

## Part 3

# Program-level Evaluation



# Part 3 Program-level Evaluation

Program-level evaluation evaluates and analyzes a set of projects in relation to a specific theme 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 planning and implementing JICA's technical cooperation more effectively. JICA's program-level evaluation is mainly categorized into "thematic evaluation" and "JICA program evaluation."

"Thematic evaluation" consists of (1) a theme-specific evaluation that targets projects related to development issues and aid schemes, and involves evaluation by setting up an evaluation framework in line with characteristics of the theme, and (2) a synthesis study of evaluation that analyzes the evaluation results of projects related to specific development issues and aid schemes in a comprehensive and cross-sectional manner, and draws up recommendations and lessons common to those projects. While the recommendations and lessons drawn from evaluating individual projects tend to be confined to projects as the objects of evaluation, thematic evaluation allows for more generalized recommendations and lessons applicable to individual projects. Evaluation results are used not only for planning and implementing projects, but also for formulating and reviewing program-level aid policies, such as JICA Country Programs and thematic guidelines.

The "JICA program evaluation" is intended to assess "JICA programs" that represent JICA's strategic framework for supporting developing countries to achieve their medium- and long-term development goals. JICA programs have well-defined program goals and cooperative scenarios for achieving those goals, organically integrating various projects and collaborating with other aid agencies during implementation.

In line with JICA program's characteristics, projects are evaluated based on a new concept of "contribution" in contrast to conventional evaluation based on the concept of "attribution."<sup>1</sup>

Themes of thematic evaluations are selected based on the priority issues of JICA cooperation and issues of global importance from a medium- and long-term perspective. In fiscal 2006, JICA conducted evaluations by designating the strengthening of local governance, realizing development led by local residents, upgrading health services across the country, and providing emergency assistance in case of disasters as the themes of its projects. Table 3-1 lists the thematic evaluations and JICA program evaluations conducted in fiscal 2006.

Among the program-level evaluations conducted by JICA in fiscal 2006, the following introduces summaries of the evaluation results of JICA programs in Indonesia, Bolivia, Ghana, and Afghanistan, and also outlines "Thematic Evaluation on Capacity Development of Local Administrations."

**Table 3-1** Program-level Evaluations (Conducted in Fiscal 2006)

	Title of Evaluation	Target Country
<b>Thematic Evaluation</b>	Thematic Evaluation on Capacity Development of Local Administrations (Second Year)	Indonesia
	Thematic Evaluation on JICA Programs for the Education Sector in Malawi and Vietnam (Second Year)	Viet Nam and Malawi
	NGO-JICA Joint Evaluation: Thematic Evaluation on Community Participation Approach Phase II (First Year)	Honduras, Panama, and Ghana
	Thematic Evaluation on Health Referral System (First Year)	Bangladesh, Viet Nam, and Bolivia
	Synthesis Study of Evaluation on Japan Disaster Relief Program (First Year)	Indonesia, Iran, Maldives, Pakistan, Philippines, Thailand, Sri Lanka, and Morocco
<b>JICA Program Evaluation</b>	Regional Development Program of South Sulawesi	Indonesia
	Program for Water Supply in the Poverty Area	Bolivia
	Program for the Improvement of Health Status of People Living in Upper West Region	Ghana
	Health Sector Program	Afghanistan

1. For the concept of "attribution" and "contribution," see the glossary at the end of this report, and for the method of evaluating JICA programs, see Chapter 1 of Part 3.

# Chapter 1 JICA Program Evaluation

## JICA Program Evaluation in Fiscal 2006 (General Overview)<sup>2</sup>

### 1. Background and Purpose of Program Evaluation Study

In order to enhance the effectiveness of assistance, JICA introduced a program approach in fiscal 1999 and has streamlined individual projects implemented in the past under common cooperation goals by strengthening its cooperation based on the country approach and issue-based approach. In view of recent international trends that donor countries are increasingly required to provide cooperation based on a comprehensive approach to the development issues of recipient countries, and by taking into account aid coordination with other aid agencies. JICA redefined in 2006 the definitions of the program as follows: By replacing “a set of projects that are formulated and implemented under loosely connected common goals and targets” (hereinafter referred to as “conventional programs”) with “a strategic framework to support the achievement of mid- and long-term development goals in developing countries.” JICA has begun building a strategic “JICA program” that places importance on setting mid- and long-term objectives, clarifying the cooperative scenarios, a more organic combination of inputs, and closer coordination with other aid agencies.

Based on the new method of program evaluation recommended in “country program evaluation” (a synthesis study of evaluation proposed in fiscal 2004), JICA has conducted trial JICA program evaluations since fiscal 2005. JICA has made recommendations for the programs evaluated, as well as strived to improve the evaluation method of JICA program.

In fiscal 2006, following an evaluation of the “Honduras Basic Education Strengthening Program” in fiscal 2005, JICA evaluated the “Malawi Basic Education Expansion Program” and the “Viet Nam Primary Education Improvement Program,” as well as JICA programs in four other countries. JICA's program evaluation primarily could be categorized as (1) ex-post evaluation aimed at validating the effects of program implementation and drawing lessons, and (2) mid-term evaluation mainly aimed at drawing up recommendations concerning the operational management of ongoing programs. The programs evaluated in the four countries are “conventional programs”<sup>3</sup> that organized related projects under common strategic goals during the implementation stage. Therefore, the programs lack a cooperation scenario toward achieving program goals and

their definitive indicators. Consequently, the evaluations, regarded as a sort of a mid-term evaluation, were conducted to draw up recommendations to strengthen the strategy of the “JICA program.”

### 2. Targets of Program Evaluation

The evaluation was targeted at the following programs:

- (1) “Regional Development Program of South Sulawesi” in Indonesia
- (2) “Program for Water Supply in the Poverty Area” in Bolivia
- (3) “Program for the Improvement of Health Status of People Living in Upper West Region” in Ghana
- (4) “Health Sector Program” in Afghanistan

### 3. Evaluation Framework

This evaluation was made according to the steps in Figure 3-1 and evaluation items in Table 3-2.

#### (1) Confirmation of Positioning in Development Strategy of Partner Country

It must be confirmed where JICA programs are positioned relative to the development strategy of the recipient government and Japan's aid policies (on a country and sector/issue basis). The recipient government typically has a number of development strategies that consists of multiple levels (policy, strategy, and project), sectors, and areas involved. The JICA program evaluation attempted to review the characteristics of each development strategy and identify the strategies that form the basis of evaluation, and verified the positioning and priority of programs in the strategies selected.

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

Strategic aspect is examined from three perspective: 1) whether definitive program goals are set in line with the development strategy in partner countries, 2) whether the appropriate scenario (logical relationships among projects) is established for achieving the goals, and 3) whether there is an organic combination of multiple projects or whether projects are

2. This paper was written and compiled by the Office of Evaluation, Planning and Coordination Department, JICA, and Yuko Kishino (IC Net Limited).

3. In evaluating the program of Indonesia, the target program included the “previous program” that incorporated past cooperation and the “current program” now underway. However, instead of being a “conventional program,” the current program is created in recognition of the more strategic “JICA program.”

coordinated with other aid agencies. When confirming the strategic aspect, a program is generally verified based not only on whether the program was planned and implemented consistently, but also on what outcomes the program has achieved. However, since many target programs at this time were in a stage where goals had not yet been achieved and the purpose of evaluation was to strengthen the strategy of current programs, the evaluation focused on confirming strategic aspects in terms of program planning and implementation.

### (3) Evaluation of Contribution

The evaluation grasps the situation of improvements regarding development issues in the development strategy, which is the basis of positioning a program, and evaluates the JICA program's contribution (or its possibility) to the development strategy.

### (4) Drawing up Recommendations and Lessons

Based on analyses (1) through (3) above, the evaluation aims to draw up recommendations for the program concerned

Figure 3-1 Evaluation Framework

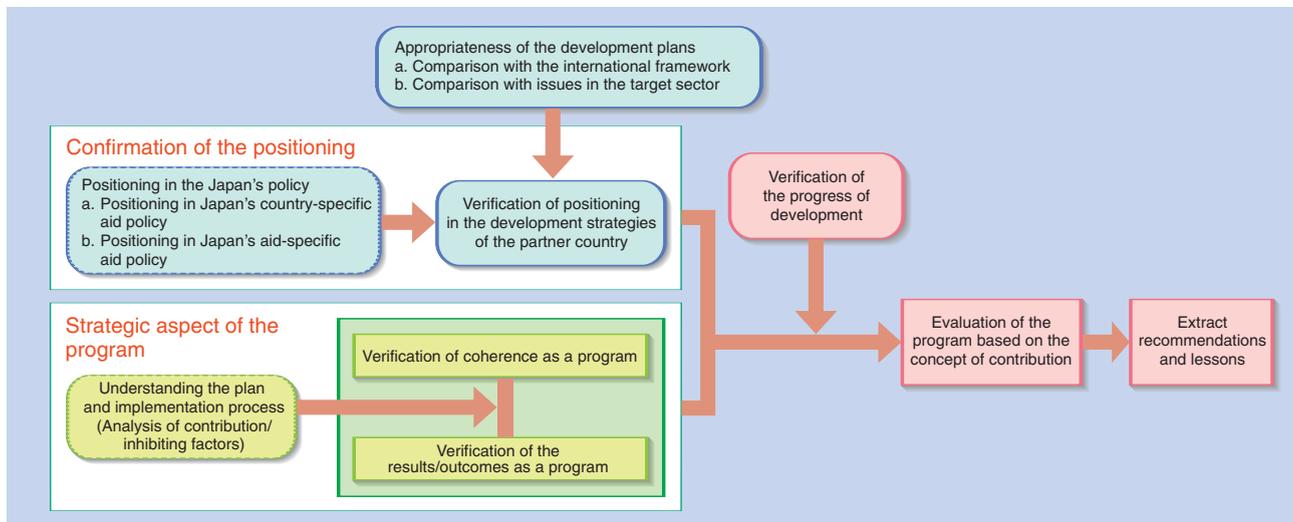


Table 3-2 Evaluation Items and Examples of Evaluation Questions\*

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

Note \*: Not all JICA programs have necessarily addressed the questions as stated, and the questions are applied and selected in accordance with individual programs.

and the lessons needed to plan and implement the JICA program more effectively and efficiently, and improve the methods of JICA program evaluation.

#### 4. Results of Comprehensive Analyses of Four Target Programs and the Lessons Learned

To enhance program outcomes and contributions to the recipient government's development strategy, strengthening the strategic aspect of the program at the planning and implementation stages is important. Based on the four programs evaluated in 2006, this section compiles the key lessons for strengthening the strategic aspect of the JICA program by comparing the evaluation results from the perspective of "positioning," "goal," and "scenario." Also interview surveys were conducted with the people concerned about the evaluation of the programs. Page 47 and later pages summarize the results of individual JICA program evaluations - the objects of comprehensive analyses.

##### (1) Program Goal

###### 1) Levels of goal setting

The programs evaluated, except the "Regional Development Program of South Sulawesi" in Indonesia (the current program), are sets of loosely connected projects (so-called "conventional programs"), common goals, and objects. They were not formulated within the strategic framework as required for the JICA program. At the beginning of the evaluation process, many programs had no "well-defined goals" (the most important factor for developing a program scenario), and no systematic analyses had been conducted of development issues of the recipient governments. For this reason, at the evaluation, a systematic chart of development issues was created in line with strategic goals of the partner countries concerned and the levels of program goals confirmed, as well as compiling the issues to be solved in order to achieve the goals. Based on a comparative analysis of each program, the levels of goals are defined as follows:

- "Program for Water Supply in the Poverty Area" in Bolivia  
The "sub-sector level" targeted in the water sub-sector under the basic hygiene sector
- "Program for the Improvement of Health Status of People Living in Upper West Region" in Ghana  
The "sector level" targeted in the health sectors in specific areas
- "Health Sector Program" in Afghanistan  
The "sector level" targeted in the national-level health sector
- "Regional Development Program of South Sulawesi" in Indonesia  
The "cross-sector level" targeted in multiple sectors in a specific region

Generally speaking, the higher the levels of goal setting, the wider the scope of issues to be solved. The goals of the four programs evaluated are set at the same levels as those of the development strategy of the governments concerned (except Bolivia). Therefore, there were wide-ranging issues to be addressed in achieving the goals. Conversely, a limited number

of issues were addressed by the programs, with the inputs of constituting projects and coordination among the projects being insufficient. For this reason, the scenario for achieving the goals is not clear and it was found difficult to achieve the goals under the current plan except the one in Bolivia. In evaluating the "Program for the Improvement of Health Status of People Living in Upper West Region" in Ghana, it was pointed out that there were logical gaps in constitution between the program goal and purposes of the projects constituting the program. The evaluation report proposed that, in addition to reexamining the scenario, the level of program goals be lowered from the sector level to the sub-sector level. Regarding the "Regional Development Program of South Sulawesi" in Indonesia, it was pointed out that the causal relation between the program goal of promoting province-level poverty reduction through development and the goals of the three sub-programs - urban development, promotion of the rural economy, and social development - was unclear. It was pointed out that it is not possible to identify what the projects should work to achieve since the goals of sub-programs are not clearly defined.

The JICA program is supposed to be planned for contributing to the development strategy and specific programs of the recipient government. Therefore, it is essential to make JICA program goals clear. By doing so, the scope of issues that must be solved to achieve the goals (framework of assistance) will become clear, leading to the development of an appropriate scenario for the next stage. The setting of program goals assumes the following: 1) a systematic analysis of the causal relation of the recipient government's development issues, 2) clarification of the aid situation regarding other aid agencies and other Japanese aid schemes within the common framework of assistance for the recipient government's development strategy, and 3) confirmation of program positioning. To enhance contributions to the development strategy and ensure the program's relevance, it is considered essential to narrow down program goals. Also, it is essential to keep in mind the duration of a program, and decide the levels and scope of achievable goals by taking into account the correlation with overall goals, necessity of aid, feasibility of the program, priorities of the recipient government, advantages of Japanese aid, and the programs of other aid agencies.

###### 2) Setting Indicators

Among the programs subject to the evaluation, those for which indicators are set were the "Program for Water Supply in the Poverty Area" in Bolivia and the "Program for the Improvement of Health Status of People Living in Upper West Region" in Ghana. There was no program for which numerical targets were set, though a target water supply rate was set in Bolivia and numerical goals as well as indicators were recommended at sub-program levels in Indonesia through the JICA program evaluation.

As noted above, most of the current programs have no set indicators and numerical targets. To make program goals more precise and manage programs more appropriately, indicators and program targets must be urgently decided. Each indicator, in addition to being reliable and periodically available, must demonstrate the program goal and should be decided after consultation with the recipient government and other aid agencies

involved with the program. Choosing common indicators, such as those stated in development strategy documents of the recipient government or those used by other aid agencies, will not only further clarify the position of the JICA program in the recipient government's development strategy, but also enhance monitoring and evaluation efficiency during program implementation. Where numerical targets for the recipient government's development strategy are available, numerical targets can be set by either creating a scenario based on those targets or examining the baseline data, scale of inputs, and scenarios. In any case, reliable baseline data and calculation bases are required.

## **(2) Program Scenarios**

### **1) Relevance of a scenario for achieving goals**

Because there was neither goal setting based on investigation and analyses at the planning stage nor a scenario for achieving the program goals in the four target programs, various strategic issues surfaced in the evaluation process. In the "Health Sector Program" in Afghanistan, for example, it became difficult to clarify a path to achieve the program goals from the aggregate of projects without a scenario. In the "Regional Development Program of South Sulawesi" in Indonesia, despite the high-level program goals targeted for overall regional development, the evaluation revealed that the program could expect only a limited effect. This is because the scope of cooperation, project scale, and target area of cooperation were limited with lack of scenario of coordination with other aid agencies. Regarding the "Program for the Improvement of Health Status of People Living in Upper West Region" in Ghana, despite the program area covering the eight districts of the Upper West Region, the target area of the key technical cooperation project only covers two districts, without a sufficient scenario for the remaining six districts. Furthermore, while the program goal is supposed to be achieved after achieving the project goals, the program concerned called for a five-year period as did the projects. Conversely, the "Program for Water Supply in the Poverty Area" in Bolivia was a case in point where an efficient and effective scenario that heightens the synergistic effects of collaboration in cooperation with grant aid and other aid agencies was developed, while addressing issues that were raised in the implementation process starting from the development study.

Generally speaking, it is difficult for the JICA project alone to achieve the program level goals. Thus it becomes necessary to develop a scenario where goals are attained through synergistic effects and complementarity with other projects. In this case, JICA must decide its applicable scope of cooperation by analyzing the situation of other aid agencies' activities and the projects implemented by the partner country itself. In addition to examining the collaboration among projects, the ways of coping with issues that are not directly covered by JICA cooperation programs such as those under other Japanese assistance schemes as well as collaboration with other aid agencies must multilaterally be examined.

More specifically, based on the analysis results of situations regarding project implementation and activities planned by the recipient government and other aid agencies, and the analysis results of program scenarios owned by other aid agencies, the possibility of collaboration and cooperation among all parties

concerned must be discussed and examined. Then the scope of cooperation concerning issues dealt with directly by JICA is determined by analyzing in a comprehensive manner the relevance of the program (e.g., assistance policies, experience, performance, competitiveness), the scale of inputs, period, project constitution, target areas, and other aspects. This is the process by which issues determined as outside of JICA's scope of cooperation are incorporated into a scenario for intervention through collaboration.

### **2) Combination of Inputs of JICA Projects and Collaboration with Other Aid Schemes and Aid Agencies**

As stated in 1) above regarding a scenario for achieving program goals, the collaboration and cooperation with other Japanese aid schemes (excluding those of JICA), international organizations, other countries' aid agencies, as well as collaboration among projects implemented by JICA, are indispensable for significant aid outcomes.

The program components in JICA's cooperation schemes are mainly assumed to be development studies, technical cooperation projects, individual experts, training, senior volunteers, and Japan Overseas Cooperation Volunteers. Among these components, what assures significant outcomes in a long-term perspective is the development of human resources based on technical cooperation projects implemented by organically combining the several cooperation tools for achieving goals. This includes the dispatch of experts, training personnel in Japan, and the provision of equipment. In the "Program for Water Supply in the Poverty Area" in Bolivia, it was found that combining individual experts and the Japan Overseas Cooperation Volunteers, with the technical cooperation project playing the central role, achieved significant aid outcomes. This includes complemented sustainability through policy-level approaches and community-based activities, as well as providing support for all related stakeholders from the central government and local governments to local residents.

Forms of collaboration with other Japanese aid schemes such as grant aid cooperation and ODA loan assistance were observed in three programs (except the "Health Sector Program in Afghanistan") at their implementation stages. However, it cannot be said that the programs were collaborated strategically toward achieving their specific goals from the initial stages. Regarding the "Program for Water Supply in the Poverty Area" in Bolivia, collaboration between grant aid cooperation and other aid agencies was strengthened, while cooperating flexibly in the process of implementation, and with a significant effect on program-level goals being achieved. It could be considered an example demonstrating appropriate collaboration in the implementation process, coupled with the proper setting of levels of program goals to ensure significant outcomes by the program. Moreover, the "Regional Development Program of South Sulawesi" in Indonesia (previous program) combined the development studies and ODA loan projects, and combined the technical cooperation projects and grant aid cooperation. The combination of development studies and ODA loan projects showed the most significant outcomes.

With respect to relations with international organizations and other aid agencies, it is effective to consider similar strategic alliances with them. The four target programs were without

collaboration plans from the beginning. However, collaboration with other aid agencies was strengthened while proceeding aid coordination as in the “Health Sector Program” in Afghanistan, and project-level collaborative effects were confirmed in the evaluation. From the perspective of strengthening program strategy, complementary collaboration with other agencies that exploits their strengths and characteristics not only helps avoid a duplication of assistance, but also brings about significant synergistic effects. Collaboration with other aid agencies is also necessary to achieve higher program goals that could not be attained by individual projects.

### (3) Management for Program Formulation and Implementation

#### 1) Coordination with the related institutions of partner countries and other aid agencies

Among the programs evaluated, there were cases, such as the “Regional Development Program of South Sulawesi” in Indonesia, where fundamental plans for the program were drafted and agreed upon by establishing a regional office handling JICA assistance in the province, and engaging in repeated negotiations with the provincial government from the initial stage of program formulation. These processes have not merely enhanced the provincial government's sense of ownership for the program, but also deepened the relationship with JICA in terms of mutual trust, with smooth implementation of the program expected in the future.

The “Program for the Improvement of Health Status of People Living in Upper West Region” in Ghana, on the other hand, was not fully acknowledged as a program by the Ghanaian government and other aid agencies at the time of evaluation. Since the central government was not involved in the process of formulating technical cooperation projects that constitute the program, it was unable to understand and support Japan's cooperation for the Upper West Region. Regarding collaboration with other aid agencies, as JICA was not well aware of the aid programs administered by those agencies, it plans the program without coordinating with those aid agencies. The Ghanaian government finally acknowledged this program when JICA conducted the evaluation survey under these circumstances.

Contributions to achieving the development strategy goals can be considered devised and realized in a close collaboration involving the recipient government and other aid agencies in a long-term perspective. For this reason, related institutions should acknowledge JICA's cooperation as part of the recipient government's development program. However, there would be cases where joint programs become difficult due to various reasons such as an inadequate sharing of information and the implementing party's lack of understanding. It would therefore be desirable to adjust programs where necessary to contribute to the development goals through mutual program monitoring, information sharing, and consultation with the recipient government and other aid agencies at every stage of program planning, implementation, and evaluation.

#### 2) JICA's Program Implementation System

In addition to program planning being strategic, the program implementation system is expected to achieve program goals and contribute to development strategy goals. In the “Program



Activities at a healthcare center (Regional Development Program of South Sulawesi in Indonesia - Regional Healthcare Project of South Sulawesi)

for Water Supply in the Poverty Area” in Bolivia, the JICA Bolivia Office, which serves a role in coordinating the program in general, maintains smooth operations and achieves significant outcomes by assigning national staff to managerial positions. In the “Regional Development Program of South Sulawesi” in Indonesia, it was suggested to set up a mechanism in the implementation management system where coordination required projects in the sub-programs and reviews of the program plans could be discussed and addressed, with the provincial government's initiative. Moreover, in the “Program for the Improvement of Health Status of People Living in Upper West Region” in Ghana, it was suggested to utilize the program coordination committee as an overall management function of the program and strengthen the monitoring activities of the JICA Ghana Office. In the “Health Sector Program” in Afghanistan, it was recommended to assign the staff in charge of program management and aid coordination to the JICA Afghanistan Office, and improve communication between JICA headquarters and the JICA Afghanistan Office.

Since the JICA program involves the combination of a number of projects, as well as coordination and cooperation with other aid schemes and aid agencies, there are many related institutions with which to coordinate, entailing a large amount of information amid a complicated environment. Properly managing such circumstances and contributing to the achievement of the development strategy goals require the development of a program implementation system, including the assignment of a program manager possessing strong leadership, expertise, and experience in aid coordination.

### 5. Issues Concerning Program Evaluation Methods

The issues concerning the evaluation methods that surfaced in the latest program evaluation are as follows:

#### (1) Judgmental Criteria of “Positioning,” “Strategy,” and “Contribution” of the Program

In principle, the program is comprehensively assessed based on the concepts of its “positioning,” “strategy,” and “contribution,” although the standards and basis of judgment cannot be considered clearly defined under present circumstances.

Program “positioning” is presently evaluated from the standpoint of whether the program purpose is consistent with the development policy and strategy. When analyzing the four programs, the selection criteria of development strategy and the judgmental criteria and basis of development priorities were found ambiguous. Also, the reason explaining the relevance of JICA's assistance such as the verification of importance relative to other development issues in the target sector would not be convincing. JICA programs are aimed at contributing to achieving the development strategy goals of the recipient government on a long-term basis. Therefore, it is necessary to determine not just “consistency” with the development strategy, but also the “importance” of the development strategy, while considering the opinions of the government and other aid agencies.

Program “strategy” is evaluated based on whether the program goals are clearly defined and a proper cooperation scenario of an organic combination and coordination of projects is designed and implemented. More specifically, such evaluation is based on whether the goals and indicators are clearly set and the scenario is determined by verifying the path from the achievement of project purposes to achievement of program goals, including the program structure and the synergistic effects of collaboration. However, in order to be determined an “organic and proper scenario,” explaining logical rationality of the scenario is not satisfactory. It requires that its validity be proved in other examples, and must be evident from a technical perspective. In the future, it would be necessary to develop a basis for determining the strategic aspect of a scenario such as 1) analyzing other aid agencies' scenarios for each sub-sector, 2) accumulating evaluation examples regarding scenarios and contributions, 3) promoting the participation of experts in the development issues concerned and enhancing the capability to analyze development issues from a technical perspective, and 4) utilizing the knowledge of JICA's issue-based departments.

Program “contribution” is supposed to be comprehensively evaluated from contributions to the development strategy goals, although clearly defined judgmental criteria has not been developed yet. While program positioning is evaluated based on the recipient government's development strategy as a whole, the strategic aspect of a program is assessed within the scope of the program. For this reason, where JICA's program goals are positioned lower than the development strategy goals, the analytical scope of program positioning and its strategic aspect may differ. When considering “what the program contributes to,” it is obvious that there are JICA program contributions to the development strategy goals and those of JICA's cooperation components (such as individual projects) to JICA program goals. When the evaluation of the four programs was checked from this viewpoint, it was evident that “what the program contributes to” was varied. In the “Regional Development Program of South Sulawesi” in Indonesia, although there was a lack of definitive indicators due to the program goals and development strategy goals being at the same level, the concept of “contribution” itself was not difficult. In the “Program for Water Supply in the Poverty Area” in Bolivia, the program goals are positioned slightly lower than the development strategy goals. However, the contributions of

the JICA program were evaluated relative to the government's development strategy goals of improving the quality of water, sanitation services, and the diffusion rate. Conversely, in the “Health Sector Program” in Afghanistan, while the program goals and development strategy goals were at the same level, the development strategy had wide-ranging goals, but the program goals were also ambiguous at the time of evaluation. As a result, the evaluation results do not indicate clearly what contributions were expected. Moreover, in the “Program for the Improvement of Health Status of People Living in Upper West Region” in Ghana, despite the program goals and development strategy goals being at the same level, evaluation found that the program goals were too high compared to the program period and quantity of inputs to achieve the program goals under the present situation. Therefore, it was recommended to lower the level of the program goals. Although the contributions of JICA cooperation components to the program goals in this case would be strengthened, it would be necessary to take note of contributions to the higher goals of the development strategy from a longer-term perspective evaluated as program “positioning” in the development strategy.

## **(2) Implementation System of Program Evaluation**

Under the current system, the Evaluation Study Committee consisting of JICA's overseas offices, domestic relevant divisions including the Planning and Coordination Department, evaluation advisors, and consultants investigate and evaluate JICA's program, with the Regional Department of JICA playing a central role. When conducting an evaluation at the initial and intermediate stages of the program, formulating a strategic scenario and strengthening an implementation system at the field level become important. Consequently, personnel familiar with the situation of the country concerned and possessing expertise in the sector involved, or those with experience in aid coordination must be encouraged to participate in the implementation system. JICA's internal system for its programs would also require improvements. When making a technical decision concerning specific development issues, JICA's issue-based departments which accumulate knowledge on the issues, support the evaluation survey. Also when conducting a field study, allocating competent local personnel in accordance with the objectives and expertise required for the study could be expected to make the study more efficient.

## JICA Program Evaluation

## “Regional Development Program of South Sulawesi” in Indonesia

**1. Summary of Evaluation Study****(1) Background and Objectives**

While Indonesia has been developing across the country, it has created a development disparity among its regions, causing a variety of issues in the country. Since the widening development disparity between western Indonesia and eastern Indonesia is particularly significant, the development of the country's eastern region is an important policy for the Indonesian government. Since the 1960s Japan has been implementing numerous cooperations in South Sulawesi Province, the center of the economy and distribution among the 12 provinces of eastern Indonesia. The purpose of this evaluation study is to confirm JICA's contributions<sup>4</sup> to the province, improve the cooperation scenario for the “Regional Development Program of South Sulawesi”<sup>5</sup> based on the lessons learned from it, and make recommendations for program goals to be achieved in the future.

**(2) Evaluation Study Period and Team****1) Evaluation Study Period**

From December 2006 to March 2007 (Field study: February 5-24, 2007)

**2) Evaluation Study Team**

An Evaluation Study Committee composed of the JICA Indonesia Office, Planning and Coordination Department, Japan Bank for International Cooperation (JBIC), external advisors (evaluation advisors), and consultants was established, with Regional Department I (Asia) of JICA playing a central role. The field study team, based on discussions at the committee and field study results, has written and compiled an evaluation report.

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**(3) Scope of Evaluation**

The objects of this survey comprise two groups of assistance: 1) cooperation (previous program) implemented from the 1960s to 2005 in South Sulawesi Province, and 2) cooperation (current program) implemented by JICA since 2006 under

the “Regional Development Program of South Sulawesi.” Under (1) above, there are fifty projects listed (Table 3-3), comprising JICA projects, ODA loan projects, and grant aid projects. For convenience's sake, the projects are divided on the constitution of the current program into three sectors: 1) urban development, 2) regional economy promotion, and 3) social development. This evaluation focused on 20 projects after 1995. Eighteen projects are listed under (2) above (Figure 3-2), consisting of JICA projects and ODA loan projects that constitute three sub-programs - 1) Maminasata urban development, 2) regional economy promotion, and 3) social development. The above three regional development approaches are aimed at promoting poverty reduction in South Sulawesi Province by addressing development issues, such as urban sprawl, a low-added-value economic structure, and lack of social services.

**(4) Evaluation Period Covered**

- 1) Previous program: From 1995 to 2005 (including projects since the 1960s depending on sector)
- 2) Current program: From 2006 to 2015

**2. Circumstances Surrounding the Development of South Sulawesi Province****(1) Development Issues, Policies, and Efforts of the Indonesian Government**

Until the latter half of the 1990s, the Indonesian government had been pushing ahead with its Sixth Five-Year National Development Plan (REPELITA) (1994-1998), pursuing policies focused on government-led economic growth. Since 1997, however, the government, in responding to government instability triggered by the Asian economic crisis and its aftermath, has been forced to make drastic changes in its political system and economic policies. As a result, the priorities of the government's national policies have drastically shifted from the economy to its citizens, and from centralized to decentralized government. The National Development Program (PROPENAS) (2000-2004) announced in 2000 acknowledged for the first time the importance of regional development. The present national policies are based on the “National Medium-Term Development Plan” (RPJM) (2004-2009) that followed in the wake of PROPENAS, with correcting regional disparities in development as a continuous important issue.

Among the 12 provinces of eastern Indonesia that lag behind in terms of infrastructure, rural economy, and human resources, South Sulawesi Province is an important strategic place for transportation and trade due to its geographical location, which offers a strategic point for regional development.

4. Including grant aid cooperation and loan aid cooperation

5. It was signed between the ODA Task Force in Indonesia and the governor of South Sulawesi Province in May 2006.

However, it faces a number of issues that impede regional development, and diverse efforts in line with provincial strategic plans - South Sulawesi Province REPELITA (-2003) and RENSTRA (2003-2008) - have been made thus far.

The issues facing the urban development sector include urban sprawl, the lack of urban amenities, and inadequate infrastructure in Makassar, the capital and largest city in the province. The Indonesian government designated Parepare in South Sulawesi Province as the comprehensive economic development area in the province, a hub of provincial economic growth, and launched a program to induce private-sector investments. In addition, the South Sulawesi provincial government established the Maminasata metropolitan area that includes Makassar with its improved port and distribution facilities, and the regencies of Maros, Gowa, and Takalar based

on the development plan of PROPENAS. It launched programs aimed at promoting the area's economic development, improving its urban environment and economic infrastructure, and strengthening its governance.

The issues facing the regional economy promotion sector stem from the fact that although South Sulawesi Province has distribution hub functions, it has merely been viewed as a supply region of raw materials without a well-developed manufacturing industry. As a result, the province has had to achieve further economic growth in the region by exploiting its geographical advantages, promoting the local industry, utilizing its resources and adding value to products produced in the province. As one of the measures to rebuild the economy in the wake of the Asian economic crisis, the government stressed the promotion of small and medium scale industries, and provided

**Table 3-3** Former Projects in South Sulawesi Province

No.	Project Title	Cooperation Scheme	Year	Sector
1	Bili-Bili Multipurpose Dam Project (I~III)	ODA Loan	1991-1999	Urban Development
2	Industrial Training Center in Sulawesi	Project-type Technical Cooperation	1974-1980	Urban Development
3	Study on Ujung Pandang Industrial Estate	Development Study	1976-1977	Urban Development
4	Study on Bakarru Hydroelectric Power Plant Project	Development Study	1976-1977	Urban Development
5	Study on the Master Plan of Water Resource Development in Middle South Sulawesi	Development Study	1976-1979	Urban Development
6	Study on Lower Jeneberang River Flood Control 1, 2	Development Study	1979-1982	Urban Development
7	Ujung Pandang Industrial Estate Project	ODA Loan	1978-1979	Urban Development
8	Study on Ujung Pandang Shipyard Expansion Project	Development Study	1979-1980	Urban Development
9	Lower Jeneberang River Urgent Flood Control Project	ODA Loan	1983-1993	Urban Development
10	Bakaru Hydroelectric Power Plant Project	ODA Loan	1984-1992	Urban Development
11	Study on Water Supply Development in the City of Ujung Pandang	Development Study	1984-1985	Urban Development
12	Ujung Pandang Shipyard Expansion Project	ODA Loan	1989-1991	Urban Development
13	Study on Urban Road Development in Ujung Pandang	Development Study	1987-1989	Urban Development
14	Local Road Development Project	ODA Loan	1987-1990	Urban Development
15	Ujung Pandang Water Supply Rehabilitation Project	ODA Loan	1990-1993	Urban Development
16	Local and Urban Road Development Project	ODA Loan	1990-1994	Urban Development
17	Ujung Pandang Port Urgent Rehabilitation Project	ODA Loan	1992-1998	Urban Development
18	Study on the Master Plan of Container Cargo Handling Ports & Dry Ports and its Connecting Railway	Development Study	1994-1995	Urban Development
19	Ujung Pandang Water Supply Development Project	ODA Loan	1994-2002	Urban Development
20	Master Plan and Feasibility Study on Waste Water and Solid Waste Management for the City of Ujung Pandang	Development Study	1994-1996	Urban Development
21	Feasibility Study on Ujung Pandang Coal Fired Steam Power Plant Development Project	Development Study	1994-1996	Urban Development
22	Study on the Development of Poko Hydroelectric Power Plant	Development Study	1994-1995	Urban Development
23	Bili-Bili Irrigation Project	ODA Loan	1997-2004	Urban Development
24	Rural Water Supply Project in Sulawesi Island	Grant Aid	2000-2002	Urban Development
25	Rehabilitation Project of the Gowa Paper Mill	ODA Loan	1969	Local Industry
26	Bone Sugar Factory Project	ODA Loan	1973	Local Industry
27	Sericultural Industry Development	Grant Aid	1976	Local Industry
28	Integrated Agricultural and Rural Development Project in Southeast Sulawesi	Project-type Technical Cooperation	1976-1982	Local Industry
29	Sericultural Industry Development	Project-type Technical Cooperation	1976-1985	Local Industry
30	Leading Agricultural Engineer Training Project	Project-type Technical Cooperation	1979-1988	Local Industry
31	Leading Agricultural Engineer Training Project	Grant Aid	1980	Local Industry
32	Rice Pest and Disease Forecasting and Control Center	Grant Aid	1984	Local Industry
33	Forest Conservation Project in South Sulawesi	Project-type Technical Cooperation	1988-1995	Local Industry
34	Study on the Gilirang Irrigation Project	Development Study	1992-1995	Local Industry
35	Establishment of Regional Export Training and Promotion Centers	Technical Cooperation Project	2002-2006	Local Industry
36	Water Users Association Project in the Republic of Indonesia	Technical Cooperation Project	2004-2007	Local Industry
37	Advisor for Regional Educational Development and Improvement	Expert Dispatch	2006	Social Development
38	Project for Strengthening District Health Services in Sulawesi	Grant Aid	1995	Social Development
39	Support to Establish the Development Policy of Eastern Indonesia	Expert Dispatch	1995-1998	Social Development
40	Project for Strengthening District Health Service in Sulawesi	ODA Loan	1996	Social Development
41	Implementation Support for Integrated Area Development Project in Barru District	JOCV	1996-2000	Social Development
42	Project for Strengthening District Health Services in Sulawesi	Project-type Technical Cooperation	1996-2001	Social Development
43	Project for Construction of Health Manpower Training Institution in North Sulawesi and Improvement of Health	Grant Aid	1997	Social Development
44	Strengthening Sulawesi Rural Community Development to Support Poverty Alleviation Programs	Project-type Technical Cooperation	1997-2001	Social Development
45	Ensuring the Quality of MCH Services through MCH Handbook Project in the Republic of Indonesia (as a quasi-important province)	Project-type Technical Cooperation	1998-2003	Social Development
46	Project for Regional Development Policies for Local Governments	Technical Cooperation Project	2001-2005	Social Development
47	Project for Human Resource Development for Local Governance	Technical Cooperation Project	2002-2005	Social Development
48	Community Empowerment Program with Civil Society	Technical Cooperation Project	2004-2006	Social Development
49	Project for Human Resource Development for Local Governance Phase II	Technical Cooperation Project	2005-2007	Social Development
50	Project for Improvement of Health Management Capacity in Local Governments in South Sulawesi	Technical Cooperation Project	2005-2009	Social Development

policy support targeted at economic efficiency and social issues. The policy for local industry promotion was aimed at economic growth through the market mechanism, and revitalization of the regional economy by improving the economic circumstances of small-scale industries and farmers.

The major issue in the social development sector was the Human Poverty Index and Human Development Index<sup>6</sup> that were lower than in other regions. Part of the reason was inferred to be inadequate social services regarding equal opportunity for basic education and healthcare services after the introduction of decentralized government. This was due to the poor social service management capacities of local governments and lack of financial resources. The regional disparities in social services are another issue. With respect to education, the South Sulawesi provincial government, in line with the new education development plan by the Ministry of Education, introduced a provincial plan to promote basic education aimed at improving access to basic education and the quality of education, and devised a strategic plan to ensure governance and transparency. With regard to health sector, the provincial government formulated a development strategy for the health sector (2002-2007) that clearly calls for a program to strengthen healthcare and nutrition. Moreover, it set up health committees to link the health administration system and local communities in provinces, regencies, and villages, conducting activities known as the DesaSIAGA movement to promote a healthy lifestyle.

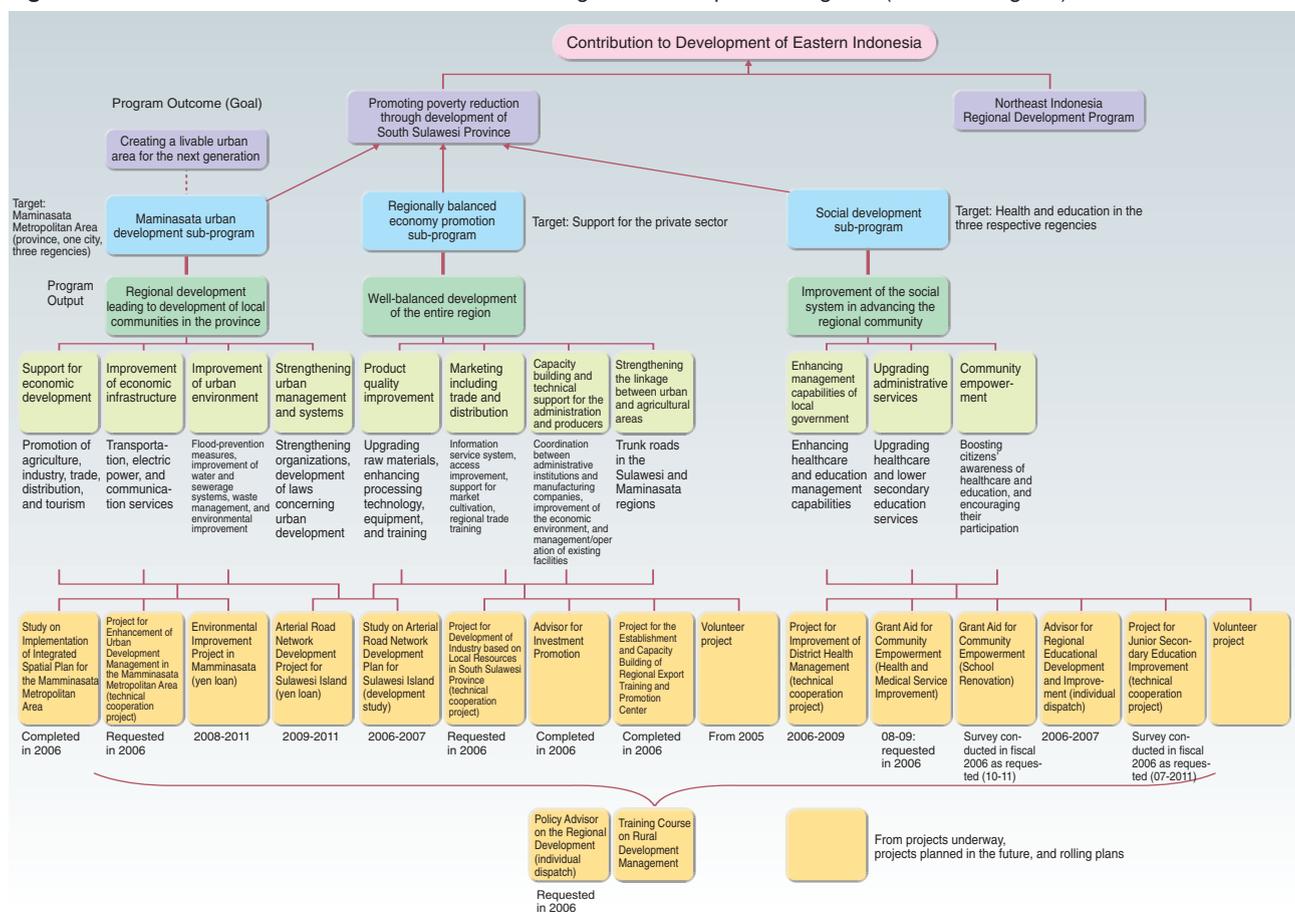
## (2) Activities of Other Aid Agencies

Other aid agencies' past cooperation for the urban development sector include the road improvement projects by the World Bank and the Australia's aid and electric power development projects, communications system upgrading projects, and the airport function upgrading projects by the Asian Development Bank. Concerning improvements in social services relative to the quality of life for residents, the Canadian International Development Agency and the U.S. Agency for International Development have been directly contributing to social environment improvements through small-scale infrastructure improvement projects. These include a water supply project, sanitation improvement project, and social welfare service project.

In the regional economy promotion sector, both the Asian Development Bank and the World Bank have rendered assistance to micro as well as small and medium scale enterprises since 2000. The U.S., Canadian, and Australian governments have been providing assistance focusing on the agricultural and fishery products processing industries.

In the social development sector, the Asian Development Bank and the World Bank have been taking a comprehensive approach to expanding educational opportunities and improving the quality of education by combining such projects as repairing and building schools, constructing libraries and laboratories, distributing textbooks and teaching materials, and retraining teachers. German Technical Cooperation (GTZ) and

Figure 3-2 Master Plan for South Sulawesi Province Regional Development Program (Current Program)



6. The human development index is composed of variables of average life expectancy, educational performance measures, and the actual per capita GDP.

the Australian Agency for International Development (AusAID) have been providing technical cooperation including teacher training and the development of teaching materials. In the health sector as well, the Asian Development Bank and the World Bank have been addressing the decentralization of authority, reform of the health system, establishment of a health financial system, and provision of social services for the poor. In addition, the United Nations Children's Fund and AusAID have been rendering assistance in the fields of maternal and child health.

### (3) JICA's Activities

In this section, we will overview Japan's assistance performance by sector (previous program) up to 2005.

In the urban development sector, JICA had implemented a number of cooperation projects in cities and areas surrounding South Sulawesi Province since the 1970s to early 2000s to improve public services. The projects include improvements in the urban environment (water resource development, flood control, water and sewerage systems, and waste treatment) and economic infrastructure (roads, ports, electricity, and industrial complexes).

In the regional economy promotion sector, JICA had offered cooperative projects from the late 1960s through the latter half of the 1970s aimed at increasing rice harvests, which entailed irrigation projects, cultivating agricultural engineers, and taking measures against diseases and pests. JICA also provided cooperation to develop the paper manufacturing, sugar production, and sericulture. With respect to environmental preservation, JICA has been offering cooperation for the transfer of afforestation technology since 1988.

When analyzing its activities for the social development sector, JICA first dispatched experts on rural community development in 1993. Since then, JICA has continuously implemented projects for regional development, institutional development and human resource development of administrative officials, targeting on local governments, communities, and NGOs. JICA's projects in the educational sector got off to a start when it dispatched short-term experts in 2006, and it plans to start technical cooperation for elementary and secondary education in fiscal 2007. In the health sector, the Japanese government implemented a grant aid project to upgrade local public health centers in 1995. And JICA continuously implemented cooperation by organically combining an ODA loan project and a technical cooperation project until the project for maternal and child healthcare ended in 2003.

In 2005, JICA started to promote its program approach for the regional development of South Sulawesi Province. In December 2005, with the JICA Indonesia Office playing a central role, the Makassar Field Office (MFO), which would become a regional office in South Sulawesi Province, was newly established and then negotiated to draw a detailed program plan with the Indonesian side. In May of 2005, the provincial government and JICA officially agreed upon the program plan.

## 3. Evaluation Results

### (1) Previous Program

#### 1) Program Positioning

##### 1. Japanese policy

Before the "Country Assistance Program" was formulated, the aid policies and priority fields had been decided through policy dialogue, with the Japanese government dispatching a mission. The 1994 "ODA Country Aid Policy" called for the "securing of equality" as one of five priority fields in which the "development of eastern Indonesia" (alleviation of regional disparities) was clearly stated. The "JICA Country Program" for fiscal 2001/2002, established in line with the policy, definitely states the necessity to support decentralization that takes into consideration regional disparities as part of "support for good governance," a priority field of assistance. The previous program, aimed at improving economic infrastructure and urban environment, support for food production, the empowerment of residents, human resource development of local administrative officials, and upgrading of healthcare services, not only contributed to alleviating regional disparities, but also are consistent with Japan's "ODA Country Aid Policy."

##### 2. Development plans of the Indonesian side

The development plans during the evaluation survey included "REPELITA," "PROPENAS," and "RPJM" (national-level planning), as well as "REPELITA" and "RENSTRA" (provincial-level strategic planning). All the projects are implemented based on the national development plan. In this survey, however, in an attempt to assess the current relevance of the program and draw lessons for improving the scenarios for the current program, "RENSTRA" was selected to validate JICA program positioning.

There are 25 programs formulated in "RENSTRA" based on the four basic policies of 1) improving the quality of life for residents, 2) enhancing sustainability of the regional economy, 3) improving the quality of communities, society, and the nation, and 4) empowering local communities and government. An item called 5) "regional infrastructure" (society, economy, systems), which supports above-mentioned policies overall, was added in order to take a well-balanced view that considers diversity of the projects in the program. As a result, more than half of the projects (mainly economic infrastructure projects) in the previous program were classified under 5), followed by 2) and 1). Therefore, the previous program could be positioned as an assistance program contributing to building a foundation for development through the improvement and strengthening of infrastructure, and by enhancing citizen's lives and the regional economy.

#### 2) Program Strategy (Planning and Outcomes)

Since the previous program were not originally planned as a JICA program, this section only refers to program outcomes.

In the urban development sectors, each individual project achieved considerable project-level outcomes. Projects targeted at river improvement, the construction of dams and hydraulic power plants, and port rehabilitation, which were recommended in the development studies and implemented by ODA loans, exhibited significant performance. It largely contributed to "upgrading public services" and "improving the

regional function within urban areas” as stated in RENSTRA. In the regional economy promotion sector, since some projects for fostering industry implemented in the 1960s through 1980s discontinued production, the sustainability of these projects was found relatively low. However, there were some projects involving sugar mills and development of the sericulture that played a certain role having relevance to current policies for the regional economic development. The food production project (through improvement of irrigation systems and associations) and environment preservation project (through improvement of river basin management technology and the stability of community life) respectively contributed to the Indonesian government's development plans. In the social development sector, JICA's projects contributed to improving healthcare services in relatively large areas by upgrading the health services and maternal and child health in those areas. Due to efforts of the Indonesian government and assistance from other aid agencies in addition to the JICA's projects, the infant and maternal mortality rates in South Sulawesi Province significantly declined from the first half of the 1990s to 2003. As seen in creating a community participation development model for the rural development project aimed at reducing poverty and establishing regulations to promote the model, the previous program largely contributed to the empowerment of people in line with the decentralization process, the fostering of administrative officials, and poverty reduction.

### 3) Contribution of the Program

Most of the previous program indirectly contributed to accelerating regional development. However, it is difficult to accurately evaluate their contributions to changes in the development situation because the program had no common specific goals.

## (2) Current Program

### 1) Program Positioning

#### 1. Japanese policy

The policy paper on Japan's present development aid to Indonesia entails the “Country Assistance Program” published in 2004. The program advocates “sustainable growth driven by the private sector,” “building democratic and fair society” and “peace and stability” as the three strategic fields. Among these fields, “building democratic and fair society” calls for “poverty reduction,” and the current program was planned in line with this policy. The 2006 “JICA Country Program” calls for implementation of the “Program for Supporting Development of Eastern Indonesia” under the one of priority issues “poverty reduction.” The current program is positioned as one of the programs for poverty reduction along with the “Northeastern Indonesia Regional Development Program.” This program is a comprehensive, crosscutting program targeted at a specific area, and specifies South Sulawesi Province with considerable Japanese aid performance as a pilot area for development of the province's eastern region.

As noted above, since the Country Assistance Program and JICA Country Program clearly support poverty reduction, it is evident from Japanese aid policy that the program enjoys definitive positioning with considerable political commitment.



Facilitator to feed back training results to residents (community development project with the participation of civil society)

### 2. Development planning of the Indonesian side

As noted above, the current program is planned along with RENSTRA. When the current program was streamlined in a similar way since the previous program were classified in accordance with the four basic policies, five projects of the Maminasata urban development sub-program were classified as 5) “regional infrastructure” (society, economy, systems), six projects of the regional economy promotion sub-program as 2) “improvement of the sustainability of regional economy,” and seven projects of the social development sub-program as 1) “improvement of the quality of life for residents.” The “improvement of the quality of life for residents” entails “improving the quality of education,” “enhancing equality,” and “improving health and nutrition,” along with education and health sector, which constitute the current program, especially lower secondary education and healthcare in the regional community, and are designated as top priorities in RENSTRA.

As described above, the current program is aimed at a well-balanced development of the community and economy based on collaboration and cooperation between urban and rural areas, by building an urban area and making it an engine for the economic development of South Sulawesi Province. And since the program is intended to develop the area by developing capacities related to decentralization, their consistency with RENSTRA can be considered high.

It is also evident that current program has limited cooperation in their target fields and geographical areas relative to RENSTRA's diversified policy objectives. More specifically, “urban area development” is intended to improve part of the socioeconomic infrastructure of the Maminasata urban area. In contrast, “regional economy promotion,” targeted in regions other than Maminasata, is intended to develop competitive products, aiming at promoting local industry. Moreover, “social development,” also targeted in areas other than Maminasata, is supposed to provide cooperation limited to the education and health sectors among various social services.

### 2) Program Strategy (Plans and Outcomes)

In conjunction with the “Northeastern Indonesia Regional Development Program,” the current program is aimed at helping to achieve the goals of the “Eastern Indonesia development program,” a major program. Under the three sub-programs, the current program, based on a combination of “urban and rural

areas” and “economic and social development,” is aimed at promoting local industry in conjunction with the urban area stimulating development, prosperity for the entire region, and poverty reduction. The program demonstrates a certain strategic features. However, because the goals of the sub-programs - “regional development that stimulates development of the province,” “well-balanced development of the overall community,” and “improvement of social systems for greater prosperity of the regional community” - are not clear enough, the positioning of the projects - the components for achieving these goals - is made obscure. To achieve the program goals by 2015, targeted at a province with a population of 7.6 million, the possibility of each sub-program achieving the outcomes is rather limited due to an insufficient scope of cooperation, project scale, and target region. The strategy of each sub-program is as follows:

The Maminasata urban area development sub-programs are focused on improving the urban environment and socioeconomic infrastructure. However, in order for the program to become an engine for regional development, they would require proper urban management and the strengthening of various systems based on the rule of laws, as well as improvement of organizations and the urban development management system. The strategy of the regional economy promotion sub-program consists of the comprehensive development of urban areas and rural communities by strengthening the linkage between cities and agricultural communities based on the promotion of local industry (formation of industrial clusters), and upgrading the transportation infrastructure. However, since the only transportation infrastructure being planned is the trans Sulawesi road, an approach to promoting community-based industry and inviting manufacturing businesses from other regions must be considered to realize “well-balanced development” in connection with the promotion of local industry. In view of the limitations on inputs and efficiency, it is necessary to improve the issues, that JICA cannot address, by coordinating with the Indonesian government and other aid agencies. The social development sub-program allowed for coordination between school healthcare and regional health services, effective health education, and the enlightenment of local residents about health knowledge. This was provided by combining the target issues of cooperation in the fields of education and health (i.e., deploying cooperation in two different fields in the



Tooth-brushing campaign (Regional Healthcare Project of South Sulawesi)

same community of the same province). Considering the fact that the effectiveness of technical cooperation implemented there was already verified in other provinces, and the sub-program takes an approach to extend the model developed in the target model province across the country, the program can be considered effective and efficient. In the field of education, the program overlaps with the activities, contents, and target areas of other aid agencies, making it necessary to share information and properly allocate resources among the institutions concerned. Considering the fact that the sub-program is limited to three regencies and the characteristic of education and health sector, it takes time before the aid yields outcomes, making it difficult to achieve program goals.

### 3) Program Contribution (Possibility)

Since the current program is aimed at balanced development of the economy and society by grasping “development” in a comprehensive manner, it is expected to make contributions to poverty reduction in South Sulawesi Province. However, as described above, in view of the current program and their scale, it would appear that its contributions are limited. When taking into account the contributions to improving capabilities of the Indonesian government, this program would be expected to contribute to strengthening local government, decentralization, and empowerment of community organizations.

## 4. Lessons Learned

Among the lessons learned from the evaluation of the previous program, what is important for the current program is the following four points:

- (1) Regional development requires in addition to support for such infrastructures and facilities, support for systems and institutions including facilities maintenance and management, the improvement of systems, and collaboration among projects to enhance program sustainability and effects. When planning a program, it is vital to encourage the recipient government to participate in the program, ensure program ownership, and strengthen its capacities.
- (2) Supporting an economic promotion requires not just production support, but also comprehensive support for processing, distribution systems, and improvement of the business environment.
- (3) The previous program was not planned and implemented as a full-fledged program. However, the monitoring implementation plan must be incorporated into the overall plan for program strategy, and the program must be flexibly revised in response to monitoring results. Furthermore, program monitoring requires establishing an operational management system and assigning a program manager.
- (4) In spite of the rapid decentralization since 2001 that changed the authority, roles, and responsibilities of the provincial and prefectural governments, the current operations do not catch up with the changes. Under these circumstances, by analyzing the absorptive capacities of the recipient government, support for organizational capabilities must be incorporated into the program. It is also necessary to discuss methods of cooperation how to model and disseminate the support related to decentralization, and formulate an exit strategy or clarify the roles of the provincial and regency/city governments.

## 5. Recommendations

In view of the lessons learned from evaluating the previous program and the issues of the current program, recommendations for program improvement are as follows:

- (1) Since the goals of the sub-programs are ambiguous and without indicators being set up, it is difficult to identify the projects as necessary means. To begin with, it is necessary to plan to deploy projects that can be implemented and single out individual projects after clarifying their goals and indicators. It is essential to develop a scenario for achieving the program goals, including those involving other than Japanese cooperation, and prepare an action plan with the agreement of the Indonesian government.
- (2) How to manage coordination among sub-programs remains an issue to be discussed further. There are two alternatives: whether to deploy projects coordinated among sub-programs to focus on achieving the program goal, or deploy projects by focusing on achieving sub-program goals.
- (3) If attaching importance to “regional economy promotion” is to ensure development coordination between the urban area and local community, additional projects should be considered as a core role or role of an engine in the overall program.
- (4) According to the current program plan, the causal relationship between program goals and the three sub-programs is ambiguous. Since designating the program goal of regional development as “poverty reduction” seems somewhat irrelevant, the goal should be revised to “well-balanced economic progress and social development.” If the goal is to

remain unchanged, poverty class should be identified, then projects focused on taking measures to fight poverty must be considered.

- (5) Although the regency and city are the implementing authorities of local administration, and the province takes a role to expand the outcomes of projects to other regencies and cities, they are not well-coordinated actually. It is therefore necessary to reconsider approaches relevant to the sub-programs in accordance with administrative instructions of the decentralization-related laws, and clarify the roles of the province, regency, and city.
- (6) Since program goals are set at a high level, the constituting projects are wide-ranging. To manage the program properly, it is vital to establish an implementation management system as soon as possible. More precisely, while clarifying the relationship with the “local committee to support eastern Indonesia development,” it is important to position the provincial counterparts at the center of the system, clarify their responsibilities and collaborate with them, and ensure that these efforts lead to their capacity development.
- (7) Based on the discussion with the Indonesian side, set up program goals and specific indicators, making the relation with the sub-programs clearer.
- (8) It is important to establish monitoring and evaluation systems in order to grasp the situation of program implementation and improve it where necessary. In implementing the current program involving large projects, it is essential to maintain a close collaboration between JICA Headquarters and the Indonesia Office.

## JICA Program Evaluation

# “Program for Water Supply in the Poverty Area” in Bolivia

## 1. Summary of Evaluation Study

### (1) Objectives

This evaluation study was conducted for the purpose of strengthening the strategy of the “Program for Water Supply in the Poverty Area” in Bolivia that JICA positions as a strategic program for the Latin America region. This program aimed at addressing the extremely low water supply rate of 47.6 percent (2005) and instability in terms of water quantity/quality in agricultural communities in cooperation with the underground water development (for sinking wells) supported by grant aid cooperation. Therefore, this program has been supporting more effective use of water supply facilities and community development assisted by technical cooperation projects and volunteer programs. This study attempts to systematically review JICA's past efforts, analyze the strategy for achieving the program goals, and evaluate the contributions (potentials) to “improving the quality of water and sanitary services in agrarian communities.” Also this study draws up recommendations for strengthening program strategy.

Incidentally, at the time of this evaluation, the program has not reached a stage where final outcomes could be evaluated.

Consequently, this evaluation was conducted as a mid-term evaluation, verifying program performance with respect to the progress of the “National Plan for Basic Sanitation Services” and evaluating the possibilities of its contributions to development issues.

### (2) Evaluation Study Period and Team

#### 1) Evaluation Study Period

From November 2006 to March 2007 (Field study: November 25 to December 16, 2006)

#### 2) Evaluation Study Team

With JICA's Regional Department III taking a central role, an Evaluation Study Committee composed of the Bolivia Office, related departments (Planning and Coordination Department, Global Environment Department, Grant Aid Management Department, Secretariat of Japan Overseas Cooperation Volunteers, Institute for International Cooperation), evaluation advisors, and consultants was organized. Based on discussions at the committee, a report was written and compiled.

[Evaluation Advisors]

Hideo Kimura, Professor, Graduate School of Arts and Sciences, University of Tokyo  
Keiko Yamamoto, Senior Advisor, JICA

[Consultant]

IC Net Limited

**(3) Scope of Evaluation**

The “Program for Water Supply in the Poverty Area” (fiscal 2001-2010) - the object of this study - is aimed at supplying clean water in a safe, sustainable manner and improving the extremely low water supply rates in Bolivia’s agrarian communities. This program consists of the four projects listed in Table 3-4. The technical cooperation project known as “Waters of Life,” a core of this program, is targeted for promoting the utilization of underground water (by sinking wells) as developed by the grant aid cooperation. And this project sets the goals of boosting safe water supply rates and promoting the proper, ongoing use of potable water at pilot villages. Its main activities include the improvement of water supply facilities by the Bolivian government and community development aimed at facilities management by the residents.

With respect to the three related projects (Table 3-5) including the above noted grant aid cooperation, which helped formulate the program, this evaluation refers to the performance and outcomes of these projects where necessary.

**(4) Evaluation Period Covered**

From fiscal 2001 to 2006

**2. Outlook of the Water Supply Sector in Bolivia**

**(1) Development Issues and Policies**

The situation of the water supply sector in 2000 (during the

early part of the evaluation period covered) was as follows:

The Bolivian government, under the slogan of “water for all people,” set its goal to increase the coverage rates for water supply to the national average of 72 percent by formulating the “National Development Plan for Water Supply and Sanitation” (1992-2000) in 1992. Thanks to this plan, large-scale public investments in the fields of water supply and sewerage were implemented, the water, sewerage, and sanitation law was enacted, and the Agency for the Supervision of Basic Sanitation established. Thus, the country’s water-related organizations and systems improved drastically. As a result, the coverage rates for water supply rose from 81 to 90 percent in urban areas and from 24 to 39 percent in local areas. However, since the issues of frequent interruptions in water supply and poor water quality were not completely resolved, the government was unable to ensure a stable water supply.

As seen above, development issues for the water sector were to ensure a stable supply of safe drinking water in local areas. The “National Plan on Basic Sanitation” (2001-2010), a long-term plan, explicitly states its goals of improving the country’s water coverage rates to 94 percent in urban areas and 82 percent in agrarian areas. The “Institutional Strategic Plan” (2003-2007), a strategy document of “Plan Bolivia” issued in 2003, and the “National Development Strategy” (2006-2010) announced in June 2003 also mention the issue of access to drinking water, along with the programs and goals to address this issue.

**(2) Activities of Other Aid Agencies**

Most projects being implemented in Bolivia’s water sector are supported by aid agencies. When looking at the situation of their support since 2001 (except those of JICA), it is clear the European Union (EU), Inter-American Development Bank (IDB), and the United Nations Children’s Fund (UNICEF) have been providing large-scale assistance. The majority of this assistance has targeted improvements of water supply

**Table 3-4** Major Projects Constituting the Program to be Evaluated

	Project Title	Implementation Period	Outline
1	Long-term Individual Expert: Rural Area Basic Sanitation Planning	January 2003 - January 2005	Follow-up of the underground water development plan in the local community
2	Community Empowerment Program: Community Development Project (Proyecto-DESCOM)	October 2003 - April 2005	Community development activities centered on wells and water supply
3	Technical Cooperation Project: "Water is Vital"	June 2005 - May 2008	Improvement of underground water supply facilities (wells) supported by grant aid cooperation; community development activities
4	JOCV/Senior Volunteers for Rural Development	2004 - currently underway	Promoting the community development model centered on the water system; total of 10 persons in Tarija department, four cities in Santa Cruz department, and Potosi department (nine JOCVs and one senior overseas volunteer)

\* Proyecto de Desarrollo Comunitario

**Table 3-5** Related Projects other than Program Components

	Project Title	Implementation Period	Outline
1	Development Study: Groundwater Development in Rural Areas	1994 - 1996	Targeted at five departments: Santa Cruz, Chuquisaca, Tarija, Oruro, and southern La Paz
2	Grant Aid: Underground Water Development in the Rural Areas (phases 1-3)	Phase 1: 1997-1999 Phase 2: 1999-2001 Phase 3: 2003-2005	Phase 1: Santa Cruz and Chuquisaca departments Phase 2: Oruro and Tarija departments Phase 3: La Paz and Potosi departments
3	Long-term Individual Expert: Rural Area Water Supply Planning	April 1999 - March 2001	Recommendations and advice on the maintenance/management of local and urban water supply plans, and water quality management

facilities and the introduction of water supply systems in rural communities. In addition, various programs have been implemented, including the program for the “Water and Sanitation Program” by the World Bank, technical advice to governmental institutions by German Technical Cooperation (GTZ), and the installation of water supply facilities in rural areas by NGOs.

### (3) JICA's Activities

Among Japan's cooperation in the 1990s before launching this program were the Development Study on Groundwater Development in Rural Areas conducted from 1994 to 1996, and the grant aid cooperation implemented over three phases since 1996. Based on the development study, an underground water development strategy targeting five departments (Chuquisaca, Oruro, Tarija, Santa Cruz, and Rabas) was formulated. Equipment and materials necessary for water development were provided by grant aid cooperation for six departments including Potosi.<sup>7</sup> The Bolivian government also requested training in well-drilling technology, and then drilled wells through its own efforts. Given this success, the government set its goal to construct water supply facilities at 460 locations in five years utilizing the underground water sources developed by their drilling technology. However, due to its financial difficulties, the Bolivian government delayed the construction of water supply facilities and their developed water sources remained unused. Under such circumstances, this program was launched, aimed at addressing these development issues and continuously supplying safe drinking water to the Bolivian people.

## 3. Evaluation Results

### (1) Program Positioning

#### 1) Japanese Policy

Although the Country Assistance Program for Bolivia was not formulated by the Ministry of Foreign Affairs of Japan, “JICA Country Program in Bolivia” (February 2006) was formulated, clearly calling for cooperation in social development and improved productivity, laws and regulations, and governance as strategic fields. The Program for Water Supply in the Poverty Area tackles one of five strategic fields of the social development sector, and is highly important for Japanese policies.

#### 2) Development Plans of the Bolivian Side

There are three key development plans for the water sector: 1) “National Plan on Basic Sanitation” (2001-2010), 2) Plan Bolivia: water and sanitation sector, and 3) “National Development Strategy” (2006-2010). In this evaluation, the National Plan on Basic Sanitation was selected as a “development strategy for the basis of confirming the positioning of the program.” This plan has a strategic vision to make contributions to improving the quality of life for the Bolivian people through the extension of services for sustainable water, sanitation, and



People digging a well by hand drilling

waste disposal, as well as fostering a water culture. This plan consists of seven development issues including “water and sanitation services for rural communities and indigenous people.” The Program for Water Supply in the Poverty Area is intended to establish a sustainable water supply system relevant to specific issues for the rural development sectors in the above noted development plans.

### (2) Program Strategy (Planning and Outcomes)

#### 1) Planning as a Program (Consistency)

The first criterion for determining the strategic aspects of the program is to examine whether the scenario for achieving program goals is properly developed in a coherent manner. The Program for Water Supply in the Poverty Area was not implemented simultaneously in four projects from the beginning. However, it was developed gradually through combining different aid schemes, while the program addressed issues arising in the process of individual projects. This program was formed through the processes described below.

Based on the underground water development strategy formulated in the development study, the Bolivian government requested the provision of equipment and the transfer of drilling technology necessary for drilling wells in six departments. Although Bolivia and aid agencies such as IDB<sup>8</sup> and UNICEF<sup>9</sup> were supposed to improve water supply facilities that distribute water from wells, residents in some areas could not access the water supply services due to a delay in improvement works and the failure of water supply facilities. Resolving these problems entailed (1) the promotion of utilizing water supply facilities and the establishment of a maintenance/management system, and (2) community development aimed at the utilization of a sustainable water system. As a result, a program composed of four projects was formulated. More precisely, a long-term expert under the “National Plan on Basic Sanitation in the Farming Community” was dispatched in 2003 to address (1) above. And a productive community development activity (revitalization of community activity) was launched under the community empowerment program to address (2) above, in establishing a sustainable maintenance/

7. By 2006, 852 wells were drilled in six departments, of which 483 wells are in service.

8. Although IDB provided support for urban areas during the late 1990s and early 2000s, it has recently focused on rural communities, currently implementing the comprehensive water supply program in nine departments.

9. UNICEF has been building water supply systems in southern Cochabamba Department, northern Potosi Department, Oruro Department, and Chuquisaca Department under the “Water and Sanitation Program” (1989-2005).

management system of water supply facilities by local residents in cooperation with local NGOs. In 2005, to further accelerate these efforts, (1) the transfer of water supply system maintenance/management technology and (2) the community development activities were carried out. Also, grassroots-level support services were provided for enhancing residents' livelihood by dispatching Japan Overseas Cooperation Volunteers to address (2) above.

As seen above, the program has a scenario for generating synergy effects derived during the timeline of cooperation beginning from the development study, together with horizontal connections collaborated with grant aid cooperation (another scheme of Japanese assistance) and other aid agencies. Thus, its consistency can be considered quite significant.

## 2) Program Outcomes and Processes

The second criterion for determining program strategy is the possibility of program goals being attained and the degree of realizing outputs of individual projects that constitute the program.

With respect to the likelihood of achieving the numerical goal of increasing the water supply rate in rural communities to 61.4 percent<sup>10</sup> (tentatively set in 2006) by the end of the program (2010), two indicators - 1) increase in the net water supply rate<sup>11</sup> resulting from the JICA program and 2) degree of achieving program goals based on government statistics - were used to secure the accuracy of this evaluation. Indicator 1)

**Table 3-6** Situations of Water Supply Facilities Before and After Launching the Project for "Waters of Life"

Items	Before Project (June 2005)	After Implementation of Project (December 2006)
1. Rural communities with wells and water supply facilities that are out of service*	About 150-200 communities	About 100 communities
2. Rural Communities with wells but no water supply facilities	176	75

Source: JICA Bolivia Office

\* Since accurate statistics were not available, estimates are based on hearings involving the parties concerned.

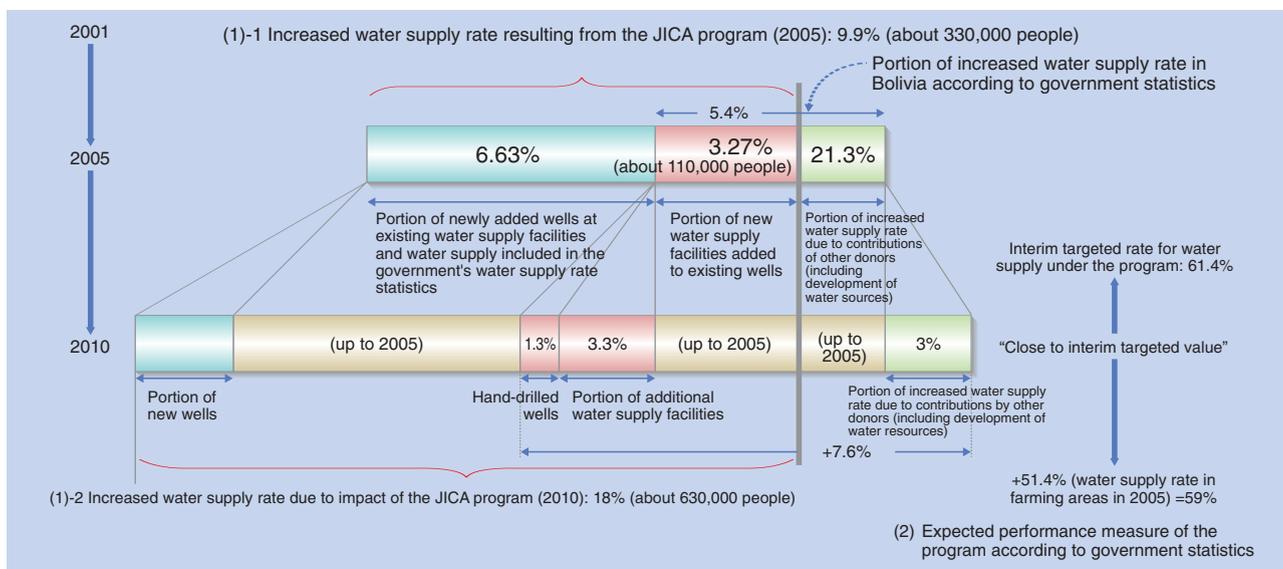
above includes (a) the portion of additional water supply from water supply facilities that were originally inoperative due to flaws and defects in the water sources, but which later became operative thanks to an improvement of water sources through the JICA program, and (b) the portion of incremental water supply from new wells and water supply facilities thanks to a part of JICA program activities promoting local governments to install water supply facilities. Indicator 2) above is obtained by adding the water supply rate of 51.4 percent in rural communities as noted in the government statistics of 2005 with (b) above, and (c) the part of increased water supply by other aid agencies. As a result, with the water supply rates in 1) above at 9.9 percent in 2005 and 18 percent expected by the end of the program, and 2) above 51.4 percent in 2005 and 59 percent expected by the end of the program, the water supply rates are expected to nearly meet the program goal of 61.4 percent.

The technical cooperation project in the six target departments has two main activities: (1) promoting the use of water supply facilities and establishing a maintenance/ management system, and (2) community development activities for utilizing the sustainable water system. Their outputs at the time of evaluation are as follows:

With regard to (1) above, improvement is apparent before and after implementation of the project as noted in Table 3-6. The major factors responsible are (i) the departments realized the importance of the water supply project through project activities, resulting in their enhanced implementation capacities, and (ii) the excellent collaboration and cooperation through which IDB and UNICEF built water supply facilities for wells drilled under the grant aid cooperation, and JICA's establishment of sustainable water supply systems in rural communities. There were also impacts not intended in the initial plan, which provided the equipment and materials for hand-drilled wells that helped develop water sources. If such water sources are properly deployed in the future, 10,000 people are expected to reap the benefits every year.

Concerning (2) above, activities aimed at establishing a sustainable maintenance/management system (water committee)

**Figure 3-3** Method of Analyzing the Performance of Attaining Program Goals



10. The numerical value derived upon reviewing the program based on government statistics in 2006.

11. Water-supplied population (in communities with a well/rural areas (according to the Bureau of Statistics)

through the transfer of maintenance and management technology, spread of sanitary education, and revitalization of economic activities in rural communities are now underway. The daily maintenance and management technology reached a level where residents can maintain and manage the water supply facilities by themselves. With respect to sanitary education, basic practices such as hand washing are being introduced. Poor rural communities in Oruro and Potosi have such social issues as residents' low awareness of paying water bills in addition to their low ability to pay, and the issues of organizational capabilities, such as the lack of a payment collection system. Therefore, such communities face problems in sustaining their maintenance/management systems such as the financial affairs of the water committees.

The Japan Overseas Cooperation Volunteers (JOCVs) dispatched nine community development advisors to revitalize economic activities in the three departments. They conducted wide-ranging activities to enhance the livelihood of residents. While some activities achieved positive results, there were also projects discontinued when the JOCVs returned to Japan. This is partly due to the fact that the communities where they were assigned had no clear vision. Another reason why they failed is that despite the availability of basic data on community development provided by long-term experts and the productive community development activities that would prove considerable when discussing action plans of JOCVs, the parties concerned had a lack of awareness relative to coordinating such activities.

**(3) Program Contribution**

Figure 3-4 shows the flow of contributions to the development issues and a conceptual rendering of JICA program's relations with other cooperation programs.

In conclusion, since the Program for Water Supply in the Poverty Area is clearly positioned and its importance remains high with outputs gradually appearing, the program's contribu-

tions to development issues of the Bolivian water sector as a whole can be considered significant.

Because the outcomes of the program are gradually appearing, it is quite possible that the program goals can be achieved by following an efficient cooperation scheme of improving the water supply system by drilling wells in the future, while striving to promote coordination with other aid agencies focused on building water supply facilities. On the other hand, it is desirable to establish an indicator making it possible to properly grasp the degree of achieving the program goal, and improve the operation and management of the program and monitoring system. In order to secure sustainability, it is necessary to extend productive community development activities to rural areas that have much to do with the water system. The water committee faces the problem of improving its institution and must address it further.

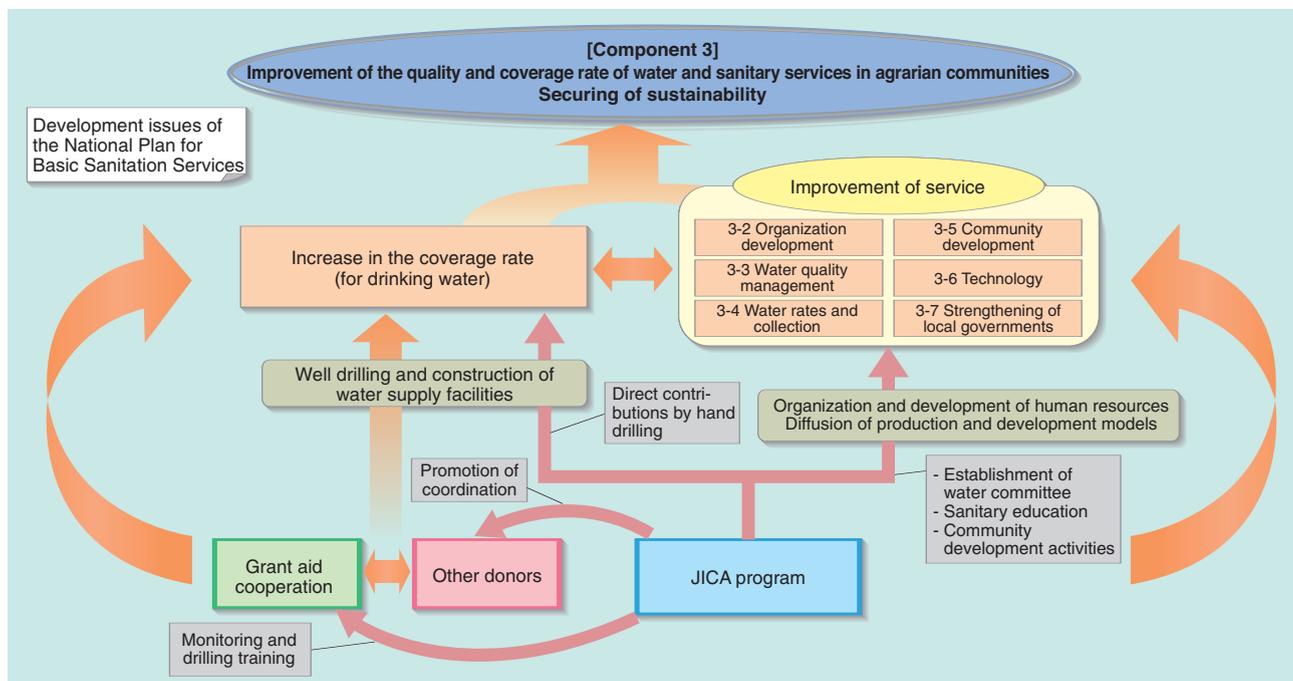
**4. Recommendations**

In order to improve the Program for Water Supply in the Poverty Area in the future, this section attempts to make recommendations to the program as a whole and the projects constituting the program.

**(1) Recommendations to the program as a whole**  
**Recommendation 1: Establish a program operation and management system.**

To properly grasp the degree of achieving program goals, a concrete indicator of outcomes must be established by incorporating important elements other than the water supply rate. JICA's overseas office should conduct periodic monitoring to review projects constituting the program, and revise project activities and schedule if necessary, by assigning a program manager to supervise the overall program for ensuring its proper operation and management.

**Figure 3-4** Conceptual Rendering of JICA Program Leading up to Contributions





People rejoicing at a water supply

## Recommendation 2: Enhance the sustainability of the Bolivian side.

To enhance sustainability, the Bolivian side should assign a program manager to conduct monitoring by using objective management tools, and become involved in revising the program and negotiating with other aid agencies.

### (2) Recommendations Concerning Projects Constituting the Program

#### 1) Technical cooperation project for “Waters of Life”

- a. To enhance sustainability after a water supply is realized, continue to implement systematic assistance strategically to communities likely to lose sustainability.
- b. By improving the approach to productive community development activities, ensure this movement is established and spread in the communities, and develop residents' capacity to pay. It is important to ensure that this leads to the improved collection of water rates.
- c. Regarding the demarcation between the department and cities in building a system to transfer and extend water technology, it might be appropriate to strengthen the institutions of departmental offices.
- d. Establish a “regional water supply industry association” to promote coordination among the departments and ensure sustainability after completion of the program. Establish mutual cooperation among the departments and foster human resources by dispatching experts and providing training.
- e. Since some departments lack logistical support, it is necessary to encourage the departmental offices to improve the support system.
- f. It is necessary to improve the project implementation and monitoring systems, or clarify indicators and the means of obtaining indicators, and review the contents of PDM.

#### 2) Japan Overseas Cooperation Volunteers and Senior Overseas Volunteers

These volunteers are expected to play a complimentary role in implementing the technical cooperation project by capitalizing on their strength of directly approaching people. In the field of productive community development activities, it is recommended that they will engage in more effective activities by dispatching a team of community development advisors and volunteers with specialized skills. This includes senior volunteers with practical experience, and enhancing collaboration with technical cooperation projects. One idea for strengthening

the systems of the water committee at the grassroots level would be to dispatch administrative service experts to communities where a reform of administrative culture is necessary.

### 3) Program constituent elements in the future

It is recommended that, for the sake of efficiently implementing the program, the activities of current technical cooperation projects should be conducted for departments where grant aid cooperation is planned and cooperation with other aid agencies promoted.

## 5. Lessons Learned

Lessons beneficial to future JICA programs are as follows:

- (1) This program has demonstrated effective assistance because its goals and activities were set up in line with the National Plan on Basic Sanitation of Bolivia. In formulating the program, JICA should be positively involved from the formulation stage, with the goals and indicators of the JICA program adjusted in accordance with national plans in a manner having an organic relationship.
- (2) In this program, local staff of the JICA office became a member of a counterpart institution, allowing them to grasp the opinions of the recipient government and related information in an expeditious and timely manner. It also helped increase JICA's presence as seen from other aid agencies, exerting a favorable influence on collaboration. As noted before, setting up a project office in the partner institution for policy advice gives a favorable impact on program outputs.
- (3) In the technical cooperation projects under this program, the central government acted as a counterpart institution, strengthening coordination and collaboration with all parties concerned, including local governments and communities. This helped the progress of activities and achievement of outcomes. When implementing a program with a wide scope of cooperation, it is necessary to build a collaboration system with the partner country, including from central to local governments and communities, and provide detailed support services to enhance program outcomes.
- (4) One reason for this program's success is that aid coordination was highly effective. In improving the water supply system, other major aid agencies built water supply facilities on wells developed by JICA, allowing JICA to concentrate its efforts on the processes of building the system, and to achieve the outcomes. It is important for JICA to positively promote cooperation with other aid agencies at both the central government level and field level, and supplement each other while capitalizing on Japan's advantages.
- (5) In this program, the JICA office assigned its national staff to a position similar to that of a program manager, and in the technical cooperation project it assigned local consultants at government ministries, agencies, and the basic sanitation bureau in each department. The human resources dispatched from Japan were short-term experts and Japan Overseas Cooperation Volunteers. It is apparent that JICA's system of inputs was cost-efficient. As seen above, JICA should consider enhancing program efficiency by positively utilizing competent local personnel.

## JICA Program Evaluation

# “Program for the Improvement of Health Status of People Living in Upper West Region” in Ghana

## 1. Summary of Evaluation Study

### (1) Background and Objectives

Upper West Region is one of the three poor northern regions in Ghana, and the health conditions of children and pregnant women there are considered the worse among the country's 10 regions, making the improvement of access and quality of health services a major issue. The Government of Ghana launched the national program of “Community-Based Health Planning and Services” (CHPS) for the purpose of providing its people with easy access to basic health services. The program intends to build 190 clinics for CHPS<sup>12</sup> in the Upper West Region by 2010. However, there were only 24 CHPS clinics in service as of 2006, suggesting that access to health services in the region remains difficult.

To cope with this situation, in 2005 JICA conducted a joint preliminary study with grant aid, a technical cooperation project, and Japan Overseas Cooperation Volunteers (JOCV), and also began formulating a program for improving the health of the region's residents. However, since the needs survey has not gone through the formative process of “problem analysis, purpose analysis, and selection of an organic combination of projects effective for problem solving,” evaluating the program strategy has limitations.

This evaluation study was conducted for the purpose of drawing up recommendations regarding a review of scenario, as well as operation and management toward strengthening the strategy of the “Program for the Improvement of Health Status of People Living in Upper West Region.” Since the only project being implemented among those constituting the program at the time of this evaluation study was the technical cooperation project, and because the program was at a stage where its outcomes were not yet generated, this evaluation study focused on program “positioning” and “strategy.”

### (2) Evaluation Study Period and Team

#### 1) Evaluation Study Period

From December 2006 to March 2007

(Field study: January 20 - February 4, 2007)

#### 2) Evaluation Study Team

With JICA's Regional Department IV (Africa) as a supervising body, an Evaluation Study Committee composed of the Ghana Office, JICA's related departments (Planning and Coordination Department, Human Development Department, Grant Aid Management Department, Secretariat of the JOCV, Training Affairs and Partnership Promotion Department, and Insti-

tute for International Cooperation), senior advisor, external advisors (evaluation advisors), and consultants was established. A final report was prepared based on discussions at the committee and the results of a field study.

#### [Evaluation Advisor]

Hiroyuki Nakano, Chief, Division of Pediatrics, Department of International Cooperation, St. Mary's Hospital

#### [Consultant]

Global Link Management Inc.

### (3) Scope of Evaluation

The “Program for the Improvement of Health Status of People Living in Upper West Region” (Fiscal 2005-2009) is intended to improve the health status of residents of the Upper West Region through improved access to health services and health improvement activities undertaken by those residents. Table 3-7 lists the four projects that constitute the program.

At the first stage of the program, the technical cooperation project (i) fosters administrators and community health officers (CHOs) involved in CHPS, (ii) improves the referral system<sup>13</sup> among hospitals, and (iii) strengthens the regional health system through community-based improvement of living conditions, such as sanitation and nutrition, undertaken by JOCV, with the participation of residents. At the second stage, the outputs achieved by JOCV in the first stage are spread to other districts, thus improving the health status of Upper West Region residents. Grant aid aims to upgrade the medical service system (including the referral system) and educational environment by providing health equipment and materials to primary and secondary medical institutions, and training schools for nurses by 2007. At the middle stage of the program, coordination experts become involved for giving feedback concerning coordination of the program, policies, and systems for program outcomes and related systems at the central government level.

### (4) Evaluation Period Covered

From fiscal 2005 to 2006

## 2. Current Situation and Activities of the Health Sector in Ghana

### (1) Development Issues and Policies

In Ghana's health sector, infant mortality, maternal health, HIV/AIDS, malaria, and the outbreak of other infectious diseases remain primary development issues.

12. Each district was divided into zones and the Community Health Committee (CHC) led by community leaders was established in each zone. Each CHC takes the initiative in building clinics and stationing a community health officer (CHO) in their zone. The officer visits each household, giving health guidance and basic medical treatment, or making referrals to a doctor where necessary.

13. Health and medical institutions in Ghana are divided into primary institutions (CHPS public health centers, clinics, maternity clinics, district hospitals), secondary institutions (regional hospitals), and tertiary institutions (educational hospitals). The country has a system of transferring serious cases from low-ranking hospitals to high-ranking hospitals, with high-ranking hospitals supervising low-ranking hospitals and providing counseling and training.

**Table 3-7** Constituent Projects of “Health Improvement Program for Upper West Region Residents” in Ghana

	Constituent Projects	Implementation Period	Summary
1	Project for the Scaling up of CHPS Implementation in Upper West Region (Technical Cooperation Project)	March 2006 - February 2010	This is aimed at improving access to basic health services for residents by expanding the health clinics, based on national policy. Its activities include upgrading the capabilities of district health officials, training community health nurses (CHNs), promoting citizen participation, and improving the referral and supervisory systems.
2	The Project for Improvement of Medical Equipment in Upper West Region (Grant Aid)	May 2006 - December 2007	The purpose is to improve the region's health services centered on primary and secondary health by providing medical equipment to regional and district hospitals, health centers, and CHN training schools. It is also aimed at helping to foster CHNs to be dispatched to health clinics by providing medical equipment to training schools for CHNs. Contents of the project include providing medical equipment to regional/district hospitals and health centers, educational equipment and materials to CHN training schools, and ambulances and radio communication systems.
3	Japan Overseas Cooperation Volunteers (Program members)	April 2007 - December 2008	In addition to giving support for health workers including CHNs, they contribute to strengthening regional health services by providing support for regional residents, such as running community health committees and improving residents' lives and sanitation.
4	Experts on Aid Coordination	August 2007 - December 2008	They will be dispatched for the purpose of improving the policies and systems related to the expansion of CHPS. They will help coordinate at the central government level to implement the program, and give feedback concerning policies and systems for the outcomes of program implementation.

The infant mortality rate and under age 5 mortality rate in the Upper West Region not only exceeded the national averages by substantial margins, but also became worse. With the rate of malnourished children at 25.9 percent, the region ranks third highest among all 10 regions. The lack of health personnel, poor health infrastructure, inadequate medical equipment, and lack of transportation are considered the major factors.

To address these problems, the Ghanaian government in its higher-level policy paper “Ghana Poverty Reduction Strategy” called for enhanced access to health services and the prevention of malaria and HIV/AIDS as the three most important agendas for the health sector, and devised detailed strategies to address these needs. The “Second Health Sector 5-Year Program” (2002-2006), calling for a policy goal of “all Ghanaians making effort in cooperating to enjoy fairness and good health,” clearly expresses five strategies to achieve the goals of: 1) improving the quality of health services, 2) expanding access to health services, 3) enhancing the efficiency of providing health services, 4) fostering partnerships to upgrade health and medical services, and 5) improving financial resources for health.

## (2) Efforts of Other Aid Agencies

The major aid agencies, in line with the above national plans, are providing assistance focused on improving access and quality of health services, as well as eradicating HIV/AIDS. In the Upper West Region, Danish International Development Assistance (DANIDA), the United Nations Children's Fund (UNICEF), and United Nations Population Fund (UNFPA) are giving assistance aimed at expanding access to health services and upgrading the quality thereof. In 2006, UNICEF launched an intervention package (“Program for Accelerated Child Survival and Development (ACSD)”) and a national strategy to reduce incidents of disease and mortality/malnutrition rates among children, aiming to implement it at the national level by 2010. In the reproductive health sector, UNFPA is providing a district-level health authority and Ghana Health Services (GHS), with assistance focused on emergency care services for pregnant women. DANIDA allocates 75 percent of its assistance to general support and 25 percent to the national health insurance budget program, which is

mainly used to train district-level staff for the national health insurance system.

## (3) Efforts of Japan

Japan's assistance performance for Ghana in the health and medical sector after fiscal 2005 included the (i) provision of polio vaccines by grant aid, (ii) the improvement of regional health services, parasitic diseases control, and eradication of Guinea worms by a technical cooperation project, (iii) construction of maternal and child health centers, and provision of mosquito nets through Grant Assistance for Grass-roots Human Security projects.

Cooperation in the Upper West Region began with a joint preliminary study of grant aid, technical cooperation, and JOCV in May 2005 after the on-site preparatory study in November 2004. In December 2005, a record of discussions on the technical cooperation project was exchanged, and the project was launched in March 2006. Then the program implementation plan (draft) was formulated in November 2006.

## 3. Evaluation Results

### (1) Program Positioning

#### 1) Japanese Policy

The “Japan's Country Assistance Program for the Republic of Ghana” (revised in September 2006) views the “revitalization of rural areas” and “fostering of industry” as the important issues and sets up four strategic programs. This program is positioned as one targeting the “improvement of regional health and infectious disease control,” seen as important areas of cooperation under the “program for improving basic living conditions in poverty areas,” one of the four strategic programs noted above.

The principal policy of the “JICA Country Program for the Republic of Ghana” (revised in March 2006) is to provide cooperation focused on areas related to the poor and cooperation in which assistance can reach local residents. The “JICA Regional Program for Africa” calls for health and medical services as an overriding issue.

As stated above, this program deals with the stated overriding

ing issues in pursuing Japan's higher-level policies and JICA's assistance policies.

## 2) Development Planning of the Ghana Side

In this survey, "The Ghana Health Sector 5 years Programme of Work 2002-2006" and "Growth and Poverty Reduction Strategy II" (GPRSII: 2006-2009) are considered development programs that become the basis of "positioning." The purpose of this program conforms to "improving the quality of health services" and "expanding access to health services," two of the five strategies prescribed in "The Ghana Health Sector 5 years Programme of Work 2002-2006." This 'programme' treats "reproductive health and the maternal and child health sector" as one of the 10 priority sectors, citing as its strategies "support for the implementation of CHPS" and "establishment of an effective referral system," which are the main activities of this program.

The "Growth and Poverty Reduction Strategy II" lists "access to health services" as one of three overriding issues and based on these issues, calls for "improvement of CHPS" and "expansion of community-based health services" as its strategies to address these issues. As seen above, the program is not only consistent with the above noted development strategies, but also offers support for the priority sectors of Ghana.

## (2) Program Strategy (Plan and Outcomes)

### 1) Planning as a Program (Consistency)

This evaluation analyzed the relevance of the program with respect to its process in achieving program goals based on three aspects: (a) program structure, (b) design of collaboration, and (c) chronological deployment of outcomes from project purpose achievement to program goal achievement.

#### a. Program structure

Program structure consists of project-type assistance called technical cooperation projects and grant aid, and the dispatching of JOCV and aid coordination experts. In other words, it is based on a scenario for achieving the program goals through two approaches: "bringing about outcomes while individually heading toward the program goals" and "generating synergistic outcomes through three other projects centered on the technical cooperation project." However, aside from the program goal of "improving Upper West Region residents' health" being the same as the overall goal of the technical cooperation project, the period of the program is five years, the same as that of the technical cooperation project. Theoretically speaking, this period is too short to achieve the program goal. Moreover, the scale of support by JOCV is small, and it is not easy to attain positive results that affect the achievement of the program goal. Regarding the target area, although the program targets eight all districts of the Upper West Region, compared to two districts in the technical cooperation project, there is no comprehensive intervention plan based on a combination of projects for the remaining six districts. Consequently, program outputs in the entire Upper West Region would be modest at best.

#### b. Design of collaboration

The design refers to the concept of spreading the established CHPS implementation model to other districts by improving

the referral system through coordination of the technical cooperation project, grant aid, and functioning CHPS through the technical cooperation project and JOCV. Regarding the project, technical cooperation targets the primary medical institution (CHPS), while grant aid targets secondary medical institutions (regional hospitals) and the primary medical institutions (district hospitals and health centers). In this regard, it is clear that there is a complementary relationship for building up the referral system (involving CHPS, health centers, district hospitals, and regional hospitals) between the primary and secondary medical institutions. The technical cooperation project assumes cooperation for referral between CHPS and health centers. However, the existing framework only plans to prepare a referral guideline and conduct orientation with the referral system, without including activities necessary for improving that system. In addition, medical institutions - the objects of grant aid - are not provided with cooperation for the development of human resources. Therefore, the existing framework is inadequate not only from the standpoint of improving the referral system, but also in terms of maintaining and managing medical equipment. With regard to the latter, there are only two districts among the eight where intervention by coordination is available, with the remaining six districts mainly supported by the activities of JOCV. Consequently, those six districts could not expect the same outputs as the other two districts.

The issues to be solved in order to attain the program goal, regardless whether outside the scope of cooperation, must be addressed through collaboration or cooperation. However, there has been no clear coordination up to now with the Ghanaian government or other aid agencies in this program. For instance, this project is aimed at making high-quality medical services available to residents by helping CHPS to function in the target areas. However, the scope of JICA's cooperation covers fostering human resources involved in CHPS and promoting resident participation in CHPS activities. The construction of CHPS clinics and securing safe water for those clinics are left to the discretion of the Ghanaian government. Throughout this evaluation study, the delayed response of the Ghanaian government has proved a factor in impeding the goals of the technical cooperation project and expansion of a functioning CHPS. It could be said that cooperation taking this factor into account must have been designed and involved as a program. JICA's future response is stated in "4. Recommendations."

#### c. Chronological deployment of outcomes from project purpose achievement to program goal achievement

The area in the first stage where the technical cooperation project (the core of this program) intervenes includes two of the eight districts in the Upper West Region. Then to achieve the program goals, the outputs and models gained from the project are spread to the remaining six districts through efforts of JOCV, with individual experts giving feedback to the policies and system of the central government. As stated above, cooperation for the six districts is aimed at giving guidance to the CHPS zones by dispatching CHNs, nurses, and JOCV. However, since assistance is limited and basically left to self-help on the Ghanaian side, it would not lead to achieving the targeted

indicators in the six districts. As a result, the project and program goals may be difficult to achieve.

As seen in items (a) through (c) above, there are strategic problems with the planning itself. It was found that the opposite process was taken, that is, the project shaped loosely as related to the health sector was programmed in a way whereby it was later positioned as a strategic framework to achieve the mid- and long-term program goals of the sector. In the process of forming the program, considerable attention seems to have been paid to generating synergy effects through collaboration. A field survey was also conducted at the time of the preliminary study for forming the project for grant aid, followed by a joint study conducted by the departments concerned, along with ongoing negotiations with the Ghanaian government. However, the reasons for some strategic problems could be attributed to inadequate discussions on what area, with which aid agency, and in what way this program was supposed to be coordinated. The reasons also include how to achieve the strategic development goals, while playing what role within the common framework of development issues facing the health sector, as well as a lack of negotiations with the Ghanaian government and aid agencies. For example, the technical cooperation project was formed through the PCM workshop run by local administrators and the related personnel of aid agencies, but central government officials were not involved. This is why the program failed to gain sufficient understanding and support by the central government. Moreover, in deciding the target areas, JICA was unaware that UNICEF and UNFPA began extending assistance to the health sector. Although JICA obtained the information from a participant at the above noted PCM workshop, the program was pushed ahead without adjustments being made at the planning stage. After the project started, however, it was found that there were many instances of JICA's counterparts being overlapped. Therefore, JICA made efforts to adjust the project so that its activity period did not overlap with program efficiency secured by reducing the burden. The project was formulated after ensuring that it did not overlap with the USAID, which was deploying similar cooperation across the country except in the three northern regions.



Residents participating in the CHPS committee

## 2) Program Outcomes

The activities of this technical cooperation project, the only project being implemented at the time of this evaluation, have been making steady progress. However, outcomes have yet to be generated since the project is about to enter the implementation stage. The technical cooperation project plays an important role and how to ensure sustainability after the end of cooperation during the project period holds the key to achieving the program goals. To ensure sustainability, it is important to establish an efficient and effective implementation model of CHPS activities, particularly a process of encouraging residents to participate in those activities<sup>14</sup> by the end of the project.

## 4. Recommendations

This section attempts to make recommendations concerning the methods of raising the degree of achieving JICA program goals and elevating the degree of JICA program's contributions to achieving the Ghanaian government's strategic development goals, as well as the operational and implementation systems necessary for smoothly implementing the program.

### (1) Change of JICA Program Goals and Review of the Scenario

The present JICA program is a "sector level" program with long-term goals and indicators for reducing the maternal mortality rate and under age 5 mortality rate. However, this specific goal is apparently not attainable by 2010. It is therefore suggested that the current goal of improving the health status of Upper West Region residents be changed to a longer-term goal that allows regional residents to enjoy quality primary health care.

At the same time, it is necessary to rewrite a more strategic scenario to achieve this goal. First, coordination among projects of the current program must be strengthened. Secondly, the program must be supplemented by collaboration and cooperation with Japanese aid schemes other than those of JICA. With respect to the first recommendation, activities that do not involve the JICA program, or those involving training for the maintenance/management of grant aid equipment, creating a mechanism for building a system of referring patients from CHPS to health centers, and building an infrastructure for expanding the models established in the two target districts to other districts, must be added. For the second recommendation, it may be possible to supplement issues that have the potential to impede achievement of the technical cooperation project's goals, or issues of addressing the Ghanaian government's delay in constructing CHPS clinics and securing safe water by making most of the "Grant Assistance for Grass-roots Human Security Projects."

### (2) Review of the Scenario for Achieving the Goals of Ghana's Development Strategy

When reviewing the scenario for attaining the goals, what must be discussed in addition to paragraph (1) above is the collaboration with other aid agencies. Under the present program

14. A process whereby residents, as community volunteers, continuously support CHPS activities by participating in such community activities as resident meetings, health education, sanitary activities, and the maintenance/management of CHPS facilities.

there is no concrete aid coordination with other aid agencies. To increase the degree of contribution to achieving the goal of Ghana's development strategy, the scenario for the JICA program must be reviewed within the framework of a common goal for "improving access to health services" by coordinating with UNICEF<sup>15</sup> and UNFPA,<sup>16</sup> which are offering cooperation in the Upper West Region. Specifically, health and medical services must be considered a series of "health service delivery systems" from community-level health providers (including households) to primary, secondary, and tertiary medical institutions. And each aid institution must offer assistance to medical institutions of all levels, improve the referral system, and ensure the development of capacity for providing preventive medicine. The indirect cooperation with other aid agencies through JOCV can also be considered. One example would be tying the construction of wells supported by the World Bank to the expansion of CHPS by the technical cooperation project. Securing water supply in the CHPS compounds is a major issue. If the JOCV are able to serve a role in connecting the selection of construction sites and construction of wells with the construction of CHPS compounds, an effective approach to expanding CHPS and promoting residents participation will be provided.

### (3) Cooperation with Other Sectors

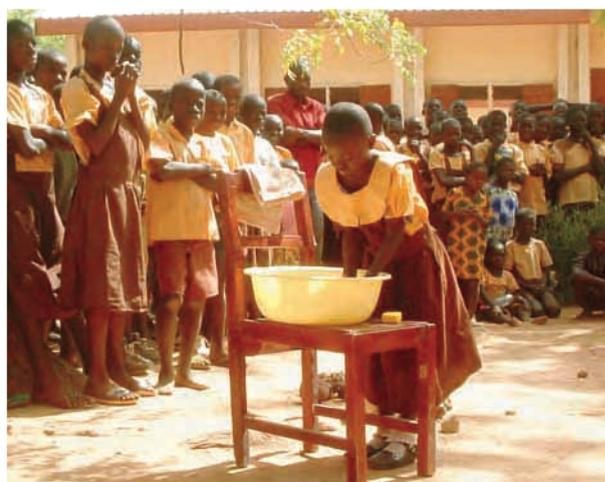
When formulating a long-term program such as the one with the aforementioned program goals, it is indispensable to implement cooperation that combines multiple projects for multiple sectors, not just the health sector, but also including the rural development sector for road construction and repairs to secure transportation access, and the water and hygienic sector to improve access to safe water.

### (4) Effective inputs of the Japan Overseas Cooperation Volunteers

The JOCV represent a type of individual human resource input, but the scale of individual outcome compared to that of project-type assistance is very small. It is therefore important to consider developing a deploying strategy that generates synergy effects by collaborating with others.

### (5) Strengthening the Program Implementation System

Since a program achieves a goal only when combining multiple projects and collaborating with other aid agencies, upgrading its implementation system is crucial. When the program targets areas far away from the capital, such as the Upper West Region, it is important to build a program-controlling function by making the most of existing local functions. The issues of attaining program goals may also include the assignment of a coordinator to link Japan Overseas Cooperation Volunteers to the technical cooperation project by utilizing existing plans and monitoring functions at the locale, and activities aimed at making the Ghanaian government and other aid agencies more aware of the JICA program.



A student portrays the importance of washing hands in a sanitary education drama.

## 5. Lessons Learned

### (1) Lessons Concerning Program Formation and Implementation

In formulating a program, projects having similar purposes must be combined in line with the goals of development strategy after systematically analyzing the issues of the target sectors. Even if a cooperation program targets specific areas, adequate discussion and coordination with the recipient government and major aid agencies are indispensable for smooth implementation of the program. In addition, obtaining advice and cooperation from experts in the sectors concerned are important in developing a strategic scenario, and monitoring and evaluating the program.

### (2) Lessons Concerning Program Evaluation Study

There would be various timings for conducting program evaluation. However, it must be planned and conducted when the program is already underway, with considerable time to spare, taking into account the timing of the review of PDM, so that evaluation results are reflected in future activities. To conduct an evaluation study efficiently within a limited study period, it is important that JICA headquarters coordinate with its overseas offices beforehand, create an efficient study schedule, and utilize local personnel after fully explaining to them a summary of the study. When a specific area is targeted, much of the study period could be spent in the target area, with ample information necessary for evaluation being collected, provided that a minimum of time is spent at the central government in the capital.

15. UNICEF has been implementing activities, such as system improvements related to child disease control (IMCI+) through its "Program for Accelerated Child Survival and Development and High Impact Rapid Delivery (ACSD/HIRD)" approaches, upgrading the skills of personnel engaged in health services, and making health improvements in the community and individual households.

16. UNFPA has been conducting advocate activities including the provision of medical equipment for emergency deliveries to district hospitals and health centers, family planning for the community, and the referral system.

## “Health Sector Program” in Afghanistan

### 1. Summary of Evaluation Study

#### (1) Background and Objectives

Afghanistan's health situation has been in a deteriorated condition due to conflict spanning more than two decades. In particular, the health and nutrition indicators for its women and children remain at the worst levels in the world. In an attempt to improve its health services at the initial stage of reconstruction, the government of Afghanistan has been providing basic health services across the country since 2002 thanks to the assistance of international aid agencies. Under such circumstances and based on its basic study of the country's health sector conducted in August 2002, JICA has been providing cooperation focused on “tuberculosis control,” “reproductive health,” and “development of human resources” since fiscal 2004. This evaluation study, with strengthening program strategy as its primary objective, was conducted in order to identify issues requiring careful consideration, draw lessons in implementing programs in Afghanistan, and recommend the program plan including new projects in the program.

#### (2) Evaluation Study Period and Team

##### 1) Evaluation Study Period

From December 2006 to March 2007 (Field study: January 20 - February 4, 2007 and March 9 - 18, 2007)

##### 2) Evaluation Study Team

With JICA's Regional Department V (Middle East and Europe) taking a central role, an Evaluation Study Committee composed of the JICA Afghanistan Office, related departments (Planning and Coordination Department and Human Development Department), external advisors (evaluation advisors), and consultants was organized to discuss the framework of evaluation and the design of evaluation study. A final report was compiled based on discussions at the committee and the field study.

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TA Networking Corp.

#### (3) Scope of Evaluation

This study is targeted at the program for the health sector in Afghanistan and consists of the five projects listed in Table 3-

8. Two technical cooperation projects have been implemented since 2004. One is aimed at promoting the framework for the Directly Observed Treatment, Short Course (DOTS) in the field of tuberculosis control; the other project is targeted at fostering regional administrators and health workers in the reproductive health sector. In the field of developing human resources, a technical cooperation project for fostering midwives and general practitioners was launched in 2005, combining the dispatching of an expert to the Ministry of Public Health (MPH). This evaluation was conducted in order to strengthen the strategies of these projects as programs, since effective coordination among these projects was not necessarily reviewed at the project planning stage in accordance with the Basic Package of Health Services (BPHS) now provided across the country.

#### (4) Evaluation Period Covered

From April 2002 to December 2006

### 2. Current Situation and Activities of the Health Sector in Afghanistan

#### (1) Development Issues and Policies and Activities of International Aid Agencies

While Afghanistan has been achieving strong economic growth with annual GDP growth rates exceeding 10 percent in urban areas including Kabul, its regional disparities and the gap between rich and poor have been expanding. The majority of its people are still forced to live below the poverty line,<sup>17</sup> with their rights to live in a peaceful and stable society not guaranteed. The country's medical services remain among the worst in the world due to the outflow of medical personnel, collapse of medical facilities, and shortage of medical drugs and equipment caused by its long-running conflicts. The maternal mortality rate is 1600 (per 100,000 live births)<sup>18</sup>, under-five mortality rate is 257 (per 1000 live births), and 15,000 people die from tuberculosis each year.<sup>19,20</sup> The country's widening regional disparity is also a serious problem. In order to build a society where citizens can live healthy and safe lives without being exposed to life-threatening risks, it is important to expand basic health services and improve the quality thereof based on the concept of human security. It is also important to provide medical services by restoring destroyed hospitals, and take measures against infectious diseases, the country's major cause of death.

To address these situations, the international community decided in 2002 to provide the country with comprehensive support for priority issues, including 1) the improvement of administrative capacities, 2) education, 3) health, 4) infrastruc-

17. Per capita living standard of less than one dollar per day

18. Interim-Afghanistan National Development Strategy

19. JICA technical project website

20. Interim-Afghanistan National Development Strategy

**Table 3-8** Main Projects Constituting the Programs Targeted for Evaluation

	Project Title	Implementation Period	Outline
1	Health Cooperation Planning (Individual Expert)	December 2005 - March 2007	Supports efforts of the Afghan Ministry of Public Health (MPH) to formulate plans and develop human resources, as well as implementing Japan's assistance in this sector.
2	Tuberculosis Control Project (Technical Cooperation Project)	September 2004 - September 2009	Aimed at promoting the spread of the Directly Observed Treatment, Short Course (DOTS) across the country by buttressing the headquarters of Afghanistan's National TB Control Program (NTP), which promotes the country's tuberculosis control and training of staff for tuberculosis control.
3	Reproductive Health Project (Technical Cooperation Project)	September 2004 - September 2009	Targeted at helping foster personnel of the MPH engaged in the reproductive healthcare sector, this project provides on-the-job training for central and local administrative officials and medical service providers (midwives and nurses) who work in the field.
4	Midwife Training Program at Kandahar (Technical Cooperation Project)	April 2004 - July 2007	The program supports educational activities of the Institute of Health Sciences in Kandahar, a core educational institution in the country's southern region, toward fostering midwives through a local NGO.
	Medical Education Project (Technical Cooperation Project)	July 2005 - June 2008	In order for Kabul Medical University - the country's most important institute for training medical doctors - to train general practitioners (GP) working in local areas, the project aims to improve teaching methods, the ability to develop teaching materials and curriculums, and introduce a new medical education system.

tural improvements, 5) rebuilding of the economic system, and 6) development of agriculture and rural communities. In the health sector, the support program called for balancing of the quick impact project (QIP) and the issue-by-issue, disease-by-disease project focused on cultivating human resources. Basic health and medical care for 11 health issues centered on maternal and child care, including emergency obstetric care, child malnutrition, tuberculosis, and diarrheal disease were defined as the "Basic Package of Health Services (BPHS)." And the international community launched a program to expand BPHS to primary medical facilities across the country<sup>21</sup> and introduced international standards issue-by-issue such as Directly Observed Treatment, Short-course (DOTS) for anti-tuberculosis measures.<sup>22</sup>

The Afghan government, on the other hand, announced the Afghanistan Millennium Development Goals (AMDGs) in 2005 that set goals of reducing infant mortality, improving women's health, and eradicating HIV/AIDS, malaria, and tuberculosis. The Interim Afghanistan National Development Strategy (I-ANDS) announced in 2006 consisted of three main issues ("governance," "security" and "socioeconomic development"). With regard to socioeconomic development, emphasis was placed on the health sector. More specifically, it calls for efforts toward 1) implementing BPHS at health facilities centered on the healthcare center,<sup>23</sup> 2) delivering the Essential Package of Hospital Services (EPHS)<sup>24</sup> at special hospitals in provinces, districts, and townships, 3) taking anti-disease measures against tuberculosis, malaria, and HIV/AIDS, including vaccinations, and 4) managing human resources in the health sector, with indicators and numerical goals set for each program to achieve by 2010.

## (2) Activities of Japan

Japan's cooperation for Afghanistan's health sector is aimed at improving unbalanced access to health services due to gender and geographical reasons, and securing equal health services. To achieve these goals, the basic framework of cooperation calls for 1) the development of human resources, 2) improving the capacities of MPH and its affiliated organizations, 3) support for expanding basic health services by strengthening the referral system, and 4) coordination and cooperation with other related institutions and groups. On the basis of the framework, Japan has provided various cooperation as of the end of 2006 by placing importance on four areas (improvement of women's health, preventive measures for childhood diseases, infectious disease control focused on tuberculosis, and strengthening implementation and management capacities related to the delivery of health services). This includes providing and improving medical equipment and vaccines through grant aid cooperation, funding international institutions to support BPHS, constructing clinics through grassroots-level support grant aid, and improving healthcare and supporting medical faculties through Japanese NGO grant aid.

Since fiscal 2002, JICA has dispatched experts to coordinate with other aid agencies, build the capacity of MPH, transfer medical technology, advise on maternal health, formulate projects for tuberculosis control and reproductive health, and support the management of medical equipment. In addition, JICA accepted Afghan trainees in Japan in the field of infectious disease control focused on tuberculosis, maternal health, and health administration. After fiscal 2004, JICA launched four technical cooperation projects focused on reproductive health, tuberculosis control, and the development of human resources in accordance with the four core fields noted above.

21. Implemented by the World Bank, European Commission, and U.S. Agency for International Development

22. Implemented by the World Health Organization

23. It consists of the Comprehensive Health Center (CHC), a core of BPHS, and Basic Health Center (BHC), the primary medical facilities in local communities.

24. It aims to encourage hospitals to deliver basic medical services for treating pregnant women, inpatients, and emergency outpatients, as well as blood transfusion service.

### 3. Evaluation Results

#### (1) Program Positioning

##### 1) Japanese Policy

Japan has yet to formulate a Country Assistance Program for Afghanistan. However, it has announced support programs for the peace process, national reconciliation, and human development following disintegration of the Taliban regime in 2001, offering assistance focused on rebuilding the country's education and health systems, repatriating and resettling refugees, women's empowerment, and clearing land mines. "Reconstruction and Humanitarian Assistance," one of three key components of the "Consolidation of Peace" concept announced in May 2002 by Yoriko Kawaguchi, former Minister of Foreign Affairs, stressed the importance of visible, people-oriented assistance to Afghans. It further refers to Japan's assistance to the country's health sector, noting that Japan should provide assistance focused on improving basic infrastructure, such as roads and transportation, and support for the health and education sector, as well as cultural assistance.

JICA's cooperation subject to this evaluation was formulated along with JICA's "Basic Study on Health Sector." "Improvement of women's health" will be addressed through the Reproductive Health Project and Midwife Training Program at the Institute of Health Sciences (IHS) in Kandahar. As seen in the high maternal mortality rate, Afghan women live under the world's most difficult conditions, partly due to difficulties to recruit female health workers. Both projects are aimed at redressing these issues. With respect to infectious disease control, the Tuberculosis Control Project has been underway. In Afghanistan, the very high mortality rate of working-age people due to tuberculosis is an important issue in the country's social and economic development. As JICA has been giving the assistance for controlling tuberculosis since the past, it began providing assistance for strengthening the headquarters of the National TB Control Program and establishing the DOTS model. JICA plans to deal with the shortage of medical workers through the Medical Education Project for fostering general practitioners at Kabul Medical University, the country's most important institute for training medical doctors, and the Midwife Education Program in IHS Kandahar.

As seen above, JICA's cooperation is highly consistent with Japan's aid policies.

##### 2) Development Planning of the Afghanistan Side

The goals of I-ANDS, a national development plan, are to reduce the Afghan people's morbidity and mortality rates by providing a package of health and hospital services, implementing special programs, and developing human resources. As noted, its detailed efforts call for the expansion of BPHS and EPHS, measures by disease, and human resource management.

In order to contribute to reducing Afghanistan's maternal mortality rate and improving overall maternal health conditions, the reproductive health project, one of JICA's cooperation projects, aims to develop the capacities of health and medical workers engaged in reproductive health in connection with BPHS and EPHS. The Tuberculosis Control Project responds to tuberculosis control measures as noted in the disease control measures in I-ANDS. This project is intended to establish

health institutions, regulations and systems, and build DOTS models, aiming at making tuberculosis-related services utilizing DOTS available to medical institutions across the country. The project is utilizing the National Tuberculosis Institute (NTI) restored by the "Study on Urgent Rehabilitation Support Program in Kabul" in 2003. The Medical Education Project and Midwife Training Program at the IHS in Kandahar are intended to nurture medical workers, strengthen health organizations, and build health systems in accordance with the human resource management policy in I-ANDS. An expert assigned to the Ministry of Public Health is engaged in strengthening its organizations, supporting the formulation of policies, and developing human resources. Activities of the expert are aimed at improving women's health, including improvement of reproductive health services and the fostering of midwives, taking into account the gender issue, which is a cross-sectional issue of I-ANDS. Thus, JICA has been providing cooperation for reproductive health, infectious disease control, and the development of health-related organizations and personnel, all of which are important components of I-ANDS.

#### (2) Program Strategy (Planning and Outcomes)

##### 1) Program Planning (Consistency)

JICA has dealt with the three issues of tuberculosis control, reproductive health, and development of human resources. Due to the keen competition for assistance among aid agencies, compounded by security problems, JICA could only address these three issues, while continuing to share roles with international institutions and other aid agencies. This consequently proved an appropriate selection, however, since these priority issues are not only relevant to issues now facing Afghanistan's health sector (i.e., improving the quality of its health services, increasing diagnostic and cure rates for tuberculosis, fostering medical workers, strengthening health organizations and systems), but are also a field where Japan has an advantage utilizing its experience.

Although Afghanistan faces an array of diverse issues, JICA has been promoting aid coordination with other aid agencies for issues that JICA alone cannot address, thus providing more effective assistance to Afghanistan. The collaboration with agencies was not intended to achieve synergy effects from the beginning, however. While JICA was proceeding aid coordination with these agencies, more effective assistance was consequently realized for improving the country's health sector. For example, while other aid agencies were promoting implementation of BPHS in local communities through NGOs as an emergency response, JICA focused on capacity building (in terms of policy support and development of human resources) in the health sector, and cooperated from the perspective of mid- and long-term sustainability. Furthermore, in the Tuberculosis Control Project, JICA collaborated with the World Health Organization (WHO) in creating a guideline for tuberculosis control and providing technical assistance for DOTS implementation. And in the Reproductive Health Project, vaccines and the training of local administrative officials are provided with financial assistance from UNICEF and EC. There are also plans for JICA to build training centers in medical facilities, while UNICEF provides the training equipment.

As seen above, it could be said that JICA has made an appro-

priate choice of issues for Afghanistan's health sector and implemented the projects in coordination with other institutions. However, because JICA has not provided cooperation as a program from the beginning of assistance, there was no specific scenario for its cooperation. As a result, there were cases where the consistency of cooperation was not fully maintained, as in the case of insufficient coordination with other aid schemes, and insufficient coordination between the Medical Education Project under the Ministry of Higher Education (MHE) and JICA's cooperation under MPH due to the feud between MHE and MPH.

## 2) Program Outcomes

Activities toward achieving outcomes are being implemented steadily under each project. In the Tuberculosis Control Project, DOTS has been introduced to all districts, allowing 81 percent of the residents to consult doctors and undergo treatment for tuberculosis. The number of reported cases of tuberculosis increased to 70 percent from the beginning of the project. In the Reproductive Health Project, a clinical technology guideline for maternal and child health was developed, and a national-level supervising and implementation system was established through the training of provincial administrative officials. Newly graduated midwives from the Kandahar school of the IHS have begun working for maternity hospitals in the city. At Kabul Medical University, a new education system was developed and 20 percent of its teachers have received practical training. With regard to health policies, JICA continues to coordinate with other aid agencies in formulating strategic plans for the health sector.

## (3) Program Contribution

JICA's cooperation addresses only a limited number of problems now facing Afghanistan's health sector. However, JICA's approach has been focusing on capacity building, while that of other aid agencies focuses on urgent assistance through NGOs. JICA's cooperation addresses various issues in Afghanistan, such as the shortage of qualified health personnel (especially women), inadequate personnel training, lack of proper infrastructure, cultural constraints, and lack of education and considerations for gender equality as stated in I-ANDS. In other words, with its contributions to strengthening the institution of the MPH being responsible for implementing BPHS in the future and securing the quality and sustainability of BPHS, JICA's cooperation can be considered to assure the future development sustainability of Afghanistan, where the stages of emergency relief and reconstruction overlap. Since there are no assistance for BPHS provided by international institutions and other aid agencies in Kabul's urban area, the Reproductive Health Project is expected to achieve significant contributions to the improvement of health services in the area.

With regard to EPHS, it is important to support primary and secondary hospitals from the perspective of building a nationwide referral system in the future. With its Reproductive Health Project, JICA has been providing assistance to strengthen the management of Malalai Maternal Hospital and improve its maternal care. Assistance to strengthen its organization by coordinating with cooperation to deliver the services of BPHS provided by other aid agencies may succeed in reducing the



A JICA expert explaining newborn child care (Reproductive Health Project)

maternal mortality rate - the overall goal of EPHS.

With respect to infectious disease control, the current issues are not only to reduce the infection rates of diseases (such as tuberculosis and malaria) and improve their cure rates, but also to integrate the activities with BPHS in order to upgrade medical treatment systems in the field. JICA has concentrated its cooperation on tuberculosis control among infectious disease control. While promoting tuberculosis treatment using DOTS across the country, JICA has the potential to contribute to infectious disease control by supporting policies for integration with BPHS, building systems, and applying the treatment to other diseases.

Afghanistan's health sector currently has wide-ranging issues and it is apparent that JICA alone cannot achieve the development goals of the sector. Consequently, it is necessary to promote aid coordination among donors on the basis of their strengths, while ensuring the MPH assumes ownership.

## 4. Recommendations

This evaluation, as already noted, was conducted for the purpose of strengthening the program strategy of overall JICA cooperation. This section, based on the evaluation results, attempts to make recommendations for the program goal and the scenario for achieving the goal.

First, while following up on past cooperation for the MPH regarding institution building and developing human resources, the main program goal is focused on BPHS (an important package under I-ANDS) based on the concept of Japan's "Human Security" and defined as follows:

"Based on the concept of 'Human Security,'" JICA is to implement program support for Afghanistan's health policies centered on BPHS, in the concept of self-reliance and self-determination."

Secondly, by taking into account the activities of international institutions and other aid agencies, JICA recommends addressing the following five components in order to attain the above goal. Figure 3-5 shows the relationship between each component and the program for Afghanistan's health sector development strategy.

■ Component 1 - Strengthening policy support

This component is aimed at enhancing the MPH's ownership and ensuring more effective program management and practical policy making by dispatching policy advisors to the MPH continuously, strengthening institutional capacities of the MPH, and coordinating with other aid agencies.

■ Component 2 - Contribution to extending tuberculosis control across the country

In addition to strengthening activities carried out under the current Tuberculosis Control Project for achieving its outcomes, tuberculosis control activities are to be extended across the country by giving assistance to the MPH for its aid coordination and policy making targeted at integrating infectious disease control into BPHS.

■ Component 3 - Strengthening reproductive health services

In addition to strengthening activities carried out under the current Reproductive Health Project, the quality of "maternal and newborn child care" (a BPHS program) is to be improved by fostering medical workers and strengthening the health system in coordination with international institutions, such as UNICEF and UNFPA.

■ Component 4 - Support for regional health services in Kabul's urban area

This support is intended to upgrade and expand BPHS and EPHS in Kabul's urban area by improving medical facilities and equipment there, strengthening the management capacities

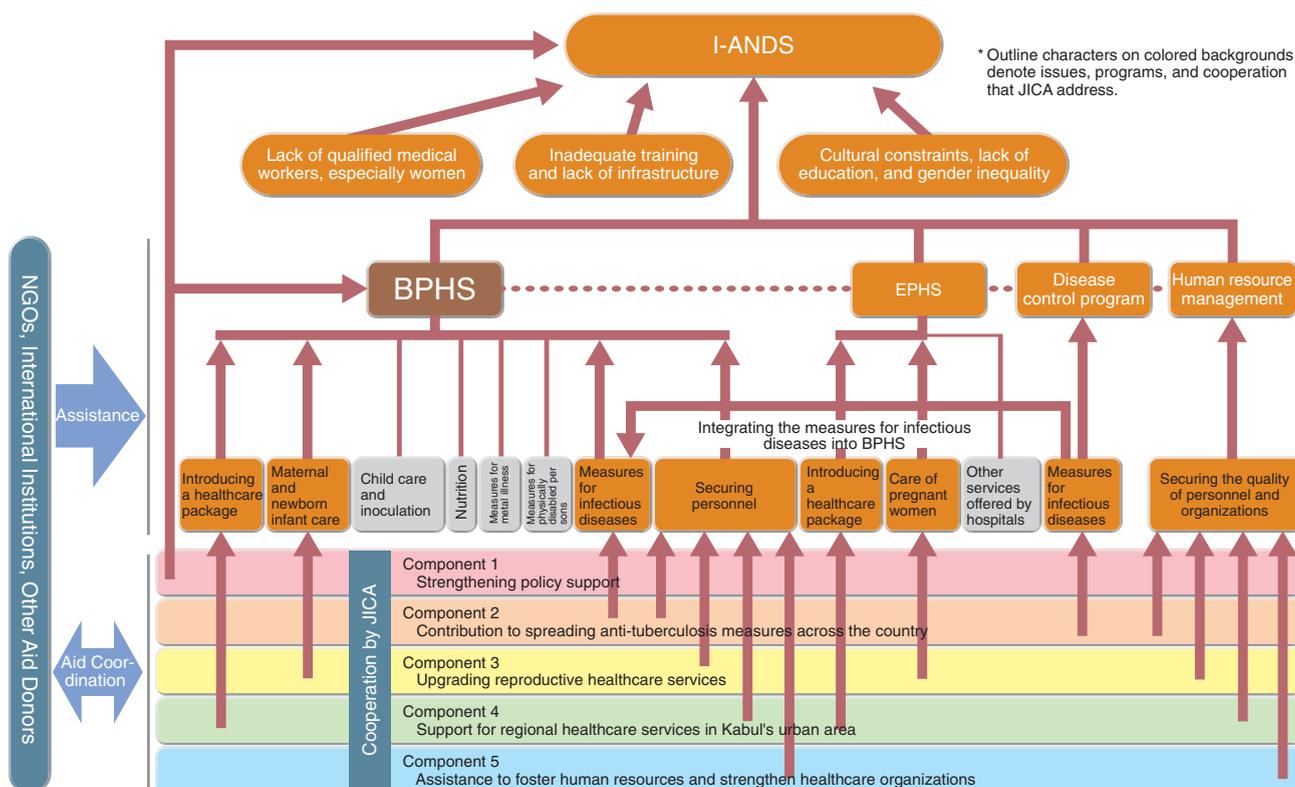
of the MPH, and enhancing the system for urban community health workers in coordination with other aid agencies, the Japan Social Development Fund (JSDF) of the World Bank, and the Japan Fund for Poverty Reduction (JFPR) of the Asian Development Bank. It also aims to establish a model urban health system, including a referral system in the future.

■ Component 5 - Assistance to foster the MPH's human resources and strengthen institutions

In addition to support for the Afghanistan Public Health Institute (APHI), which will become responsible for monitoring the country's health sector and human resource development in the future, and strengthen its institution and related systems, this assistance is intended to foster many personnel who will support the country's health policies at the MPH and training institutions for regional health workers.

As described above, if the JICA program's main goal is aimed at implementing program support for health policies such as BPHS, it is necessary to carefully examine details of the program plan and develop a program scenario by considering the situation of progress in the health sector and the achievements of each project, and analyzing issues related to health policies like BPHS. It is also necessary to design a program for enhancing sustainability in collaboration with other aid agencies so that medical workers, medicinal drugs, and medical equipment and supplies are consistently provided.

Figure 3-5 Cooperation Diagram of Afghanistan's Health Sector



## 5. Lessons Learned

### (1) Implementation of technical cooperation in consideration of emergency relief

As a result of a long-running civil war, Afghanistan's administrative functions are devastated, making it difficult to secure administrative officials. For this reason, there is considerable need for emergency relief by NGOs in extending BPHS. However, unless assistance for future development is provided in conjunction with solving present issues, the sustainability of development cannot be secured. JICA should therefore flexibly consider to incorporate emergency relief assistance into its programs, in addition to its mid- and long-term development assistance for developing human resources and creating health institutions and systems.

### (2) Institutional building

Since the country's policy-making and budgetary preparations have been handled by foreign advisors, its ministries and agencies have a lack of ownership. If officials sufficiently collaborate with the experts dispatched to their ministries and agencies, they would become able to address such common issues as enhancing institutional capacities.

### (3) Aid coordination with international institutions and other aid agencies

In coordinating assistance and collaboration among aid agencies, they should allow sufficient time for coordination, make expeditious decisions, and build an implementation system as well as securing flexibility for their aid modalities. When assigning local officials to important posts, their salaries and employment conditions must be decided upon careful consideration and coordination among the aid agencies involved.

### (4) Support for facilities, materials, and equipment

When providing assistance to a country lacking planning and administrative capabilities, developing the capacities of administrative agencies with mid- and long-term bilateral assistance is the top-priority issue. However, in a country that chronically lacks medical facilities, assistance for medical institutions and equipment necessary to protect the people's health should be flexibly provided.

### (5) Securing experts

When implementing cooperation to a country in need of emergency relief, dispatching experts who meet the country's needs is important. For this purpose, a proper system to dispatch experts should be established, such as simplifying the dispatch procedures and listing candidates for experts.

### (6) Coordination with NGOs

As seen in the Midwife Training Program at the Institute of Health Sciences (IHS) in Kandahar, wide-ranging aid activities in countries lacking information could be possible by coordinating with NGOs versed in local information and needs.



Training for tuberculosis bacteria inspection personnel (Tuberculosis Control Project)

### (7) Coordination with grant aid and ODA loan, and contribution to international institutions

This program is not coordinated with other Japanese aid schemes or contribution to international institutions. In order to effectively implement Japan's cooperation, coordination among schemes is essential, and providing assistance that combines infrastructure, equipment and human resources achieves significant outcomes. Consequently, it is necessary to make a cooperative plan that not only considers coordination among aid schemes, but also coordination with contribution to international institutions.

### (8) Addressing security issues

In a country with a very unstable security situation, utilizing local resources and such schemes as a third-country training program or long-term training, all of which are not influenced by the security situation, must be considered. Conversely, flexible measures must be taken for necessary visits to dangerous areas (along with evacuation instructions) in order to address local needs, in a speedy and flexible manner with discretion.

## Chapter 2 Thematic Evaluation

# Capacity Development of Local Administrations ~Case Study in Indonesia~

### 1. Summary of Evaluation Study

#### (1) Background and Objectives

With the background of advancing decentralization in developing countries, JICA places emphasis on (1) improving the efficiency and effectiveness of administrative abilities, (2) the promotion of balanced decentralization, and (3) encouraging participation and improving transparency as the development challenges in relation to support for governance to ensure administrative functions.<sup>1</sup> Since the end of the 1990s, local governments mainly in the Asian region, such as those in Indonesia and Thailand, have been supported. Currently, such support programs for decentralization and local administrations are being continuously launched not only in Asia, but also in Africa, the Middle East, Latin America, and other regions.

This thematic evaluation took up the case of Indonesia. The current situation and problems were clarified in terms of the “capacity development of local administrations,” which was important for decentralization, based on the policies and measures of the Indonesian government. In addition, the development challenges were clarified and the axis of evaluation analysis was systematically compiled.<sup>2</sup> Thus, in considering JICA projects that have been implemented as part of the movement towards decentralization in Indonesia, the approach to capacity development of local administrations was examined based on the axis and then comprehensively analyzed for comparison with the approaches of other donors. After summing up the efforts for implementing these projects on the capacity development of local administrations, lessons were drawn regarding approaches to the challenges of capacity development of local administrations from the previous analysis, and other lessons regarding the formulation and implementation of projects on the capacity development of local administrations were carried out from later analysis.

#### (2) Evaluation Study Period and Team

##### 1) Evaluation Study Period

From December 2005 to August 2006  
(Field study: April 10 - 29, 2006)

##### 2) Evaluation Study Team

The Office of Evaluation, the Planning and Coordination Department, JICA led this study. An examination committee was established consisting of external advisors (including two evaluation advisors), the staff of related JICA offices (Indonesia Office, Regional Department, and Social Development Department), and consultants. The head office (the Office of Evaluation and consultants) compiled and wrote a research paper based on discussions in the examination committee and results of the field survey.

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##### (3) Scope of Evaluation

This evaluation study, which aims to examine the approaches to capacity development of local administrations in the movement towards decentralization, has selected certain sector projects as targets: those that were started in period 1999 to 2001 when decentralization was promoted in Indonesia with the direct or indirect purpose of developing the capacity of local administration<sup>3</sup> (see Table 3-9). As for project analysis, the focus is on the capacity development of local administration while conducting an overview of the project as a whole and on an analysis of the approaches: because the target of analysis includes not only projects that have been implemented but also projects that are being implemented, and it is not always appropriate to analyze the impact or outcomes of such projects.

### 2. Framework of Evaluation

In this evaluation, “the Development Objectives Chart regarding the capacity development of local administrations in

1. JICA, 2005. Research paper “Governance Support of JICA: Development of Democratic Systems, Improving Administrative Functions, and Supporting Legislation,” p. 68. (in Japanese)
2. This field is relatively new and has not obtained much actual achievement of cooperation in the past. Therefore, the approach to cooperation and development objectives chart by JICA or other donors have not been fully established. This study addresses to establish/set the axis of evaluation analysis.
3. JICA projects involved in the movement towards decentralization seem to be influenced more or less by decentralization itself. This evaluation study selected projects regarding in particular the capacity development of local administrations based on the following aspects. Thus the whole of Indonesia or sectors are covered.
  - 1) The focus was on projects that were especially directly supported by local administrations and those that involved major sectors subject to decentralization, such as education, health, and agriculture.
  - 2) The target areas were selected mainly from South Sulawesi where there has been a past accumulation of cooperation projects.

**Table 3-9** Target Projects of Evaluation Study

	Project Title	Abbreviated Expressions	Sectors	Project Period	Schemes
1	Supporting Regional Development Policies for Local Governments	Regional Development Policies	Capacity development of local administrations	2001.4-2005.3	Technical Cooperation Project
2	Human Resources Development for Local Governance (Phase 1, 2)	Human Resources Development	Capacity development of local administrations	2002.4-2005.3 2005.4-2007.4	Technical Cooperation Project
3	Strengthening Sulawesi Rural Community Development to Support Poverty Alleviation Programs	Sulawesi Poverty Alleviation	Rural development	1997.2-2002.2	Technical Cooperation Project
4	Improvement of District Health Services in South Sulawesi	Improvement of District Health Services	Health Services	1997.4-2002.3	Technical Cooperation Project
5	Empowerment of Water Users Association	Empowerment of Water Users Association	Rural development	2004.4-2007.3	Technical Cooperation Project
6	Community Empowerment Program with the Civil Society in Indonesia	PKPM	Rural development	2004.1-2006.12	Technical Cooperation Project
7	Regional Educational Development and Improvement Program (Phase 1, 2) Local Educational Administration Improvement Program	REDIP	Education	1999.3-2001.9 2001.3-2005.3 2004.9-2008.9	Development Study Technical Cooperation Project

Indonesia” is set as the axis of evaluation analysis in order to analyze approaches to the capacity development of local administrations with regard to target projects. This Development Objectives Chart is used to analyze approaches by JICA and other donors. Lessons are then drawn from two aspects regarding: (1) the approaches to the challenges of capacity development of local administrations, and (2) project formation and implementation of capacity development of local administrations.

### 3. Development Objectives Chart regarding the Capacity Development of Local Administrations in Indonesia

#### (1) Outline of Development Objectives Chart regarding Capacity Development of Local Administrations in Indonesia

The Development Objectives Chart table regarding capacity development of local administrations in Indonesia was examined and prepared by the Evaluation Examination Committee as shown in Table 3-10. It systematically arranges various groups of objectives concerning a specific development theme to be treated at three levels: development objective, core objective, and sub-targets of core objective. It is used as an analytical matrix to examine the policy and directions towards resolving issues, as well as the purpose and structures of cooperation programs by viewing the structure for each objectives in a cross-sectional manner in order to grasp the whole picture.

#### (2) Views and Notes on the Development Objectives Chart

On examining the guidelines to align the development objectives or goals with the structure of cooperation programs, it is useful to examine approaches to the development objectives based on the relation between objectives at the upper and lower levels, which is an incremental relation between the development objectives and core ones, and then between the core objectives and sub-targets of core ones, in order to clarify the structure of the development objectives. As for the development objectives of the capacity development of local government administration, all superior objectives regarding the system, framework, financial administration, personnel capacity, and administrative operations are similar and influence

each other. Thus a scenario to deal with development objectives should be planned after assessing the full picture provided by the Development Objectives Chart, while noting the interrelations between the development objectives in the Development Objectives Chart genealogy (relation between development objectives or core objectives beyond the development ones). Then, it is important to assess the core objectives and sub-targets necessary, and sufficiently solve the development objective by noting the relation between the development objectives or core objectives transcending the development ones. Understanding the relation among development objectives leads to grasping which objective is more important in solving upper-level development objectives and what kind of effort is made by the counterpart government or other donors. Moreover, JICA can establish its goal and scenario more strategically by approaching to the objective from the viewpoint of mutual complementarities and synergy effects. In this way, the Development Objectives Chart can be utilized to implement cooperation from a programmatic standpoint.

### 4. JICA's Efforts regarding Capacity Development of Local Administrations in Indonesia

#### (1) Changes of Strategy and Ideas in Regional Development and Capacity Development of Local Administrations for the Last 10 Years

In the mid-1990s, to be sure, JICA recognized the necessity of decentralization and capacity development of local administrations for the future, but the Indonesian government at the time had the policy of maintaining the centralization system. Thus when JICA's support was required for the promotion of individual projects, JICA treated both issues within the framework of the projects.

In the middle of 1997, social and political crisis spread to Indonesia. JICA provided emergency support in such a critical situation, focusing on securing a social safety net. At the same time, JICA shifted its attention to support which is directly beneficial to citizens. Although the movement towards decentralization had developed at that time, JICA had not clearly set out the guideline to promote decentralization. To cooperate with the central government as the major counterpart, along with involving regional governments, JICA took approaches to

**Table 3-10** Development Objectives Chart for the Capacity Development of Regional Government Administration in Indonesia

Development Objectives	Core Objectives	Sub-targets of Core Objectives
(1) Development of a system and framework for local autonomy	(1)-1 Clarifying the relationship between the central and regional governments	● Clarify the authorities and roles of the central (Ministry of Home Affairs/BAPPENAS/ Ministry of Finance/each Sectoral Ministry and Agency) and regional governments.
		● Clarify the authorities and roles of the local government and decentralization among the central government, Ministry of Home Affairs, BAPPENAS, Ministry of Finance, and each Sectoral Ministry and Agency.
	(1)-2 Clarifying the authority/role/relationship of regional governments	● Clarify the authorities and roles of provinces whose functions affect more than one local government.
		● Clarify the authorities and roles of local governments (districts and municipalities) providing local services.
		● Clarify the relationship between provinces and local governments.
		● Clarify the relationship between local governments and 'Kechamatan' (administrative body under local government).
		● Promote connection/cooperation/wide-coalition among autonomies.
	(1)-3 Promoting the representation system for democratic administrative control	● Establish and conduct the democratic election system.
		● Enhance the power of local councils for supervision and introduction towards administration.
		● Improve the ability of local council members.
	(1)-4 Ensuring transparency and accountability of administration	● Establish the supervisory system towards local councils.
		● Promote information disclosure and public announcements.
(2) Establishment of financial management system	(2)-1 Improving the efficiency of governmental and financial administration through reform of the local financial administration system	● Promote the announcement system and enhance the supervisory system.
		● Establish a financially efficient relationship between the central and regional governments (transferring the tax revenue basis, distribution of subsidy/deconcentration fund).
		● Establish the efficient system of local finance (including financial reform within the autonomy).
	(2)-2 Establishing a fair and neutral budget system for regional government finances	● Establish an efficient system for the budgeting process.
		● Clarify the position of regional public corporations/enterprises.
		● Establish a fair and neutral taxation system (including tax payment system).
	(2)-3 Establishing an efficient expenditure system for regional government finances	● Establish a fair and neutral subsidy/bounty system.
		● Establish revenues by local bond or borrowing.
		● Implement a sufficient budget and establish a system for bidding/contracts.
(3) Capacity development of local public officials	(3)-1 Reforming the civil service in order to improve administrative performance	● Establish an efficient system for accounting and closing.
		● Establish an efficient system for accounting and auditing.
	(3)-2 Expanding the system for capacity development among local public officials	● Reform the civil service system of the regional government and improve the efficiency of personnel administration (recruitment/salary/promotion/dispatching).
		● Improve the ethics of the personnel.
(4) Effective and efficient administration of regional governments	(4)-1 Improving the process of planning, implementation, and evaluation	● Enhance personnel training and education for managers.
		● Prepare an environment for efficient training (improve facilities/implement instructor training/link with the personnel system/conduct the recognition system, etc.).
		● Develop personnel resources on the job (OJT/personnel exchanging).
	(4)-2 General improvement and raising the level of efficiency of administrative services	● Establish the preparation and implementation process of the development plan based on objective facts like regional basic data while maintaining consistency with the upper-level plan.
		● Establish and operate the mechanism of citizen participation in preparation and implementation of the local development plan (including measures for improving community planning capabilities).
	(4)-3 Enhancing the capacity of administrative organizations	● Conduct and report administration evaluation (administration/measures), feedback (including from citizens), and establish a monitoring mechanism.
		● Improve the effectiveness of administrative affairs/projects (reflection of results of monitoring and evaluation).
	(4)-4 Improving administrative capacity through the promotion of public participation	● Form an efficient administrative organization (including efficient work-sharing in each office).
		● Promote IT.
	(4)-5 Promoting leadership	● Promote citizen participation in the implementing process of administrative services.
		● Establish a partnership with civil society on the implementing process of administrative services.
● Establish and operate the system for outsourcing to civil society or the private sector.		
		● Clarify the roles of head/executive officers of regional government.
		● Improve the leadership and management capacity of head/executive officers of regional government.
		● Implement the vision mission program by the head and promote its monitoring.

Interrelationship between Development Objectives

Relation between Development Objectives from Upper to Lower levels

put emphasis on improving the linkage between the central and regional governments.

Since the two laws of decentralization were established in 1999, the direction of decentralization had been still unclear. Therefore, JICA focused on support not influenced by decentralization, which was the capacity development of local administrations through support to regional development by regional initiative.

With the enactment of the two laws in 2001, JICA enhanced efforts to support decentralization, but was focusing on support to deal with the confusion caused by decentralization rather than promoting decentralization. Particularly, it put emphasis on 1) capacity development of local administrations as the recipient of decentralization and 2) reconstructing the linkage which was once broken by decentralization between the central and regional governments.

The two laws were revised in 2004, and JICA has been shift-

ing its project attention from the support of decentralization to the regional development of backward areas in Indonesia, even while keeping the activities focused on 1) and 2) described above. Based on the strategy above, JICA is now promoting a developing plan for eastern Indonesia. As a part of this plan, the regional development program for South Sulawesi province is ongoing. This program, aiming to “promote poverty alleviation through regional development in South Sulawesi province,” is supporting development of the entire region by organically linking the development in urban area and villages, to make a multi-strata approach for regional governments and regional society, and promote cooperation among projects.

## (2) Approach to Capacity Development of Local Administrations by Target Project of JICA

Table 3-11 shows a summary of 7 projects (3 are completed; 4 are ongoing) implemented by JICA in order to improve the

**Table 3-11** Outline of Target Projects and Approaches to Development Objectives

Project Title	Project Outline	Approach to Objective
Regional Development Policies	The purpose is to “improve the capacity of local administrations in the regional development field (or capacity of the central administration to support local administrations) in the central and local governments for promoting local autonomy.”	Centering the approach on ‘(4)-1 improving the process of planning, implementation, and evaluation’, the major development objectives including ‘(1)-2 clarifying the authority/role/relationship of regional governments’ (especially promoting the linkage among local governments) and ‘(4)-4 improving the administrative capacity through the promotion of public participation’ were also dealt with in the planning process. ‘(1)-1 clarifying the relationship between the central and regional governments’ and ‘(4)-5 promoting leadership’ are indirectly coped with.
Human Resource Development	The purpose is to “improve the training operation capacity to develop personnel resources including local public officials at the Education and Training Agency of the Ministry of Home Affairs and Local Training Center” and “announce and make understood the administrative method based on the policies and guidelines regarding decentralization in the regional governments.”	Centering on ‘(3)-2 expanding the system for capacity development among local public officials’, important development objectives for promoting decentralization such as ‘(1)-2 clarifying the authority/role/relationship of regional governments’, ‘(4)-1 improving the process of planning, implementation, and evaluation’, and ‘(4)-2 general improvement and raising the level of efficiency of administrative services’ are also indirectly approached.
Sulawesi Poverty Alleviation	The purpose is to “make the social development model based on citizen participation applicable to South Sulawesi (Takalar Model).”	Approaching ‘(4)-1 improving the process of planning, implementation, and evaluation’, ‘(4)-2 general improvement and raising the level of efficiency of administrative services’, and ‘(4)-4 improving the administrative capacity through the promotion of public participation’ are also dealt with, the upper-level objective (4) is widely covered, and additionally combined with ‘(3)-2 expanding the system for capacity development among local public officials’.
Improvement of District Health Services	The purpose is to “develop regional medical personnel including doctors, midwives, and technologists in South Sulawesi, and improve the technical capacity of the healthcare director of each province to make or implement the healthcare plan.”	Developed PROAR* and introduced it to (or operated at) the healthcare center level, ‘(4)-1 improving the process of planning, implementation, and evaluation’, and ‘(4)-2 general improvement and raising the level of efficiency of administrative services’. PROAR process approaches ‘(4)-4 improving the administrative capacity through the promotion of public participation’ are also dealt with. Additionally, ‘(3)-2 expanding the system for capacity development among local public officials’ is also coped with.
Empowerment of Water Users Associations	The purpose is to “revitalize water users associations with farmer participation through support and cooperation by the regional governments, and establish a fair operation/management model of irrigation facilities.”	Approaches to support activities by the province and improve the capacity of provincial officials for empowering water users associations (bridging approach (4)-2 and (4)-4 to approach (3)-2) are taken, with effects of revitalizing the water users associations by farmers (4)-4, improvement and efficiency of administrative service (4)-2, and expanding the system for capacity development among public officials, (3)-2 are intended to be achieved.
PKPM	The purpose is to “establish and spread the administrative system for education of local governments, centered on school management with citizen participation in the target project group, by enhancing the capacity of stakeholders in school education, including local administrators of education.”	Focusing on ‘(4)-2 general improvement and raising the level of efficiency of administrative services’, an approach to promoting school management with citizen participation (‘(4)-4 improving the administrative capacity through the promotion of public participation’) is combined, along with ‘(3)-2 expanding the system for capacity development among local public officials’.
REDIP	The purpose is to “improve linkage among governments (central and regional), NGOs, and communities in community-empowerment.” Cultivating facilitators for village development through training is supported so that citizens could develop villages by themselves.	Not clearly indicated is the viewpoint of “the administrative capacity of regional governments,” and projects involving regional autonomies are found (‘(4)-4 improving the administrative capacity through the promotion of public participation’). Improving the communities’ capacity of planning/implementation is promoted through activities conducted by master facilitators (‘(4)-1 improving the process of planning, implementation, and evaluation’).

\* Problem-solving type action research

administrative capacity of regional governments in Indonesia, according to “what kind of development objectives each project seeks to approach and what kind of efforts have been made” from the standpoint of the capacity development of local administrations.

### (3) Approach to the Capacity Development for Local Administrations by Major Donors

Here we will outline the approaches to the capacity development of local administrations of Indonesia by other major donors along with Table 3-12. One of the characteristics of approaches by other donors is that all donors adopt the “establishment of a financial management system” as shown in (2) in the table as an approach to the development objectives. Although there are some differences in efforts by each donor in terms of individual development objectives, the World Bank, Asian Development Bank, German Technical Cooperation (GTZ), and U.S. Agency for International Development (USAID) widely cover the major development objectives of superior development objective (2). The Canadian International Development Agency (CIDA) also covers all major development objectives, though the individual development objectives are limited. As mentioned above, they seem to make efforts to achieve the higher level of development objectives.

'(1) Development of a system and framework for local autonomy' is the development objective as the basis of decen-

tralization. Three donors (USAID, GTZ, CIDA) adopt '(1)-1 clarifying the relationship between the central and regional governments' and '(1)-2 clarifying the authority/role/relationship of regional governments', and two donors (USAID, GTZ) support '(1)-3 promoting the representation system for democratic administrative control'. All donors deal with '(1)-4 ensuring transparency and accountability of administration', even partially or otherwise. We can say that superior development objectives are widely covered according to their priorities. However, efforts to '(1)-3 promoting the representation system for democratic administrative control' will apparently be required occasionally in the future.

'(3) Capacity development of local public officials' as the development objective approached by other donors is relatively limited compared to the other development objectives. Two donors (ADB, USAID) support '(3)-2 expanding the system for capacity development among local public officials', and USAID covers '(3)-1 reforming the civil service in order to improve administrative performance'. USAID covers almost all the core development objectives, and strategic efforts towards superior development objectives are considered to be making progress.

Moreover, as to '(4) effective and efficient administration of regional governments', all the donors except for CIDA adopt approaches to most of the major development objectives (except for (4)-5), which is the most-adopted approach next to

**Table 3-12** Development Objectives Chart for Indonesia and Approaches by JICA and Other Donors

Development Objectives	Core Objectives	JICA						Other Donors				
		Regional Development Policies	Human Resources Development	Sulawesi Poverty Alleviation	Improvement of District Health	Empowerment of Water Users	REDIP	PKPM	World Bank	ADB	GTZ	USAID
(1) Development of a system and framework for local autonomy	(1)-1 Clarifying the relationship between the central and regional governments	△							○		○	
	(1)-2 Clarifying the authority/role/relationship of regional governments	△	△	△			△		○		○	○
	(1)-3 Promoting the representation system for democratic administrative control		△								○	○
	(1)-4 Ensuring transparency and accountability of administration								○	○	○	○
(2) Establishment of a financial management system	(2)-1 Improving the efficiency of the governmental and financial administration through the reform of the local financial administration system								○	○	○	○
	(2)-2 Establishing fair and neutral budget system for regional government finances								○	○	○	○
	(2)-3 Establishing efficient expenditure system for regional government finances								○	○	○	○
(3) Capacity development of local public officials	(3)-1 Reforming the civil service in order to improve administrative performance		△									○
	(3)-2 Expanding the system for capacity development among local public officials	△	○	○	○	○	○			○		○
(4) Effective and efficient administration of regional governments	(4)-1 Improving the process of planning, implementation, and evaluation	○	△	○	○	△	○	○	○	○	○	○
	(4)-2 General improvement and raising the level of efficiency of administrative services		△	○	○	○	○		○		○	○
	(4)-3 Enhancing the capacity of administrative organizations									○		○
	(4)-4 Improving administrative capacity through the promotion of public participation	○	△	○	○	○	○	○	○		○	○
	(4)-5 Promoting leadership	△	△									

'(2) establishment of a financial management system'. Especially, their efforts are concentrating on '(4)-1 improving the process of planning, implementation, and evaluation'; '(4)-2 general improvement and raising the level of efficiency of administrative services'; '(4)-4 improving the administrative capacity through the promotion of public participation'.

Looking at the supporting situation by other donors in chronological order, most of them focused on supporting the aspect of a system or framework centered on superior development objectives (1) and (2) at an earlier step of decentralization in Indonesia. Superior development objective '(1) development of a system and framework for local autonomy' is important at an earlier step of decentralization; at the next step when decentralization has been advanced to some extent, superior development objective '(2) establishment of a financial management system' with more elaboration is focused on among the systems and frameworks. As above, according to the degree of progress or maturity of decentralization, earlier supports to intervene in decentralization have been made. Since around 2005, when the framework development was settled, some donors have been shifting their attention regarding capacity development towards effective administration operation or personnel development. Now they are making efforts from both sides of institutional elaboration and the concrete capacity-enhancement of local governments.

## 5. Overview and Lessons Learned

### (1) Overview

#### 1) Approach to Objectives by JICA

The target projects of JICA towards the capacity development of local administrations concentrate both on '(3) capacity development of local public officials', and '(4) effective and efficient administration of regional governments'. Looking at the major development objectives, JICA mainly approaches '(3)-2 expanding the system for capacity development among local public officials', '(4)-1 improving the process of planning, implementation, and evaluation', '(4)-2 general improvement and raising the level of efficiency of administrative services', and '(4)-4 improving administrative capacity through the promotion of public participation'. Development objectives (3) and (4) give the most direct influence on the capacity development of local administrations, thus not only JICA but also most other donors are approaching both. On the other hand, efforts from the institutional side as seen in development objective (1) or (2) can largely impact the implementation of projects and produce an effect of stability on projects covered by development objective (3) or (4).

#### 2) Comparison with the Approaches Implemented by Other Donors

Comparing the approaches of donors, we can first point out that JICA is alone in not approaching direct support to '(2) establishment of a financial management system'. While other donors put emphasis on support for institutions or frameworks, such as '(1) development of a system and framework for local autonomy', JICA focuses on objectives (3) and (4) that are not directly related to institutions or frameworks.

### 3) Overview for Approaches of JICA's Cooperation

When we survey the approaches in the target projects of JICA from the viewpoint of the relation among the superior development objectives, we find that several core objectives are approached in each project. Overall linking of the improvement of personnel capacity and the implementation of administrative service in approaches to development objectives (3) and (4) could have a synergy effect on personnel development and administrative services, and could lead to securing sustainability.

Summarizing JICA's approaches according to the axis of region/time, the ongoing efforts in South Sulawesi province have significant effects in terms of (i) participatory regional development, (ii) highly understanding of importance on cooperation between regional governments and civil society, and (iii) actual progress of its cooperation.

Our survey reveals that the people involved are acting on their initiative. For example, the province conducts rural development involving universities or NGOs, or the province develops an original system for rural development inspired by the outputs of JICA projects. This is probably because JICA has accumulated projects' experiences relating to local administrations and regional development implemented in South Sulawesi province.

### (2) Lessons Learned

#### 1) Lessons Learned from the Approaches to Objectives

- The whole picture regarding the objective "the capacity development of local administrations" and strategic efforts to achieve the objective through grasping the relationship

As mentioned above, approaches to objectives regarding the capacity development of local administrations by JICA focus on '(3) capacity development of local public officials' and '(4) effective and efficient administration of regional governments'. At the same time, approaches to the various core objectives bridging between development objectives (3) and (4) are also taken in each project. As shown in these examples, the improvement of administrative service in decentralization seems to be inextricably linked with promoting conscious reform and improving the administrative capacity of local officials. An organic effect can be expected by combining projects. For example, not only the direct approach to the capacity development of administrators ((3)-2), but combining an approach to improvement and efficiency of administrative services in (4)-2 and an approach involving various stakeholders in (4)-4 would be taken. And for increasing the quality of administrative services, not only OJT but also the training of the administrators in charge of civil service would be contained in the system.

On the other hand, some cases need efforts to develop objectives from the institutional side regarding authorities or financial resources seen in development objective (1) or (2) in order to make those efforts more effective and sustainable. We also found an example where projects for major objective (3) or (4) were adversely affected because the framework or system of the intergovernmental relationship or regional financial system was not fully established. When the development plan does

not link with budgeting, the situation of the institutional framework of financial administration should be fully grasped because the effective implementation of the development plan may be greatly affected. Since establishing the regional government's administrative system/framework including its financial system is an essential issue to form the basis of regional government, JICA may need to give more consideration and cooperate in an assistance framework if the objective is set as high priority. Even though JICA does not directly make an approach, it is important for JICA to be aware of the association with JICA's assistance including efforts made by the recipient government or other donors.

The degree of maturity in the development objectives and core objectives, however, depends on the degree of progress of decentralization. It is also important to examine the relation among the development objectives and priorities according to the degree of progress of decentralization, for instance, having a step for institutional building at an early stage of decentralization, a step for progressing and operating institutional building, and then a step to improve the accuracy of the institution. In addition, each objective for the capacity development of local administrations involves major actors such as the central government, all tiers of regional governments, and civil society. Thus it is also critical to confirm in a multilayer way the relationship between various actors and the development objectives surrounding the administrative capacity of regional governments. Grasping the objectives again from the viewpoint of the actors can make clear which approaches should be combined for solving objectives.

As mentioned above, by grasping the current situation and the whole picture of the objective according to the degree of decentralization, the following are important: consideration of the vertical relation from the upper to lower development objectives and the collateral relation (among the development objectives or core objectives beyond the development objectives), confirmation of the objective structure aiming to solve upper-level development objectives, and examination of the involvement or positioning of appropriate actors for solving objectives. This can lead to formulating a more strategic JICA program focusing on setting medium to long-term goals and clarifying the cooperation scenario, organically combining investments, cooperating with other institutes, and accumulating the past experience of JICA, etc. Even in projects not directly aiming for the capacity development of local administrations, by making the regional government a major actor, the projects can be implemented more effectively and continuously by strategically involving the elements for the capacity development of local administrations.

■ Effectiveness of a medium to long-term strategy, and multiplied efforts centering on region

Over the last decade JICA has implemented projects (involving participation ranging from local residents to heads of local administrations in a multi-layered way) for local administration and regional development in South Sulawesi province. Through JICA's previous assistance, experience in development plan-formulation, and its implementing methods such as the "citizen participation" style are accumulated and variously applied to other projects in South Sulawesi province. Efforts to formulate and implement a local government plan

with citizen participation require partnership and a trusting relationship between a local government and various stakeholders, including the regional community. In South Sulawesi province, several projects such as Sulawesi Poverty Alleviation are implemented based on the concept of establishing a cooperative relationship between provincial/district governments and the regional community. A step-by-step approach to universities or NGOs as well as various classes from the heads of provincial governments to citizens seems to promote a change in officials' consciousness and duties, leading to the capacity development of local administrations. Meanwhile it is difficult for such support to achieve much in one project whose the project period is usually 3 or 4 years. The concept of citizen participation was spread from the district level near citizens and subsequently led to smooth implementation of support activities at the provincial level. This indicates the importance of combining approaches in the medium to long term based on a time axis according to the degree of progress of decentralization and the degree to which the target's capacity has matured.

As noted above, we think that total governance capacity can be improved by grasping comprehensive objectives in one region, and examining support activities for stakeholders at a multi-layer level surrounding regional governments along with a time axis based on a medium to long-term strategy.

## 2) Lessons Learned from Planning and Implementation

■ Choice of a counterpart in noting devolution of authority (Development Objectives Chart (1)-1 and (1)-2)

As for decentralization in Indonesia, many authorities were transferred to districts and municipalities, centered on the local administrations including civil service, and with the province in the upper tier. However, for some cases it was difficult to determine at which level the counterpart should be designated or how the roles should be divided since the divisions of roles are not defined between the central government, provinces, districts/municipalities at the threshold of decentralization. Moreover, on the project for local administrations involving the central government as a counterpart, the relationship among central ministries or agencies and between the central and regional governments also had a great impact.

In decentralization, it is essential to note the devolution of authorities to local governments (provincial and district/municipality), and to set counterparts on multiplied levels according to the authorities. When the central government is involved, it is also important to note the division of roles among central ministries or agencies, or between the central and regional governments.

■ Capacity development of local administrations balanced between theory and practice (Development Objectives Chart (3) and (4))

Since decentralization was rapidly introduced to Indonesia in a short period, the regional governments had to understand and practice the new idea immediately. In such a situation, many projects intended to reflect in duties the new knowledge or ideas learned through not only lectures but also such practices as OJT, and this led to a change of consciousness. In some projects, pilot projects regarding the improvement of

administrative service were promoted focusing on ownership by administrators. At the same time, training directly linked with administrative services was conducted in order to feed back the practice at work. That led to not only increasing the effect of training but also establishing a training system to continuously develop personnel as the basis for improvement of the civil service.

Support in a decentralizing system needs to introduce new ideas or change the consciousness of administrators. Combining training to get knowledge or skills and components to learn through experience leads to practical improvement of administrative services and cultivates personnel who responsively sustain their learning. It is important to improve the capacity while maintaining a balance between theory and practice; for example, experience through planning or implementing a pilot project or an action plan by themselves, or sharing the experience of others through on-site visits.

■ **Increasing the effect of and ensuring sustainability by enhancing collaboration among various stakeholders (Development Objectives Chart (4)-4)**

As one of the characteristics of the efforts by JICA for the studied projects, we can point out that not only provincial/district governments but also various stakeholders beyond district governments, such as the regional community, NGOs, or universities are involved as support targets. Concretely speaking, as an approach to enhancing the cooperative relationship between provincial/district governments and the regional community, it is promoted to establish a framework including stakeholders like NGO or universities and improve the coordination capacity of provincial/district governments.

The capacity of local administrations not only includes the capacity of regional government itself, but also the capacity to involve and coordinate various stakeholders. Enhancing the collaboration with various stakeholders such as the regional community, NGOs, universities, or the private sector will increase the problem-solving capacity not only for the regional government but also for the region, leading to quality improvement of administrative service. At the same time, we need to give special consideration to the relationship between regional governments and stakeholders. For instance, if NGO comes to the front in approaching citizens, the role of regional governments may become vague. In constructing partnerships, we need to clarify carefully the role of each stakeholder while respecting their subjectivity and the position of regional governments.

■ **Utilizing the leadership of the heads of regional governments (Development Objectives Chart (4)-5)**

In Indonesia, the authority of the heads of regional governments was enhanced by decentralization. Moreover, the power of the heads has influenced all aspects of local administrations since the legitimacy of the heads has been increased by direct elections. Therefore, we can say that the heads have great impact when JICA implements local projects.

The responsibility and role of the heads in regional governments are significant, thus it is important to utilize their leadership with understanding and to support the project conducted by the heads for smooth promoting of the project. Utilizing leadership of the heads is effective when the project which



Finance teachers receiving accounting training (REDIP)

should promote a program starts, or when important decision-making is required. On the other hand, however, too much dependence on the leadership of the heads may lead to risks; for example, arbitrary utilizing of a project or losing consistency or changing policies along with a change in the head, etc. Therefore, the implementing system of a program should be institutionalized along with the progress of the project, and a system to secure sustainability should be established. It is better to regard the leadership of the head as a supplemental element.

■ **Spillover effect by modeling**

Many JICA projects aimed to systematize and model the achievements of pilot projects. Especially when regional governments play a pivotal role in model operation, it is officially positioned as administrative service. Accompanying personnel distribution, development of the organization system, and budget appropriation, sustainability is then secured. After the project, the effect also spreads to other regions. Modeling (systematizing) the achievements of the project and involving the systematizing processes taken into the local administrations systems in the project will spread to other regions as well as securing sustainability.

After the cooperation, it is supposed that “localization of the model” will be promoted in the process where regional governments manage the model along with various changes occurring in the process. The most important thing is that measures to prevent changes affecting the sustainability of the systems should be included from when the project is in operation. Furthermore, it is effective to develop personnel who understand the meaning of the system and support it for keeping the essential idea of the system.

■ **Japan's characteristic method focusing on ownership**

It is found that approaches in target projects by JICA are focusing on fostering ownership by the counterpart and changing consciousness. Particularly in PKPM and Sulawesi Poverty Alleviation, personnel who can autonomously implement regional development were cultivated by adopting the principle focusing on ownership by stakeholders such as local administrators or NGOs. Those personnel are small in number, but efficient and continue autonomous efforts as “Facilitators” without continuous JICA support. Thus they are greatly expected to sustain development on a community basis consis-

tently and steadily. As the effect, various efforts made in South Sulawesi province have yet to prove but seem to indicate initiative sustainability.

Cultivating stakeholders like NGOs or administrators who are focusing on learning through experience and their ownership is a characteristic method of Japan that enhances sustainability of cooperation effects and self-development, and one that is found less in projects by other donors. It suggests that the essential changes in consciousness could happen through programs focusing on learning by experience and ownership, thereby making participants in the projects able to autonomously implement development on a sustainable basis.

