

# Chapter 2 Expanding and Enhancing Evaluation

## – Trends in ODA Evaluation and JICA's Efforts in Evaluation

### 2-1 Recent Trends in ODA Evaluation

#### (1) Trends in the International Community

Reflecting the financial downturn in major donor countries in the world since the 1990s, the importance of monitoring and evaluation on assistance to developing countries has been increasingly recognized. There are two purposes in monitoring and evaluation; to provide accountability for the public and to implement effective and efficient assistance. In addition, amid the movement toward “smaller government,” the concept of New Public Management (NPM) has been introduced. This concept is adapted from business management methods for the purpose of providing efficient and high quality public services with an emphasis on outcomes. In line with the reforms of administrative management in donor countries, results-based management (RBM) has now been introduced to development assistance at the project level. RBM emphasizes outcomes, and supports effective and efficient management of the public sector.

As aid effectiveness became a hot issue in the following years, it became increasingly important to strategically select targets and approach and to produce a higher level of outcomes.

The DAC New Development Strategy: Shaping the 21st Century: The Contribution of Development Co-operation\*, which was adopted at the DAC's high-level meeting in 1996, became a starting point for a new collaborative approach for setting and achieving internationally shared development goals to obtain a high level of outcomes. The New Development Strategy specified ownership, partnership, and a result-oriented approach as principles for achieving development goals.

In an attempt to realize the concept of the New Development Strategy, a Poverty Reduction Strategy Paper (PRSP)\*\* was drafted at the World Bank/IMF Annual Meetings of 1999 as a country-specific socioeconomic development plan with the focus on poverty reduction. At the United Nations Millennium Summit in September 2000, a set of eight Millennium Development Goals (MDGs)\*\*\* were adopted. Donor countries have currently adopted the

PRSP as a development strategy to achieve the international development goals of the MDGs.

As a tool for managing efforts to achieve these high-level development goals, RBM is being broadly applied, not only to project-level management but also to program-level management. Monitoring and evaluation are important means for RBM to improve organizational management and accountability.

In response, the countries that have complied PRSPs have set up administration sections in charge of monitoring and evaluation. They have conducted periodical monitoring of cooperation effects at both the country and the sector levels with the participation of major donor countries and aid agencies. Collaborative evaluations have also been performed by the partner countries and donors. Monitoring of the MDGs has been conducted at an international level and a developing-country level; in particular, reports on monitoring at the developing-country level have been issued by the governments of developing countries.

The importance of improving the evaluation capacity of developing countries has recently been addressed in the international arena, such as DAC, from the perspective of emphasizing the initiative of developing countries. Various efforts have been made to empower developing countries to undertake monitoring and evaluation on their own.

#### (2) Movements in Japan concerning ODA Evaluation

International trends surrounding development assistance and the harsh economic and fiscal situations at home have generated strong calls within Japan for more effective and efficient implementation of development assistance. The Final Report submitted by the First Consultative Committee on ODA Reform (the Consultative Committee on ODA Reform for the 21st Century) in 1998 recognizes strenuous efforts to further improve effective and efficient ODA implementation as a fundamental concept of ODA reform, calling for greater emphasis on improving evaluation. In addition, the Final Report by the Second Consultative Committee on ODA Reform (March 2002) and the Fifteen Specific Measures for

\* A development strategy adopted at DAC's 34th high-level meeting in 1996. The strategy sets seven international development goals based on the discussions at various international conferences and called for greater emphasis on developing countries' ownership, partnership, and consistency for the achievement of the goals.

\*\* PRSP is a three-year comprehensive economic and social development plan for poverty reduction to be drawn up by the governments of developing countries with broad participation of the aid community and the private sector, NGOs, and other concerned parties. Heavily indebted poor countries and countries eligible for International Development Association (IDA) programs are required to compile PRSPs in order to receive debt relief or IDA loans.

\*\*\* A set of eight goals and 18 targets concerning poverty reduction, basic education, gender equality, health and medical care, environmental protection, and other objectives to be achieved by 2015.

ODA Reform (July 2002) proposed a set of concrete steps for ODA reform with special emphasis on evaluation (Table 1-2).

Taking into account these discussions on ODA reform, the Council of Overseas Economic Cooperation-related Ministers decided on a revision of Japan’s ODA Charter in August 2003. The new ODA Charter added “enhancement of evaluation” to the list of measures needed for effective planning and implementation of assistance policies as “Matters Essential to Effective Implementation.” It also points out the need for a consistent evaluation system from the ex-ante to ex-post stages, implementation of program- and project-level evaluations, implementation of third-party evaluations, and feedback of evaluation results, all of which were discussed in the process of the revision.

Amid the trends toward ODA reform, evaluation is regarded as an essential element to improve ODA, and various proposals have been made to enhance evaluation.

### (3) JICA’s Efforts for Enhancing Evaluation

In response to these trends at home and overseas, it has become increasingly important to gain support and understanding from the public not only for the objective and role of ODA, but also for its outcomes, thus leading to a call for improvements in effectiveness and efficiency of projects. Meanwhile, JICA became an independent administrative institution in October 2003 and this status change required JICA to improve effectiveness and efficiency of projects from the perspective of improving quality of services and other operations offered to the public. Enhancement of evaluation and dissemination of easy-to-understand evaluation results to improve the quality of projects are included in JICA’s Mid-term Objectives (Box 3).

Currently, JICA is making various efforts to strengthen its evaluation system so that projects can be operated effectively and efficiently while executing accountability (Figure 1-4).

**Table 1-2** Main Proposals on Evaluation

Time	Proposals	Points of Proposals (in relation to evaluation only)
January 1998	The Final Report of the Committee on ODA Reform for the 21st Century	Third-party evaluation, developing evaluation methods, diversifying and integrating evaluation perspectives, strengthening a feedback system of evaluation results, disclosure of evaluations, etc.
March 2000	Final Report on Improvements to the ODA Evaluation System by the ODA Evaluation Reviewing Panel	Reforming ODA evaluation in terms of objectives, targets, timing, system, human resources, structure, methods, feedback, publicity, etc.
February 2001	Report of the ODA Evaluation Study Group, For Enhancing Japan’s ODA Evaluation System by the ODA Evaluation Reviewing Panel	Introducing policy-level evaluation, enhancing program-level evaluation, strengthening the feedback system for evaluation, development and utilization of human resources in evaluation, securing consistency of evaluation (establishing a consistent evaluation system from the ex-ante, to mid-term and ex-post stages), promoting collaboration among ODA-related government ministries and agencies, etc.
March 2002	The Final Report of the Second Consultative Committee on ODA Reform	Improving ODA evaluation, strengthening feedback function to improve assistance methods, strengthening third party evaluation system, etc.
July 2002	Fifteen Specific Measures for ODA Reform by the Ministry of Foreign Affairs	Introducing third-party reviews into ex-post evaluation, strengthening the feedback role of Advisory Committee on Evaluation, strengthening collaborative evaluation with the partner countries, strengthening evaluation capacity of partner countries, holding seminars on evaluation as part of disclosure of evaluation results, etc.
December 2002	Concrete Measures for ODA Reform by the Liberal Democratic Party’s Working Team on ODA Reform	Strengthening evaluation and feedback of evaluation results, etc.
August 2003	New ODA Charter	Improving evaluation, consistent evaluation from the ex-ante to ex-post stages, implementing program- and project-level evaluations, implementing third party evaluation, feedback of evaluation results, etc.

## Box 3 JICA’s Mid-term Objectives in Relation to Evaluation

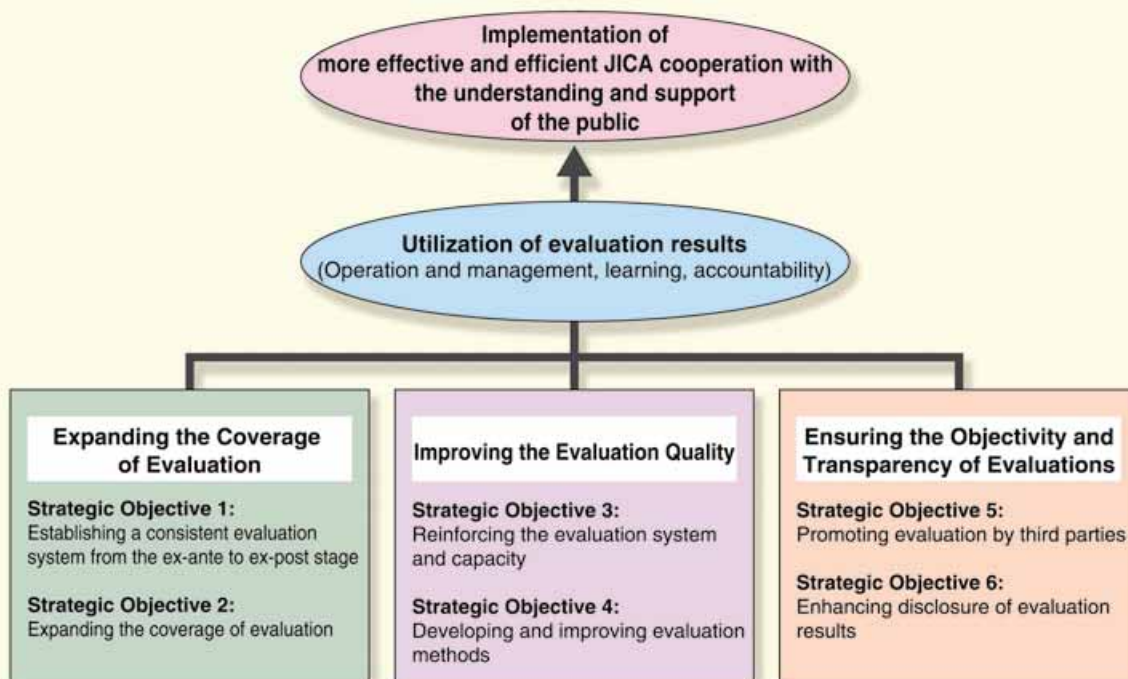
The agency shall introduce a systematic and efficient evaluation system from ex-ante to ex-post evaluations, including the creation of list of indicators for objective evaluations, and the establishment of proper evaluation methods tailored to each

cooperation scheme. The agency shall also expand the use of external evaluations including secondary evaluations, which are the external reassessments of JICA’s primary evaluation results. In addition, the agency shall provide information on these

evaluation results to the public in a clear and comprehensible manner, and shall promptly and properly feed back the evaluation results and lessons learned for improvement of future projects.

(Source: JICA’s Mid-term Objectives)

**Figure 1-4** Efforts in Expanding and Enhancing the Evaluation System



These efforts include (1) establishing a consistent evaluation system from the ex-ante stage to the ex-post stage, (2) expanding coverage of evaluation, (3) reinforcing the evaluation system and capacity, (4) developing and improving evaluation methods, (5) promoting evaluation by third parties, and (6) enhancing disclosure of evaluation results.

## 2-2 Efforts to Expand and Enhance Evaluation: Six Strategic Fields

### (1) Establishing a Consistent Evaluation System from the Ex-ante to Ex-post Stage

In order to promote results-based management and ensure accountability, it is crucial to set a clear project purpose and indicators to measure the project achievement before the project is launched. Then the project needs to be monitored and

evaluated with regard to what effects the project has generated in various stages of the project cycle such as before, during, at the end of, and after the implementation of the project. Furthermore, for effective implementation of cooperation projects, it is essential to perform continuous evaluations in various stages of the project cycle, analyze contributing and hindering factors to the achievement of the expected outcomes, and improve project plans and management. It is also necessary to utilize lessons learned from the evaluations in planning and implementation of similar projects in the future (Box 4).

With these points in mind, JICA has been working to establish a consistent evaluation system from the ex-ante to ex-post stage. JICA introduced the ex-ante evaluation in fiscal 2001 to examine the needs and adequacy of the project vis-à-vis the expected outcomes before the launch of the project.

## Box 4 Utilization of Lessons Learned from the Past at the Planning Stage of a New Project

The Information Technology Human Resource Development Project that started in fiscal 2004 in the Philippines took the following actions to reflect the lessons learned from IT-related projects in the past. (1) Given that IT is a field in which equipment becomes quickly obsolete as technology advances, equipment was intro-

duced step-by-step as the project progressed.

(2) To flexibly correspond to changes in technological trends, short-term experts were utilized. While long-term experts were in charge of the overall project management, short-term experts were in charge of technology transfer in various

fields.

(3) To secure sustainability of the implementing body, an expert was put in place for technical assistance regarding organizational management and marketing skills.

JICA also introduced the ex-post evaluation in fiscal 2002 to evaluate whether the effects have been generated and sustained a certain period of time after the completion of cooperation. By adding these two evaluations to the existing mid-term and terminal evaluations\*, a consistent evaluation system has been completed that covers the entire project cycle of JICA's Technical Cooperation Projects\*\*.

JICA assesses the necessity and relevance of projects through the ex-ante evaluation, and defines project indicators and plans for evaluation. Project progress is constantly assessed through periodical monitoring and evaluation in order to ensure achievement of the project purpose.

### 1) Improvement of Ex-ante Evaluation

Ex-ante evaluation, introduced in fiscal 2001, comprehensively examines the appropriateness of Technical Cooperation Projects and Development Studies before launch. For this purpose, the consistency with JICA Country Program and the needs of the project are examined and the plan of the project and the expected effects are clarified. Project indicators to measure the achievement of the project are set at this stage and will be used as criteria for evaluating the effects in the subsequent stages, from the mid-term to the ex-post evaluation. The results of the ex-ante evaluation are summarized into an ex-ante evaluation document and disclosed at the JICA website to secure accountability. In fiscal 2003, ex-ante evaluation documents were compiled on all 78 technical cooperation projects (including 35 development studies), and they are posted on the website.

In addition to the purposes of the ex-ante evaluation described above, in fiscal 2003, ex-ante evaluation started to examine whether the lessons learned from similar projects in the past are utilized for the planning of new projects. This is because it is important to reflect knowledge and lessons acquired from past experiences in project planning to improve the effectiveness of the project. Specifically, as part of the system to utilize evaluation results, the format of the ex-ante evaluation documents were revised to include a space where information has to be filled in with regard to utilization of lessons learned from similar projects in the past. Now, the entire organization is committed to planning and implementing effective projects by utilizing lessons learned from the past projects of the same sectors and/or of the same target areas.

For effective project implementation, JICA currently reinforces a field-based approach that can properly respond to the needs in the field. JICA is developing a system where overseas offices can implement the entire project from planning to evaluation, and the feedback of past experiences is reflected

securely. One such organizational effort is that representatives of the overseas offices explain newly planned projects, including how the lessons and recommendations are used in the projects, directly to the Board of Vice-Presidents at the headquarters through TV conferences (Box 5).

### 2) Expansion and Improvement of Ex-post Evaluation

Ex-post evaluations on individual projects were introduced in fiscal 2002, and are conducted under the initiatives of overseas offices a few years after the project's completion (Box 6). It mainly focuses on sustainability and impact among the five evaluation criteria\*\*\*. The aim is to assure accountability in clarifying whether progress has been made toward achieving overall goals and whether the effects of cooperation have been sustained. In addition, overseas offices, which are in charge of identifying and formulating projects at the early stages of project implementation, play central roles in ex-post evaluation in order to actively utilize evaluation results for future cooperation projects.

Ex-post evaluations on individual projects are led by overseas offices using local consultants. Thus, JICA has gradually increased the number of countries eligible for the ex-post evaluation, taking into account local evaluation capacity. In fiscal 2002, the first year, JICA introduced it to 14 countries (Indonesia, the Philippines, Viet Nam, China, Thailand, Kenya, Tanzania, Bangladesh, Zambia, Nepal, Egypt, Ghana, Pakistan, and Mongolia), and in the following fiscal year eight countries (Sri Lanka, Mexico, Argentina, Brazil, Paraguay, Saudi Arabia, Morocco, and Malawi) were added.

When introducing ex-post evaluations on individual projects, JICA has made various efforts in strengthening the evaluation implementation system and capacity of overseas offices as a medium- and long-term strategy\*\*\*\*. They include development of the Ex-post Evaluation Guidelines for Overseas Offices in English as well as in Japanese and distance training for improving the evaluation capacity of overseas offices and the related government agencies in developing countries.

The summaries of results of these ex-post evaluations on individual projects are posted on JICA's website. In fiscal 2004, the results of ex-post evaluations implemented in the last two fiscal years were analyzed in a cross-sectoral manner. The analysis results are listed in the Chapter 2, Part 2.

### (2) Expanding the Coverage of Evaluation

In addition to Technical Cooperation Projects, JICA has various other cooperation schemes. Included are the Disaster Relief Program, which provides personnel assistance in the

\* See Chapter 1, Part 1 (p.28) for the definition of evaluation at each stage.

\*\* See Figure 1-2 (p.29) "Position of Evaluation Within JICA's Project Cycle."

\*\*\* See Chapter 1, Part 1 (p.31) for the definitions of the five evaluation criteria.

\*\*\*\* See (3) Reinforcing the Evaluation System and Capacity of this Chapter for details (p.38).



wake of major natural disasters; and the Volunteer Program, whose aim is to promote mutual understanding through public participation in international cooperation. Due to differences in characteristics, the evaluation method used for Technical

Cooperation Projects cannot be applied and thus the development of evaluation methods appropriate to the characteristics of individual schemes was required.

JICA started with the development of evaluation methods

## Box 5 Reformation of Rice Production in the Republic of Senegal (Development Study): Efforts of JICA Senegal Office in Ex-ante Evaluation

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Resident Representative  
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It may sound surprising to you, but rice is a staple food in Senegal, located at the west end of Africa, and per capita annual rice consumption is about 80kg, which is 20kg more than that of Japan.

As the population of Senegal is approximately 10 million, the total amount of annual rice consumption reaches 800,000 tons. Thus the government of Senegal promoted irrigation in delta areas of the Senegal River and the Casamance region from the late 1970s to the early 1990s, and successfully increased the rice yield. However, as a result of policies taken in the mid 1990s, such as the privatization of domestic rice distribution and liberalization of rice imports, domestic rice became less competitive to imported rice in terms of price and quality, resulting in the stagnation of domestic rice production. Farmers borrowed money from agricultural commercial banks to buy seed rice, fertilizers, and agricultural chemicals, worked strenuously to grow rice, and finally harvested their rice,

but many were faced with a the difficult situation of being heavily in debt because their rice did not sell well. In recent years, domestic rice production has fallen to a mere 150, 000 tons, which is less than half of the national production capacity, and more than 600,000 tons of rice are imported annually.

The government of Senegal was searching for measures to improve the situation, and the Japanese government decided to extend support to formulate master plans and action plans through analysis of a set of issues involved in rice production, post-harvest processing, and distribution as a part of assistance for a poverty reduction plan. This project mainly aims to support agricultural management and farmers' organizations, assist harvest and post-harvest techniques, and promote distribution and sales.

Based on the reinforcement of a field-based approach, which was highlighted when JICA became an independent administrative institution in October 2003, this project is being carried out under the initiatives of the overseas office. Since farmers' participation is the key to the project, efforts were made to raise awareness on participation by local residents as proposed by

the county-program evaluation for Senegal in fiscal 2002. In addition, an ex-ante evaluation document was produced after numerous consultations between the JICA Senegal Office and the administrators of the Senegal government, scrutiny of the conditions at related sites, and receiving advice from the headquarters and experts.

Although JICA has less experience in reforming the rice production in Senegal and it is a challenging task, we are making efforts in proposing effective and realistic policies to the government of Senegal in cooperation with all the related parties in the project. The outcomes of this project will be evaluated against the disclosed project ex-ante evaluation document, and we hope it attracts interest.



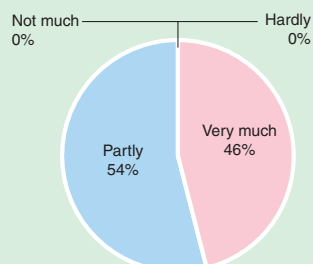
Meeting of the Board of Vice-Presidents examining ex-ante evaluation results of the project managed by the overseas office

## Box 6 Summary of Survey Results of Overseas Offices that Conducted Ex-post Evaluation

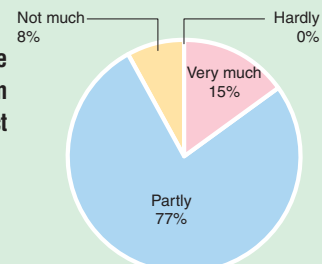
Number of responding offices: 13 offices in 12 countries (rate of response 87%)

Questionnaire survey was performed on overseas offices that had conducted ex-post evaluations on individual projects in fiscal 2003. Responses to the main questions are listed below.

**Question 1:**  
Was a field-based approach reflected in the evaluation?



**Question 2:**  
Is it possible to utilize the feedback of evaluation results for future project implementation?



that suit the character and implementation procedure of each scheme and has made efforts to introduce systematic evaluations. In fiscal 2003, JICA designed basic frameworks of evaluation for the Disaster Relief Program, the JICA Partnership Program, and the Group Training Program; and started the evaluations on a trial basis. With regard to the Volunteer Program, JICA launched evaluations in fiscal 2004.

The new evaluation frameworks and methods that have been introduced into the Disaster Relief Program and Volunteer Program are outlined in the following sections.

### 1) Disaster Relief Program

The Disaster Relief Program dispatches Japan Disaster Relief Teams in the wake of a large-scale natural disaster or man-made disasters, such as gas explosions, overseas in response to requests from the government of the affected country to the Japanese government. JICA’s personnel assistance comprises the following three teams, which are dispatched either solely or in combination, depending on the type of the disaster and request from the affected country.

#### a. Rescue team

Searches for missing people, rescues victims, provides first aid, and transports victims to safe places

#### b. Medical team

Provides or assists in medical treatment, and prevents infection and the spread of diseases

#### c. Expert team

Provides technical guidance on the best way to prevent the spread of the disaster or to prevent an incipient disaster in the wake of the primary disaster

In general, evaluations of disaster relief activities were seldom conducted, even in other donor countries, and thus there was no established evaluation method. When introducing an evaluation system into the Disaster Relief Program, JICA examined evaluation methods, including evaluation criteria, by referring to evaluation criteria regarding multiple disasters adopted by the DAC and experiences taken from ex-post evaluations of disaster relief activities that had been conducted on a trial basis in addition to the DAC’s five evaluation criteria. JICA then conducted trial evaluations using the examined evaluation methods to establish evaluation policies and methods. In fiscal 2002, the Japan Disaster Relief Team Evaluation Guidelines: STOP the Pain were compiled for a rescue team and medical team. STOP stands for the initials of the four evaluation criteria: Speed, Target groups, Operation, and Presence. The guidelines were used for the first time in fiscal 2004 to evaluate the operations of rescue and medical teams dispatched to Algeria following an earthquake in May 2003. Evaluations of both rescue and medical teams received favorable results on four STOP evaluation criteria. According to a third-party evaluation based on the results of the hearing survey in the field, those services were rated high.



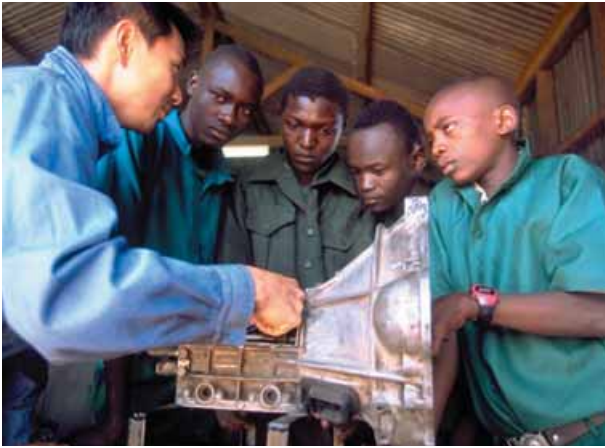
Search and rescue operation by a Japan Disaster Relief Rescue Team

In addition, JICA compiled evaluation guidelines for expert team activities in a way similar to the two other teams in fiscal 2003. Specifically, JICA conducted trial ex-post evaluations on the operations of the expert teams dispatched to Papua New Guinea after a major volcanic eruption in August 2002 and to Viet Nam to control SARS in March 2003. The Japan Disaster Relief Expert Team Evaluation Guidelines: LOCK the Pain (to lock out the pain of victims of disaster) were developed using the results of these trial evaluations. Taking into account the differences from rescue and medical teams, “lead,” “operate,” “contribute,” and “known” were provided as the four evaluation criteria for expert teams, and LOCK is formed from the initials of these criteria (BOX 7).

### 2) Volunteer Program

For its Volunteer Program, JICA has evaluated team dispatches of Japan Overseas Cooperation Volunteers (JOCV). In those evaluations, not only were the effects on technical transfer evaluated but also the effects on human resource development for Japanese young people and promotion of mutual understanding, which are important characteristics of the Volunteer Program.

In introducing systematic evaluations into the Volunteer Program, JICA has worked to find the evaluation method best suited to this type of program, referring to its experience in evaluating the team dispatch of JOCV. Based on the results of research conducted in fiscal 2002, “Strategic Reform on JICA Volunteer Program in the 21st Century,” JICA specified three important perspectives for evaluation of the Volunteer Program in fiscal 2003. These perspectives are (1) contribution to social and economic development in developing countries, (2) promotion of friendly relations and mutual understanding between Japan and developing countries, and (3) sharing volunteer experiences with society back in Japan (Box 8). Specific indicators using these perspectives and corresponding data collection methods for evaluations were also presented. In addition, a study group for evaluation methods was established to compile specific evaluation procedures in the same



A JOCV providing instruction in car maintenance at an NGO that helps street children

fiscal year. And in fiscal 2004, the guidelines for the evaluation were formulated and evaluations have been conducted on a trial basis.

### (3) Reinforcing the Evaluation System and Capacity

Along with the introduction of a consistent evaluation system from the ex-ante to ex-post stage and the expansion of evaluation coverage, both the type and number of evaluations have increased significantly in recent years. On the other hand, in order to implement projects in line with the needs of developing countries, JICA is reinforcing the project implementation system led by overseas offices. Accordingly, the number of evaluations led by overseas offices is on the rise.

In light of the enhancement of evaluation in terms of both quality and quantity and growing initiatives of overseas office, JICA has been working to reinforce its evaluation system and develop the evaluation capacity of those concerned with JICA cooperation.

## Box 7 Evaluation of the Disaster Relief Program (The Secretariat of Japan Disaster Relief Team)

Amid recent trends in administrative reform by the government, the Reorganization and Rationalization Plan for Special Public Institutions has required JICA to set objective indicators for evaluation of its Disaster Relief Program, to adopt external evaluations, and to disclose information on these evaluations in easy-to-understand forms to the public.

In response to the above-mentioned plan, the Secretariat of Japan Disaster Relief Team developed evaluation guidelines for rescue and medical teams in March 2003 and for expert teams in March 2004.

#### <The Japan Disaster Relief Team Evaluation Guidelines: STOP the Pain>

In order to examine evaluation implementation policies and methods, JICA conducted trial ex-post evaluations on three disaster relief teams: a medical team in Mozambique after a flood in March 2000 (evaluated in fiscal 2001), a medical team in Turkey following an earthquake in August 1999 (evaluated in fiscal 2002), and a rescue team in Taiwan following an earthquake in September 1999 (evaluated in fiscal 2002). As a result, the guidelines provided the following four evaluation criteria (STOP) with indicators to measure achievements for each criterion.

**(1) Speed:** Viewpoint to question whether operations have been carried out promptly, such as preparatory work for leaving Japan following the decision to

dispatch and transportation from the airport of the affected country to the affected area.

**(2) Target:** Viewpoint to question whether rescue activities accurately responded to the needs of victims.

**(3) Operation:** Viewpoint to question whether input resources were fully utilized to contribute to the outcomes of activities, including coordinating activity with the local disaster headquarters and safety considerations during operation.

**(4) Presence:** Viewpoint to question whether activities and outcomes of the team were known to the public of the affected country and Japan, and as well as to other international organizations and aid agencies.

#### <The Japan Disaster Relief Expert Team Evaluation Guidelines: LOCK the Pain>

In fiscal 2002 and 2003, respectively, JICA conducted trial ex-post evaluations on two expert teams: an expert team dispatched to Papua New Guinea after a volcanic eruption in August 2002, and an expert team to control SARS that was sent to Viet Nam in March 2003. Evaluation implementation policies and methods were examined in the same way as evaluations for rescue and medical teams. As a result, the evaluation guidelines provided the following four evaluation criteria (LOCK) and specified evaluation procedures and methods.

**(1) Lead:** Viewpoint to question whether an expert team has been promptly dispatched after the decision of dispatch in smooth preparation by the Secretariat of the Japan Disaster Relief Team and the overseas office. Such preparation includes selection of experts, procurement of equipment to be brought, securing of transportation, and establishment of a system to receive experts in the affected country.

**(2) Operate:** Viewpoint to question whether information on a team's activity, staff, technology, equipment and materials, coordination and cooperation, and safety measures were best suited to the needs of the affected country and project purpose.

**(3) Contribute:** Viewpoint to question whether advice and guidance provided by the expert team were beneficial to the government of the affected country; how recommendations have been utilized subsequently and whether the provided equipment has been used in line with the original purpose are also examined.

**(4) Known:** Viewpoint to examine whether the public of the affected country and Japan are aware of the presence and activities of the expert team, the international community is aware of programs of Japan, and publicity was effectively carried out.



## 1) Introduction of Evaluation Chief System and Training for Evaluation Chiefs

Evaluations of JICA's projects are conducted mainly by the departments involved in project implementation and overseas offices, with support and supervision provided by the Office of Evaluation. In order to reinforce an evaluation system led by the departments involved in project implementation, JICA introduced an evaluation chief system in fiscal 2003. Under the new evaluation chief system, evaluation chiefs are assigned to each division of project implementation department. An evaluation chief is responsible for managing the quality of evaluations and promoting effective feedback of evaluation results to improve project planning and imple-

mentation. This system is aimed at ensuring effective quality management of evaluations and utilization of evaluation results in ways that best suit the actual conditions of each implementation department. A total of 118 evaluation chiefs are currently posted at the headquarters and in overseas offices.

Evaluation chiefs play a core role in controlling evaluation quality and compiling evaluation results. They greatly contribute to gathering information and case studies concerning utilization of the evaluation results in their respective offices, and they also make efforts to share knowledge concerning evaluations.

JICA provided these evaluation chiefs with three training sessions in fiscal 2004. In addition to the framework and

## Box 8

### Evaluation of Volunteer Program

(The Secretariat of Japan Overseas Cooperation Volunteers)

There have been no systematic evaluations for the Volunteer Program, including Japan Overseas Cooperation Volunteers (JOCV), and the Reorganization and Rationalization Plan for Special Public Institutions of the Japanese government has urged JICA to set objective indicators for evaluation of the program and adopt external evaluations. In response, the Secretariat of JOCV established a taskforce for program evaluation. After defining characteristics of the Volunteer Program, JICA compiled as a Report on the Study of JICA's Evaluation Methods for Volunteer Program and is scheduled to introduce evaluations in fiscal 2005.

#### <Characteristics of Volunteer Program>

The Volunteer Program is different from other Technical Cooperation Programs in two aspects. First, since this program is based on public participation, the volunteer activities of the public, who are the main players in the program, need to respond to the needs of developing countries. Second, the purpose of the program is specified as not only contributing to social and economic development and reconstruction in developing countries, but also promoting friendly relations and mutual understanding between Japan and developing countries and sharing volunteer experiences with society.

#### <Viewpoints of Evaluation>

Based on the characteristics of the Volunteer Program mentioned above, the following evaluation criteria and indicators are applied to each purpose.

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

Evaluation is made from two viewpoints. The first is to evaluate whether the dispatch of volunteers (all volunteers dispatched continuously in one project are one target subjected to evaluation) is consistent with the needs of the developing country (Relevance). Whether the actual dispatch corresponds to the strategies such as JICA Country Program is one of the indicators for consistency with the needs. The second is to evaluate whether any outcomes were generated in the partner country or beneficiaries by the dispatch of volunteers (Effectiveness, Sustainability, and Impact). Whether volunteers have achieved the goals agreed upon with the recipient organizations, instead of outcomes initially requested by the partner country, in light of the above-mentioned characteristics of the program, is an indicator for outcomes; that is, accumulation of achievements of all volunteers dispatched continuously for one project.

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

This criterion is examined from two viewpoints to see how much the understanding of the partner country about Japan has deepened and vice versa. They are two sides of the same coin. The level of recognition of volunteers and Japan by recipient organizations and in the activity area is an indicator for measuring the understanding of the partner country. Enhancement in understanding about the partner country

and the level of transmission of information to Japan from the volunteers' side are indicators for measuring Japan's understanding. Since it is difficult to perform quantitative evaluations, case studies on good practices are employed.

#### (3) Sharing of volunteer experiences with society

This is examined from the viewpoint of evaluating how experiences of volunteers are shared with the Japanese and international community after they return to Japan. There are two indicators: the level of direct sharing by volunteers (the record of experience-sharing activities such as holding seminars and briefing sessions and the satisfaction rate of participants) and the level of indirect sharing (the level of participation and contribution to civil society organizations such as NGOs and international organizations).

#### <Method of Evaluation>

Questionnaire surveys will be used as a method of evaluation. Recipient organizations, overseas offices, beneficiaries, and dispatched volunteers, and repatriated volunteers in Japan are the target of the annual survey. In addition, a questionnaire survey targeting the Japanese public will be conducted once in every three years. Analysis of reports from volunteers, the related documents and data, and case studies based on interviews will be combined with the questionnaire surveys to compile evaluation results every year. Furthermore, a comprehensive project evaluation report will be made every three years in parallel with the period of the Mid-term Plan.





Training evaluation chiefs who aim to acquire practical knowledge of quality control for project evaluation in case study exercises

methods of evaluation, they learned, through case studies, skills to perform appropriate evaluations and effective project management using evaluation results.

## 2) Reinforcing the Evaluation Capacity for Greater Initiative of Overseas Offices

The role of overseas offices has been expanding in implementing effective cooperation that precisely responds to the needs of developing countries. Most evaluations conducted by overseas offices were previously terminal evaluations on overseas training. As the role of overseas offices has expanded, the number of evaluations conducted by overseas offices has been increasing.

JICA has been working on evaluation capacity development in order to implement effective projects using the results of high quality evaluations. As mentioned above, along with a rapid increase in the number of evaluations conducted by overseas office, there is a need to develop the evaluation capacity of overseas offices. Thus, JICA has been making various efforts in reinforcing its system.

In terms of a system, as already mentioned, evaluation chiefs who supervise the quality of evaluation and promote feedback of evaluation results were placed in all overseas offices in fiscal 2003. Since fiscal 2004 training for evaluation chiefs has been provided targeting those from overseas offices with greater need. Especially when overseas offices take the initiatives in performing evaluations, evaluation chiefs play a central role in improving the quality of evaluation while keeping in close contact with the Office of Evaluation.

In order to improve the evaluation capacity of the local staff of overseas offices, JICA set out to offer a distance training program using a teleconference system in fiscal 2003. Curriculum and teaching materials were developed jointly with the World Bank Institute (WBI). The training program has been broadcast, linking Japan, the U.S., and the countries participating in these training programs. In the initial year, training courses were held for overseas offices in Indonesia, the Philippines, Thailand, Malaysia, and Viet Nam with participation from many officials concerned in developing coun-

tries, including the Thailand International Development Cooperation Agency, the Ministry of Foreign Affairs and Foreign Economic Relations Department, and the Ministry of Planning and Investment in Viet Nam (Box 9).

In addition to such training programs, evaluation guidelines and manuals for overseas offices have been developed. Project Evaluation Guidelines (revised in February 2004) and guidelines for ex-post evaluations on individual projects have been translated into English and other languages.

## 3) Strengthening Evaluation Capacity of Stakeholders in Japan and Overseas

JICA has been making various efforts to strengthen the evaluation capacity of a broad range of personnel involved in the evaluation of JICA projects, including not only JICA staff members, but also experts, consultants, and concerned officials in developing countries.

In fiscal 2001, JICA started the Monitoring and Evaluation Training Program as part of pre-dispatch training for experts. This program is a week-long practical training course designed to help these experts understand the concept and methods of JICA's monitoring and evaluation. In fiscal 2003, about 320 experts participated in the program.

Upgrading the capacities of consultants involved in evaluation is essential for the quality of evaluation. In order to contribute to the development of human resources for evaluation, JICA collaborates with external training institutions, offers advice about the curriculum of evaluation training programs for consultants, and dispatches lecturers to these programs.

Since enhancement of evaluation capacity is critical for the implementation of effective and efficient cooperation, JICA supports improvement of the evaluation capacity of parties concerned in partner countries. JICA has held the ODA Evaluation Seminar, a group training program designed for officials of governmental departments in charge of evaluation in partner countries, in collaboration with the Japan Bank for International Cooperation (JBIC) since fiscal 2001. In fiscal 2003, JICA first held a distance training program on evaluation of Technical Cooperation Projects jointly with the World Bank Institution (WBI). JICA launched in fiscal 2004 a



Materials for distance training displayed on JICA's website

group training project, called the Forum on Institutionalization of Evaluation System that targets manager-level officials in ministries related to policy-making. The purpose of this training is to expand distance training and strengthen the capacity of developing countries to evaluate projects on policy development.

While offering these training programs on the one hand, JICA has developed teaching materials and documents on the other. Evaluation Guidelines are posted on JICA's website, and materials for distance training are made available on CD-ROMs and the website.



## Comments by Participants of JICA-WBI Joint Distance Learning Course

The following is a comment from a participant, Ms. Dau Hoa Yen from Foreign Economic Relations Department, Ministry of Planning and Investment in Viet Nam.

**Dau Hoa Yen,**  
Viet Nam Ministry of  
Planning and Investment



As a member of the Vietnamese team that took part in the JICA-WBI Joint Distant Learning Course on Evaluation, "Management-focused on Monitoring and Evaluation," which was held in February 2004, I would like to thank JICA Headquarters and the World Bank Institute for the successful course.

The course gave us a better understanding of M&E concepts, M&E application in project implementation, as well as JICA's monitoring and evaluation proce-

dures. This knowledge not only helps me perform my job better, but also encourages me to study more on M&E.

The joint lecture method and the active contribution of participants from different countries really created an open forum for participants to discuss and share their experience, common problems, and lessons learned. I myself found case studies in this training course interesting and useful. Those specific and practical exercises effectively supported the lessons. I hope in the next training courses, there will be more useful exercises on some specific topics that were limited because of time, for example, the result reports step of an

evaluation.

Because it is a distance learning course, participants may not have the chance to discuss matters with participants from other countries. However, the distance communication rules encouraged participants to work actively and effectively in their group. On this occasion, I would like to thank the participants of JICA Viet Nam Office for their close coordination with other Vietnamese participants for the success of the course. For the sustainability of the course, I hope that JICA and WBI will keep in touch with all ex-participants and provide us with necessary information of M&E updates.

Here is a comment from another participant, Ms. Vitida Sivakua from Thailand International Development Cooperation Agency, Ministry of Foreign Affairs in Thailand.

**Vitida Sivakua,**  
Thailand Ministry of  
Foreign Affairs



I had the good fortune of participating in Management-focused Monitoring and Evaluation organized by JICA and World Bank in February 2004. Having worked in development cooperation with the Japanese government for more than five years, I was used to and had been applying the Japanese monitoring and evaluation system to the projects under my authority. In fact, I attended this sort of training organized by the Japanese government from time to time. In this regard, the aforementioned training was an update as well as a chance to re-strengthen my knowledge and skill for better understanding and to learn new case studies involving the monitoring

and evaluation process in Japanese development cooperation projects. In my point of view, the Japanese process is one of the best because it is clear and systematic and has been seriously implemented in all development projects carried out by the Japanese government.

It is a fact that the monitoring and evaluation process is an important part of every project as it helps measure success and sustainability of the projects. It can be a tool for people in the development cooperation field to check the achievement of the projects against their objectives. With this process, stakeholders of the projects can learn what has been done, what is still missing, and what should be done in the future. Among the other things, the monitoring and evaluation can, finally, provide us with suggestions and lessons learned

for our upcoming projects.

Besides the essence I have earned from the training, I enjoyed and was very excited with the atmosphere of the recent training because I had never attended such training conducted through real-time interactive teleconference. During the training, participants from many countries were allowed to exchange views and ideas without traveling over boundaries. In my opinion, the Japanese government has always showed and proved that it is a leader of technology, not only as an innovator but also by utilizing it everyday. I hope that the Japanese government will organize similar training programs once again in Bangkok as I would like my colleagues and friends to have the chance to learn and share valuable knowledge from the Japanese side.

#### 4) Establishing “JICA Good Practice Evaluation Award”

Learning from the lessons of the past and improving cooperation projects are of vital importance for the implementation of effective cooperation. In order to promote utilization of evaluation results, in fiscal 2004 JICA Good Practice Evaluation Award was started to share good practices within the organization by selecting model cases of good evaluation results and good feedback exercises of evaluation results. Specifically, JICA selects and awards excellent and high quality evaluations and good examples of feedback of evaluation results as part of its effort to improve the organization. The aim is to share knowledge and provoke stimulation within the organization to improve quality of evaluation and promote feedback exercises in the future (Chapter 1, Part 3 for details).

#### (4) Developing and Improving Evaluation Methods

In order to strengthen project evaluation in terms of both quality and quantity, JICA has undertaken to upgrade the evaluation system and capacity. In addition, JICA has worked on guidelines as a tool of evaluation, and developed and improved evaluation methods to facilitate effective and appropriate implementation of evaluation (see Box 10 for an example). In particular, various guidelines have been translated into English or other languages when necessary, in light of strengthening the functions of overseas offices.

##### 1) Revision of JICA Evaluation Guidelines and Publication

In fiscal 2001, JICA published “Practical Evaluation Methods: JICA Evaluation Guidelines,” which described the guidelines and framework of JICA evaluation in a systematic way. Since then, along with accelerated efforts in expanding and enhancing JICA evaluations, a consistent evaluation system from the ex-ante stage to the ex-post stage has been intro-

Figure 1-5 The Contents of JICA Guideline for Project Evaluation

##### [Major Contents]

##### Part I: JICA's Project Evaluation

##### Chapter 1

Outline of JICA's Project Evaluation

##### Chapter 2

Frameworks and Basic Steps of JICA's Project Evaluation

##### Part II: JICA's Evaluation Methods

##### Chapter 1

Confirming Evaluation Purposes and Organizing Information on Target Project

##### Chapter 2

Planning Project Evaluation

##### Chapter 3

Interpreting Data and Reporting Evaluation Results

##### Part III: Management of Project Evaluations

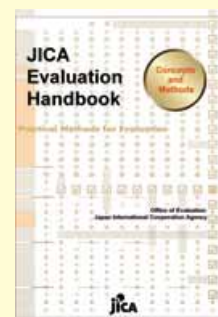
##### Chapter 1

Issues in Managing Evaluations

##### Chapter 2

Issues in Ex-ante and Ex-post Evaluation

Frequently Asked Questions Regarding JICA's Project Evaluation



duced and an evaluation methodology was developed. Incorporating these changes, in fiscal 2003, JICA published the revised guidelines under the title “JICA Guideline for Project Evaluation: Practical Methodes for Project Evaluation” (Figure 1-5).

The revised guidelines reflected recommendations of the third party review that was conducted by the Advisory Committee on Evaluation in fiscal 2003. Using two key phrases, “a consistent viewpoint from the ex-ante to ex-post stage” and “guidelines easy to understand and use,” it includes check lists, exemplary cases, and FAQ sections, all of which can be employed at each stage of project management. It explains the consistent flow of JICA project evaluation and describes three frameworks of evaluation, namely “validation of facts,” “value judgment,” and “reporting,” and three viewpoints, namely “performance,” “process,” and “causal relation.”

## Box 10 Examination of Methods for Country-program Evaluation

Since the late 1990s, major aid agencies have introduced country-program evaluations because they recognized the importance of country-level management and evaluations of projects for effective cooperation. In addition to reinforcement of a country-specific approach, JICA also introduced country-specific evaluation in fiscal 1998, and had implemented it in seven countries by fiscal 2004. They are called country-program evaluations, which comprehensively evaluate JICA's cooperation achievement in specific countries with the

aim of extracting recommendations and lessons to improve JICA Country Programs and cooperation projects.

However, it is difficult to verify to what extent assistance from a specific donor has been attributed to the outcomes in the target country. A methodology for country-program evaluations has not yet been properly established in this regard, and discussions are continuing in forums such as OECD/DAC.

Evaluations based on the concept of contribution are becoming common these

days. The concept of contribution explains the trend of aid coordination. This concept refers to how much contribution has been made by a donor to development effects achieved by collaboration between a developing country and various donors.

JICA is further reinforcing its country-specific approach, considering the new international movement in country-program evaluations, and is examining methodologies for effective country-program evaluations that are useful to verify country-specific cooperation effects.



A series of "Synthesis Study of Evaluations"

Because evaluations are conducted to answer questions, a concept of evaluation questions is introduced.

The revised guidelines were translated into English and Spanish and then distributed and posted on the website in fiscal 2004. JICA thus makes efforts to assist the local staff of overseas offices and administrators in charge of evaluation in developing countries to perform appropriate project evaluations, referring to the guidelines.

## 2) Development of the Ex-post Evaluation Guidelines

Overseas offices started to carry out ex-post evaluation on individual projects in fiscal 2002. Based on the experiences accumulated over the last two years, the Ex-post Evaluation Guidelines were revised in May 2004. An English version was prepared at the time of revision, and distributed to all overseas offices.

The revised guidelines describe the improved procedures to facilitate the overseas offices in conducting evaluations with the partner country, and include samples on how to fill out summary sheets of evaluation results. The revised guidelines also explain methods of the third party review by external experts in developing countries which started as part of their efforts in expanding external evaluation in fiscal 2003.

## 3) Introduction of Synthesis Study of Evaluations

To ensure effective utilization and feedback of evaluation results, JICA conducted a fact-finding survey on the feedback exercises of evaluation results within JICA in fiscal 2001 and then compiled a report titled, "Feedback of Evaluation—Feedback as a Learning Process." One of the factors that impeded effective utilization of evaluation results was the fact that lessons learned from individual projects were not sufficiently conceptualized and generalized for application in other cases. Based on this finding, JICA introduced Synthesis Study

of Evaluations through the meta-evaluation\* method.

This is a new evaluation introduced in fiscal 2001. The synthesis study examined the evaluation results of several projects with a specific theme or in one sub-sector. Tendencies and problems common to projects as well as good practices that are identified through comparisons are then reanalyzed to produce generalized lessons that can be easily fed back.

In order to promote feedback in planning of similar projects in the future, JICA has developed the synthesis study since fiscal 2002 by focusing more on the effectiveness that lead to the achievement of a project's purpose. Taking into account the reflection of evaluation results in thematic guidelines, the target fields of a synthesis study cover the priority issues for which the thematic task team has been organized. In fiscal 2003, primary and secondary education/science and mathematics, and information technology were taken up as themes for the study. The results of these synthesis studies are summarized in Part 3: Thematic Evaluation.

## 4) Developing Secondary Evaluation Methods

There are two aspects of project evaluation: it is a tool to manage a project and a means to ensure accountability to the public. JICA evaluations from the ex-ante stage to the terminal stage are conducted by internal evaluators who have extensive knowledge about the projects. It is pointed out that neutrality and objectivity of these internal evaluations are prone to be impaired. In response, JICA conducts evaluations of the evaluations by external experts, in order to ensure transparency and verify the quality of internal evaluations. These evaluations are referred to as secondary evaluations or meta-evaluations.

JICA launched its first secondary evaluation by targeting terminal evaluations carried out in fiscal 2001 by the Advisory Committee on Evaluation in fiscal 2002 and 2003, and provided results in the Annual Evaluation Report 2003. Also, the Evaluation Guidelines were revised by incorporating the results of the secondary evaluation in order to upgrade the quality of evaluations. A systematic secondary evaluation method, including check sheets to verify the quality of evaluation, was developed in cooperation with external experts in fiscal 2004. The check sheet will be used in upgrading the quality of primary evaluations, as well as in future secondary evaluations.

## 5) Collaboration with NGOs: Development of Evaluation Methods for JICA Partnership Program

JICA is actively promoting collaboration with NGOs. This is an approach to implement cooperation that directly

\* Meta-evaluation, which is analysis based on existing evaluation results, is itself a utilization of evaluation results. By providing an analysis of the results of more than one evaluation, it can help ensure better understanding of problems and issues concerning projects from a broader perspective and extract important concepts and general theories from evaluation results. This means that meta-evaluation has the advantage of making it possible to extract lessons that are easier to use for improvements in project planning and implementation.



reaches people in developing countries, and aims to promote public participation in ODA as well. The NGO-JICA Evaluation Subcommittee, consisting of members of NGOs and JICA, was set up in 2001 under the NGO-JICA Committee (established in 1998). The subcommittee's mission is to share information and knowledge between NGOs and JICA through joint evaluations, offer opportunities for the two sides to learn from each other, and draw lessons and recommendations to effectively plan, implement, and evaluate projects conducted jointly or independently (Box 11).

In fiscal 2003, the subcommittee examined evaluation methods of grassroots cooperation (hereinafter referred to as JICA Partnership Program) that directly reaches local communities. This type of cooperation had not previously been evaluated in a systematic fashion. Specifically, the subcommittee analyzed and evaluated the JICA Partnership Program (projects by NGOs based on their proposals) in a cross-cutting manner among NGO-JICA Collaboration Programs and proposed evaluation methods for grassroots projects in particular (Thematic Evaluation "NGO-JICA Collaboration Program").

The evaluation results have revealed that the characteristics of grassroots projects, such as perspectives of beneficiaries, need to be considered for the five evaluation criteria, "relevance," "effectiveness," "efficiency," "impact," and "sustainability." In addition to the five evaluation criteria, three other common important viewpoints are presented when evaluating grassroots projects: "community participation/empowerment," "gender/social considerations," and "effects from collaboration between NGOs and JICA" (see Chapter 6, Part 3 for details).

## **(5) Promoting Evaluation by Third Parties**

JICA promotes external experts' participation in its evaluation not only to increase objectivity and transparency, but also to improve the quality of evaluation through use of their expertise. Evaluation by external experts (primary evaluation) has been actively adopted in the ex-post evaluation. Since ex-post evaluation mainly focuses on learning and accountability, external evaluation is particularly useful for drawing lessons based on their expertise and ensuring accountability.

JICA also performs secondary evaluation using external experts to assess internal evaluations conducted by JICA in order to ensure objectivity. In order to increase objectivity of the project evaluation and to improve the evaluation system, JICA set up an Advisory Committee on Evaluation in fiscal 2002. In addition, secondary evaluation is also performed by external experts in developing countries to assess ex-post evaluations conducted by JICA overseas offices.

In addition, JICA makes efforts to gain expert knowledge and increase transparency by having external experts in the target sectors or issues participate in country-program evalu-

ation and thematic evaluation as evaluation advisors. Several external advisors have been appointed to take part in all the country-program and thematic evaluations since fiscal 2003.

As part of these efforts to promote evaluation by third parties, JICA is building partnerships with universities and research institutions, academic societies, the private sector, and NGOs at home and overseas.

### **1) Implementing Evaluations by Third Party Experts (Primary Evaluation)**

JICA has worked to improve objectivity of evaluation by seeking the participation of academics in its evaluation studies. Since fiscal 1999, JICA has commissioned external organizations with expertise in particular target areas to conduct comprehensive evaluation studies. In fiscal 2002, JICA contracted out country-program evaluations that targeted Honduras, Panama, Sri Lanka, and Senegal and a thematic evaluation on "JICA's Cooperation on Water and Poverty in Africa" to private consulting companies. In the same fiscal year, JICA commissioned the Japan Society for International Development to conduct a thematic evaluation on the "Environmental Center Approach."

At the project level, JICA has commissioned external evaluators to compile evaluation reports mainly on ex-post evaluations that emphasize accountability. Specifically, local consultants of a target country have been commissioned to conduct evaluation studies for some of ex-post evaluations on individual projects managed by overseas offices. In such cases, local personnel perform evaluations including value judgment.

### **2) Secondary Evaluation by Third Party Experts**

#### **a. Establishment of the Advisory Committee on Evaluation and Introduction of Secondary Evaluations**

In fiscal 2002, JICA established the Advisory Committee on Evaluation, which included external experts from universities, NGOs, and international organizations. The objective is to conduct evaluations with improved evaluation methods and discuss ways to improve projects. The committee has provided JICA with a broad range of recommendations and proposals to enhance evaluation systems, evaluate new themes, and improve methods for disclosing evaluation results (Table 1-3).

Specifically, in fiscal 2003, the Advisory Committee on Evaluation evaluated the results of terminal evaluations on 40 Project-type Technical Cooperation Projects\* that had been implemented in fiscal 2001. This was the process of verifying JICA's internal evaluation results. The evaluation identified issues and proposals on future tasks concerning planning and management of projects, implementation methods and reporting of evaluation, and evaluation systems (see Part 3 of

\* They are now called Technical Cooperation Projects.

## Box

11

## The NGO-JICA Evaluation Subcommittee: Members' Comments

**Makoto Nagahata,**  
Community-based  
Research and Action for  
Local Governance  
(REAL)



The NGO-JICA Evaluation Subcommittee started its activities in fiscal 2001. In fiscal 2003, new middle-management staff of NGOs with field experience joined the subcommittee. We conducted document reviews and field studies on nine Partnership Programs to examine the ideal evaluation system for social development projects. The tasks turned out to be challenging benchmarks. A thematic evaluation

report titled NGO-JICA Collaboration Program, which is the outcome of the evaluation, describes in detail some points of consideration when applying the five DAC evaluation criteria to grassroots projects, evaluation methods of important criteria (community participation, empowerment, etc.), and others. The report also emphasizes the process of formulation and implementation of projects, which reflects use of distinctive experiences and views of NGOs.

It provides valuable insights that are applicable to NGOs' independent projects and JICA's other social development projects, not limited to NGO-JICA collaboration projects. We hope this will be used in

various ways in the future. However, we have not been able to fully examine the NGO-JICA collaboration projects, for example, as to how to link the micro view of grassroots activities with the macro view of development policies of a region or country. In addition, evaluation methods to assess how the general public has participated in the projects through NGOs have yet to be fully examined. Common recognition between JICA and NGOs will need to be made to answer questions as to what view we should take when evaluating NGO-JICA collaboration in the future and what the collaboration is intended for.

**Miyuki Aoki,**  
Services for the Health in  
Asian and African Regions  
(SHARE)



Evaluation allows us to clarify issues in projects, modify activity plans, and reflect lessons learned on new projects. At the same time, in reality, evaluation itself becomes a burden on NGOs with chronic shortages of staff, time, and funds. NGOs that carry out mainly grassroots activities face issues while conducting evaluation. For example, it is difficult to quantify outcomes since activities focus on the process and there is little (if any) accumulation of evalu-

ation methods, etc.

The NGO-JICA Evaluation Subcommittee has attempted to extract viewpoints to evaluate grassroots projects, which may be of value to NGOs with these issues and help those who are engaged in ODA activities to understand what views are important when conducting grassroots projects, even if only slightly. In terms of practical activities, we conducted field surveys based on JICA's evaluation methods, and have exerted effort to shed light on evaluation views to bring out independence, superiority, and characteristics of NGOs that specialize in grassroots activities. I myself participated in the evaluation as a member of the subcommit-

tee and was fortunate to learn about various views through actual project evaluations.

This report still has room for improvement and the area can be further developed. I hope that the sharing of experiences using this report as a springboard will lead to the creation of a full-fledged book of practical evaluation. I would like to further deepen my knowledge as a member of the Evaluation Subcommittee with a challenging theme in mind on how to change the stiff image of evaluation activities to one that is more enjoyable and which provides a learning process and improves the motivation of those who are engaged in evaluation.

**Hiroshi Tanaka,**  
The Institute for Himalayan  
Conservation



**Is the NGO-JICA Evaluation  
Subcommittee a Place for  
Trial and Error of Collaboration?**

When I was asked to join the subcommittee, I thought their mission was to evaluate JICA projects, since I was interested, as a citizen of Japan, in the way ODA was being implemented. After hearing an explanation about the objectives, I finally realized the purpose was to examine the evaluation methods of grassroots projects through the evaluation of JICA Partnership Programs in which NGOs and JICA collaborate. Since I had experienced, through

NGO activities, the difficulty of evaluating our activities, so-called process-oriented projects, it was my pleasure to accept the offer in that way.

I had dedicated my career in international cooperation to NGO activities; I was completely unfamiliar with the subtle perception or terminology that generally prevailed in JICA. Therefore, my irrelevant remarks might have occasionally caused some confusion. Thanks to the great assistance I received from other members from JICA and other NGOs, I have gained understanding gradually, and at the same time, JICA's staff seemed to have deepened their understanding of NGOs. I feel relieved that I have more or less fulfilled my responsibility as a subcommittee member.

Through activities such as field studies

of the JICA Partnership Program, I have gained a lot of wisdom from various people. I have become cognizant of the many strengths and weaknesses of NGO projects that I had not previously noticed. I have seen the possibility of utilizing NGO's strengths through better collaboration between JICA and NGOs. Japanese NGOs will further grow, and collaboration with JICA and grassroots projects of JICA itself will also expand significantly in the future. Though it may sound self-serving, I now foresee that sharing and developing this experience will be an impetus to improve Japan's development cooperation.

If possible, I would like to participate in the evaluation of JICA projects from an NGO point of view, which was my initial aspiration.

**Table 1-3** Members of the Advisory Committee on Evaluation

**Chairperson:**

**Hiromitsu MUTA:**

Professor, Director of the Center for Research and Development of Educational Technology, Tokyo Institute of Technology

**Committee Members:**

**Atsuko AOYAMA:**

Professor, Department of International Health, School of Medicine, Nagoya University

**Kiyoko IKEGAMI:**

Director, UNFPA Tokyo Office

**Akira KAWAGUCHI:**

Manager, Asia and Oceania Group, International Economic Affairs Bureau, Japan Business Federation

**Michiya KUMAOKA:**

President, Japan International Volunteer Center (JVC)

**Tsuneo SUGISHITA:**

Professor, College of Humanities, Ibaraki University

**Masafumi NAGAO:**

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

**Shunichi FURUKAWA:**

Professor, Institute of Policy and Planning Sciences, University of Tsukuba

**Koichi MIYOSHI:**

Professor, Graduate School of Asia Pacific Studies, Ritsumeikan Asia Pacific University

(As of March 2005)

Advisory Committee on Evaluation in fiscal 2003 show that secondary evaluation is effective in improving objectivity and transparency of evaluation. Accordingly, JICA has promoted the introduction of secondary evaluation by external experts into country-program evaluation and thematic evaluation. The results of these third party evaluations have been included in reports as external experts' review along with the results of primary evaluations. So far, reviews are made for the Country-Program Evaluation for Senegal, the Thematic Evaluations on Agriculture and Rural Development, on Science and Mathematics Education Projects, on Information Technology, and on the Poverty Reduction/Community Development.

Furthermore, secondary evaluation by external experts (reviews by external experts) has been gradually introduced into ex-post evaluations on individual projects carried out by overseas offices since fiscal 2003. Experts such as university professors and researchers from the target countries provide comments on evaluations carried out by overseas offices as third party experts (Box 12). Secondary evaluation by external experts in developing countries is effective in terms of improving initiative and ensuring accountability for the people of

Annual Evaluation Report 2003 for details).

Taking these recommendations into account, JICA has made various efforts to improve the quality of project evaluation and utilize evaluation results. In fiscal 2004 JICA continued secondary evaluations by external experts (see (4) 4) of this section for development of the method of secondary evaluation), to secure objectivity of evaluation and improve quality. The summary and results of this secondary evaluation are available in Chapter 1, Part 4 of the Report (page 165).

**b. Third Party Review by External Experts**

The results of secondary evaluation conducted by the



The Advisory Committee on Evaluation

**Box 12**

**Outline of Third Party Experts' Secondary Evaluation (Review by External Experts) on Ex-post Evaluation Report**

**Ronaldo Eno Dietze,**  
Senator of Paraguay



I would like to comment on the ex-post evaluation report on the Rural Development Project in the Region South of Pilar in the Republic of Paraguay based on my knowledge and experience.

1. In this evaluation, local consultants conducted a questionnaire survey with various respondents, group interviews, and

workshops, and I believe they were appropriate to the point and in line with basic concepts.

2. The results of the ex-post evaluation clarified strengths and weaknesses of the project and at the same time encouraged increased sustainability of the project at the initiative of Paraguay. The evaluation made it clear that it is particularly necessary to continue activities including management and maintenance of equipment in cooperation

between the community and concerned organizations, and that decentralization is essential to this end.

3. The ex-post evaluation report provides results from an objective perspective based on detailed studies. It is important to use the recommendations made in the report to increase sustainability of the project.

4. We, the Paraguay side, must thank the Japanese government for implementing such excellent technical cooperation.

developing countries (Box 13).

For the thematic evaluation in infectious diseases in Africa, which was launched in fiscal 2004, the African Evaluation Association and governmental officers have participated in primary evaluation as a third party (Box 14), and third party review on evaluation results by a relevant international organization is scheduled.

## (6) Enhancing Disclosure of Evaluation Results

Timely and sound disclosure of reliable evaluation is an essential part of JICA’s effort to ensure accountability. JICA discloses its evaluation results by issuing Annual Evaluation Reports and other publications as well as securing space for evaluation on its website. For country-program and thematic evaluations, JICA holds open seminars for the public at the point when major evaluation results are obtained, disseminates information about these evaluation results, and encourages opinions from participants.

### 1) Timely Disclosure of Evaluation Results through JICA’s Website

JICA used to include summaries of the results of all evaluations conducted in each fiscal year in its Annual Evaluation Reports. Taking advantage of the effectiveness of the Internet as an information media, JICA started posting not only the Annual Evaluation Reports but also reports on country-program evaluations and thematic evaluations on its website in fiscal 1999.

The summaries of evaluation results on individual projects used to be posted on its website as part of the Annual Evaluation Report. However, the Advisory Committee on Evaluation pointed out that the disclosure of evaluation summaries had to be more timely. In response, in fiscal 2003 JICA

started posting summaries of the evaluation results on its website swiftly after the evaluation studies are completed.

Accordingly, the contents of the JICA website has been enriched, and it currently includes the following information: (1) an English version of the Project Evaluation Guidelines containing JICA’s evaluation framework and methods, (2) a summary of evaluation results of terminal evaluation and ex-post evaluation, (3) evaluation-related literature such as Annual Evaluation Report, training textbooks used in JICA-WBI Joint Distance Learning Course, etc.

The publication of the Annual Evaluation Report is, on the other hand, in its nature, a disadvantage in terms of speed. Other issues regarding the report may include “the message of the Report is unclear” and “the Report needed to be more focused to be useful as a tool for communicating with the public.”

To address these problems, JICA started posing individual evaluation results on its website in fiscal 2003. In the same fiscal year, JICA renewed its editorial policy for the Annual Evaluation Report in response to the advice of the Advisory Committee on Evaluation. Specifically, JICA aims to present the Report under an editorial policy that places emphasis on comprehensive and cross-cutting analysis of individual evaluation results, compiling the Report with clear messages, and using expressions that are easy to read and understand for general readers.

### 2) Holding Evaluation Seminars

In order to assess country-program evaluation and thematic evaluation comprehensively and in a cross-cutting manner, JICA has held evaluation seminars for the general public to report on the results of such evaluation results and receive opinions on evaluation results since fiscal 2001.

## Box 13 Utilization of Secondary Evaluation Viewpoints of Overseas Office

**Hiroyuki Takeda, Evaluation Chief,  
JICA Paraguay Office**

Results-oriented approach in implementing projects has been the object of attention in recent years, and consequently, upgrading and expanding evaluation in overseas offices has been called for.

Under such circumstances, the JICA Paraguay Office asked Senator Ronaldo Eno Dietze to participate as an external expert in the ex-post evaluation of a Technical Cooperation Project, the Rural Development Project in the Region South of Pilar in the Republic of Paraguay, in the last fiscal year. Though Senator Eno Dietze

is currently the chairman of the Environment Committee of the Paraguayan Parliament, he held the posts of Secretary of Planning Department of the Ministry of Agriculture and Vice Agriculture Minister in the past, and he has abundant experience in agricultural and community development in Paraguay.

The involvement of the senator was the idea of a staff member of the office and it was the first attempt of this kind. The involvement of the senator turned out to be a great success in promoting understanding of a broad range of stakeholders in Paraguay about JICA and our activities and securing accountability to the people

of Paraguay in view of his political power and influence.

JICA currently makes efforts in various reforms toward the full-fledged initiative of overseas offices. Many cooperation projects have been carried out in Paraguay thus far, achieving certain outcomes, on the one hand; however, it has been said that sustainability after termination of cooperation is still an issue. Therefore, the ex-post evaluation following the termination of a project is critical. JICA Paraguay Office will make efforts in implementing more effective cooperation through the use of ex-post evaluation results, while making most of cooperation outcomes.



In fiscal 2004, JICA held six seminars including Synthesis Study of Evaluation in Science and Mathematics Education Projects, NGO-JICA Collaboration Program, Poverty Reduction/Community Development, the Synthesis Study of Evaluation in Information Technology (IT)-related Human Resources Development and the Utilization of IT in Various Fields, Synthesis Study of Evaluation in Agriculture and Rural Development, and Gender Evaluation of Participatory Community Development. About 580 participants, including those from development assistance organizations, researchers at universities and research institutions, consultants, and NGO members, attended the seminars and exchanged ideas on various topics.

JICA also organizes seminars to feed back comprehensive and cross-cutting evaluation results to the stakeholders in developing countries. In fiscal 2003, JICA and the Japan Society for International Development jointly held feedback seminars on the thematic evaluation of Environment—the



Evaluation seminar opens to the public.

Environmental Center Approach: Development and Social Capacity for Environmental Management in Developing Countries in Indonesia (Jakarta), Thailand (Bangkok), and China (Beijing).

## Box

14

### The African Evaluation Association and Collaboration with JICA

**Zenda Ofir,**  
Chairperson of the African  
Evaluation Association



#### The African Evaluation Association

The African Evaluation Association (AfrEA) was established in Nairobi in 1999 to promote and strengthen evaluation in Africa. It is an umbrella organization for national evaluation associations and networks, as well as a resource and support for individuals in African countries where such organizations do not exist. It is managed by an Executive Committee and advised by the leaders of national evaluation associations and networks.

During the past few years there has been an important shift in Africa to country-led development. It has therefore become imperative to develop and use local monitoring and evaluation expertise rather than depending on international evaluators who often do not understand local issues and contexts. AfrEA has thus become a critical organization in efforts to build evaluation capacity on the continent.

AfrEA encourages sound monitoring and evaluation theory and practice rooted in African knowledge and experience, yet in line with international principles and stan-

dards. It works to promote monitoring and evaluation as useful and valuable instruments for African development that help to improve people's quality of life as well as the performance of key organizations and institutions. A major focus is the support of regional, national, and local efforts that encourage transparency, accountability, and efficiency in government performance. It also helps to establish and develop national African evaluation associations and networks as well as evaluation specialist groups in specific areas, so that the strength of shared knowledge can be used to build capacity across the continent.

#### Collaboration with JICA

AfrEA works with donors, multi- and bilateral agencies, governments, the private sector, and NGOs that are committed to developing African monitoring and evaluation expertise, as well as to debating and shaping the way in which monitoring and evaluation should be conducted to benefit all stakeholders. One of these collaborative efforts included working with JICA.

JICA implements cooperation projects in education in South Africa. My collaboration with JICA started when I joined the evaluation activities of these projects. Close exchange with the Office of Evaluation has

continued ever since. The Office of Evaluation conducted a thematic evaluation in infectious diseases in Africa in fiscal 2004. When African external experts participated in this evaluation, a network of the AfrEA was used in the collaboration work. When evaluating JICA's cooperation in Africa, JICA requested that we recommend appropriate human resources who would participate in evaluation as third party experts from the partner countries. In response, we contacted the Evaluation Associations of target countries, Zambia and Ghana, and were referred to appropriate and competent evaluators to evaluate international cooperation. We, as African evaluators, greatly welcome JICA's intention to incorporate African viewpoints into evaluation and to conduct evaluation that ensures accountability to the people of the target countries. We, members of the AfrEA, are proud of having become part of the activity.

While keeping close contact with JICA, I would like to collaborate in JICA's evaluations in Africa, using our network. JICA emphasizes the development of evaluation capacity of developing countries; we would also like to develop our relationship since the AfrEA places importance on this issue.