

<Local Governance: Titles of Knowledge Lesson Sheet>

Knowledge Lesson Sheet	Title
Local Governance 1	Collection of basic information needed to formulate/plan local governance projects
Local Governance 2	Setting proper project objectives according to the mid to long term cooperation scenario
Local Governance 3	Selection and capacity assessment of related agencies to achieve the project goal
Local Governance 4	Setting the appropriate scope of cooperation
Local Governance 5	Project implementation management in accordance with the situation
Local Governance 6	Strategic use of trainings in Japan and third countries
Local Governance 7	Developing a central-local government framework corresponding to the degree of decentralization
Local Governance 8	Developing local financial systems
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Local Governance 11	Points to consider when adopting a community-based participatory approach -project formulation stage-
Local Governance 12	Points to consider when adopting a community-based participatory approach -project planning stage-
Local Governance 13	Points to consider when adopting a community-based participatory approach -project implementation stage-
Local Governance 14	Planning and implementation of pilot projects that can be widely spread
Local Governance 15	Formulating/Planning/Implementing local governance projects in countries/regions where sector-wide programs or other donors' projects in the governance sector are being planned or implemented
Local Governance 16	Points to consider when changes of political administrations or regimes have a relatively large impact on local governance projects
Local Governance 17	Points to consider when central agencies or political parties have a relatively strong control over local governance projects

Knowledge Lesson Sheet		
Local governance 1	Project management	Collection of basic information needed to formulate/plan local governance projects

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Lessons learned for project management	
Key words	project formulation, project planning, basic information, data collection, local governance, local finance, decentralization	
Applicable cases	Lessons learned (Countermeasures)	
When formulating local governance projects	Timing of application	Project formulation stage Project planning stage
	Countermeasures (Approach)	Collect basic information needed to plan local governance projects properly under various restrictions. <b>【Project formulation stage】</b> It is important for formulating local governance projects to collect basic information comprehensively and to analyze it at the project formulation stage. The local government system varies across countries as they strongly reflect the historical and social background of the countries. The course of decentralization is also influenced by such historical, political, economic and social background of the country. Thus, it is important to note that even neighbouring countries in the same region have different local government systems due to different backgrounds.  Basic information listed below should
Risks (where no countermeasures are taken)		
<p><b>【significance of the project in the recipient country's policy】</b></p> <ul style="list-style-type: none"> <li>Ownership nor commitment of the recipient country cannot be high unless the project is recognized and prioritized within the context of overall democratisation and decentralization processes of the country.</li> </ul> <p><b>【Feasibility of policies and systems】</b></p> <ul style="list-style-type: none"> <li>Existing policies and systems cannot be implemented</li> </ul>		

as expected if there are no detailed rules and regulations.

【To get a clear picture of related organizations' relationships】

· Local governance projects often involve multiple related organizations. Appropriate implementation framework of the project cannot be achieved if the right related organizations are not selected due to insufficient basic information.

【 Setting measurable indicators for development challenges】

· Various indicators to quantify improvements cannot be set appropriately without basic information regarding local government systems and conditions. This is particularly important for local governance/finance projects that aim to tackle development challenges, namely “Consolidating local governance system suited to the current state of affairs”, “Improving project planning/implementation ability of local government”

be collected.

- (1) Governance structure/regime of the nation (including its history, society and ethnic culture)
  - (2) Policy systems
  - (3) Government structure
  - (4) Decentralization of finance
  - (5) Decentralization of personnel affairs (public servant system)
  - (6) Decentralization of development planning
  - (7) Decentralization of public service delivery
  - (8) Trend of other donors
- ( Refer to “Handbook for assessing administrative agencies (pp.19–32)” by JICA, “Decentralization and service delivery in Africa (pp.118–126 and ‘Matrix of challenges’ )” By JICA for details on basic information checklists.)

· As a gap between the reality and the ideal (what is written in policies/systems/laws) can be wide in developing countries, it is important to grasp such discrepancy beforehand.

【Project planning stage】

During project planning stage, information collection and analysis on the following points are needed.

- How to set an appropriate project purpose under various restrictions (time, number and capacity of C/P, etc.)?
- How to select related organizations in order to achieve the project purpose?

and “Improving comprehensiveness, reliability and transparency of local budget” .

【 Appropriate cooperation scope】

• As local governance projects handle multi-sectoral issues across geographically broad areas, feasible and achievable cooperation scope cannot be set without basic information, especially under time and budget constraints.

【Efforts to solve challenges in line with the recipient country’ s annual schedules】

• It is difficult to challenge issues without the basic information on the country’ s annual plan and budget schedules.

(For local governance projects, various organizations are involved. Such organizations include: (i) organization running the pilot project; (ii) organization involved in institutionalisation and budget allocation; (iii) organization related to sector services)

• What is the most appropriate assistance approach? (Consider the budget and the manpower of central/local government in order to derive sustainable methods)

• What is the most appropriate geographical range for the pilot project? (Consider the accessibility and differences in economy/ability between project sites to maximise the potential for success)

• Are there sufficient manpower and budget needed to establish/scale-up/institutionalize the project? (Who should shoulder the cost?)

• What is the trends of other donors? Are there sector-wide programs in the governance sector?

• Is it possible to identify risks and external conditions?

In order to make appropriate judgements during project planning, all necessary information should be available to determine the above points.

For example, the reference project 1 enabled the formulation of a feasible, achievable and sustainable project in Honduras by sorting out challenges (e.g. target areas, matters to consider) that may be faced when implementing a pilot

		<p>project which uses participatory approach. This was done through collecting information on problems regarding local government (e.g. excessive influence of politics on development activities) and development funding system (e.g. cumbersome paperwork). (see the reference project No.1)</p> <p>【Points to consider when collecting basic information】</p> <ul style="list-style-type: none"> <li>· If a change of local system or a preparation for sector-wide programs is in progress during project formulation/planning, it is important that JICA's overseas offices establish connections with right organizations to collect information at their earliest time possible. (2)</li> <li>· As JICA overseas offices do not necessarily have staff members specialised in local governance, information should be shared with the headquarters in the early stage of project planning to seek technical assistance. (2)</li> </ul>
	Expected effects	Feasible, achievable and sustainable projects will be formulated as setting up appropriate cooperation focus, approach, risks, external conditions and inputs becomes viable.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Honduras	Development Capacity Building in the Western Region of Honduras	Preliminary study

2	Zambia	Capacity Development for Provision of Decentralized Services	Terminal evaluation
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Note	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge Lessons sheet		
Local governance 2	Project management	Setting proper project objectives according to the mid to long term cooperation scenario

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Lessons learned for project management	
Key words	project formulation, cooperation scenario, clarification of the project objectives	
Applicable cases	Lessons learned (Countermeasures)	
When setting the overall goal, project purpose, and expected outputs of the project	Timing of application	Project formulation stage (Some lessons are applicable for the project planning stage as well.)
	Countermeasures (Approaches)	<p>Importance of setting the proper project purpose (including institutionalization and dissemination strategy)</p> <p>In the sector of local governance, an assistance aims to improve the efficiency of public services delivery of the recipient government, which meets the needs of the local communities. This could be achieved by assistance to promote institutionalization and capacity building.</p> <p>The most important thing at the stage of project formulation is to determine the “project purpose” as an entry point or as stepping stones to achieve the ultimate goals in the mid to long term development scenario.</p> <p>However, it is necessary to reconsider the long-term scenario if there are any changes in the situations after the formulation of the project.</p> <p>When setting the project purpose, it</p>
Risks (where no countermeasures are taken)		
<p><b>【Appropriateness of the cooperation scope】</b></p> <ul style="list-style-type: none"> <li>The project scope cannot ensure the outcome and sustainability of the project, if the ultimate goal in the mid to long term development scenario is not clear or the project purpose is set without considering the limitation of the recipient country such as budget, personnel and capacity.</li> </ul>		

is important to consider that the local governance projects deal with multisectoral issues and deliver public services to large population in geographically broad areas. In addition, constraints of human resources, budget, and the stage of the institutional development must be taken into the consideration.

**【Points to be clarified for setting the project purpose】**

(Refer to “Handbook for assessing administrative agencies (pp.12–18)” by JICA for details.)

Is capacity development means or a goal? :

① Clarify the project purpose as either development of institution or capacity.

- In the case of projects in the sectors of health, education, and waste management, most projects aims to improve “service delivery” through both development of institution and capacity.

② Clarification of the project type

Clarify if the project aims to pilot a case only, to establish a model case, or to spread an established model to other areas. Set a clear goal at the end of the project.

Things to be considered during the project formulation of the pilot phase

- Whether there are system and laws in order for adjustment, cooperation, and coordination



- Budget (ordinary budget, budget for investment), flow of funds, personnel and capacity.
- Willingness of the implementation agency and/or the central government to institutionalize the result of pilot case
- Power balance and decision-making mechanism within an agency
- Whether the local governments grasp the needs of communities. Whether the local governments have channel to express the needs of communities to the upper-level authorities (Refer to the reference projects 6 and 12)

Things to be considered at the modeling phase

- Establish a model that can be spreaded and sustained by the recipient country's budget, personnel, and capacity continuously after the termination of the project.

Things to be considered at the widespread phase

- In order for improvement of service delivery, ensure the project sustainability (budgets, personnel, and the capacity) and strengthen institutionalization and dissemination of the project impacts.

③ Consider whether the project aims to provide a service at national minimum standard or by the tailor made

- In the case of national minimum standard service (such as inflectional

disease prevention and water supply system- that citizens require minimum level of services ), decisions are made by the central government; thus consequently, the personnel, fund, supplies, technology, and services would tend to flow from the central government to the local levels. On the other hand, the countries where the administrative power is decentralized, coordination between the central and local governments is required in decision-making.

- In the case of “tailor made” service, the service must correspond to the local needs. Therefore, the social and cultural environment of the recipient country should be considered well. It is important to gain support from the political leaders. In addition, it is necessary to make sure the relationships between governmental leaders and traditional leaders such as tribal leaders and clan leaders.

**【 Points to consider when planning projects in the process of decentralization or under the fluid circumstance】**

- If a project is planned in the process of decentralization or under the fluid circumstance, it is necessary to record the particular situation such as possible alteration of institutional frameworks (14) and political instability/peace and order situation (13).
- It is important to make it clear that

		<p>the identified project can be placed in the process of democratization and decentralization of the recipient country. In the cases of capacity building projects in Indonesia and Cambodia, immediately after the transition, increasing central and local officers' understanding on the concepts of democracy and local autonomy was urgently needed (14 and 15). Then once the new concepts were widely accepted, building local officers' capacity to plan and implement development projects by participatory approach was highly demanded (2, 3 and 4). Therefore, under fluid circumstances, it is necessary to design governance projects so as to flexibly responding to the needs of the recipient county.</p> <ul style="list-style-type: none"> <li>• When the projects started in Indonesia (14) and Cambodia (15), discussions on new laws including further change in the organizational structure and decentralization of power were progressing. In such cases, it is crucial to record the fluid situation in the reports clearly. If not, achievements and challenges of the projects cannot be understood correctly when there are change of persons-in-charge or conducting ex-post evaluation.</li> </ul>
	Expected effects	Feasible and achievable projects will be formulated by setting an appropriate cooperation scope, selecting an appropriate approach, and identifying risks and external conditions

		accurately.
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*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Indonesia	Sulawesi Capacity Development	Terminal evaluation
2	Indonesia	Improvement of District Health Management Capacity in South Sulawesi Province (Phase 2)	Terminal evaluation
3	Indonesia	The Strengthening of Environment Management Capacity of Local Governments in Indonesia	Terminal evaluation
4	Cambodia	Capacity Development of Provincial Rural Development in Northeastern Provinces	Ex-post evaluation
5	Nepal	Gender Mainstreaming and Social Inclusion Project	Terminal evaluation
6	Honduras	Development Capacity Building in the Western Region of Honduras	Ex-ante evaluation
7	Honduras	Strengthening of the Capacity Development of the Local Governments for Regional Development	Mid-term review
8	Laos	Capacity Building on PIP Management	Terminal evaluation
9	Laos	Enhancing Capacity of Public Investment Program Management	Terminal evaluation
10	Tanzania	Strengthening Participatory Planning and Community Development Cycle for Good Local Governance	Terminal evaluation
11	Tanzania	Capacity Development for Local Government Training Phase 2	Terminal evaluation
12	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-term review
13	Colombia	Capacity Development of Local Governments to Support Internal Displaced Persons in Colombia	Terminal evaluation
14	Indonesia	Regional Development Policies for Local	Terminal evaluation

		Government	
15	Cambodia	Improvement of Local Government Administration	Terminal evaluation Ex-post evaluation

Note	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge lessons sheet		
Local governance 3	Project management	Selection and capacity assessment of related agencies to achieve the project goal

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Lessons learned for project management	
Key words	project formulation, project planning, stakeholders, actors, counterpart agencies, partner organizations, implementing agencies, selection, capacity assessment	
Applicable cases	Lessons learned (countermeasures)	
When selecting related organizations (actors) of the project	Timing of application	Project formulation stage Project planning stage
	Countermeasures (Approach)	Select related organizations (actors) essential to achieve the overall goal, project purpose, and outputs, and assess their capacity.  Before examining the appropriateness of the overall goal, project purpose and outputs, it is necessary to identify the related actors who are supposed to produce those outcomes and outputs.  Instead of focusing on the connection between the central agency who requested assistance to Japan and the implementing organization of the project, it is important to assess the related actors from two broad perspectives: (i) purpose of the project based on a scenario of achieving long-term development goals; (ii) ways to spread the project outcome to nationwide.  On that basis, select related organizations and other actors that
Risks (where no countermeasures are taken)		
<p>【Mismatch of cooperation scope and C/P organizations】</p> <ul style="list-style-type: none"> <li>The overall goal, project purpose, outputs may not match the interest or be beyond capacity of the C/P organization. Such mismatch often occurs due to scattered roles and authorities of organizations in local governance projects in which multiple relevant</li> </ul>		

<p>actors are involved.</p> <p><b>【Lack of collaboration among related organizations】</b></p> <ul style="list-style-type: none"> <li>• In cases where roles and administrative authorities are scattered across multiple organizations, the absence of an overall control/adjustment position may hinder the smooth progress of the project.</li> </ul> <p><b>【 The need to assess the capacity of C/P】</b></p> <ul style="list-style-type: none"> <li>• There is a risk of mismatch between the cooperation scope and C/P' s capacity.</li> </ul>	<p>will be in charge of institutionalisation or dissemination of the project outcomes/lessons. In addition to the implementing organization, related organizations should be selected by considering the mission of each organization and project activities. It is crucial to clarify the roles of each related actor in order to implement the project smoothly.</p> <p>① <u>Selection of the actors who have authority to institutionalize (internalize) the project outcome as a part of the recipient country' s governmental system and allocate necessary budget and personnel</u></p> <ul style="list-style-type: none"> <li>• In case the C/P or the related agencies differ from the organization who requested Japan' s assistance, as is often the case in local governance projects, it is important to explain about the project in details to the related agencies and ensure sufficient commitment beforehand (2, 5, 8, and 9).</li> <li>• In case the implementing agency is a training centre, it is effective to take into account upon project design its unique mission and motivation which can differ from the central government. (3 and 4)</li> <li>• When building new system and structure along the process of decentralization, it is important to ensure sufficient commitment and ownership of the project not only from the members of the implementing agency but also from</li> </ul>
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those in central government agencies in charge of the project (as they may be the agencies which requested assistance from Japan). This is in accordance with the purpose of enabling the outcome achieved by the project to join the mainstream of the counterpart country's governmental system, which would subsequently allow budget securement and structural consolidation needed for independent implementation. (5 and 12)

- Taking into account the influence of political change, it is important to select related organizations that are either capable of surmounting political changes or those that are less vulnerable to political influence. For example, a project in Honduras (7) successfully facilitated the sustainable horizontal development of the project's impact by assisting city joint associations that have relatively little impact of city mayor rotation on their staff turnover rates, in addition to those that have more impact.

- It is important to work with a wide range of the C/P personnel in the countries that have centralised personnel system, as there would be frequent personnel rotations in both central and local government organizations. (1)

② When selecting multiple government agencies as related organizations.

- It is important to state the division



of roles among related agencies clearly in R/D, M/M, PDM and official documents in the recipient country. This is particularly important for local governance projects in which partner organizations often scatter across various administrative levels and government agencies (2, 9, 11, and 12).

- In the case of Nepal (1), multiple partner organizations were involved in the project and each organization sent an officer to a coordinating committee. The committee functioned well when a higher ranking officer from the C/P organization became the chairperson and lower ranking officers from related organizations became members.

- The project management of Laos' project (13) became effective by setting up a cross-sectoral working team in which the chairperson was a higher ranking officer (e.g. Department head) and members were lower ranking officers (e.g. Division heads) from each organization. This adjustment worked well to increase collaboration among partner organizations (multiple organizations or multiple departments within an organization).

- If the project requires collaboration among multiple organizations, it may be effective to create correlation diagrams of actors to consider appropriate implementation structure (Refer to JICA's "Handbook for

assessing administrative agencies 2009 (pp. 56–70)” .)

③ Selection of implementing organizations for pilot projects

• When selecting organizations that will implement projects (including pilot projects) in rural areas, it is important to select those that have top managers (i.e. decision-makers) with high motivation and interest towards project goals. In Indonesia’s project (9), local government organizations with relatively motivated top managers and high human resource capacity were chosen among multiple local government bodies located in the river basin.

• In the case of Thailand (10), it was able to select project sites that suited to the aim and content of the pilot project, through discussion with the C/P organization. The project sites were selected based on criteria, namely: (i) needs of target municipalities; (ii) consistency between the pilot project and newly introduced system/approach; (iii) problems that may arise due to pilot projects such as land issues.

④ Points to consider when assessing the capacity of C/P or related organizations

• Resources of C/P or partner organizations (human resources, finance, material/intellectual resources (technical skills), quality of the organization)

		<ul style="list-style-type: none"> <li>• Implementation system of C/P or partner organizations (Verify the existence of project planning, monitoring and evaluation systems and their qualities).</li> <li>• Assess the capacity of C/P or related organizations and if needed, consider appropriate alternatives, such as allocation of local consultants.</li> </ul> <p>(For details of checklists to assess the capacity of C/P, refer to JICA' s "Handbook for assessing administrative agencies 2009 (pp. 33-35)"</p>
	Expected effects	In order to set appropriate cooperation scopes and to identify risks and external conditions properly, it is necessary to assess the institutional and individual capacity of actors involved in the project beforehand. Consequently, highly feasible and achievable projects will be formulated/planned.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Nepal	Strengthening the Monitoring and Evaluation System	Terminal Evaluation
2	Nepal	Gender Mainstreaming and Social Inclusion	Terminal Evaluation
3	Tanzania	Capacity Development for Local Government Training	Terminal Evaluation
4	Tanzania	Capacity Development for Local Government Training Phase 2	Terminal Evaluation
5	Guatemala	Capacity Development of Local Governments	Mid-Term Review
6	Bulgaria	Kazanlak Area Revitalization	Terminal Evaluation
7	Honduras	Development Capacity Building in the Western Region of Honduras	Terminal Evaluation
8	Ethiopia	Strengthening Multi Sectoral Planning and	Terminal Evaluation

		Budgeting Capacity in Oromia Region	
9	Indonesia	Strengthening Environmental Management Capacity of Local Governments in Indonesia	Terminal Evaluation
10	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Terminal Evaluation
11	Thailand	Enhancing the Capacity on Local Public Service Provision through Local Coordination and Cooperation	Mid-Term Review
12	Papua New Guinea	Integrated Community Development	Terminal Evaluation
13	Laos	Enhancing Capacity of Public Investment Program Management (PCAP 2)	Terminal Evaluation

Note	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge lessons sheet		
Local governance 4	Project management	Setting the appropriate scope of cooperation

Lessons learned (Things to be considered/applied)		
Types of lessons learned	Lessons learned for project management	
Key words	project formulation, project planning, scope of cooperation, restrictions, risks, scheme, sustainability, local governance, local finance, decentralization	
Applicable cases	Lessons learned (Countermeasures)	
When planning local governance projects	Timing of application	Project formulation stage Project planning stage
	Countermeasures (Approaches)	Setting the proper cooperation scope inconsideration of limitations
		At the stage of project formulation, it is important to set the project purpose properly as an entry point or a stepping-stone to achieve the ultimate goals from the viewpoint of mid to long term development plan. Based on the project purpose, preconditions, external conditions, project period, input, activities, and outputs should be considered. <u>It is vital to identify the major limitations and to design the project, which contains countermeasures to the hindering factors at the project planning stage.</u>
<b>Risks (where no countermeasures are taken)</b>		
<p>【Difficulty in setting an appropriate cooperation scope】 Suitability of the cooperation scope</p> <ul style="list-style-type: none"> <li>Local governance projects tend to need involvement of multiple related agencies. Therefore, there are risks of failing to include important related agencies or to establish common understanding on the roles and responsibilities of each related agency.</li> <li>Local governance deals with multi-sectoral issues and geographically broad areas.</li> </ul>		<p>① <u>Countermeasures for risks derived from the preconditions and external conditions</u></p> <ul style="list-style-type: none"> <li>Decentralization is a time consuming process. It takes time to revise or to pass new laws much more than</li> </ul>

Setting the cooperation scope without considering limitations such as project period and available budget leads to lower achievement of the project.

- Setting the cooperation scope without considering workload of the C/P and Japanese experts leads to insufficient outputs and outcomes.

expected. When a new project is being planned based on the assumption of the new law, it is important to design the project including alternate plans in case the law is not enacted during the project period. (Refer to the reference projects 4 and 11.)

- Verify the feasibility of the design of the project by objectively analyzing the recipient country's policies and strategies. (6 and 11)
- Related to the above points, in most developing countries, decentralization is the on-going process: therefore, the situation is fluctuating. Often governance projects placed as a part of the decentralization program under the high order sector-wide policy. In that case, whether outcomes of the other related activities are produced as planned or not would become external factors of the project. Thus, it is important to plan governance projects cautiously and to monitor the decentralization process continuously since the high order sector-wide policy tends to be too idealistic and ambitious. (6 and 11)

② Countermeasures for risks manageable by the projects

- When there are related agencies of the project in different administrative levels (e.g. Ministry, Department, and local agencies), it is important to issue official letters, memorandum of agreement, R/D, M/M, or PDM on the

roles and responsibilities of the each agency. Especially, when the different agencies are expected to achieve overall goal, project purpose and outputs, the written agreement on their roles and responsibilities is vital for clarification and common understanding.

- Set a practical cooperation scope based on the limitations of budget and assignment of personnel from Japan and recipient country.
- If a component of the project includes conducting a pilot case study, establishing a model case, spreading the model in nationwide, or all of the above, it is necessary to clarify the stage where the project is currently working on and to state clearly the stage where the project plans to reach by the end of the project. In addition, it is important to limit the number of pilot sites within timeframe of the project and to agree on it with the C/P by written documents.
- When planning governance projects, keep in mind the fact that any new systems introduced by the pilot project should be ultimately institutionalized (internalized) as a part of governmental system in the recipient country in order to sustain the outcomes of the project (15).

③ When the collected basic information is insufficient at the time of project planning

- Additional data collection study can

be conducted at the project planning stage.

- Collect information from external sources such as long/short term experts, local consultants, monitoring missions, data collection studies. A lesson learned from the Zambia' s case (11) was the importance of continuous information collection on the feasibility of a decentralization policy since it is impossible to grasp the risks correctly without up-dated information. In Zambia, a governance project was being planned under the sector-wide program, however, decentralization of power was not materialized as expected.
- Consider utilizing other information resources available in JICA headquarters, such as International Cooperation Experts and committees composed of Japanese professors on the specific country. (11)

④ Selection of proper cooperation scheme

- Consider inviting personnel from the C/P agency for the training in Japan, dispatching long/short-term experts to the C/P agency or conducting a study with the C/P agency when the C/P agency is not familiar with technical cooperation project of JICA. In this way, the C/P agency and JICA could build mutual understanding and trust gradually. As a result, it would become possible to reduce a gap



between expected and actual technical cooperation. (Refers to projects 12, 13, 14, and 15).

- Consider availability of Japanese experts (mostly short-term experts) upon the planning of a project since it is difficult to dispatch long-term experts from local governments in Japan. Therefore, dispatching a team composed of short-term experts and a long-term expert as coordinator could be a practical option. Fulfilling the absence of Japanese experts with local experts/consultants is another option. In the case of Honduras (7), involvement of a local consultant who was knowledgeable about local governance contributed to producing project outcomes more than expected.

⑤ Ideas to increase sustainability

- The ways to reflect experiences and lessons learned through the project into laws, guidelines and existing frameworks should be included in PDM. There should be a tactical collaboration with other JICA projects and experts in the recipient country as well in order to share experiences and lessons learned through the project. (4)
- Activities to utilize the lessons learned from the pilot project should be included in PDM from the beginning. (4, 8 and 15)

⑥ Project planning under the fluid circumstances

		<ul style="list-style-type: none"> <li>When the peace and order situation is not stable, alternate plans such as assigning local experts (and/or experts from the third countries) and conducting trainings in Japan or third countries should be considered since it might be difficult to dispatch Japanese experts. It is important to set feasible cooperation scope: inputs and project implementation period should be decided in accordance with the overall goals, project purpose, outputs. (3)</li> </ul>
	Expected effects	Clarification of the restrictions enables to set proper cooperation scopes, to select an appropriate cooperation approach and to identify the risks and external conditions. Thus, it would make possible to formulate highly feasible and achievable project.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference : Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Palestine	Improvement in Local Governance System in Palestine	Mid-term review
2	Thailand	Enhancing the Capacity on Local Public Service Provision through Local Coordination and Cooperation	Mid-term review
3	Colombia	Capacity Development of Local Governments to Support Internal Displaced Persons in Colombia	Terminal evaluation
4	Cambodia	Capacity Development of Provincial Rural Development in Northeastern Provinces	Ex-ante evaluation Terminal evaluation
5	Cambodia	Improvement of Local Government Administration	Terminal evaluation Ex-post evaluation
6	Tanzania	Technical Cooperation in Capacity	Terminal evaluation

		Development for Local Government Training	
7	Ethiopia	Strengthening Multi Sectoral Planning and Budgeting Capacity in Oromia Region	Terminal evaluation
8	Indonesia	Regional Development Policies for Local Government	Terminal evaluation
9	Guatemala	Capacity Development of Local Governments	Mid-term review
10	Paraguay	Capacity Development Support of Local Government	Terminal evaluation
11	Zambia	Capacity Development for Provision of Decentralized Services	終 Terminal evaluation
12	Honduras	Development Capacity Building in the Western Region of Honduras	Preliminary study
13	Ethiopia	Strengthening Multi Sectoral Planning and Budgeting Capacity in Oromia Region	Terminal evaluation
14	Bhutan	Local Governance and Decentralization Support	Ex-ante evaluation Preliminary study
15	Tanzania	Strengthening Participatory Planning and Community Development Cycle for Good Local Governance – Phase II (O&OD Project – Phase II)	Terminal evaluation

Note

The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.

Knowledge lesson sheet		
Local governance 5	Project management	Project implementation management in accordance with the situation

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Lessons learned for project management	
Keywords	project implementation stage, project management, adjustment, Monitoring, revisions of PDM	
Applicable cases	Lessons learned (Countermeasures)	
When a project requires adjustment during implementation	Timing of application	Project implementation stage
	Countermeasures (Approach)	<p>Improve the project effects by appropriate adjustments through monitoring of projects at the implementation stage</p> <p>In some cases, local governance projects are being planned and implemented while the decentralization process is progressing. Therefore it is important to collect information on the progress continuously and to make revisions in PDM, if necessary, for managing the project properly.</p> <p>At the project implementation stage, there is a need to verify several points, namely: (i) Is the hypothesis appropriate as initially planned? ; (ii) Is there any change in the capacity of each actor or in the relationship among actors? (iii) Are there any unexpected external factors or changes of situation?</p> <p><b>【Project management in accordance with the situation】</b></p>
Risks (where no countermeasures are taken)		
<p><b>【No action taken upon changes affecting the project】</b></p> <ul style="list-style-type: none"> <li>Expected outputs and outcomes cannot be produced if there is a huge gap between the initial plan and actual situation or if the project was not properly managed under the fluid circumstances.</li> </ul> <p><b>【Failure of recording the changes in PDM】</b></p> <ul style="list-style-type: none"> <li>Even if a project is managed properly, it will be difficult</li> </ul>		

to prove the project effects appropriately if the PDM left unchanged.

- It is difficult to track changes in PDM if revisions and reasons are not recorded or stored appropriately.

- At the project implementation stage, revise the PDM in accordance with the situation, if necessary, since it may be difficult to grasp the circumstances surrounding the project at the planning stage.

- If the actual situation differs widely from what was initially expected, it is important to dispatch a monitoring mission from JICA headquarters to adjust the project as early as possible.

This is especially important when preconditions of the project have changed due to the changes in decentralization policies or enactment of decentralization laws. In such cases, allow the project, the JICA field office and JICA headquarters to act in concert to quickly adjust to changes. (Refer to the reference projects 6, 7, and 11)

- If the selected C/P organization is unable to function sufficiently, it is important to promptly reset the output that suits the capacity and the structure of C/P (7).

- If there is a wide gap between the overall goal and the project purpose or if indicators of the overall goal is not set appropriately, there is a risk that measures to be taken by C/P organizations will remain ambiguous after the end of the project. Although it is preferable to set appropriate goals at the planning stage, if needs of adjustment arise, discuss and agree with C/P

		<p>organizations on the revisions of the overall goal and its indicators. Keep a record of these changes. (4 and 5)</p> <p><b>【The need of recording】</b></p> <ul style="list-style-type: none"> <li>▪ Keep a record of the revisions in PDM and its reasons, share the record among relevant actors, and store it appropriately.</li> <li>▪ Foster a common understanding among relevant actors about the project purpose, indicators and specific terms such as ‘mechanism’ and ‘models. (10)</li> <li>▪ Especially for projects as emergency assistance or for projects in conflict zones, it is important to mention the unique situation in the monitoring sheets and project completion reports in order to facilitate better understanding of the project when read by a third person.</li> </ul> <p>For example, if an ad hoc committee is established in a project, keep a record of the background and reason of its establishment, together with the ways to sustain the project outcome. Future plans should then be considered, such as continuation of the committee or handover of its tasks to other organizations. (9, 11, and 12)</p>
	Expected effects	Feasible, achievable and sustainable projects will be formulated since setting an appropriate cooperation scope, selecting an appropriate approach, and identifying risks and external conditions become viable.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Nepal	Strengthening the Monitoring and Evaluation System	Terminal Evaluation
2	Nepal	Strengthening the Monitoring and Evaluation System in Nepal Phase 2	Terminal Evaluation
3	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-Term Review
4	Laos	Capacity Building on PIP Management	Terminal Evaluation
5	Laos	Enhancing Capacity of Public Investment Program Management	Terminal Evaluation
6	Tanzania	Capacity Development for Local Government Training	Terminal Evaluation
7	Tanzania	Capacity Development for Local Government Training Phase 2	Terminal Evaluation
8	Columbia	Capacity Development of Local Governments to Support Internal Displaced Persons in Colombia	Terminal Evaluation
9	Cambodia	Improvement of Local Government Administration	Terminal Evaluation
10	Indonesia	Sulawesi Capacity Development	Terminal Evaluation
11	Indonesia	Regional Development Policies for Local Government	Terminal Evaluation
12	Palestine	Improvement in Local Governance System in Palestine	Terminal Evaluation
13	Zambia	Capacity Development for Provision of Decentralized Services	Terminal Evaluation
14	Bulgaria	Kazanlak Area Revitalization	Terminal Evaluation
15	Papua New Guinea	Integrated Community Development	Terminal Evaluation
16	Tanzania	Strengthening Participatory Planning and Community Development Cycle for Good Local Governance	Terminal Evaluation

Note

The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.



Knowledge Lessons Sheet		
Local governance 6	Project management	Strategic use of trainings in Japan and third countries

Lessons learned (Things to be considered and applied)		
Types of lessons learned	Lessons learned for project management	
Key words	training in Japan, training in a third country	
Applicable cases	Lessons learned (Countermeasures)	
When planning and implementing trainings in Japan or a third country	Timing of the application	Project planning stage Project implementation stage
	Countermeasures (Approaches)	Ideas for connecting a strategic use of trainings in Japan or a third country with project activities, outputs and the project purpose  The trainings in Japan or a third country could be a good opportunity to learn from other country's experiences and examples on the topics such as developing administrative systems and its operations, which is difficult to visualize, in order to consider applying those in the recipient country.  Followings are the points to consider upon arranging these trainings.  ① <u>Clarify the objectives of the training in Japan or a third country</u> <ul style="list-style-type: none"> <li>It is important to have a common understanding among related actors on the significance of the training in the project and to arrange the training in line with the flow of project activities leading to outputs. When arranging a field visit, the training program could be</li> </ul>
Risks (where no countermeasures are taken)		
<p>【Insufficient outcomes from the training】</p> <ul style="list-style-type: none"> <li>Without a common understanding on the significance of the training in the project, appropriate participants cannot be selected, the training program cannot be developed properly, and outcomes of the training cannot be connected with the project activities effectively after the training.</li> <li>On one hand, the experiences in Japan and third countries could be very valuable if an</li> </ul>		

intention at the side of an information provider is correctly conveyed to trainees. On the other hand, the experiences in Japan and third countries could be useless if the information is provided without considering the situation of the trainees' country origin.

different depending on the objective whether it aims to improve operations at the field level or to establish a system at the central level. In most of the local governance projects, C/P personnel include both central and local officers. Even if however, depending on the objectives, the contents of the trainings would be adjusted even in the case of introducing the model instance.

In order to consolidate the effects of training in Japan, C/P personnel of the project should be given preference when selecting trainees for the sector-specific training, region-specific training, and training in a third county. (5)

② Selection of the country for the training consistent with the objectives

Based on the objective, availability of the resources, and the cost, select the country where the training will be held.

- The relationships between central and local governments and the local government systems vary among countries depending on their historical, social, and cultural backgrounds. It is important to identify a country where applicable examples could be found for trainees' country origin or to consider how to apply an example of the country into the trainee's country origin. Effectiveness of the training could be different if there is a facilitation

by a mediator (e.g. a Japanese expert) who understands characteristics of both countries' local government systems.

**【Training in Japan】**

- Japan has a wide range of experiences in local governance and decentralization. Refer to JICA's "Study on History of local governance in Japan" (2009) for the history of decentralization since Meiji Era and the matching between experiences of Japan and the challenges of developing countries.

**【Training in a third country】**

- If legal systems of the recipient country were developed after a developed country other than Japan, it is not necessary to select Japan as a training site. For example, in the case of Palestine (Reference project 8), the training on the property tax system was conducted in England and Netherland since those countries were regarded as precedents.
- Learning from advanced examples of other developing countries having socioeconomic conditions in common. (5 and 9)

**③ Ideas for enhancing effects of the training**

- It is important for the training institution to prepare a training program in accordance with the needs of the trainees and project activities in the recipient country. Japanese

experts should coordinate well with the training institution and provide useful information in advance. (Refer to JICA's "Capacity development program for local government in Thailand (2007) pp.118-120 for the use of resources in Japan.)

- It is a good opportunity for trainees to observe a model or an approach in operation as a part of the training when the recipient country is considering to introduce the model or approach.
- During the training in Japan or a third country, from the point of view of comparison, trainees realize again the resources owned by their government agencies, regions and communities where they are from. It is important for trainees to review the challenges for their own local development from the objective viewpoint.
- When considering how to use the learning from Japan or a third country, trainees tend to look at the challenges and disadvantages of their country. The training program should be designed to make trainees realize advantages of their own resources and existing local systems and use those resources and systems for formulating their local development plans. (3, 4, 5 and 6)
- Strengthening the consistency in the selection of participants, preparation of the training program, and post-training activities would

lead to increase sustainability of the project as the training becomes an effective input. For example, in the case of Chile (3), formulation of a draft action plan prior to the training (not a plan of an individual officer but a plan of an organization) clarified the trainee's activities after the training. It was an effective way to utilize the outputs from the training.

- Inviting a number of trainees from a pilot site or an organization promotes to increase the number of officers who understand a new system and speed up the introduction of the new system (2, 3 and 7)
- Explanation on the differences of the administrative systems and the roles of local governance between the recipient country and Japan or a third country prior to the training is helpful for trainees to understand topics in the training.
- If Japanese and/or local experts accompany training, it would promote the mutual understanding among experts and trainees. Experts also can facilitate discussions how to feedback the learning from training to the project activities (2, 3, and 5).

④ Use of knowledge acquired during training for the project activities

- In the cases of Cambodia (1) and Bhutan (4), when trainees returned from the training in Japan or a third country, the trainees prepared training

		<p>materials and conducted trainings for local officers in the recipient country by using newly acquired knowledge. Thus, learning from the training in Japan and a third country was effectively used in the project activities afterwards. (Refer to a case of Tanzania in Box 3-3 on p.105 of JICA's "Decentralization and service delivery in Africa" .)</p> <ul style="list-style-type: none"> <li>It is important to compose a group of former trainees and to accumulate knowledge and experiences gained from training in Japan or a third country. The accumulated knowledge and experiences should be shared among group members, and then it is expected for the group to apply the knowledge and experiences in accordance with the situation of the region/community. This kind of collective action enhances sustainability of the project rather than trainees act as individuals. (Refer to 2, 3, and 4 as well as a case of Tanzania in Box 3-3 on p.105 of JICA's "Decentralization and service delivery in Africa" .)</li> </ul>
	Expected effects	Strategic use of training in Japan or a third country would lead to producing higher outcomes of the project.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference : Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Cambodia	Improvement of Local Government Administration	Terminal evaluation

2	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Terminal evaluation
3	Chile	Enforcement of Regional Administrative Function for Local Industrial Promotion	Terminal evaluation
4	Bhutan	Local Governance and Decentralization Project Phase 3	Terminal evaluation
5	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-term review
6	Honduras	Development Capacity Building in the Western Region of Honduras	Terminal evaluation
7	Peru	Local Activation through the Experience shared among the Municipalities	Terminal evaluation
8	Palestine	Improvement of Local Finance System in Palestine	Mid-term review
9	Laos	Enhancing Capacity of Public Investment Program Management	Terminal evaluation

Note	<p>The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.</p>
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Knowledge lesson sheet		
Local governance 7	Local governance	Developing a central–local government framework corresponding to the degree of decentralization

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Sector-specific lessons learned	
Key words	Decentralization, central government, local government, central–local government framework, the process of decentralization, institutionalization	
Applicable cases	Lessons learned (Countermeasures)	
When aiming to consolidate appropriate central–local government framework that matches the situation of the recipient country	Timing of application	Project planning stage Project implementation stage
	Countermeasures (Approach)	<p>Allow the country to raise awareness towards local governance and formulate a vision of an appropriate central–local government framework that matches the needs and situation of the country.</p> <p>In the process of decentralization (e.g. introduction, implementation, and change of decentralization policies), it is important to assist the formulation of an appropriate central–local government framework that takes into account the needs and situation of the recipient country.</p> <p>① <u>Setting a project purpose that is in line with the progress of decentralization</u></p> <p>• Whether a piloted local system is institutionalized depends on the ownership of the recipient country. When the projects aim to establish a particular local system, in order to</p>
Risks (where no countermeasures are taken)		
<p>【Designing an administrative system that matches the needs and progress of decentralization in the recipient country】</p> <p>• A system piloted by the project may not be institutionalized if it does not match the country’s needs and decentralization policy or if the recipient country does not have the ownership on the piloted system.</p>		



secure commitments of the recipient country, it is crucial that the project purpose is clearly positioned within the context of an overall process of decentralization and that institutionalization of the system has a legal basis. It is also important to consider a phase-by-phase assistance that matches the actual progress of decentralization.

**【Examples of assistance in Indonesia】**

For example, the project of “Regional Development Policies for Local government” (Refer to the reference project 1) started right after the transitions from authoritarian to democratic regime and from centralized to decentralized system. At the beginning, relationships between central and local governments as well as relationships among local bodies such as provinces, districts, cities, and villages were unclear and this caused confusion on their roles and responsibilities. Nevertheless, the project has successfully contributed to providing policy recommendations that include those derived from Japan’s experience and examples. For central government (Ministry of Home Affairs), the project has contributed to the improvement of the central government’s capacity to support local governments, while for the selected seven pilot provinces, the project has contributed to the planning and

implementation of a participatory regional development.

Then, outcomes of the project was summarised in the textbooks which were distributed around the country and utilized for capacity building of local officers (e.g. trainings conducted in the project of “Human Resources Development for Local Governance” (2)).

After the decentralization progress has settled down, by using the newly decentralized authorities such as the collaborative project implementation among local governments and the participatory development, JICA implemented projects to enhance practical capacity of local governments. Consequently, technical assistance of central government towards local governments was promoted, and projects that aimed to feedback the outcomes and experiences for improving the existing system were implemented.

② Setting the steps for institutionalization

- When promoting decentralization, the pilot projects in rural areas that successfully lead to policy recommendations or institutionalization of the piloted system at the central level had several points in common: (i) C/P organizations were responsible for preparing the system and planning policies; (ii) C/P organizations had clear intentions to apply the outcome

		<p>of the pilot projects into a system or policy recommendations; (iii) the most needed and urgent challenges were set as project purposes.</p> <p>Also, it is important to consider ways to reflect and institutionalize the outcome of the pilot project in local government policies. Steps to translate the project outcome into system/policy at a national level should also be considered. Furthermore, in order to facilitate better understanding on the steps among decision-makers, it is effective to raise their awareness on the project's approach and effect by occasionally showing them the tangible outcome of the pilot project. (1, 4, 5, 6, 7, 8 and 9)</p> <p>For example, the above approach was utilized in Bhutan's project (8) which established a local subsidy allocation system and develop a training system of local officers by counterpart's initiatives.</p> <p>Also, in Palestine's project (7), the draft strategic plan related to collaboration among local governments was included in the National Three-year Plan.</p>
	Expected effects	By setting clear project purpose and selecting appropriate C/P organization, significant level of ownership and commitment of the recipient country can be secured even under the fluid situation.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Indonesia	Regional Development Policies for Local Government	Terminal Evaluation
2	Indonesia	Human Resources Development for Local Governance in the Republic of Indonesia	Terminal Evaluation
3	Cambodia	Improvement of Local Government Administration	Terminal Evaluation Ex-post Evaluation
4	Laos	Enhancing Capacity of Public Investment Program Management	Terminal Evaluation
5	Honduras	Development Capacity Building in the Western Region of Honduras	Preliminary study Terminal Evaluation
6	Honduras	Strengthening of the Capacity Development of the Local Governments for Regional Development	Mid-Term Review
7	Palestine	Improvement in Local Governance System in Palestine	Terminal Evaluation
8	Bhutan	The Local Governance and Decentralization	Monitoring Team
9	Bhutan	The Local Governance and Decentralization Project (Phase 2)	Terminal Evaluation
10	Bhutan	The Local Governance and Decentralization Project (Phase 3)	Terminal Evaluation
11	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-Term Review

Note

The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.

Knowledge Lesson Sheet		
Local governance 8	Local governance	Developing local financial systems

Lessons learned (Things to be considered and applied)		
Types of lessons learned	Sector-specific lessons learned	
Key words	budget, public finance management, local finance, tax, financial policies	
Applicable cases	Lessons learned (countermeasures)	
When developing local financial systems	Timing of the applications	Project formulation stage Project planning stage Project implementation stage
	Countermeasures (Approaches)	Assisting to strengthen the spending, budget planning and ensuring the revenue under the fiscal discipline  ① <u>Collection of the basic information at the project development stage (especially on the situation of financial decentralization)</u>  • The success of the local finance project depends on the basic information collected at the project formulation stage. When necessary basic information is not completely in hand, consider the ways to supplement it by conducting a study by Japanese/local consultants, and dispatching long/short-term experts. In addition, by forming a committee composed of experts in Japan, it would be possible to receive professional guidance and advice. (Refer to the reference projects 1, 3, 9, and 10)  Collect basic information below. (Refer to a checklist in JICA's
Risks (where no countermeasures are taken)		
<p><b>【Appropriateness of the cooperation scopes】</b></p> <p>• There not so many cases of JICA's technical assistance projects for developing local financial systems yet. Lack of basic information and capacity assessment on the C/P may cause a failure of setting an appropriate cooperation scope in accordance with limited capacity of the C/P and lead to insufficient project effects.</p> <p><b>【Identification of hindering factors and external</b></p>		

conditions】

• It tends to take more time than expected for the recipient country to develop local financial systems. Especially when the decision-making of agencies other than the C/P is necessary to ensure legislation or budget, it could be a risk factor for the project implementation as more time is required.

“Decentralization and service delivery in Africa” pp.119–120 as well as JICA’s “Handbook for assessing administrative agencies” p.29]

- Check the presence or absence of legislation, to get the laws and regulations related to local finance.
- Check the scale of local budget (a percentage of the national total budget), the degree of local financial autonomy (independent revenue sources), grants (with conditions, the presence or absence of unconditional), type (sector), the amount, and the calculation method of the grant to local governments.
- Check the presence or absence of other grants through special channel (special-purpose funds, political funding, etc.)
- Check whether budgeting and budget execution are done as scheduled and whether there is a huge gap between planned and actual budget.
- Authority of the central government on the local finance varies. Check the power and responsibilities of related central agencies including Ministry of Finance, which controls over the local finance in many countries.

② Assistance for public financial management reform

• JICA implements various projects other than the governance sector in the recipient country. Assistance for public financial management reform could be more effective when feedbacking

the problems of public financial management (e.g. delay or termination of the disbursement) faced by on other JICA projects. (4, 5 and 6)

- In the process of public financial management reform, correlated factors such as system reform, capacity development and stakeholders' understanding are not necessarily progress at the same pace. Thus it is important to provide phase-by-phase assistance in accordance with the progress of system reform and capacity of the C/P. (4, 5 and 6)

(Refer to JICA's "Thematic guidelines on finance - public financial management" pp.1-49 on the overview and cooperation approach of public financial management)

### ③ Use of ICT for public financial management systems

- It is important to clarify the linkage between planning and budgeting for developing public finance management systems. It is also important to see a big picture of the cycle of budgeting, actual operations, and expenditure management. (1, 3, 4, 5, 6, 7, and 8).
- Use of ICT would be effective in the area of finance, which deals with figures and data.

In the cases in Malawi (7 and 8), with the aim of improvements of existing systems that include budgeting processes and systems management, user-friendly ICT system was

		<p>developed after examining the weakness and challenges of the existing ICT system upon the identification of the weakness and challenges in the process. In addition, trainings of operations and maintenance for the system users were conducted in order to increase sustainability of the ICT system developed by the project.</p> <p>Planning and implementation of such projects require ICT experts who can understand the needs of the recipient country and develop ICT systems in accordance with the country's technical level.</p>
	Expected effects	Feasible and achievable projects will be formulated by setting an appropriate cooperation scope.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference : Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Ethiopia	Strengthening Multi Sectoral Planning and Budgeting Capacity in Oromia Region	Terminal evaluation
2	Zambia	Capacity Building Program for local government to build functional PRSP monitoring system in Zambia	Terminal evaluation
3	Zambia	Capacity Development for Provision of Decentralized Services	Terminal evaluation
4	Laos	Capacity Building on PIP Management	Terminal evaluation Ex-post evaluation,
5	Laos	Enhancing Capacity of Public Investment Program Management	Terminal evaluation
6	Laos	Establishing Public Investment Plan under NSEDP	Mid-term evaluation
7	Malawi	Capacity Enhancement in Public Sector Investment Programming (PSIP)	Project completion



8	Malawi	Project for Capacity Enhancement in Public Sector Investment Programming Phase II	Ex-ante evaluation
9	Palestine	Improvement in Local Governance System in Palestine	Terminal evaluation
10	Palestine	Improvement of Local Finance System in Palestine	Mid-term evaluation

Note	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge Lesson Sheet		
Local governance 9	Local governance	Developing training systems for local officers

Lessons learned (Matters to be considered/applied)		
Type of lessons learned	Sector-specific lessons learned	
Keywords	local officers, human resources development, training system	
Applicable cases	Lessons learned (Countermeasures)	
① When developing training systems and training materials for local officers amid decentralization process ② When incorporating pilot projects and OJT into training modules ③ When identifying existing training institutions for local officers as the C/P of the project	Timing of application	Project formulation stage Project planning stage Project implementation stage
	Countermeasures (Approach)	<b>Developing training systems and training modules for local officers</b> The challenges (needs) of local governance in the recipient country depend on the phase of democratisation (i.e. presence or absence of direct local elections, community participation in politics) and decentralization (i.e. what kind of authority is being decentralized to which level of the local government). Therefore, when formulating a project for developing a training system of local officers, it is important to identify the position of the project in the overall process of democratisation and decentralization in the recipient country. When planning the project, it is also worth considering whether the project aims to assist existing training centers or to develop a training system from the scratch and whether the nature of the training
Risks (where no countermeasures are taken)		
<b>【 Decentralization of authority to manage personnel matters and to develop a training system for local officers】</b> • Authority to manage personnel matters (e.g. recruitment, appointment and promotion) is not necessarily decentralized even if authority to execute local development projects is		

decentralized.

Decentralization of authority to develop capacity of local officers without decentralizing authority to manage personnel matters does not function well because local governments cannot be motivated to train officers if trained officers have high risks to be ordered to transfer by the central government.

**【 Central government and training centers】**

• If a project is formulated by merely following the central government's policy for developing capacity of local officers, true needs of C/P organizations (training centers) may not be well reflected in the project. This may lead to low ownership and commitment of the C/P organizations toward the project.

**【Significance of the pilot projects and OJT】**

• As participants need time to understand new concepts and approaches introduced by a project, merely conducting classroom lectures may not be enough to promote understanding of those

system is permanent or ad hoc.

① Development of training system for local officers

When implementing a project for developing capacity of local officers in the progress of decentralization, resources development amid the process of decentralization, it is vital to give attention to the level and direction of democratisation and decentralization in the medium- and long-term viewpoint, and to adjust the project's direction and implementation system accordingly. (Refer to the reference projects 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 15 and 16)

• During the transition period of decentralization, both central and local governments should be targeted in the project as there will be a growing need for capacity development in the central government regarding its new roles and responsibilities as well. (3, 6, 9 and 11)

• Assess the feasibility of the recipient country's policies and laws on decentralization of authority to manage personnel matters and development of training system for local officers, which are preconditions of the project. Then, examine if the training system is viable and effective to enhance practical capacity of the trainees. (6, 8, 9 and 10)

• When it is urgent to train officers who

concepts and approaches.

【Identification of hindering factors and external conditions】

- It is important to incorporate countermeasures for hindering factors and external conditions in the project design based on the collected basic information and its analysis at the project formulation stage.

are capable of handling the situation at the initial stage of decentralization, the training may become ad-hoc due to lack of human resources or the training materials might be outdated soon due to constant changes caused by the progress of decentralization.

In such cases, decide whether the project aims to develop an ad hoc training system responding to the urgent necessity or a permanent training system. The decision should be documented in reports clearly. (3, 6 and 9)

- If a project aims to develop a permanent training system in a country where training system/centers do not exist or function, it is important to incorporate activities, outputs and indicators necessary to institutionalize the training system in the project design. In case institutionalization is beyond the project scope, it is important to state clearly that it would be a phased project at the planning stage. For example, analyse the needs, prepare the training program and implement the training in phase 1, subsequently, revise the training program and institutionalize the training system in phase 2. (4, 5, 6, 9, 10, 11, 12, 13, 17 and 18)

② Capacity building of training centers for local officers

- If there is a number of existing

training centers, from the viewpoint of institutional capacity building, it is important to select C/P organizations whose heads (decision makers) have willingness and interests to achieve the project purpose. (4, 9 and 10)

- An effective approach to enhance the ownership of C/P organizations is to incorporate activities that allow C/P organizations themselves to monitor/evaluate the training programs for local officers.
- When the implementing organization is a training center, which has missions and motivations different from the central government, it is important to design the project in accordance with such characteristics. (9 and 10)
- At the beginning of decentralization process, in most of countries neither national nor local level training system exist. The number of potential resource persons for training such as professors and consultants is not enough, either. Furthermore, in most of the cases, resource persons lack hands-on field experiences despite the training for practical skills improvement in the field is expected. Therefore, it is also important to utilize active local officers and retired experienced personnel in addition to strengthening institutional capacity building. (10)

③ Incorporating pilot projects/OJT into training modules

- When planning a project for enhancing capacity of local officers, it is important to include practical exercises to deliver public services while working in concert with communities. Moreover, at the project planning phase, it is necessary to set indicators that can measure the process of capacity development if the project purpose is to develop the capacity of local officers through implementing pilot projects. Also, it is important to include the activities, outputs and indicators for sharing and spreading the results of pilot projects or reflecting the results of pilot projects to training material and training program. (7, 12 and 13)
- When introducing new concepts/approach (e.g. 'kaizen' , 'One village one product' , 'industry-academia-government collaboration' , 'Participatory approach immediately after democratisation/decentralization' ) through training, combination of classroom lectures and hands-on instructions through OJT is effective. (1, 2, 4, 5, 14 and 19)
- When introducing a new concept by a project, it is important to adjust the concept in accordance with the local culture and visualize the outcome for facilitating better understanding and acceptance of trainees. For example, in the case of Bangladesh (1), the concept of Japanese 'Kaizen' was explained in training with local cases

		<p>emphasizing an aspect of the concept that is more acceptable to Bangladeshi (e.g. 'Kaizen' can be implemented with small budget.).</p> <ul style="list-style-type: none"> <li>• By incorporating activities such as personnel exchanges, observations of other local governments, sharing experiences and good practices in the project design, horizontal learning among trainees could lead to fostering their willingness and voluntary efforts for improving the routine operations. (5)</li> </ul>
	Expected effects	Feasible, achievable and sustainable projects will be formulated as setting appropriate cooperation scope/approach and identifying risks and external conditions correctly.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Bangladesh	Improving Public Services through Total Quality Management	Mid-Term Review
2	Indonesia	Sulawesi Capacity Development	Terminal Evaluation
3	Indonesia	Regional Development Policies for Local Government	Terminal Evaluation
4	Indonesia	Human Resources Development for Local Governance in the Republic of Indonesia	Terminal Evaluation
5	Indonesia	Human Resource Development for Local Governance Phase II	Terminal Evaluation Ex-Post Evaluation
6	Cambodia	Improvement of Local Government Administration	Terminal Evaluation Ex-Post Evaluation
7	Cambodia	Capacity Development of Provincial Rural Development in North-eastern Provinces	Terminal Evaluation Ex-Post Evaluation
8	Zambia	Capacity Development for Provision of Decentralized Services	Terminal Evaluation
9	Tanzania	Capacity Development for Local Government	Terminal Evaluation

		Training	
10	Tanzania	Strengthening Participatory Planning and Community Development Cycle for Good Local Governance – Phase II (O&OD Project – Phase II)	Terminal Evaluation
11	Bhutan	The Local Governance and Decentralization	Monitoring
12	Bhutan	The Local Governance and Decentralization Project (Phase 2)	Terminal Evaluation
13	Bhutan	The Local Governance and Decentralization Project (Phase 3)	Terminal Evaluation
14	Malawi	Capacity Enhancement in Public Sector Investment Programming (PSIP)	Project completion
15	Laos	Capacity Building on PIP Management	Terminal Evaluation Ex-Post Evaluation
16	Laos	Enhancing Capacity of Public Investment Program Management	Terminal Evaluation
17	Nepal	Strengthening the Monitoring and Evaluation System	Terminal Evaluation
18	Nepal	Strengthening the Monitoring and Evaluation System in Nepal Phase 2	Terminal Evaluation
19	Philippines	Capacity Development on Tourism Statistics in Local Government Units (LGUs)	Terminal Evaluation

**Note**

The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.



Knowledge Lesson Sheet		
Local governance 10	Local governance	Enhancing collaboration and cooperation among the government agencies

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Sector-specific lessons learned	
Key words	Government agencies, central agencies, local agencies, center-local relations, collaboration, cooperation	
Applicable condition	Lessons learned (Countermeasures)	
When aiming to develop and strengthen the collaboration and cooperation among government organizations	Time of application	Project formulation stage Project planning stage Project implementation stage
	Countermeasures (Approach)	Strengthening local governance in terms of the vertical relationship (central-local-community) and the horizontal relationship among government agencies at each level  One approach to promote decentralization is the vertical dissemination, which aims to disseminate a system constituted at the central level to local governments through Cabinet orders or official notices. Another is complementing the previous one called the horizontal dissemination approach, which aims to disseminate decentralization laws and its guidelines by sharing information and experience among the actors at each level.  (Refer to JICA's "Handbook for community cooperative approach for local government assistance", pp. 76-78, as of horizontal/vertical dissemination approaches)
Risks (where no countermeasures are taken)		
<p>【 Little participation of related agencies in the project】</p> <ul style="list-style-type: none"> <li>There are various relevant organizations/agencies in projects of local governance. Adhering to the vertical relationship between the ministry in charge of local governance and local governments will overlook horizontal relationship among ministries or among local government. It could lead to</li> </ul>		

failure of effective system introduction or project implementation.

**【Ineffective legal/institutional framework】**

• While there is a legal/institutional framework developed by the central government, absence of necessary regulations/guidelines for implementation of these policies at the local level cannot produce results as expected.

**【Lack of understanding on local situations by the central government】**

• Because the central government that is expected to promote decentralization does not grasp the local situations, there is a risk that legal/institutional framework does not work.

**【 Misselection of dissemination approach】**

While horizontal dissemination approach among local agencies can be suitable for some countries, adhering to vertical dissemination approach sometimes leads to insufficient result.

Implementation of these approaches require collaboration, cooperation, management and instruction at the multiple levels such as among central agencies (horizontal), among central/local agencies (vertical) and among local agencies (horizontal).

For example, a project for capacity development of local development planning and monitoring requires coordination at the central level (e.g. horizontal coordination among central agencies), between central and local levels (e.g. vertical coordination between the ministry in charge and its local offices) and at the local level (e.g. horizontal coordination between local governments and ministries' local offices). In this case, it is important to promote connections between the goals/outcomes/targets of national development plan, sectoral development plans and local development plans at the project formulation stage. At the project implementation/monitoring stage, priority is the efforts of fund management and monitoring by the central agencies over local agencies, collaboration among central and local agencies, sector coordination conference at the intermediate level etc. (Reference projects: 7, 8, 9 and 11)

The points to be noted at each level are as follows:

- ① Collaboration among central agencies
  - Even if authorities of planning and implementing local development plans

are devolved to local governments, no project can be implemented without sufficient budget in accordance with the decentralized authorities. Therefore, from the project formulation stage, coordination with the authority in charge of local finance such as Ministry of finance or Ministry of Planning and Investment should be explored (e.g. joint review of the budget for local development projects and local human resource development projects).

- Sometimes the implementing agencies do not have all necessary authority when implementing a specific project at the local level. In that case, collaboration with the ministry in charge should be carried out, in addition to collaboration among local offices, from the beginning of the project.

② Collaboration/Cooperation/Management between central and local agencies  
【 Capacity development of central agencies in information sharing and supporting for local agencies】

- For implementing existing laws and policies, central government's technical support and instruction are necessary in addition to detailed regulations and rigid guidelines. When central agencies think that they accomplished their duties solely by establishing laws and guidelines, these laws and guidelines may not work as expected. In contrast, another

problem could be triggered if there is no sufficient legal framework for practice. It is important to check together with counterparts and address these problems such as whether the regulation/guideline is effective, whether technical instruction from central to local government is enough, or whether communication line is open between them. (1,7,9 and 11)

**【Technical assistance from central to local agencies】**

- Opportunities that the officials from the central government visit local sites to monitor the status are required for improving policy implementation in case there is a strong control by the ministries or the ruling party. Training programs in Japan and the pilot projects should involve the inter-organizational activities such as group works among the participants from central/local governments and communities. It can strengthen collaboration among the relevant authorities through the central government's experience in supporting local development while grasping the local needs and status.
- Project design should include activities for strengthening collaboration among governmental agencies based on the lessons learned from pilot projects for development/improvement of legal/institutional frameworks. (7 and 9)

③ Collaboration among governmental agencies at the local level

【Strengthening information sharing and collaboration among local agencies】

- Selection of pilot sites matters in a project to promote collaboration among local governments when the counterpart of the project is a central agency. Pilot sites should be selected carefully considering issues such as the needs of the local government, compatibility between the sector requested and the scheme, whether or not there is possible problems like land-title issues (1).

- A horizontal approach could be more effective than a vertical approach. The horizontal approach is to promote dissemination among the actors at the same level and to strengthen the actors/frameworks that include, for example, collaboration among local governments, the leagues of governors/mayors and local government associations. In order to use the advantage of the horizontal approach, at the project formulation stage, it is necessary to incorporate activities to strengthen horizontal linkage for information sharing and collaboration through assembly/conference for sharing good practices and lessons, sharing those practices, experience and knowledge by brochure or manual, mutual review at the same level etc.

(4, 6, 7, 8, 9 and 10)

In the case of Bangladesh (6), it was

		successful to improve accountability by encouraging competition among local governments/agencies through advertising the project outcomes in the national “Kaizen” contest to the public eyes.
	Expected effects	Improvement of the service delivery system by strengthening local governance in terms of the vertical relationship of central, local and community, and the horizontal relationship of the actors at each level will lead to increase project outcomes and sustainability.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Terminal evaluation
2	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Mid-term review
3	Indonesia	Strengthening Environmental Management Capacity of Local Governments	Terminal evaluation
4	Indonesia	Improvement of District Health Management Capacity in South Sulawesi Province (Phase2)	Terminal evaluation
5	Palestine	Improvement of Local Governance System	Terminal evaluation
6	Bangladesh	Improving Public Services through Total Quality Management	Mid-term review
7	Honduras	Capacity Development in the Western Region	Preliminary study Terminal evaluation
8	Honduras	Strengthening of the Capacity Development of the Local Governments for Regional Development	Mid-term review
9	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province	Mid-term review

		of Dajabon	
10	Chile	Local Government Capacity Building for Regional Industrial Development Projects in Chile	Terminal evaluation
11	Nepal	Strengthening the Monitoring and Evaluation System in Nepal Phase 2	Terminal evaluation

Note	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge Lesson Sheet		
Local governance 11	Local governance	Points to consider when adopting a community-based participatory approach -project formulation stage-

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Sector-specific lessons learned	
Key words	project formulation, community-based, coordination, participatory development, pilot project, model, sustainability	
Applicable cases	Lessons learned (countermeasures)	
When formulating local development projects with community-based participatory approach	Timing of application	Project formulation stage
	Countermeasures (Approach)	Consideration upon project formulation to enhance feasibility of planning/implementing participatory local development projects.  When aiming to plan/implement local development projects using participatory approach, it is necessary to verify and consider several aspects such as policy/system, finance and human resources of the recipient country. Cooperation/collaboration is needed not only with local governments but also with various stakeholders such as the private sector, universities, NGOs and community associations. (Refer to the knowledge lesson sheet of 'Local governance 12' for points to note during project planning stage)  (Refer to JICA's "Handbook for community-based local governance assistance approach" for formulation of community-based projects and for consideration when ensuring dissemination/sustainability)
Risks (where no countermeasures are taken)		
<p>【Validity of participatory approach】</p> <ul style="list-style-type: none"> <li>Without sufficient understanding the country's basic information on local government systems (especially legal framework, allocation and capacity of human resources, finance, authority surrounding participatory approach), it is difficult to assess the suitability of participatory approach on the country's development plan and implementation.</li> </ul>		



**【Modelling and spreading of pilot projects】**

• In collaboration with communities in the pilot project, several contingencies, as listed below, may arise if consideration on its implementation methods and exit strategies is insufficient.

(i) It tends to be fixated on conducting the pilot project per se.

(ii) There could be a gap of interest and motivation occurs between the requested body (central government) and the implementing body (local government).

(iii) Tangible outcomes cannot be achieved during the project.

(iv) Neither institutionalization nor dissemination of projects to other areas become feasible even with the modelling of the case.

Points to consider during project formulation stage are listed below.

**【Considering participatory approach and its legal basis】**

- When adopting participatory approach, examine both the advantages and disadvantages of the approach, and incorporate countermeasures for the possible disadvantage in the project design.
- Clarify beforehand the presence or absence of legal basis and guidelines of participatory development, and which part of the legal basis and guidelines should be improved. (For checkpoints at the project planning stage, refer to the preparatory study report of the 'Reference project 15' )

**【Establishing feasible models】**

- From project formulation/planning stage, design the project in light of an exit strategy that leads to the modelling, dissemination and institutionalization of a pilot project.
- Clarify if the project aims to pilot a case only, to establish a model case, or to spread an established model to other areas. Set a clear goal at the end of the project.
- For projects that aim to establish a development model and to spread the model into other areas, at the initial stage of project implementation, it is important to

establish a simple model that is feasible in terms of the country's existing system/resources/implementing framework. Even if the project covers one specific area, consideration is needed at the early stage of project formulation regarding the activities and strategies that can continuously involve relevant departments of the central government, while keeping in mind the project's sustainability and dissemination to other areas. (1)

**【Considering the source of funding to ensure sustainability】**

- Regarding the source of funds, it is important to consider, while keeping in mind the sustainability after project termination, the need of funds such as funding of central government, budget of local government, funding from sector-wide programmes, other donors and the private sector and block-grants that include cost sharing with the counterpart government. (7)
- When providing financial cooperation, a sustainable implementation/dissemination of a model should be ensured even after project termination. Therefore, it is important to incorporate activities aiming to institutionalise a funding mechanism that enables such sustainability in the country's system in the plan. (20)

**【Securing competent facilitators】**

- The success of a community-based

		<p>participatory project depends on the existence of competent facilitators. Such facilitators are often hard to find in rural areas of the recipient countries. If a project is to hire temporary facilitators, it is important to incorporate an exit strategy (e.g. making them become government officials or NGO staff/consultant, considering plan B that involves no facilitator) into the project design.</p> <ul style="list-style-type: none"> <li>When local officers act as facilitators in the project, it is important to consider several points upon project formulation whether they engage in their original work concurrently and sustainably and whether a sustainable system for human resources development be established or not. (1, 2, 4, 10, 11, 15 and 16)</li> </ul>
	Expected effects	Feasible, achievable and sustainable projects will be formulated as setting up appropriate cooperation scope/approach and identifying risks and external conditions and inputs becomes viable.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference : Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Indonesia	Sulawesi Capacity Development Project	Terminal Evaluation
2	Indonesia	The Strengthening of Environment Management Capacity of Local Governments in Indonesia	Terminal Evaluation
3	Indonesia	Improvement of District Health Management Capacity in South Sulawesi Province Phase 2	Terminal Evaluation
4	Cambodia	Capacity Development of Provincial Rural	Terminal Evaluation

		Development in North-eastern Provinces	Ex-Post Evaluation
5	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Terminal Evaluation
6	Thailand	Enhancing the Capacity on Local Public Service Provision through Local Coordination and Cooperation	Mid-Term Review
7	Nepal	Gender Mainstreaming and Social Inclusion	Terminal Evaluation
8	Pakistan	Improvement of Public Administration for Local Governments in Punjab	Terminal Evaluation Ex-Post Evaluation
9	Papua New Guinea	The Integrated Community Development Project for the Settlement Areas in National Capital District	Terminal Evaluation
10	Papua New Guinea	Integrated Community Development	Terminal Evaluation
11	Philippines	Capacity Enhancement Program of Metropolitan Iloilo-Guimaras Development Council (MIDC) and Banate Bay Resource Management Council Inc. (BBRMCI)	Terminal Evaluation Ex-Post Evaluation
12	Bhutan	The Local Governance and Decentralization Project (Phase 2)	Terminal Evaluation
13	Bhutan	Local Governance and Decentralization Project Phase 3	Terminal Evaluation
14	Bulgaria	Kazanlak Area Revitalization	Terminal Evaluation Ex-Post Evaluation
15	Honduras	Development Capacity Building in the Western Region of Honduras	Preparatory study Terminal Evaluation
16	Honduras	Strengthening of the Capacity Development of the Local Governments for Regional Development	Mid-Term Review
17	Columbia	Capacity Development of Local Governments to Support Internal Displaced Persons in Colombia	Terminal Evaluation
18	Guatemala	Capacity Development of Local Governments	Mid-Term Review
19	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-Term Review
20	Tanzania	Strengthening Participatory Planning and	Terminal Evaluation

		Community Development Cycle for Good Local Governance	
21	Chile	Enforcement of Regional Administrative Function for Local Industrial Promotion	Terminal Evaluation
22	Bangladesh	Improving Public Services through Total Quality Management	Mid-Term Review

Note	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge Lesson Sheet		
Local governance 12	Local governance	Points to consider when adopting a community-based participatory approach -project planning stage-

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Sector-specific lessons learned	
Key words	project planning, community-based, cooperation, participatory development, pilot project, model, sustainability	
Applicable condition	Lessons learned (Countermeasures)	
When planning local development projects with community-based participatory approach	Timing of application	Project planning stage
	Countermeasures (Approach)	Consideration upon project planning to enhance feasibility of planning/implementing participatory local development projects.  In formulating and implementing community-based development plan through a participatory approach, it is needed to confirm and consider multiple aspects of policies, finance and human resources at the project planning stage. (Refer to Knowledge Lesson Sheet 11 for the points to note at the project formulation stage. Refer to Knowledge Lesson Sheet 13 for the points to note at the project implementation stage.)  (Refer to JICA's "Handbook for local government assistance in collaboration with communities", as of the points to note at the project formation/planning stage, for dissemination and securing sustainability of the projects in collaboration with communities.)
Risks (where no countermeasures are taken)		
In a participatory community development project, there could be risks such as below if little attention is paid to the aspects of policies, finance, and human resources at the project planning stage.  ( i ) <u>Lack of common understanding on project components</u>  When the concept of participatory approach is new to the people involved, the project may proceed without common understanding among the		

stakeholders.

(ii) Low sustainability of project implementation system

A pilot project or a model with little sustainability after the project may be formulated and implemented. Sustainable implementation system fails to be built.

(iii) Limitation in disseminating the approach

A limited time or a shortage of manpower makes it impossible to have a positive impact in the project, which cannot secure sufficient time for disseminating a participatory approach.

The points to note at the project planning stage are as follows.

**【 Explicit understanding and description of project components/approach】**

- When the concept of participatory approach is new to the recipient country, it is important to make consensus at the early stage, or secure time in project design for making consensus among stakeholders. (1, 19 and 20)
- Showing the positive outcomes/impacts in the target village through pilot projects to the decision-makers at the central/local government is an effective way to promote institutionalization of the pilot project for further continuity. (20)

**【Planning of a pilot project with an eye to dissemination】**

- It is critical to incorporate an exit strategy with a view after the project in a project design. It is also important to specify the goals of pilot projects and decide whether the project provides fund such as a block grant. (4, 7 and 10)
- In the cases of Cambodia (4) and Bhutan (12), it was assessed that sustainability of the projects could have been enhanced if the activities to strengthen existing systems by utilizing the lessons learned from the process or results of pilot projects were incorporated at the project

planning stage. On the other hand, in the cases of Honduras (16), Chile (21) and Bangladesh (22), the projects aimed to enhance sustainability after the completion of projects by building networks among actors and by strengthening existing systems through sharing lessons among project sites during the project implementation.

**【Consistency between the fiscal year of the recipient country and the project implementation period】**

- Most of the local planning and its implementation happen once a year in the recipient country. In the project which aims to enhance understanding of existing policies/guidelines in local government, it is necessary to enhance feasibility of the plan/policy through repeating the implementation cycle of service delivery for several times in addition to prior confirmation of the gap between policies and actual status. To do so, the project implementation period is required to be consistent with the fiscal year of the recipient country and the period of planning/implementation into consideration (in case of project implementation, contract period should be taken into consideration). (4, 20)

**【 Consideration of manpower and implementation system】**

- The success of a community-based



participatory project depends on the existence of competent facilitators. Such facilitators are often hard to find in rural areas of the recipient countries. From the perspective of sustainability, options to hire and manage the facilitator as follows should be considered: to train only the local officers, to train local leaders and people as facilitators, to hire facilitators for a certain period and gradually decrease the number of them. In case that the local officers act as facilitators, they are required to take charge of areas other than the pilot project sites after the project. Hence considering the measures towards the target village and realistic expansion planning for other areas at the project design stage will lead to the formulation of an exit strategy.

(3, 7 and 20)

- When local officers as facilitators, it is necessary to consider whether their workload is not too heavy and whether the training system works continuously from the project formulation stage. (1, 2, 4, 10, 11, 15 and 16) It is necessary to develop a facilitator training system for full-fledged dissemination including supervision at the field.
- When train local officers as facilitators, it is necessary to promote setting their career paths in the existing government system for encouraging their continuous efforts.

**【 Securing time for participatory approach】**

· Adopting a participatory approach requires sufficient time for raising awareness of local people, organizing them and pulling out their commitments. When coordinating project period and schedule that include participatory component, to secure sufficient time and manpower for facilitation in accordance with the expected activities is needed in order to promote understanding of the goals and roles of the local people prior to the actual project design.

(3, 6, 9, 15, 17 and 20)

· While many projects include all the components of capacity building of local officers, planning, service delivery and system development/improvement, feasibility of the project should be analyzed in advance considering the limited time and input.

**【Project monitoring and feedback】**

· It is important to design a project which incorporates a monitoring system in an implementation system at the project site in order to extract and share the lessons learned through workshops after the project.

· Setting appropriate indicators such as comparison of capacities before/after the project is necessary for measuring the training impacts of the pilot project. (4 and 12)

	Expected effects	Feasible, achievable and sustainable projects will be planned as setting up appropriate cooperation scope/approach and identifying risks and external conditions and inputs becomes viable.
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*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	🇬🇧 Country	Title of the project	Type of reports
1	Indonesia	Sulawesi Capacity Development Project	Terminal evaluation
2	Indonesia	Strengthening Environmental Management Capacity of Local Governments	Terminal evaluation
3	Indonesia	Improvement of District Health Management Capacity in South Sulawesi Province Phase 2	Terminal evaluation
4	Cambodia	Capacity Development of Provincial Rural Development in North-eastern Provinces	Terminal evaluation Ex-post evaluation
5	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Terminal evaluation
6	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Mid-term review
7	Nepal	Gender Mainstreaming and Social Inclusion	Terminal evaluation
8	Pakistan	Improvement of Public Administration for Local Governments in Punjab	Terminal evaluation Ex-post evaluation
9	Papua New Guinea	The Integrated Community Development Project for the Settlement Areas in National Capital District	Terminal evaluation
10	Papua New Guinea	Integrated Community Development	Terminal evaluation
11	Philippines	Capacity Enhancement Program of Metropolitan Iloilo-Guimaras Development Council (MIDC) and Banate Bay Resource Management Council Inc. (BBRMCI)	Terminal evaluation Ex-post evaluation
12	Bhutan	Local Governance and Decentralization Project Phase 2	Terminal evaluation
13	Bhutan	Local Governance and Decentralization Project Phase 3	Terminal evaluation

14	Bulgaria	Kazanlak Area Revitalization	Terminal evaluation Ex-post evaluation
15	Honduras	Capacity Development in the Western Region	Preliminary study Terminal evaluation
16	Honduras	Strengthening of the Capacity Development of the Local Governments for Regional Development	Mid-term review
17	Colombia	Strengthening Institutional Capacity of Local Governments to Support Displaced Persons in Colombia	Terminal evaluation
18	Guatemala	Capacity Development of Local Governments	Mid-term review
19	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-term review
20	Tanzania	Strengthening Participatory Planning and Community Development Cycle for Good Local Governance	Terminal evaluation
21	Chile	Local Government Capacity Building for Regional Industrial Development Projects in Chile	Terminal evaluation
22	Bangladesh	Improving Public Services through Total Quality Management	Mid-term review

Note	<p>The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.</p>
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Knowledge Lesson Sheet		
Local governance 13	Local governance	Points to consider when adopting a community-based participatory approach -project implementation stage-

Lessons learned (Matters to be considered/applied)		
Type of lessons learned	Sector-specific lessons learned	
Keywords	project implementation stage, community-based, coordination, participatory development, pilot project, model, sustainability	
Applicable cases	Lessons learned (Countermeasures)	
When implementing local development projects with community-based participatory approach	Timing of application	Project implementation stage
	Countermeasures (Approach)	<p>Consideration upon project implementation to enhance feasibility of planning/implementing participatory local development projects.</p> <p>When aiming to plan/implement participatory regional development projects, various aspects, such as policy/system, finance and human resources, should be considered during implementation. <u>(Refer to Knowledge Lesson Sheet 11 for the points to note at the project formulation stage and Knowledge Lesson Sheet 12 for the points to note at the project planning stage.)</u></p> <p>(Refer to JICA's "Handbook for local governance assistance in collaboration with communities", as of the points to note at the project formation/planning stage, for dissemination and securing sustainability of the projects in collaboration with communities.)</p> <p>Points to consider during project</p>
Risks (where no countermeasures are taken)		
<p>• When aiming for regional development through participatory approach, several contingencies, as listed below, may arise if aspects such as policy/system, finance and human resources are not addressed sufficiently.</p> <p>( i ) <u>Ambiguous roles and responsibilities</u></p> <p>When the roles and authorities of each related organization are not understood, it may hinder the</p>		

project's progress and the implementing framework may also remain ambiguous.

(ii) Constrains on the system

If a project is implemented beyond its capacity under inappropriate system, its effects and sustainability may be negatively affected.

(iii) Utilizing community resources and coordination with community leaders

• Participatory development projects will not function without community resources.

(iv) Budget distribution that does not follow plans

The budget cannot be executed efficiently without understanding the system and the flow of budget distribution.

implementation stage are listed below.

**【Clearly articulate the implementation system】**

- For projects that aim to collaborate with communities, sign a meeting minute (M/M) or a memorandum of agreement (MOA) which clearly states the roles and responsibilities of each organization. This would enable multiple related organizations to coordinate each other on various administrative levels, leading to smooth project implementation.
- It is important to clarify, either during project planning or in the early stage of implementation, the post-project implementing system (i.e. System that guarantees necessary coordination) in order to ensure its establishment. (3)

**【Fostering common understanding of pilot projects】**

- It is important to share a common understanding among partners by agreeing on important issues in advance through official documents (e.g. R/D, PDM, memorandums). Examples of such important issues include the concept and priority of pilot projects, and the number of target areas. (1, 2, 3, 5, 6, 7, 9 and 10)

**【Project implementation based on the limitations】**

- It is important to consider the difference of capacities among local governments and respond them

differently since improving the capacity of all actors uniformly is too challenging in cases where multiple municipalities are involved. In Indonesia's projects (2 and 3) where there were multiple local governments in target areas, the overall capacity was enhanced by first selecting local governments with highly motivated local leaders and of those with relatively competent local officers. Subsequently, these chosen local governments were given major roles in the project and their plans were utilized as examples in the training for others.

- When there are too many pilot project sites, the smooth progress of the project may be hindered due to time loss caused by travels. There would also be more burden for the project team to run the pilot projects simultaneously, thus a system development and capacity building tend to be put off. (4, 7, 17 and 18)
- As administrative services are mainly delivered by local officers at the lower government level which is closer to the beneficiaries/end-users, their capacity and allocation of budget/human resources may hamper efficiency of the project implementation. (2, 3, 4, 5, 12 and 13) If the implementation system is unstable, either strengthen the system or implement the project within the actual manpower and ability.

**【Transfer of facilitation skills】**

- Facilitation skills are not easily taught by one person to others as they involve implicit knowledge and sensibility. Nonetheless, technical assistance projects require such skills to be transferred to C/P personnel. Therefore, there is a need to clarify how 'explicit' or 'manualized' these skills should be before conducting technical transfer or system establishment. (20)
- One of the effective strategies to enhance facilitation skills that are often times implicit, is to encourage horizontal learning in which facilitators from multiple target regions are gathered to share their experiences. (20)

**【Utilizing community resources】**

- Since a project cannot respond to every need of local governments due to constraints on budget, authorities and human resources. Thus, various possibilities of funding should be pursued, namely: (i) utilizing community resources (labour, materials, and funds); (ii) enhancing community-led activities (e.g. improvement of living); (iii) mediating technical assistance/programmes from government agencies of other sectors; (iv) seeking assistance from local people. (2, 4, 13 and 20)

**【Involving community leaders】**

- Strong leadership is needed from leaders of both the regional



government and the community. By involving the local leaders in the project, participation from governmental organizations and community members will be encouraged. Therefore, it is important to identify and foster the local leaders who have the potential to disseminate and retain the project outcome in target communities. (8, 9, 12, 14, 20 and 21)

- Before implementing a project that requires collaboration with the community, conduct training programmes for community leaders and enhance their active participation in the project. (1, 4, 5, 10, 11, 13, 14, 15 and 16)
- It is important to foster and secure human resources in government bodies or in NGOs who are capable of training community leaders and facilitators.

**【 Considering the timing of disbursement】**

Careful attention is needed towards the delay of central government's subsidy (cash) transfer, which is the main source of funding for the most of local governments. Most subsidies are not disbursed in the first few months of the fiscal year, thus hampering the operation. On the other hand, subsidy transfer becomes concentrated at the end of the fiscal year, compelling local governments to finish up the budget in a limited time. Consequently, there will be cases where local governments have no choice but to return their subsidies to the national coffers. (2, 4 and 5) Therefore, it is

		<p>necessary to verify beforehand the amount of funds that are secured for the project and also their distribution schedules.</p> <p>【Disseminating the model to areas in the process of decentralization】</p> <ul style="list-style-type: none"> <li>When disseminating a model established by the project to other areas in a highly decentralized country, each local government needs to make a political decision regarding the priority of model dissemination within their local development plans (And their budget distribution and human resources allocation that ensue). (2,5 and 6)</li> </ul>
	Expected effects	Feasible, achievable and sustainable projects will be implemented as setting up appropriate cooperation scope/approach and identifying risks and external conditions and inputs becomes viable.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Indonesia	Sulawesi Capacity Development	Terminal Evaluation
2	Indonesia	The Strengthening of Environment Management Capacity of Local Governments in Indonesia	Terminal Evaluation
3	Indonesia	Improvement of District Health Management Capacity in South Sulawesi Province Phase 2	Terminal Evaluation
4	Cambodia	Capacity Development of Provincial Rural Development in North-eastern Provinces	Terminal Evaluation Ex-Post Evaluation
5	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Terminal Evaluation
6	Thailand	Enhancing the Capacity on Local Public	Mid-Term Review

		Service Provision through Local Coordination and Cooperation	
7	Nepal	Gender Mainstreaming and Social Inclusion	Terminal Evaluation
8	Pakistan	Improvement of Public Administration for Local Governments in Punjab	Terminal Evaluation Ex-Post Evaluation
9	Papua New Guinea	The Integrated Community Development Project for the Settlement Areas in National Capital	Terminal Evaluation
10	Papua New Guinea	Integrated Community Development	Terminal Evaluation
11	Philippines	Capacity Enhancement Program of Metropolitan Iloilo-Guianas Development Council (MIDC) and Banate Bay Resource Management Council Inc. (BBRMCI)	Terminal Evaluation Ex-Post Evaluation
12	Bhutan	The Local Governance and Decentralization Project (Phase 2)	Terminal Evaluation
13	Bhutan	Local Governance and Decentralization Project Phase 3	Terminal evaluation
14	Bulgaria	Kazanlak Area Revitalization	Terminal Evaluation Ex-Post Evaluation
15	Honduras	Development Capacity Building in the Western Region of Honduras	Preliminary study Terminal Evaluation
16	Honduras	Establishing Public Investment Plan under NSEDP	Mid-Term Review
17	Columbia	Capacity Development of Local Governments to Support Internal Displaced Persons in Colombia	Terminal Evaluation
18	Guatemala	Capacity Development of Local Governments	Mid-Term Review
19	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-Term Review
20	Tanzania	Strengthening Participatory Planning and Community Development Cycle for Good Local Governance	Terminal Evaluation
21	Chile	Enforcement of Regional Administrative Function for Local Industrial Promotion	Terminal Evaluation
22	Bangladesh	Improving Public Services through Total Quality Management	Mid-Term Review

Note

The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.

Knowledge Lesson Sheet		
Local governance 14	Local governance	Planning and implementation of pilot projects that can be widely spread

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Sector-specific lessons learned	
Key words	community, collaboration, participatory development, pilot, model, spread, dissemination, sustainability	
Applicable condition	Lessons learned (Countermeasures)	
When implementing a pilot project	Timing of application	Project formulation stage Project planning stage Project implementation stage
	Countermeasures (Approach)	Taking appropriate measures at each stage for planning and implementation of a pilot project that can be widespread
Risks (where no countermeasures are taken)	The lessons for pilot project planning and implementation were extracted from other knowledge lesson sheets. Lessons in this sheet can be useful especially for the project aiming for improving the multi-sectoral local development system and service delivery through pilot projects. (Refer to JICA's "Handbook for local government assistance in collaboration with communities" as of the points to note in setting objectives/indicators, points to note for effective activities/inputs, approaches for securing dissemination/sustainability or evaluation in community-based projects.)	
【Setting appropriate cooperation scopes】 As local governance projects handle various issues, feasible and achievable cooperation scopes cannot be set appropriately without adequate basic information regarding local government systems, especially under time and budget restrictions.		
【 Validity of the	① <u>Project formulation stage</u> · Clarify the current stage of the project (i.e. implementation of pilot projects, development of a model or dissemination of the model) and the project purpose upon	

cooperation approach】

• Without sufficient basic information on local government systems (especially legal framework, allocation and capacity of human resources, finance, authority surrounding participatory approach) of the recipient country, it is difficult to assess the appropriateness of participatory approach on the country's development plan and implementation.

【 Project design incorporating an exit strategy】

• Without incorporating an exit strategy leading to developing, disseminating and institutionalizing a model case at the project formation stage, the pilot project cannot be implemented in a sustainable manner after the termination of the project.

project termination. Even if the pilot project is conducted in a certain area, from the project formulation stage, it is necessary to consider incorporating activities and strategies that can continuously involve relevant organizations at the central level, while keeping in mind the pilot project's sustainability and dissemination to other areas.

【The points to note at project formation stage】

- Check whether a legal/institutional framework for collaboration/coordination/consensus-making is already developed, or utilize the result of the pilot project for improving the framework
- Whether development/ordinary budget including cash flow is secured, and whether sufficient human resource/capacity is allocated
- Whether the C/P, designated organizations and upper level governmental offices intend to institutionalize the project model through dissemination
- To understand inter-departmental power relation (by region and by sector) and decision-making mechanism within the governmental entities
- Whether the local government understands the need of communities properly, and whether there is a democratic channel to convey these voices to upper level of the government

② Project formulation stage

**【Significance of the pilot project and an exit strategy】**

- It is important to state the concept of pilot projects and the number of target areas in documents such as memorandum, official letters or notices shared among related organizations, in addition to R/D and PDM.
- Set objectives of the pilot project and incorporate an exit strategy into a project design including examination of financial sources after completion of the project.
- For projects that aim to spread a model case to other areas, it is important to establish a model that is feasible with the country's existing budget/human resources/capacity.
- Sustainability can be enhanced when the activities to strengthen existing systems by utilizing the knowledge and lessons learnt from the process or results of pilot projects were incorporated in the project design.

**【Selection of the pilot project sites】**

- Pilot project sites should be selected carefully upon discussion with C/P agencies by setting the criteria matched with the project purpose. For example, in the case of Thailand (4), appropriate sites matched with the project purpose were selected based on an agreement with C/P by setting criteria that include the needs of target local governments, compatibility between the sector requested and the scheme which the project introduced, possible problems like land-title issues.
- When there are too many pilot project

sites, the smooth progress of the project may be hindered due to time loss caused by travel and too much workload to run the pilot project. This leads to negligence of consolidation of the system or lack of attention to capacity development.

**【Implementation system of the pilot project】**

- In a project which requires collaboration among related organizations (various organizations or various departments within an organization), the project management can become effective by setting up a task team (e.g. a project management committee, cross-sectoral taskforce) which led by a leader whose official position/rank is higher than the head of other organizations. It is crucial that superior authorities provide strict orders to the taskforce members for attendance and emphasize the importance of the taskforce meetings. Otherwise, always only substitutes participate in the meeting and it may cause meaningless discussions.

**【Implementation approach of pilot project toward its dissemination】**

- When certain authority is divided between the central and local level or when certain authority is partly delegated to the local level, use of the existing chain of commands is relatively effective to implement a pilot project, to establish a model, and to spread the model nationwide. For example, in the case of Laos (21, 22) and Dominican Republic (18), pilot projects at the local level were planned, implemented and disseminated in accordance with the national development



plans. In the case of Honduras (14, 15), the project was designed based on the authority devolved from the central to local governments. Phase 1 (14) was planned to develop a model case and Phase 2 (15) was planned to disseminate the model nation-wide.

- In highly decentralized countries, horizontal dissemination approach among the actors at the local level sometimes can be effective when there are little commitments from the upper level to the lower level of governmental hierarchy. This approach is to promote horizontal dissemination and to strengthen the actors/frameworks that include, for example, collaboration among local governments, in governor/mayor meetings and local government associations. Introduction of systems for sharing good practices and encouraging competition among local authorities/offices is an effective approach. (For example, collaboration among local governments in the cases of 14 and 15, knowledge community in the case of 19 and the nationwide “kaizen” contest in the case of 20.) (Refer to JICA’s “Handbook for local government assistance in collaboration with communities”, pp 76-78, regarding horizontal dissemination approach)

**【Review/presentation/sharing of the effects of the pilot project】**

- Some pilot projects are implemented in order to prove the effectiveness of the model and demand policy reforms to stakeholders and policy-makers. It is important to involve these requirements in the project strategy in designing the

project.

- It is important to incorporate a monitoring system in an implementation system at project site in order to extract and share the lessons through workshops after the project. Setting appropriate indicators such as comparison of capacities before/after the project is necessary for measuring the training impacts of the pilot project.

### ③ Project implementation stage

**【Understanding of pilot project and sharing of the outcomes】**

- Introduction of new approach can be promoted through expanding supporters by dispatching trainees from one pilot project site or one relevant department. (4,5 and 19)
- When the recipient country has a centralized government system (6), It is necessary to provide opportunities for central government officials to visit the project sites and understand the current situation. In the case of Chile (19), training programs in Japan and the pilot projects involved the inter-organizational activities like group works among the participants from central/municipal governments and communities (ex. manufacturer association). It could bring about strengthened collaboration among the relevant authorities through the central government's experience in assisting regional development upon acquiring local needs and status.
- In the case of Chile (19), project could utilize the lessons learned from pilot projects for ministries'

		establishment/improvement of their legal/institutional frameworks. It was achieved by adding activities for strengthening collaboration among governmental organizations as the results of pilot project analysis.
	Expected effects	Feasible and achievable projects will be formulated /planned/implemented.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Indonesia	Sulawesi Capacity Development	Terminal evaluation
2	Indonesia	Improvement of District Health Management Capacity in South Sulawesi Province Phase 2	Terminal evaluation
3	Cambodia	Capacity Development of Provincial Rural Development in Northeastern Provinces	Terminal evaluation Ex-post evaluation
4	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Terminal evaluation
5	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Mid-term review
6	Nepal	Gender Mainstreaming and Social Inclusion	Terminal evaluation
7	Pakistan	Improvement of Public Administration for Local Governments in Punjab	Terminal evaluation Ex-post evaluation
8	Papua New Guinea	The Integrated Community Development Project for the Settlement Areas in National Capital District	Terminal evaluation
9	Papua New Guinea	Integrated Community Development	Terminal evaluation
10	Philippines	Capacity Enhancement Program of Metropolitan Iloilo-Guimaras Development Council (MIDC) and Banate Bay Resource Management Council Inc. (BBRMCI)	Terminal evaluation Ex-post evaluation
11	Bhutan	Local Governance and Decentralization Project Phase 2	Terminal evaluation
12	Bhutan	Local Governance and Decentralization	Terminal evaluation

		Project Phase 3	
13	Bulgaria	Kazanlak Area Revitalization	Terminal evaluation Ex-post evaluation
14	Honduras	Capacity Development in the Western Region	Preliminary study Terminal evaluation
15	Honduras	Strengthening of the Capacity Development of the Local Governments for Regional Development	Mid-term review
16	Colombia	Strengthening Institutional Capacity of Local Governments to Support Displaced Persons in Colombia	Terminal evaluation
17	Guatemala	Capacity Development of Local Governments	Mid-term review
18	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-term review
19	Chile	Local Government Capacity Building for Regional Industrial Development Projects in Chile	Terminal evaluation
20	Bangladesh	Improving Public Services through Total Quality Management	Mid-term review
21	Laos	Enhancing Capacity in Public Investment Program Management	Ex-post evaluation
22	Laos	Enhancing Capacity in Public Investment Program Management Phase2	Terminal evaluation

<b>Note</b>	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge lesson sheet		
Local governance 15	Country/Region	Formulating/Planning/Implementing local governance projects in countries/regions where sector-wide programs or other donors' projects in the governance sector are being planned or implemented

Lessons learned (Things to be considered/applied)		
Type of lessons learned	Country/region-specific lessons learned	
Key words	Sector-wide approach, sector-wide program, donor coordination, modality, Alignment, Basket fund, pool fund	
Applicable cases	Lessons learned (Countermeasures)	
In countries/regions that plan/implement sector-wide program or other donors' projects in governance sector	Timing of application	Project formulation stage Project planning stage Project implementation stage
	Countermeasures (Approach)	When formulating/planning/implementing local governance projects in country/region that plan/implement sector-wide program or other donors' projects in governance sector, avoid or take advantage of the country/region-specific risks.  ① <u>Basic information to be collected upon project formulation</u> <ul style="list-style-type: none"> <li>Check the level of donors' involvement in formulation of national development plans and sector plans. Check how well the donors' assistance aligns with above strategies/plans. It is important to distinguish what the recipient country really want to implement in the governance sector and what are intentions of donors by analyzing the trend of decentralization policy and the</li> </ul>
Risks (where no countermeasures are taken)		
<p><b>【Feasibility of sector-wide program】</b></p> <ul style="list-style-type: none"> <li>If the project is formulated in consideration of the high order sector-wide program, make sure that the goal of the high order programme is not too ambitious and that the progress is on time.</li> </ul>		

**【Overlapping of assistance】**

• Avoid overlapping of assistance with other donors. Aim for producing synergistic effects in coordination with other donors.

**【Project formulation/planning/ implementation in light of other donors' assistance】**

• Relevance, efficiency, effectiveness, impact and sustainability of a JICA project may be enhanced by adjusting them in accordance with the high order sector-wide program's goals/outcomes/monitoring system.

• If other donors are providing assistance in the same area, it may be difficult to independently measure the outcome of a JICA project.

priority of donor assistance in the country.

• Check the rules of assistance (e.g. utilisation level of country system regarding funding, predictability of budgeting).

• Check assistance modality dominant in the country, harmonization and trends of sector donors (e.g. presence or absence of SWAp/sector basket funds and bilateral technical assistance).

• For lessons related to formulation/planning of technical assistance projects under the framework of sector-wide program, Zambia's terminal evaluation report (Reference project 1 pp. 35-46) is worth reading. Although Zambia's project was formulated as a part of the high order sector-wide programme, after Zambian government decided not to implement decentralization policy as planned, the project was forced to make drastic revisions. In Tanzania's projects (7 and 8), which assisted to develop a training system for local officers under ambitious sector-wide program, authority to manage personnel matters was never decentralized as planned, compelling donors to terminate their programmes without producing much effect. This resulted in a half-build training system, which was far from reference projects 7 and 8 initially aimed to

establish.

② Points to consider upon project planning

- In countries highly dependent on foreign assistance, it is often the case that government agencies and governance are intricately influenced by donors' assistance trends. It is therefore important to determine whether the objectives of the country's governance policies and programs are merely to make the donor happy, or whether it has a genuine potential to deliver better services suited to the needs of the community, which JICA is willing to provide technical assistance.
- In case the sector-wide program has not yet been implemented upon project planning, design the project in a way that the project purpose can be achieved without the sector-wide program. (1)
- It is vital to allocate appropriate human resources for attending donor meetings and coordinating with other donors. Also, it is essential to strengthen collaboration between the JICA field office and the project experts and in order to coordinate with the high order sector-wide program and to appropriately deliver project-related messages in donor meetings.
- When setting the project purpose, outputs and their indicators, it

		<p>is important to clarify the range covered by the common monitoring system, the range covered by the monitoring system of the sector-wide programme, the range covered by the project's own monitoring system and the timing of each monitoring.</p> <p>③ <u>Points to consider during project implementation</u></p> <ul style="list-style-type: none"> <li>▪ If a governance sector program starts during implementation of JICA project, it is important for JICA to clarify the priority of JICA project and to show the way to align it with the sector program clearly. (4 and 5)</li> <li>▪ It is important to increase the effect of the JICA project by taking advantage of other donors' assistance (e.g. scaling up JICA's training program by making use of funds from sector basket or from other donors. (3,5 and 6)</li> </ul>
	Expected effects	Based on the size of other donors' assistance in the country/region, analyse constraints/risk factors, and prepare countermeasures to avoid/utilize them from the early stage of the project. As a result, effectiveness of the project will increase while keeping risks to a minimum.

*\*Numbers in parenthesis indicate reference project numbers.*



Reference : Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Zambia	Capacity Development for Provision of Decentralized Services	Terminal Evaluation
2	Cambodia	Improvement of Local Government Administration	Terminal Evaluation Ex-Post Evaluation
3	Cambodia	Capacity Development for Implementing the Organic Law at Capital and Provincial Level	Mid-Term Review
4	Nepal	Gender Mainstreaming and Social Inclusion	Terminal Evaluation
5	Nepal	Project for Strengthening the Monitoring and Evaluation System in Nepal Phase 2	Terminal Evaluation
6	Bhutan	The Local Governance and Decentralization Project Phase 2	Terminal Evaluation
7	Tanzania	Capacity Development for Local Government Training	Terminal Evaluation
8	Tanzania	Capacity Development for Local Government Training Phase 2	Ex-ante evaluation

<b>Note</b>	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge lesson sheet		
Local governance 16	Country/Region	Points to consider when changes of political administrations or regimes have a relatively large impact on local governance projects

**Lessons learned (Things to be considered/applied)**

Types of lessons learned	Country/region-specific lessons learned
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Key words	political factors, a change of political administration, Regime change, Elections, implementing agency, project period, institutionalization
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Applicable cases	Lessons learned (Countermeasures)	
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<p>In the case where the result of elections and change of political administration would have great impacts on the developmental policies, administrative system, and personnel management such as transfer and promotion.</p>	<p>Timing of the application</p>	<p>Project formulation stage Project planning stage Project implementation stage</p>
	<p>Countermeasures (Approaches)</p>	<p>When formulation, planning, or implementing local governance projects in country/region where the changes of political administrations or regimes affects local governance projects relatively in large scale, avoid or take advantage of the country/region-specific risks.</p> <p>Elections and political related issues are mostly external conditions and out of the project's control. In such cases, it is important to prepare countermeasures for those risks at the project formulation stage.</p> <p>① <u>Timing of the projects start</u></p> <ul style="list-style-type: none"> <li>▪ It is important to determine the timing of the start of the project carefully since the result of elections and change of administrations may cause delay the start or implementation of the project. On the contrary, newly</li> </ul>
Risks (where no counterpart measures are taken)		
<p><b>【Reconsideration or termination of the project at the planning or implementation stage】</b></p> <ul style="list-style-type: none"> <li>▪ There are risks that abolish or terminate the project at the planning or implementation stage because of the result of elections or change of political administrations. On the</li> </ul>		

contrary, it could turn out to be chances to gain support from the new politicians and administration for the project.

**【Selection of the proper implementing agency】**

• There is a risk that achievement of the project purpose and outputs is inhibited, if a drastic change of personnel or significant reorganization are caused by the result of elections and change of political administration.

**【 Setting the appropriate project implementation period and corporation approach】**

• Even if the cooperation approach is selected appropriately, in the case where a large part of the target group is replaced, the achievement of the project purpose and outputs will be inhibited.

**【 Enhance the sustainability】**

• Without selecting a permanent agency as the C/P and institutionalizing the system introduced by the project, high sustainability cannot be expected.

elected politicians and new administration may support the projects start.

② Selection of the project implementing agency

• It is important to select a less vulnerable organization affected by the result of elections or change of political administration easily such as the Association of the Cities in the Central American countries.

③ Setting the project implementation period and timing of the project activities

• When project activities flow ‘training → formulation of development plans → delivery of public services’, it is important to set the project schedule such as not to be divided by the elections and change of administration.

• In the case of Honduras (Reference project 6), the project scheduled to implement the first phase before the national elections, and start the second phase after the national elections. In this way, the project (6) was able to prove the fairness, transparency, and independence of the participatory approach implemented under two different political administrations.

④ Institutionalization of the project outcomes

• In order to avoid that the results of the cooperation are affected by the

<p>【Identification of risks and external conditions】</p> <ul style="list-style-type: none"> <li>Preconditions, risks and external conditions of the project cannot be identified properly.</li> </ul>		<p>change of administration, it is important to incorporate the activities and outputs in the project design, which leads to institutionalization of the project outcomes as a form of ordinances or standard operations. (5、8)</p> <p>⑤ <u>Utilization of the political factors</u></p> <ul style="list-style-type: none"> <li>By grasping the policies, priorities, channels of decision-making, and the key stakeholders of the current/next administration of the recipient country, hold dialogues with the government officials on their development needs and areas of interests in response to the needs of the time. It could be one of the measures internalizing the external conditions, which lead to effective assistance.</li> <li>It is also effective to use leadership of the political leaders and the heads of the organizations.</li> <li>By conducting joint trainings for local officers, chiefs and legislators of local governments, the private sector, and community people, a network among trainees can be built and it increases the feasibility of the flow of activities such as ‘ training → formulation of development plans→delivery of public services’ .</li> </ul>
	<p>Expected effects</p>	<p>The outcome of the project can be high while keeping risks to a minimum by taking advantage of political features or avoiding political risks in the</p>

		recipient country based on the analysis at the early stage of project planning.
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*\*Numbers in parenthesis indicate reference project numbers.*

Reference : Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Indonesia	Improvement of District Health Management Capacity in South Sulawesi Province Phase 2	Terminal evaluation
2	Tanzania	Strengthening Participatory Planning and Community Development Cycle for Good Local Governance	Terminal evaluation
3	Bulgaria	Kazanlak Area Revitalization	Ex-post evaluation
4	Papua New Guinea	Integrated Community Development	Terminal evaluation
5	Honduras	Development Capacity Building in the Western Region of Honduras	Preliminary study
6	Honduras	Strengthening of the Capacity Development of the Local Governments for Regional Development	Mid-term review
7	Guatemala	Capacity Development of Local Governments	Mid-term review
8	Dominican Republic	Capacity Development for Efficient Planning and Development Management in the Province of Dajabon	Mid-term review
9	Bangladesh	Improving Public Services through Total Quality Management	Mid-term review

<b>Note</b>	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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Knowledge lesson sheet		
Local governance 17	County/Region	Points to consider when central agencies or political parties have a relatively strong control over local governance projects

Lessons learned (Things to be considered/applied)

Type of lessons learned	Country/region-specific lessons learned
Keywords	central government, political parties, control, centralized, top-down, decentralization, institutionalize

Applicable cases	Lessons learned (countermeasures)	
When a governance project is formulated/planned/implemented in a country/region where decentralization and local governance are tightly controlled by the central government or political parties	Timing of application	Project formulation stage Project planning stage Project implementation stage
	Countermeasures (Approach)	When formulating, planning, or implementing local governance projects in country/region where decentralization and local governance are tightly controlled by the central government or political parties, avoid or take advantage of the country/region-specific risks.
<b>Risks (where no countermeasures are taken)</b>	<p>In countries/regions where the Ministry of Home Affairs has strong authority over local governments, the decentralization process tends to progress gradually. In countries where one political party monopolize political authority, it is important to remember the fact that the nation's supreme decision-making body may be the party's convention instead of the government.</p> <p>In either case, the level of</p>	
<p><b>【Delay of activities】</b></p> <ul style="list-style-type: none"> <li>The project may not progress as planned if it is predicated on the establishment of a new legislation</li> </ul> <p><b>【Project formulation/planning/implementation based on the political characteristics】</b></p>		

• Top-down system may either facilitate or hinder the progress of a project. Efficiency, effectiveness and sustainability can be maximized by avoiding constraints/risks as much as possible while taking advantage of political characteristics.

decentralization will be highly dependent on the will of the Ministry of Home Affairs or dominant party. Although there is a potential risk of regime change, the central-local government relationships under the centralised system is deemed to be relatively stable, for so long as the regime is stable.

① Gradual decentralization

• It takes time to alter administrative systems or to pass a law than estimated. Even if requested from the recipient country, it is highly risky to assume the establishment of a new system or the passage of an unestablished legislation when designing the project. Therefore, it is important to develop countermeasures in case the new legislation remains unestablished even after the project start. Such countermeasures include: (i) prepare alternatives; (ii) separate projects into phases (e.g. implement the second phase when the new legislation is established).

② Utilize the top-down system

• When the decision-making process are in a top-down style, there is a high potential that projects which aim to establish either a system or a process of

'pilot project, modelling and dissemination' will be carried out effectively and efficiently.

③ Utilizing local consultants who may act as a buffer for the top-down system

- By utilizing the country's university personnel or experts of certain fields as local consultants, the pilot projects and the standard operating procedures (SOP) may be ameliorated through addition of the consultants' academic/technical aspects. In addition, they can be expected to play a role of a buffer in the relationship between local municipalities and C/P organizations which practise top-down approach. (4 and 5)

④ Note the gap between the laws and the actual operation

- In countries/regions that have a long maintained centralized system or totalitarian regime, the idea of decentralization may be a mere formality written in laws and left untranslated into reality, even if the country is in the process of decentralization. For projects that utilize the existing system to plan projects, deliver administrative services, or to collaborate with community



		members, examine the legislation of interest while also assessing its actual practice.
	Expected effects	The outcome of the project can be high while keeping risks to a minimum by taking advantage of political features or avoiding political risks in the recipient country based on the analysis at the early stage of project planning.

*\*Numbers in parenthesis indicate reference project numbers.*

Reference: Projects from which lessons were learned

No.	Country	Title of the project	Type of reports
1	Ethiopia	Strengthening Multi Sectoral Planning and Budgeting Capacity in Oromia Region	Terminal Evaluation
2	Cambodia	Improvement of Local Government Administration	Terminal Evaluation Ex-Post Evaluation
3	Cambodia	Capacity Development for Implementing the Organic Law at Capital & Provincial Level	Mid-Term Review
4	Thailand	Capacity Building for Local Authorities through Local Public Services Standards and Local Cooperation	Terminal Evaluation
5	Thailand	Capacity on Local Public Service Provision through Local Coordination and Cooperation	Mid-Term Review
6	Laos	Capacity Building on PIP Management	Ex-Post Evaluation
7	Laos	Enhancing Capacity of Public Investment Program Management	Terminal Evaluation

<b>Note</b>	The knowledge lessons of “local governance” were learned from the projects which aim to develop local government systems or capacity of local-level officers in general. Projects which aim to improve the service delivery of specific sectors such as health and education were not covered by this study.
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