

Summary of the Thematic Evaluation of Community Participation Approach

1. Outline of the Evaluation Study

(1) Background and purposes of the study

JICA has recently focused on implementing projects that include the concept of human security, thus the number of projects to reach the community directly has increased. In implementing these types of projects, the participation of the community is an important factor in effective cooperation.

Projects that include the community participation approach have been implemented across various sectors, and their purpose and the degree of participation involved are diverse. Therefore, the NGO-JICA Evaluation Subcommittee (hereinafter referred to as “the Subcommittee”) has selected as case studies three ongoing technical cooperation projects from the different sectors of environment, education, and rural development. The purposes of this study are to analyze the types of community participation approach¹ taken in each project, to suggest the important points for evaluation in community participation approach and to draw lessons that are applicable to other similar projects.

(2) Selected projects for the study

The following three ongoing technical cooperation projects (see Table 1) that incorporate the community participation approach were selected as case studies.

Table 1 Projects selected for evaluation

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

(3) Terms and implementation of the evaluation

The Subcommittee conducted the study, which included a literature review, interviews and a questionnaire survey of counterparts, JICA experts, local NGOs and residents in the field survey.

Table 2 shows the members of each survey team. The Subcommittee and a consultant drafted the report on the basis of the discussions in the Subcommittee meetings.

¹ In this study, “community participation” means that the community is involved in activities to improve their daily lives.

Table 2 Members of the field study teams

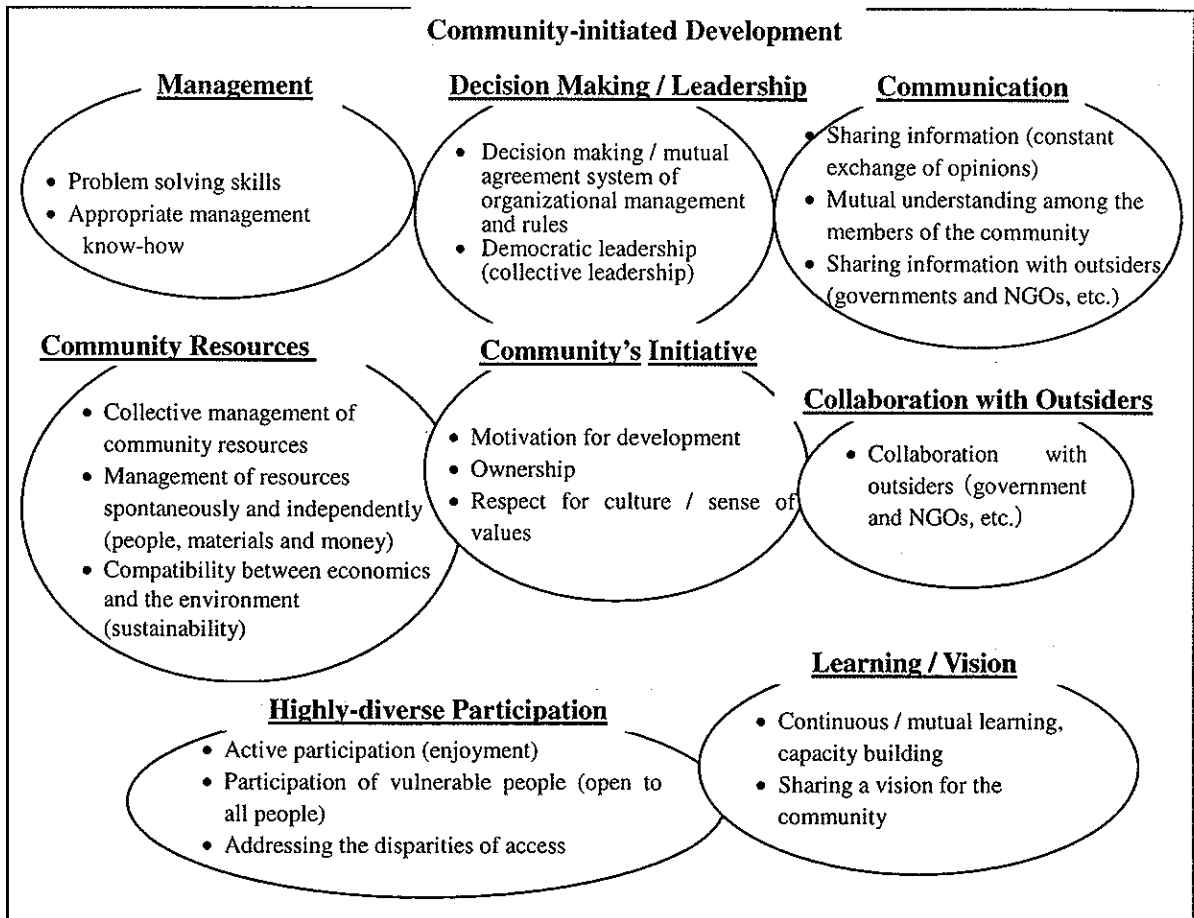
Country (Period of the Survey)	Name	Organization
Indonesia (7/11-7/24, 2005)	Yosuke Tamabayashi Makoto Nagahata Tomoo Arakawa Ryuko Hirano Noriyo Aoki	Administration Team, Region Dept. I, JICA i-i-network, Research and Action for Community Governance Asia Volunteer Center Office of Evaluation, Planning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

2. Evaluation framework on community participation approach

Based on discussions in the Subcommittee meetings, it was concluded that projects apply the community participation approach with the aim of enabling the community to develop the desire and willingness to solve its own issues and problems and continue activities on its own.

The Subcommittee discussed what “Community-initiated development” means in order to establish a common concept as a framework of the study, and concluded that the following eight points are important to consider for any development in which the community is enabled to carry out its activities independently. The eight vital points are: 1) Decision Making and Leadership, 2) Management, 3) Communication, 4) Community Resources Management, 5) Community’s Initiative, 6) Collaboration with Outsiders, 7) Participation, 8) Learning and Vision (Refer to Figure 1).

Figure 1 Community-initiated development and its important elements



In order to achieve active participation by the community, the study divided the process of the projects into four stages: 1) Preparation Stage, 2) Problem Analysis and Planning Stage, 3) Implementation Stage and 4) Sustainability Stage. These four stages indicate the timeframe from the perspective on the donor's intervention in the community. In the process of each stage, the Subcommittee came to conclusions about the important aspects for the community, counterparts and donors (Table 3). These four stages are not necessarily related to the JICA's project cycle².

² For instance, JICA does not set the specific targeted area before the project starts in many cases. In addition, project activities would be continued by the community itself in the sustainability stage in some cases even though the donor's intervention has been completed.

Table3 Points of evaluation according to the process of project implementation

Preparation Stage	Problem Analysis and Planning Stage	Implementation Stage	Sustainability Stage
Mindset	Awareness	Initiative	Decision-making and Leadership
Understanding the Current Situation of the Targeted Site	Organization Building	Organizational Management	Management
Building the Implementation System	Problem Analysis and Planning	Community Resources Management	Community Resources Management
Community Resources Management	Community Resources Management	Monitoring	Collaboration with Outsiders
	Institutionalization and Extension	Institutionalization and Extension	Highly-diverse Participation
			Feedback to Policy and Systems
			Utilization and Sharing of the Experience Gained

① Preparation Stage

The Preparation Stage is the period before the project starts any form of intervention in the community. In this stage, the counterpart and the project’s experts from the donor countries share the purpose and concepts, including the purpose of the application of community participation methodologies in the project. Thus, this first stage is important to establish the basis of cooperation between counterparts and donors for promoting community participation in the next stages. There are four important aspects of the Preparation Stage: the “Mindset,” “Understanding the Current Situation of the Targeted Site,” “Building an Implementation System,” and “Community Resources Management.”

② Problem Analysis and Planning Stage

The Problem Analysis and Planning Stage is the period in which the counterpart and the donor start their intervention in the community with the facilitators. With the support of the facilitators, the community identifies their issues and problems, analyzes them, and plans their activities with the facilitators. Building the community’s awareness and solid institutions will nurture its initiative and strengthen its ownership. There are five important aspects of the Problem Analysis and Planning Stage: “Awareness,” “Organization Building,” “Problem Analysis and Planning,” “Community Resources Management,” and “Institutionalization and Extension.”

③ Implementation Stage

The Implementation Stage is the period in which the community begins its activities based on their ownership of them. As the community proceeds with these activities, its institution building is reinforced and the community will come to realize the importance of sustainability and monitoring. There are five important aspects of the Implementation Stage: “Initiative,” “Organizational Management,” “Community Resources Management,” “Monitoring,” and “Institutionalization and Extension.”

④ Sustainability Stage

The Stage for Sustainability means after the project that was funded by the donor is terminated and the community continuously implements the activities by itself. In this stage, it is desirable that the community collaborates with the counterparts within the existing or a new system. The community can identify the issues that they are able to solve by themselves and those that need support from outside. During this stage, it is desirable for the community to have nurtured the eight aspects mentioned in Figure 1 in the Sustainability Stage. We have selected the five most important aspects from the eight aspects mentioned above: “Decision-making and Leadership,” “Management,” “Community Resources Management,” “Collaboration with Outsiders,” and “Highly-diverse Participation.” In addition, there are two important viewpoints for the counterparts and donors to consider such as “Feedback to Policies and Systems” and “Utilization and Sharing of the Experience Gained.”

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

In this chapter, an outline of the selected projects and perspectives on the community participation approach are introduced.

(1) Indonesian Project

The purpose of the Indonesian Project is to conserve biodiversity in Gunung Halimun Salak National Park. In other words, it is aimed at formulating management planning for a national park to conserve biodiversity. While the current Indonesian policy does not permit people to live in or practice cultivation in the national park, there are about 300 villages around the park. Most of villages have existed for more than several hundred years: some villages have existed for 600 years, and the relatively new villages for 100 years. Therefore it is not realistic to remove these indigenous people living outside the park. In other word, there is a gap between the legal system and the actual situation in the park, and therefore it is necessary to formulate a new policy.

There are two aspects of the characteristics of the project: building awareness and the implementation system. At the preparation stage, the project worked on building collaboration among local NGOs that were related to the project activities, the local government, and the counterpart national park staff. Additionally, the project focused on building an implementation system through collaboration among the related stakeholders. The role of the national park staff was to control people who were working on illegal logging and/or cultivation before the project started. Therefore at the beginning of project, the national park staffs who were the counterparts and JICA experts had not necessarily shared the same ideas on why the project applied the community participation approach. Hence, the experts utilized the opportunities such as the revision of the PDM and field surveys to understand the situation and background of the villages in

order to build collaboration and sharing of the concept of why community participation was necessary for the project. Although there was no communication and information sharing among the local NGOs, local governments and national park staff before the project started, the project experts made an effort to reinforce these relationships and build collaboration among them by conducting field surveys and seminars jointly.

(2) Niger

The purpose of the Nigerian Project is to establish school management on the COGES model through community participation. The elementary school enrollment rate in Niger was about 50% in 2005, which was at a low level among low-income countries. In order to improve the school enrollment rate, the government of Niger decided to support COGES, which adopted a bottom-up approach to attracting the community's interest in schooling. Before the project started, the government of Niger recognized the importance of COGES to increase the enrollment rate. However, the government did not have the know-how to support COGES. Therefore the project launched the realization of support for COGES to improve the school enrollment rate and the quality of basic education by demonstrating the methods of practicing the COGES policy and proposing manuals to use.

At first, the project began by conducting democratic elections where everyone could vote in the village equally to select the members of COGES to represent their community. COGES members contributed to better school management such as through discussions on the improvement of the school environment, planning, and information gathering. The project produced a manual on the election for the establishment of COGES and a manual on formulating and carrying out a school improvement plan. Based on these manuals, the project was conducting training for COGES members. In addition, the project supported the COGES committee through the commune and established a monitoring system implemented by COGES staff. The project was also engaged in awareness-raising activities by the community, such as a campaign to promote education for girls.

(3) Zambia

The purpose of the Zambian Project was to establish a rural development model through community participation in isolated areas. In this project, the community analyzed its issues with the support of facilitators who worked for the community as agricultural extension workers. Based on this analysis, they planned and conducted a micro project, and this experience contributed to building an autonomous community. This approach was based on the experience of JICA experts who had applied this rural development model in other developing countries.

15 micro projects were implemented in 15 villages each year. To begin with, an agricultural extension worker who had received the training analyzes the problems in the village with the cooperation of the community, and, based on this analysis, the community drafted a proposal, which

was a plan for a micro project. Based on the proposal, the Department of Agriculture Coordination Office distributed funds to each community and, with the support of the extension workers, the community carried out the micro project. The community gained the knowledge and know-how to solve its issues by itself through the experience of implementing such micro projects.

There were two characteristics of the Zambian Project. The first was that there were four different levels of the implementation system, which were, the village, the province, the state government, and the central government. The second was that the community could take the opportunity to implement the project based on its own analysis and planning.

4. Results of a comprehensive analysis based on the evaluation points

This chapter explains the results of the comprehensive analysis of case studies using the evaluation framework for each process as determined in Chapter 2.

(1) Preparation Stage

a. Mindset

JICA experts and the counterpart should understand that the main actor in the project is the community and their role is to support it by nurturing community's ownership. It is therefore important that JICA experts demonstrate these attitudes to the counterpart not only through the training, but also through OJT.

In the Indonesian Project, the counterparts had changed their way of thinking such that in order to protect the forest; it was considered necessary to understand the way of life of the communities surrounding the forest and encourage their motivation towards creating community forests, rather than controlling and oppressing them. For this purpose, it was necessary to revise the project document right after the project began, reorganize the activities and conduct socioeconomic surveys.

b. Understanding the Current Situation of the Targeted Site

In order to identify the targeted site, socioeconomic surveys are effective. Grasping the socioeconomic situation in the targeted site leads to an understanding of the issues and problems of the communities. It also contributes to the formulation of an effective strategy when the project approaches these communities. In some cases, these surveys are utilized not only for understanding the community, but also for improving the relationships among the related stakeholders. In addition, the results of the surveys can be utilized for selecting targeted sites.

The Indonesian Project conducted two kinds of surveys. Firstly, a socioeconomic survey was carried out to select a pilot village with the collaboration of counterparts and local NGOs. This survey was an opportunity to build relationships between the two. Secondly, an inventory survey was conducted to understand the situation of the 300 villages surrounding the national park. The survey

was utilized to announce the expansion of the national park to the communities as well.

c. Building an Implementation System

It is very important to make sure that each stakeholder from the community level to the central government level is actively involved in the project. Their active involvement will ensure the sustainability of the community activities after the project.

In the Nigerian Project, each level of staff, such as at the community, NGO, local and central government levels were actively involved in the project based on their ownership.

d. Community Resources Management³

There are two types of projects in terms of resources management. One type consists of projects focused on utilizing local resources and minimizing the amount of investment from outside. The other consists of projects whose investment from outside has already been incorporated as a model.

The Indonesian Project aimed to build an organization that could manage the natural resources without depending on investments from outside. Although an income generating project was an option for formulating an organization that could manage natural resources subjectively, the project experts basically tried to minimize the amount of investment from outside. Therefore, an income generating project might not be applied depending on the situation. On the other hand, the Zambian Project was established through investment from outside through the development of a model for the project. The project allocated about ten thousand dollars per village and one hundred dollars per household, and community shared the cost of the materials and labor, such as for infrastructure construction.

(2) Problem Analysis and Planning Stage

a. Awareness

Awareness means that the community shares a knowledge of the issues among the residents and they can have a vision for solving the issues through cooperation from outside, such as from the counterparts and the donors. It is vital for the community to understand that they are the main actor in solving their problems.

In the Nigerian Project, residents in the community understood the importance of education subconsciously, although they felt some distance with respect to education and the schools. Therefore, the community conducted an election in which the residents could participate freely for

³ This includes human resources, local resources, finance, and natural resources as defined in Chapter 2. Therefore the budget from outside is included.

the first time, and selected the representatives of their school from their community. By conducting a democratic election, the community changed its attitude towards education, and they became interested in gaining and learning knowledge and in the development of their community.

In the Indonesian Project, because the social and historical backgrounds of the two pilot villages differed from each other based on the results of a socioeconomic survey, the project was applying different approaches based on the situation in each village. For instance, for the village that needed more time to understand the issues and nurture awareness, the project would allocate more time for developing “awareness.”

b. Organization Building

It is important to build an independent organization that can create a network with other organizations by utilizing information and resources with the cooperation of the counterparts and the donors. For organization building, the ability of the facilitator who supports the community is vital.

In the Nigerian Project, the group of representatives of the community organization was one of the important aspects of school management. Before the project started, the traditional authorities were the members of the committee acting as guardians. However, JICA believed that a democratic election for selecting the representatives of the committee would contribute to the effective and sustainable activities as well as active participation that would bring the benefits to the whole community. In addition, the counterparts and JICA experts were concerned about the traditional authorities when the community selected new leaders for the school and provided training in dealing with politics.

c. Problem Analysis and Planning

Understanding the resources that the community can utilize and organizing activities that the community can work on by itself for solving its issues contributes to the strengthening of the organization. As a result, the independence of the community will be enhanced.

In the Zambian Project, the community analyzed the problems and planned their activities with the support of the extension workers. On the other hand, since only one week was allocated for problem analysis and planning activity, this made it difficult to revise the planning due to time constraints. In addition, because the project had announced the amount of budget in the initial stage, the activities might be affected by the budget and not be always planned in accordance with the issues raised.

d. Community Resources management

In the community having thoroughly discussed how to utilize its natural resources in the planning stage, it can set the rules for managing the natural resources based on this planning. This will lead to nurturing awareness since the community has tried to solve the issues to see if they can

do it by themselves. In addition, in villages with rich natural resources, the residents maintain their households by utilizing these natural resources, and thus they tend to have to consider utilizing these natural resources sustainable.

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

e. Institutionalization and Extension

It is important to take the termination of the project into consideration from its beginning to ensure the sustainability of the activities.

The Indonesian Project involved the related local government after selecting pilot sites with consideration for the sustainability of the activities. Since the local government had the possibility of working on the pilot sites after the project was terminated, the project decided to work with the local government from the mid of project implementation.

(3) Implementation Stage⁴

a. Initiative

Collaboration among diverse stakeholders such as the community, counterparts, and JICA experts contributes to active participation.

In the Nigerian Project, the community could have confidence in the implementation of their activities through the experience of solving the issues for the school. Parents whose children did not go to school also participated in the community activities. When the community faced the issues, the related stakeholders such as the JICA office, the project office, NGOs, staff of the school management committee and the central government shared their knowledge of the issues, and each actor tried to improve the reality.

b. Organizational Management

If the community holds meetings occasionally, shares information within the community, discusses and reconsiders activities when a problem arises, it suggests that the organizational management of the organization has strengthened. Improvement of the organizational management is expected to contribute to the independence of the community.

In the Nigerian Project, the school management committee held periodic meetings and discussed issues and activities. The committee suggested occasionally switching the leader of the

⁴ Since Indonesian Project was at the preparation stage and the early stage for problem analysis and planning, we do not include any analysis of the implementation stage for the Indonesian Project.

committee. Moreover, when there were issues to be discussed, there was a system of consultation with the staff in COGES or the COGES alliance.

c. Community Resources Management

There are three important aspects regarding sustainability after the project has been completed, such as managing resources by utilizing local resources during the implementation, organizing activities that the community can implement by themselves with support from outside, and sharing the importance of the sustainable use of natural resources in the community.

In the Zambian Project, one of the communities that the field study team visited suggested formulating an independent committee with the function of auditing for the purpose of transparent resource management.

d. Monitoring

Building a monitoring system that the community is primarily in charge of will contribute to the sustainability of its activities after the project is terminated.

In the Nigerian Project, the Nigerian government decided to set up COGES for all elementary schools. Prior to this policy change, the COGES staff had been conducting monitoring, however, since the number of schools had increased it had become difficult for the COGES staff to monitor all the schools. Therefore each commune formed a COGES alliance and these COGES alliances conducted training, consulting and monitoring for each COGES.

In the Zambian Project, an expert in the field of monitoring was newly assigned to establish a monitoring system.

e. Institutionalization

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

In the Nigerian Project, the government of Niger applied the approach and the implementation system of the project. In addition, the method of low-cost monitoring adopted in the project was shared with the other donors, and promoted among other potential users.

(4) Sustainability Stage⁵

In the Niger Project, school management with community participation strengthened community independence and self-reliance. The community started to think about the development of the community comprehensively and negotiation skills to deal with outsiders were nurtured.

⁵ Since all three targeted projects are still being implemented, the aspects of sustainability were not obvious. However, some efforts that can lead to sustainability can be seen in Niger Project, and we will describe them in the report.

Although the entry point for the community was education, the community was also interested in health and water issues, and tried to solve these issues through the community participation approach. The community became able to utilize both local resources and resources from outside in some villages.

5. Lessons Learned

Based on the results of the analysis of the three projects through the processes described in Chapter 4, the members of the Subcommittee discussed the following five aspects: “Building an implementation system,” “Facilitation,” “Awareness/Organization Building,” “Community Resources Management,” and “Monitoring/Follow-up.” These five aspects are important for the donors and the counterparts and in each process from the preparation stage to the sustainability stage. Table 4 shows the importance of each aspect in the implementation process.

Table 4 Importance of each aspect in the implementation process

	Preparation Stage	Problem Analysis and Planning Stage	Implementation Stage	Sustainability Stage
Building an Implementation System	◎	○	○	□
Facilitation	○	◎	◎	□
Awareness / Organization Building	○	◎	○	□
Community Resources Management	◎	◎	◎	□
Monitoring / Follow-up	-	○	◎	○
	-	-	○	◎

* ◎: Most Important ○: Important □: Necessary for sustainability

(1) Building an Implementation System

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

(2) Facilitation

Facilitation⁶ is an important aspect from the preparation to the implementation stages. In the preparation stage, it is important to nurture facilitators through training and OJT. In the stage for problem analysis and planning stage and the implementation stage, the role of the facilitators in the community and facilitators from outside, such as NGOs and the local government, is important since

⁶ Facilitation supports activities and draws on people’s abilities when they carry out activities independently. Facilitators support the process when the community aims to solve a problem by also promoting linkages with the outside community.

they will support the community's activities. It is also important to adapt to the actual situation in the community when actors conduct facilitation in such a community.

(3) Awareness Raising and Organization Building

Awareness raising and organization building are important aspects that need to be focused on from the preparation to the implementation stages, especially in the problem analysis and planning stage. There are also three important aspects: building awareness for carrying out activities for the community itself, building organizational norms and nurturing representative leaders.

(4) Community Resources Management

Community Resources Management is important from the preparation to implementation stages. Community resources are a basic necessity for the community's activities. By managing and utilizing resources on the basis of the community's ownership, the sustainability of the community activities and natural resources will be enhanced.

(5) Monitoring and Follow-up

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

写真



評価小委員会にて、評価の視点を議論する委員



チブテイ村の住民にインタビューを行う評価調査団
(インドネシア現地調査)



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2005年5月12日に調査・分析結果を発表する評価セミナーを実施(参加者は約120名)第一部は、評価小委員会メンバーによる調査結果の報告



第二部は、外部有識者・JICA 課題担当部を交えて、パネルディスカッションを実施