to achieve active participation by the community, the process of the projects was divided into four stages: (1) preparation stage, (2) problem analysis and planning stage, (3) implementation stage, and (4) sustainability stage. Important aspects for the community, counterparts, and donors in each stage were then identified. Finally, based on each of the aspects, approaches taken in each project were analyzed and examined.

(3) Evaluation Results

The result of the comprehensive analysis revealed that: (1) at the preparation stage, active involvement of stakeholders from the community level to the central government level will ensure subsequent sustainability and their ownership; (2) at the problem analysis and planning stage, paying attention to the transparency of decision-making and the level of information-sharing, and the degree of representation of community groups will lead to an awareness of the community, and (3) at the implementation stage, establishment of collaborative relationship among community, counterparts, and JICA experts and community resources management are important. It also turned out that (4) by the sustainability stage, the community is able to solve problems

Evaluation team interviewing local people (Niger)

and negotiate with outsiders by itself after going through previous stages.

(4) Lessons Learned and Recommendations

As lessons learned for more effective implementation of the community participation approach, focus on awareness-raising and organization-building of the community, and increasing capacity of facilitators, and community resources management were drawn out.

—Contribution to Capacity Development in Developing Countries—

◆Evaluation by Third Party: Thematic Evaluation on Economic Partnership

(1) Background and Objectives

In the late 1980's and thereafter, the promotion of trade and investment was one of the engines of economic growth in Asia. JICA commissioned a third party to evaluate how overall JICA assistance represented by "Trade Training Center" projects in the trade sector in Indonesia, the Philippines, Malaysia, and Thailand from 1980's to now contributed to the process of capacity development in each country.

(2) Framework of Evaluation

As JICA's capacity assessment method is still under consideration, this evaluation study adopted a social capacity assessment (SCA) method that has been developed by the 21st century COE Program of Hiroshima University to analyze capacity development (CD) in the targeted countries. SCA consists of actor-factor analysis that analyzes social capacity using a matrix of actors and factors, as well a development stage analysis that classifies the transition of capacity development stages into the system-making stage, the system-working stage, and the self-management stage based on the results of the actor-factor analysis.

(3) Evaluation Results

As a result of the evaluation of the four countries, actor-factor analysis showed a difference between the Indonesia-Philippines group and the other group in the government sector in terms of development of basic laws and regulations, establishment of export-promoting organizations, and consolidation of trade-related information. In the business sector, the difference in progress between the Philippines and three other countries emerged in terms of labor productivity and quantitative and qualitative human resources in the manufacturing industry. The result of the development stage analysis presented that Malaysia and Thailand are in transition from the system-working stage to the self-management stage while Indonesia and the Philippines still remain at the final phase of the system-making stage.

Based on the SCA results, the effectiveness of JICA's assistance was analyzed. The result showed that all four countries have improved their capacity factors and thus it can be said that JICA's cooperation has played a role as a promoting factor. However, the analysis results also suggest that while aid input corresponded with the level of social capacity in Indonesia and Thailand, and Malaysia's social capacity increased significantly in spite of the relatively small amount of aid input, substantial contribution of aid was not observed in the Philippines compared to the other three countries. Furthermore, the results of the analysis suggest that aid was provided according to the development of social capacity in Malaysia and Thailand while various cooperation projects were implemented simultaneously to help achieve a transition to the system-working stage in Indonesia and the Philippines.

(4) Lessons Learned and Recommendations

Based on these evaluation results, three major lessons learned were extracted: (1) development assistance's timing, quantity, quality, and sequence need to be fully examined in line with the development stages when formulating programs; (2) assistance to the private sector needs to be further strengthened; and (3) in order to share the experiences in the four countries with other countries, South-South cooperation is important.

Distance training for local areas
(Regional Export Training and Promotion Centers in Indonesia)

—Enhancement of International/Regional Partnership—

◆Evaluation by Third Party: Thematic Evaluation on South-South Cooperation

(1) Background and Objectives

The evaluation study examined the positioning and effects of JICA's past assistance for South-South Cooperation (SSC) in the implementing countries and recipient countries for each region of Asia, Latin America, and Africa in order to extract recommendations for improving future SSC. This evaluation was conducted as an evaluation by a third party.

(2) Evaluation Results

With regard to the positioning in implementing countries and recipient countries, third-country group training tended to be conducted in a cooperation framework of Japan and the implementing country, and strategic positioning on the recipient country side was not always clear in many cases. On the other hand, assistance utilizing the resources in the neighboring countries under contranct basis as part of Japan's technical cooperation project, which is increasingly being applied, enables SSC to meet the needs of the recipient country.

The results of the analysis on regional characteristics were as follows. In Asia, opinions requesting the establishment of more equal partnerships were raised by implementing countries. From the perspective of enhancing the response to the needs of recipient countries, the JICA-ASEAN Regional Cooperation Meeting (JARCOM) was established as a mechanism to appropriately match the resources

of implementing countries with the needs of recipient countries, and contract-based third-country training programs have increased. In Latin America, backed up by their own initiative for regional cooperation, JICA's support for SSC has generally achieved high outcomes, and cooperation specially focused on support for emerging donors is also implemented. In Africa, implementing countries and recipient countries are determined so that the advantage of each implementing agency can be effectively utilized.

In terms of capacity development in recipient countries, effects were generated on an individual level in most cases, whereas the degree of the emergence on the organizational level varies depending on the case. In recent years, support for SSC has been increasingly implemented as an input element of a technical cooperation project in order to produce effects beyond the organizational level. Also, effects specific to support for SSC included expansion of aid resources through the capacity development of the implementing country as a donor, promotion of mutual cooperation for solving issues common to the region, and facilitation of transfer of proper technology in line with local situations. Furthermore, cost-effective cooperation with low input costs utilizing the neighboring countries' resources is possible.

(3) Lessons Learned and Recommendations

Based on the above analysis results, it was recommended that (1) formulation and implementation of projects in line with needs and actual situations of recipient countries should be promoted by clarifying the positioning of SSC in the development strategies of recipient countries; (2) partnerships with implementing countries should be enhanced by matching their aid policies and accumulating and sharing resource information; and (3) a mechanism and a system that encourage information exchange among concerned organizations should be established so that the needs of recipient countries are matched with the resources of implementing countries.

Training participants from neighboring countries in a third-country training program held in Kenya

Part 4 Secondary Evaluation by the Advisory Committee on Evaluation

◆Results of Secondary Evaluation Fiscal 2006

In order to increase the transparency and objectivity of evaluation, JICA has introduced secondary evaluation, in which the Advisory Committee on Evaluation checks the results of individual project evaluations conducted by JICA as internal evaluations. In fiscal 2006, 45 projects' terminal evaluations (primary evaluation) conducted by JICA in fiscal 2004 and 2005 were examined in terms of quality of terminal evaluations and quality of project based on the reports. In addition, in order to verify the effectiveness of secondary evaluation, some members of the Advisory Committee on Evaluation actually visited the sites of the projects subject to terminal evaluation as a new attempt.

The quality of terminal evaluation was examined based on nine criteria, such as data collection, analysis, recommendations and lessons learned. As a result, though all the criteria reached a certain level, the viewpoints under the evaluation framework, including evaluation team composition and level of counterpart participation, did not reach medium on the grading scale, which shows that improvements for some viewpoints were needed. For the year-to-year analysis, an improvement in evaluation quality was observed when comparing the secondary evaluation results of fiscal 2004 and 2005 with those of 2003. Compared with those conducted by the headquarters, terminal evaluations conducted by overseas offices tend to be lower in quality, requiring continuous efforts to improve the evaluation capacity of JICA as a whole.

In terms of the evaluation on project quality, a certain level was secured in all the DAC's five evaluation criteria, namely, relevance, effectiveness, efficiency, impact, and sustainability. However, "cost-effectiveness," a viewpoint in the evaluation criteria of "efficiency," was rated relatively low.

◆Field Studies Conducted by the Advisory Committee on Evaluation

The results of field studies conducted by members of the Advisory Committee on Evaluation were compared with those of the evaluation conducted by JICA (primary evaluation) and those of the evaluation conducted by external experts (secondary evaluation). As a result, both primary evaluation and secondary evaluation turned out to be appropriate overall. However, it was pointed out that the contents and description style of terminal evaluations that summarizes project activities require further improvement.

—In Response to Secondary Evaluation Results—

JICA has revised evaluation guidelines and promoted the sharing of good practices based on results of secondary evaluation. In order to increase overall quality of its evaluation, JICA will continue to improve the quality of evaluation and cooperation through evaluation training for staff in both the headquarters and overseas offices and the development of manuals for implementing evaluation.

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