

Part 1 ■ Overview



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As a consequence of recent domestic and overseas trends in ODA as well as moves toward administrative reform in Japan, there are growing calls for greater effectiveness and efficiency in the execution of JICA cooperation and transparency and accountability in its operations and management. Amid these changes, more importance than ever is now attached to the roles of evaluations as a means of ensuring results-based management and improving quality of JICA cooperation as well as securing more transparency and accountability.

In response to these movements, JICA has taken steps to expand and enhance its evaluation and improve its system for making evaluation results public. The steps include the introduction of a constant evaluation system from the ex-ante to ex-post stage, expanding the coverage of evaluation, promoting evaluation from third parties' perspectives and enhancing the disclosure of evaluation results. With its reorganization into an Independent Administrative Institution on October 1, 2003, JICA has stepped up all these efforts further.

This chapter describes the recent trends in ODA evaluation both at home and abroad and the implications of JICA's reorganization. Subsequently, it outlines JICA's evaluation activities, such as efforts on evaluation, and evaluation framework and methods.

Chapter 1 ● Recent Trends in ODA Evaluation and JICA's Efforts on Evaluation

1-1 Recent Trends in ODA Evaluation

(1) Trends in the International Community

In the 1990's, many aid agencies in industrial countries introduced "Results-Based Management"¹ in response to movements toward higher aid effectiveness and growing public calls for accountability. The orientation for results has also been reflected in the international sharing of development goals and joint efforts to achieve them. The trend has led to the introduction of a monitoring and evaluation system in a series of development initiatives, including "The DAC New Development Strategy"² in 1996, the World Bank's proposals of a "Comprehensive Development Framework" (CDF)³ and "Poverty Reduction Strategy Papers" (PRSP)⁴, and the Millennium Development Goals (MDGs)⁵ adopted at the United Nations Millennium Summit in 2000.

Under "Results-based Management," monitoring and evaluation are recognized as indispensable management tools for accomplishments of goals and effective implementation of projects. The countries that have compiled PRSPs,

for instance, have set up an administrative section in charge of monitoring and evaluation and are conducting regular monitoring of performance with participation of major aid agencies and international organizations. Efforts are also under way for joint evaluation by partner countries and donor countries concerning the effectiveness of both national-level and sector-level cooperation. Progress in the effort to achieve the Millennium Development Goals is also being

- 1) A management strategy focusing on performance and achievement of outputs, outcomes and impacts (OECD/DAC Glossary of Key Terms in Evaluation and Results-Based Management).
- 2) A development strategy adopted in DAC's 34th high-level meeting in 1996. The strategy sets seven international development goals based on discussions at various international conferences and called for greater emphasis on developing countries' ownership, partnership and consistency of the policies for the achievement of the goals.
- 3) The CDF is based on the notion that sustainable growth and poverty reduction require a comprehensive strategy encompassing structural, human, economic and other elements as well as macroeconomic policies.
- 4) PRSP, introduced to flesh out the CDF, is a three-year comprehensive economic and social development plan for poverty reduction to be drawn up by the governments of developing countries with broad participation of aid community and the private sector, NGOs and other parties concerned. Heavily indebted poor countries and countries eligible for the International Development Association (IDA) programs are required to compile PRSPs in order to receive debt relief or IDA loans.
- 5) A set of eight goals and 18 targets concerning poverty reduction, basic education, gender equality, health and medical care, environmental protection and other objectives to be achieved by 2015.

monitored at both the international and country levels. Global progress on MDGs is described in the UN Secretary-General's global reports, while country-level progress is monitored in MDGs reports for individual partner countries.

(2) Movements in Japan concerning ODA Evaluation

The international trends toward a results-based management and the harsh economic and fiscal situations at home have generated strong calls in Japan for more effective and efficient implementation of development assistance. The government has accelerated ODA reform in an attempt to obtain understanding and support from taxpayers and secure a strategic focus, flexibility, transparency and efficiency in operation and management.

Enhancement of evaluation is one of the main pillars of the government's ODA reform. The proposals of various advisory councils and the government's policy measures concerning ODA reform contain steps for improving the implementation of evaluation, feedback of evaluation findings for better planning and implementation of ODA and the disclosure of evaluation results.

The "Final Report" by the Second Consultative Committee on ODA Reform submitted in March 2002 proposed a set of concrete steps for ODA reform with special emphasis on public participation in ODA, transparency and efficiency. Concerning the issue of evaluation, the report called for expansion of information disclosure, promotion of evaluation by third parties toward greater transparency as well as further improvement in evaluations for constant review of the implementation system. The "Fifteen Specific Mea-

asures for ODA Reform" announced in July 2002, which were developed based on the Committee's proposals, cited evaluation as one of the five priority areas that should be tackled swiftly, recommended such specific steps as reinforcement of ex-post evaluation incorporating independent reviewers' viewpoints, strengthening of the roles of the Advisory Committee on Evaluation composed of external experts, and holding of open seminars to publish evaluation results for better feedback.

Political parties have also started addressing the issue of ODA evaluation. In December 2002 the Liberal Democratic Party announced "Concrete Measures for ODA Reform," taking up the issue of evaluations and feedback from evaluation results.

Taking account of these discussions over ODA reform and evaluation, the Council of Overseas Economic Cooperation-related Ministers revised Japan's ODA Charter in August 2003. The revised Charter added "enhancement of evaluation" to the list of measures needed for effective implementation presented in Chapter 3 as "Matters Essential to Effective Implementation".

As the "Government Policy Evaluation Act", which sets rules for assessing policies implemented by administrative organizations, came into force in April 2002, the ODA has also been obliged to evaluate. The ex-ante evaluation of ODA policies as prescribed by the Act was formally introduced in April 2003 after a preparatory period for working out the evaluation method. As JICA and Japan Bank for International Cooperation (JBIC) have already launched ex-ante evaluation since FY2001, this completed the ex-ante evaluation system in ODA for both policy and implementation level.

(3) JICA's Reorganization into an Independent Administrative Institution and JICA's Efforts on Evaluation

The reorganization of JICA into an Independent Administrative Institution (IAI) was endorsed by the Cabinet in December 2001 as part of the "Reorganization and Rationalization Plan for Special Public Institutions". Since October 1, 2003, the new JICA, operating under the IAI system, has been required to make its operation more results-oriented and efficient to achieve the mid-term objective set by the Government and also to ensure the transparency of its management by publishing the implementation processes and results of its projects. JICA is subject to the government's performance evaluation in terms of achievement of the mid-term objectives (BOX 1).

Major Proposals Concerning Enhancement of Evaluation

- 1998 The Final Report of the "Committee on ODA Reform for the 21st Century"
- 2000 "Final Report on Improvements to the ODA Evaluation System" by the ODA Evaluation Reviewing Panel
- 2001 "Report of the ODA Evaluation Study Group"
- 2002 The Final Report of the "Second Consultative Committee on ODA Reform"
"Fifteen Specific Measures for ODA Reform",
by The Ministry of Foreign Affairs
"Concrete Measures for ODA Reform" by the
Liberal Democratic Party's Working Team
on ODA Reform

BOX 1 Performance Evaluation of an Independent Administrative Institution

1. What is the Independent Administrative Institution System?

The Japan International Cooperation Agency (JICA) was reorganized into an Independent Administrative Institution (IAI) on October 1, 2003. The IAI system, established in April 2001 in line with the proposals made by the Administrative Reform Council in its final report published in December 1997, is designed to provide more efficient and effective administrative services. An outline of this system is given below.

■ In order to separate clearly the authorities and responsibilities of each IAI from those of the competent minister of state (Minister of Foreign Affairs for JICA) and thereby ensure that both competent ministry and IAI perform their undertakings at maximum efficiency the following system was introduced:

- (1) The government sets objectives for each IAI to accomplish, conducts ex-post evaluations of the IAI's performance in terms of achievement of the objectives, and holds the president of the IAI accountable for unsatisfactory performance.
- (2) The autonomy of IAI's operation must be respected with regard to achievement of the pre-set objectives by the competent minister. The minister's control on the IAI's management is limited to the minimum necessary and defined clearly in the law. The authorities and responsibilities of the IAI are clearly separated from those of the minister so that the institution can maintain autonomy in its operations.

■ In addition to regular review of the organization and operation to scrap unnecessary sections and operations, each IAI is subject to periodical review to decide whether it should be allowed to continue operating as a public body, or privatized, or dismantled.

■ Increased transparency of each IAI's management through the introduction of corporate accounting principles and information disclosure.

(from the "Reorganization and Rationalization Plan for Special Public Institutions" approved by the Cabinet on 19 December 2001)

2. Evaluation of IAI's Performance

The competent minister of state presents "mid-term objectives" for each IAI, which are management targets the IAI must accomplish usually within three to five years. Based on the given objectives the IAI is required to draw up a "mid-term plan" to achieve these objectives and request the minister for approval. The IAI also has to craft an "annual plan" for each fiscal year based on the "mid-term plan" and submit it to the minister. The IAI is supposed to operate autonomously under this framework prescribed by the law, while IAIs are subjected to periodical performance evaluations by external committees. The performance evaluation mentioned here is not evaluation on individual programs and projects carried out by the IAI itself. Instead, it is an overall assessment of the institution's entire operations and management, including the financial, organizational and personnel management aspects, from the viewpoint of progress in its effort to boost the efficiency and quality of its operations based on the mid-term objectives and the mid-term plan.

In performance evaluation, the "Evaluation Committee for Independent Administrative Institutions (the Evaluation Committee)" in each ministry assesses the IAI's performance concerning the following points (see the Note below) with objective evaluation criteria. The results of the Evaluation Committee are to be conveyed for double checks by the "Commission on the Policy Evaluation and Evaluation of IAIs" established in the Ministry of Public Management, Home Affairs, Posts and Telecommunications.

(Note) Components of IAI Performance Evaluations

- ① Evaluation of performance in each fiscal year
 - Examination and analysis of the implementation of the mid-term plans in each year
 - Rating of the overall performance
- ② Evaluation of performance concerning mid-term objectives
 - Examination and analysis of the progress toward achieving the objectives
 - Rating of overall performance

The results of performance evaluation are to be reflected, as appropriate, in mid-term objectives, mid-term plan and annual plan in the future as well as in IAI's organizations, operations and personnel affairs. The Evaluation Committee has the authority to make recommendations for improvements in operations and other purposes to IAIs as well as to perform evaluations. Both evaluation results and recommendations by the committee are made public.

Performance evaluation under the IAI system is supposed to cover the entire operation and management of the IAI including the organizational, personnel and financial aspects. Achieving the strong performance as an organization requires achievement of project goals in each individual project. In this sense, evaluations of programs and projects as a means to improve project planning and execution for higher efficiency complement performance evaluation.

In response to these developments both at home and overseas, JICA has made serious efforts to improve and expand evaluations of programs and projects. In particular, the new JICA has set six strategic fields to extend its effort to boost the effectiveness, efficiency and transparency of its operations. (These efforts will be described in detail through concrete examples in “Chapter 2: Toward Expanding and Enhancing Evaluation – Efforts in Six Strategic Fields.”)

Six Strategic Fields for Enhancing Project Evaluations

- ① Establishing a consistent evaluation system
- ② Expanding coverage of evaluation
- ③ Reinforcing the evaluation system and capacity
- ④ Developing and improving evaluation methods
- ⑤ Promoting evaluation by third parties
- ⑥ Enhancing disclosure of evaluation results

JICA intends to make further attempts to upgrade and strengthen its evaluation as an important means to make its management and operations more effective and efficient while seeking wider public understanding and support. That is a crucial part of JICA’s effort to fulfill its mission of contributing to the economic and social development, reconstruction of developing countries and promotion of international cooperation.

1-2 JICA’s Project Evaluation

(1) Definition and Objectives of JICA’s Project Evaluation

JICA’s evaluation is a tool for judging as objectively as possible the relevance and effectiveness of JICA’s cooperation activities at four different stages during the project cycle; ex-ante, mid-term, terminal and ex-post. The primary objective of evaluation is to improve the effectiveness and

efficiency of projects by using evaluation results for better planning and implementation. JICA also intends to gain public support and understanding by using them to ensure accountability.

JICA has been focusing its effort to bolster its evaluation with the following three objectives.

1) Using Evaluation Feedback as a Means for Project Operation and Management

By using them in decision-making process, JICA refers to evaluation results when formulating its aid strategies and JICA Country Programs. It also uses them when making decisions regarding project execution, selecting target projects, reviewing plans and determining the continuation or termination of a project.

2) Enhancing the Learning Effects of the Personnel and Organizations Concerned for More Effective Project Implementation

Lessons learned from evaluation help enhance learning effects for those concerned in various occasions. For instance, the lessons from past projects serve as useful reference for JICA staffs and officials of recipient countries when they plan and implement similar projects. Also, the evaluation process itself contributes to expanding the knowledge and developing the capacities of the people involved, and thus serves as a “learning process”.

3) Disclosing Information Widely to Secure JICA’s Accountability

Disclosing evaluation results to the public and explaining that JICA is fulfilling its responsibility for its undertakings is indispensable for winning public support and understanding. In order to ensure accountability to taxpayers, JICA needs to ensure adequate information disclosure.

(2) Targeted Level of JICA’s Evaluation

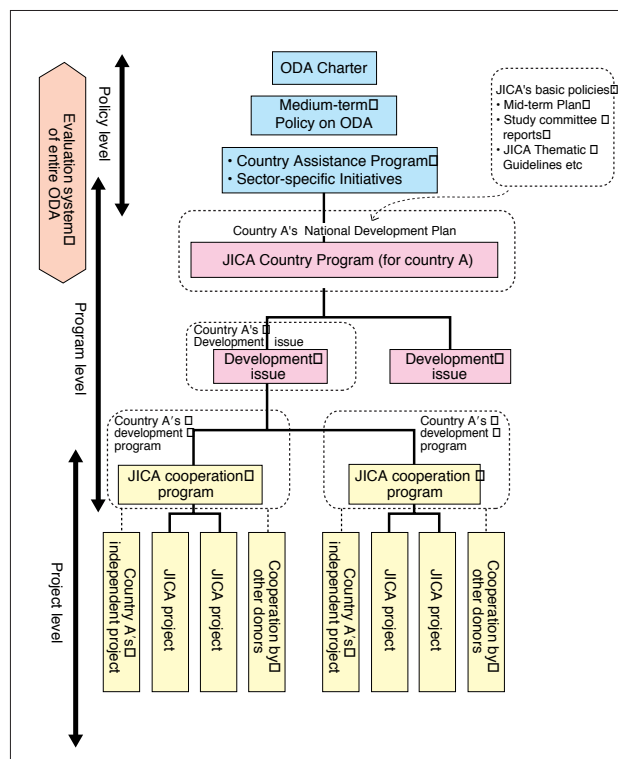
The Ministry of Foreign Affairs’ “Report on Improvement of ODA Evaluation System”, released in March 2000, classified ODA evaluation into three levels: policy-level, program-level and project-level. The report called for enhancement of policy- and program-level evaluation. JICA conducts program- and project-level evaluation (see Figure 1-1).

(3) Types of JICA Evaluation

● Project-level Evaluation

Project-level evaluation covers individual projects. This

Figure 1-1 ODA System and JICA Evaluation



type of evaluation, conducted by JICA's departments responsible for project implementation and overseas offices, is intended to be reflected in planning and reviewing individual projects, making decisions as to continuation of projects and revising project plans, planning and executing other similar projects and ensuring accountability into operations. Project-level evaluation is classified into four types conducted at different stages during the project cycle: ex-ante evaluation, mid-term evaluation, terminal evaluation, and ex-post evaluation (see Table 1-1).

● Program-level Evaluation

Program-level evaluation includes comprehensive evaluation applied to such groups of projects as those that share the same overall goal and development issues. It also directed at a set of projects under a specific cooperation scheme (see Table 1-2). These evaluations are principally conducted by the Office of Evaluation and Post Project Monitoring, in JICA at ex-post stages as country-program evaluation or thematic evaluation. The evaluation results are used mainly for improving JICA Country Program and finding and formulating new projects.

Table 1-1 Project-level Evaluation (by Stages During the Project Cycle)

Ex-ante Evaluation	Ex-ante evaluation conducted on a project requested by a recipient country. It first involves a study of the project to determine its necessity as well as its conformity with JICA Country Program. Details of the project and its expected outputs are clarified. Then, the relevance of the project is comprehensively examined and evaluated. In ex-ante evaluation, evaluation indicators are set and they are used to measure the effect of the project in subsequent evaluation, from the mid-term evaluation to the ex-post evaluation.
Mid-term Evaluation	Mid-term evaluation is conducted at the mid-point of projects. This evaluation aims at examining the achievements and process of the project, focusing on efficiency and relevance among the Five Evaluation Criteria. Based upon its results, the original project plan may be revised or the operation structure strengthened if necessary.
Terminal Evaluation	Terminal evaluation is performed upon completion of a project, focusing on its efficiency, effectiveness, and sustainability. Based upon the results of the evaluation, JICA determines whether it is appropriate to complete the project or necessary to extend follow-up cooperation.
Ex-post Evaluation	Ex-post evaluation is conducted after a certain period has passed since the completion of a target project with emphasis on the effectiveness and sustainability of the project. This evaluation aims at deriving lessons and recommendations for the improvement of JICA Country Programs and for the planning and implementation of more effective and efficient projects.

Table 1-2 Program-level Evaluation (by Evaluation Targets)

Country- program Evaluation	This comprehensive evaluation examines the overall effects of JICA's cooperation on the development of a targeted country across projects. After clarifying and analyzing the overall effects of JICA's cooperation and difficulties it faced, this evaluation derives lessons and recommendations for the improvement of future JICA Country Program of the country in question.
Thematic Evaluation	This evaluation looks at a number of projects, by focusing on specific sectors, issues (environment, poverty, gender, peace-building, etc.) or cooperation schemes (Japan Overseas Cooperation Volunteer Program, etc.). After clarifying and analyzing the overall effects and common impeding factors of JICA's projects of the issue in question, this evaluation derives lessons and recommendations for the implementation of future projects focusing on those themes. It also considers the effective approaches and methods to implement projects focusing on the specific theme.

Table 1-3 Type of Evaluation by Evaluators

Evaluation by Third Parties (External Evaluation)	In order to improve the quality and objectivity of its evaluation, JICA entrusts a certain portion of its evaluation studies to external third parties that were not involved in planning and implementation of the projects to be evaluated as well as those that have high expertise in the targeted fields for evaluation, such as universities, research institutions, academics, consultants, etc..
Evaluation by JICA (Internal Evaluation)	In order to derive lessons and recommendations that meet the actual condition or needs of recipient countries, this evaluation is conducted mainly by JICA with the knowledge of systems and other surroundings of a project or an issue. JICA also promotes the review of such internal evaluation results by the third parties (academics, journalists, NGOs, etc.) with expertise in development assistance and familiarity with JICA's undertakings to assure transparency and objectivity.
Joint Evaluation	This evaluation is conducted in collaboration with organizations in the target countries or with aid agencies of other donor countries. Joint evaluation with the partner countries is effective for sharing recognition with JICA on effects and issues about projects. It also contributes to leaning evaluation methods and improving the capacity of those countries in carrying out evaluation. This evaluation is effective in promoting mutual leaning of evaluation methods and aid coordination.

● Evaluation by Evaluators

JICA’s evaluation can be classified by evaluators as follows: “Evaluation by third party (external evaluation)”, “Evaluation by JICA (internal evaluation)” and “Joint Evaluation” (see Table 1-3).

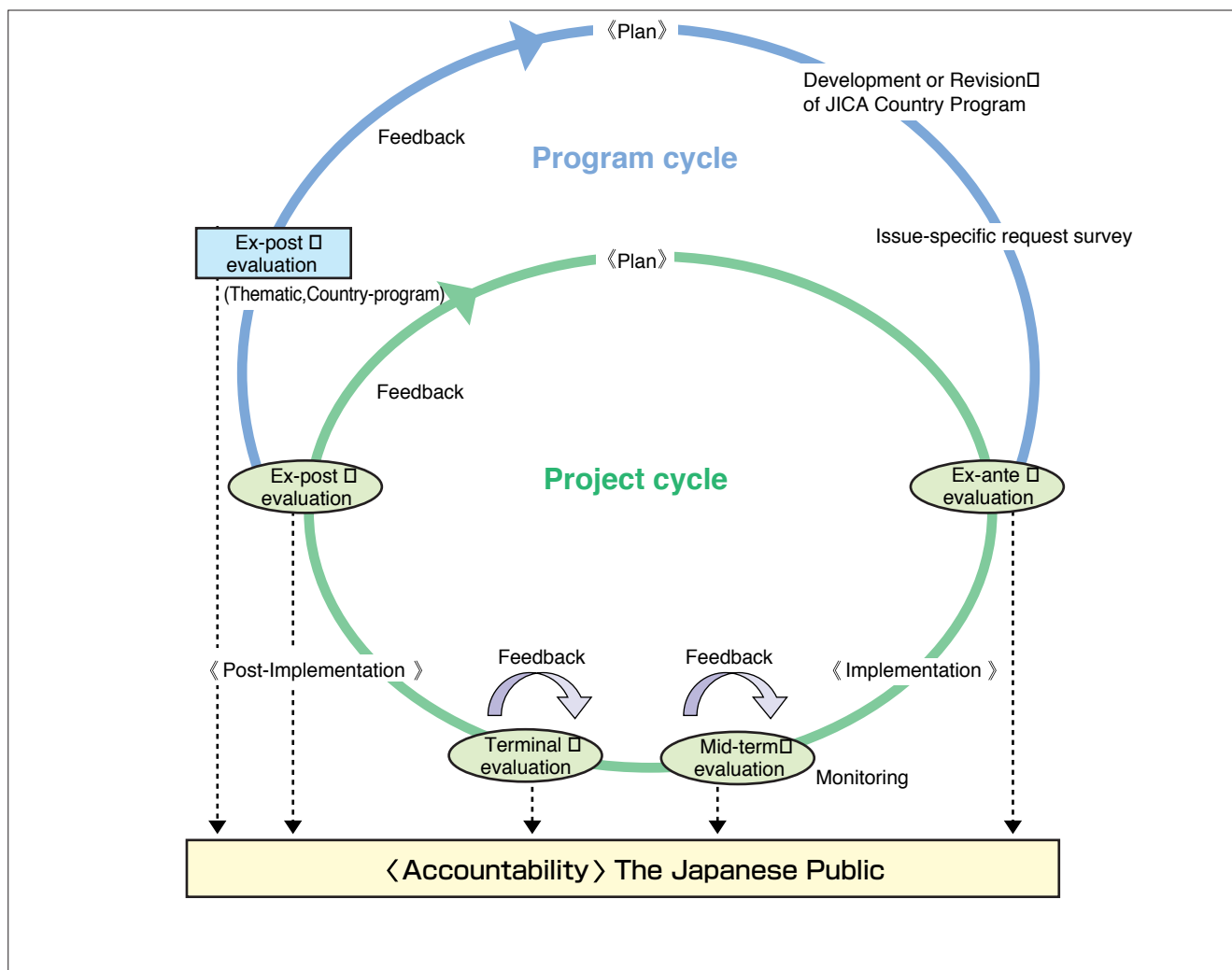
(4) JICA’s Management Cycles and its Evaluation

In considering the function of evaluation in JICA’s management cycle, it can be put in two different ways. JICA has the “small cycle” and the “large cycle” in its management as shown in Figure 1-2. The small cycle represents the management cycle of individual projects, where evaluations is used for effective management of projects. In so doing, an integrated process starting with the ex-ante evaluation is necessary, in order to establish a solid foundation for project monitoring and evaluation. Also, communicating feedback from evaluation results in the cycle of each project is crucial to review the project plan, improve the operating

approach as well as to plan and execute similar projects in the future.

The large cycle represents the management cycle at program-level. Individual projects belong to a specific cooperation program designed to solve larger development issues. The results of evaluations of individual projects and cooperation programs supplement each other in enabling aid operations to be more effective. Program-level evaluations can be performed by country, issue or sector. The results are to be used in formulating guidelines for each issue or sector as well as making improvements in the implementation of individual projects.

Figure 1-2 Evaluation Types by Stages during the Project Cycle



1-3 JICA's Evaluation Methods

This section describes the framework of JICA's evaluation on Technical Cooperation Projects. In evaluating other cooperation schemes such as those providing research service, JICA adopts evaluation methods suitable for the characters of each cooperation scheme. For evaluations of Japan Disaster Relief Program, Volunteer Program, JICA Partnership Program and Group Training Programs, JICA develops evaluation methods in line with each feature and implementation conditions and conducts evaluations using each framework.

(1) Evaluation Framework

In order to ensure the use of evaluation results as a means of project management which is one of the objectives of JICA Evaluation, such evaluation as simply assessing achievement of project purpose or rating performance is not enough. What is vital here is to draw lessons and produce recommendations through analyses of the factors affecting the project results and utilize them for improvements in the process.

Hence, JICA's evaluation framework is composed of three stages: ① studying and understanding the situation surrounding the project, ② assessing the value of the project by the Five Evaluation Criteria, and ③ drawing lessons and recommendations and feedback them for improvement.

(2) Evaluations Based on Logical Framework

A logical framework⁶ is a logically constructed table showing the causal relationships between plan and project goal(overall goal, project purpose) and the project implementation (outputs, activities, inputs) as well as important assumptions and other factors that influence the outcomes. In planning projects, JICA formulates a Project Design Matrix (PDM), a kind of logical framework indicating the relationships between causes and results. In evaluations on individual projects, JICA also uses a logical framework as a tool for grasping the details of plans and the causal relationships among related elements.

(3) Evaluation Methods

This section gives a brief description of the actual evaluation procedure based on the evaluation framework explained in (1). JICA's evaluation methods are described in greater detail in the "JICA Evaluation Guidelines," the second edition of which is to be published in February 2004. (in Japanese. English version is forthcoming.)

Figure 1-3 Example of Logical Framework (PDM)

Narrative Summary	Objectively Verifiable Indicators	Measures of Verification	Important Assumptions
Overall Goal Indirect/ long-term effects, impact on target society	Indicators to measure the achievement degree of overall goal.	Information resources of indicators to the left	Assumptions necessary for the effects of the project to be sustainable
Project Purpose Direct benefits to the target groups or society	Indicators to measure the achievement degree of project purpose.	Information resources of indicators to the left	External factors that must be satisfied to achieve the overall goal, but that retain uncertainty as to whether they would be satisfied
Outputs Services and results produced by activities	Indicators to measure the achievement degree of outputs.	Information resources of indicators to the left	External factors that must be satisfied to achieve the project purpose, but that retain uncertainty as to whether they would be satisfied
Activities Activities to realize outputs	Inputs Resources required for carrying out activities (human resources, funds, facilities and equipment, etc.).		External factors that must be satisfied to achieve the outputs, but that retain uncertainty as to whether they would be satisfied
			Prerequisite Conditions must be met before the beginning the project.

1) Grasping and Examining the Conditions of the Project

The first step in evaluation study for a project is to ascertain the project achievements, the implementation process and the causal relationships. In more concrete terms, what has been achieved in the project and how much degree has been achieved are examined. In addition, what is happening in the process of achievement and what kind of effects it has on the achievements are identified and analyzed. It is also necessary to analyze the causal relationships of project and effect, namely examining if the project really contributed to the achievement.

6) A logical framework (log-frame) is a management tool used to improve the design of interventions, most often at the project level (see the DAC Glossary of Key Terms in Evaluation and Results-based Management). The Project Design Matrix (PDM) adopted by JICA is an example.

2) Value Judgment about the Project in Terms of the Five Evaluation Criteria

The next step is to make value judgments about the project based on the information on the actual conditions of the project obtained through the above-mentioned procedure. For judging the value of projects, JICA has adopted the Five Evaluation Criteria (Relevance, Effectiveness, Efficiency, Impact, and Sustainability) proposed in 1991 by the Development Aid Committee (DAC) of the Organization for Economic Cooperation and Development (OECD). Figure 1-4 show the relations between the Five Evaluation Criteria and the logical framework.

● Relevance

“Relevance” relates to the legitimacy and appropriateness of aid projects. Primary attention is paid to such questions as whether the expected effects of the project (project objectives and overall goals) meet the needs of the intended beneficiaries and provide proper solutions to the problems and issues in the area or sectors concerned, whether the project is consistent with the partner country’s policies, whether the approach of the project is reasonable, and whether the project should be funded by ODA, or public money.

● Effectiveness

“Effectiveness” relates to the question of whether the implementation of the project has actually benefited (or will benefit) the intended beneficiaries and the target society.

● Efficiency

“Efficiency” is a criterion concerning the relations between the project costs and its outputs. The main ques-

tion asked to judge the efficiency of a project is whether the achievements degree of outputs can justify (or will justify) the costs (inputs), in other words, whether there was no alternative means that could have made the same achievements at lower costs, or whether it was impossible to make greater achievements at the same costs.

● Impact

In judging the “impact” of a project, the longer-term, indirect effects and ripple effects of the implementation of the project are studied. These include unpredicted positive and negative impacts.

● Sustainability

“Sustainability” is a criterion that examines whether the effects produced by the project have been sustained (or are likely to be sustained) even after the project completion.

3) Drawing Lessons and Recommendations for Feedback

Drawing lessons from the evaluation results and formulating recommendations for feedback to the people concerned is essential for necessary revision of the project plan in question and better planning of similar projects. In order to provide lessons and recommendations that can be easily applied, it is necessary to make clear the promoting and impeding factors that have affected the project and who should be feedback target of the lessons and recommendations.

Figure 1-4 Five Evaluation Criteria and Logical Framework

	Relevance	Effectiveness	Impact	Efficiency	Sustainability
Overall Goal	Conformity of Project Purpose and Overall Goal to the recipient country's needs at the time of evaluation	Degree to which achievement of Project Purpose is attributed to Outputs	Positive and negative influences that appeared directly and indirectly as a result of the project	Extent to which Inputs are effectively converted into Outputs	Extent to which benefits gained through the project are sustained even after completion of the cooperation
Project Purpose					
Output					
Input					

1-4 JICA's Evaluation System

(1) Development of JICA's Evaluation System

JICA has long been committed to improving its evaluation system. In July 1981, JICA set up the Evaluation Study Committee to deal with issues and challenges with its evaluation. The Committee has been leading JICA's effort to develop new approaches and techniques for better evaluation. In April 1988, the Office of Evaluation was set up within the Planning Department, as a unit specializing in evaluation. In April 1990, the Office was reorganized as the Evaluation and Post Project Monitoring Division, and then put under direct supervision of the President in October 1996 for greater independence of evaluations.

In January 2000, the Office of Evaluation and Post Project Monitoring was merged again with the Planning and Evaluation Department as a step to enhance the feedback of evaluation results for better project planning.

In an effort to ensure objectivity and transparency in evaluation, the Advisory Committee on Evaluation composed of external experts was established in June 2002 as an advisory body for the Evaluation Study Committee.

A further step to upgrade the evaluation system was taken in May 2003, when an evaluation chief was assigned to each of the departments and overseas offices directly involved in project management. The step is aimed at controlling and improving the quality of evaluation so that

evaluation can meet the needs and conditions at the forefront of aid operations. The evaluation chiefs' main responsibilities include quality control for project evaluations by their departments and offices and the promotion of evaluation feedback to those concerned. Also, in order to ensure the information sharing on evaluation within the entire organization, the "evaluation network" among the evaluation chiefs has been created. The network enables the evaluation chiefs to exchange information and opinions by using mailing lists managed by the Office of Evaluation and Post Project Monitoring.

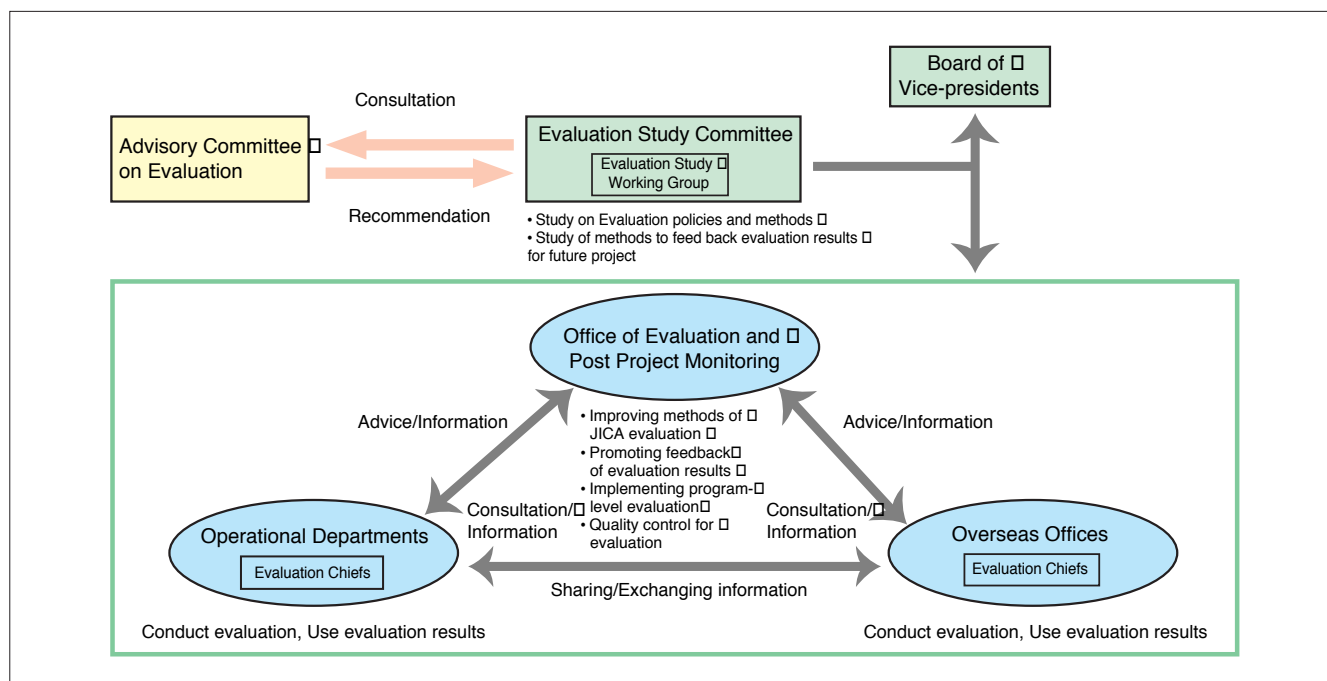
(2) Current Evaluation System and Roles and Efforts of Related Committees and Sections

JICA's current evaluation system involves four main parties: the Evaluation Study Committee, the Advisory Committee on Evaluation, the Office of Evaluation and Post Project Monitoring and the project implementation departments (departments and overseas offices responsible for project operation). The principal roles of the respective parties are described below (Figure 1-5).

1) Evaluation Study Committee

The committee is headed by the JICA Vice President in charge of planning and evaluation and is composed of managing directors of related departments. The committee examines and discusses JICA's basic evaluation policies as

Figure 1-5 JICA's Evaluation System



well as the methods for giving evaluation feedback. Under this committee, an “Evaluation Study Working Group” has set up to study, deliberate and report on related issues and problems.

2) Advisory Committee on Evaluation

This committee is made up of external experts (academics, NGO members, journalists, etc.) well informed about issues concerning development aid and evaluation. The Committee provides advice to the Evaluation Study Committee on evaluation systems and methods. It also reviews the results of internal evaluations to improve objectivity of the evaluations.

3) Office of Evaluation and Post Project Monitoring

The Office is responsible for planning and coordination for overall evaluation activities within JICA, including efforts to improve the evaluation methods and promote evaluation feedback. It also carries out ex-post evaluation such as country program evaluation and thematic evaluation. The Office supports and supervises evaluation activities by departments and overseas offices.

4) Departments and Overseas Offices Involved in Project Implementation

Departments and overseas offices involved in project implementation conduct ex-ante, mid-term, terminal, and ex-post evaluation of individual projects under their responsibility. These evaluation results are used in managing the projects and identifying the effects of projects. As mentioned above, the evaluation chiefs assigned to these departments and offices lead their efforts to improve the quality control for evaluations and evaluation feedback.

(3) Efforts of Fostering Human Resources for Evaluation

In addition to the establishment of a good evaluation system, building human resources with evaluation capacity is also essential for improving the quality of JICA’s evaluation. JICA has provided training programs for its staff both at its headquarters and overseas offices. In addition, JICA plans to introduce a new program to train newly-assigned evaluation chiefs. (Details of these programs are described in Part 1, Chapter 2-3 “Reinforcing the Evaluation System and Capacity.”)

(4) Feedback System

JICA regards the function of evaluation feedback as two-fold: 1) feedback for project management and operation and 2) feedback toward public.

1) Feedback for Project Management and Operation

Feedback for project management and operation involves a process of using evaluation results and lessons and recommendations obtained to improve the planning and implementation of projects. This type of feedback can be further classified into feedback to improve the decision-making process and learning process for the concerned parties.

Feedback to improve the decision-making process involves direct use of evaluation results in making decisions concerning the target project. In most cases, this process forms a part of the project management procedures by the department responsible for the project. For example, the results of the ex-ante evaluation serve as an important reference for deciding whether the project in question should be executed, while those of the mid-term evaluation are considered to decide whether to make a revision of the original project plan. Similarly, the results of the terminal evaluation are used to determine whether the project should be completed, extended or followed up with additional cooperation.

On the other hand, feedback for the organization’s learning process involves the accumulation of evaluation information and lessons by the people involved in development aid operations with the aim of using them in formulating, and planning similar projects and reviewing organizational strategies.

Specifically, feedback for learning process is provided through a variety of measures as follows; debriefing meetings with the participation of stakeholders whenever an evaluation team returns to Japan, information sharing through the evaluation network mentioned above, the creation of a database on lessons concerning the education and telecommunications areas by thematic task teams, and synthesis studies on evaluations to identify common tendencies. Starting 2004, a new column has been added to the “ex-ante evaluation document” for writing down remarks about the lessons applied from similar projects in the past. This is another step for better evaluation feedback.

2) Feedback to the Public

Feedback to the public is a process for JICA to fulfill its accountability which is one of the purposes of JICA’s evalu-

ation. Accountability means more than a commitment to publishing evaluation results. It requires a system in which the ‘trustee’ with undertakings (JICA) gives a full account to the ‘entruster’ (taxpayers) on how it has implemented those undertakings in a responsible manner whereby the entruster can judge trustee’s performance. Also, since cooperation projects need to be carried out jointly with the countries receiving the aid, feedback for those concerned and wider public of these countries is also important.

The accountability requirements include clear cooperation objectives, transparency in the organization’s decision-

making process and efficient use of inputs and accurate measurement of achievements as project results. Ensuring accountability demands the disclosure of evaluation information with quality that meets all of these requirements.

In more concrete terms, JICA’s efforts for feedback to the public include the publication of evaluation reports, holding evaluation seminars to present the results of major ex-post evaluations such as country-program and thematic evaluations to Japanese citizens and the people concerned in aid recipient countries and use of its website for quick disclosure of evaluation results(Figure1-6).

Figure 1-6 JICA Website of “Evaluation”

<http://www.jica.go.jp/english/evaluation/report/index.html>



Chapter 2 ● Toward Expanding and Enhancing Evaluation –Efforts in Six Strategic fields

Amid radical changes in the circumstances surrounding JICA, such as ODA reform and JICA's reorganization into an Independent Administrative Institution, JICA is under growing pressure to enhance the effectiveness, efficiency, and transparency of its operations and management. Consequently, increasing importance is being placed on evaluations as a means to improve project planning and implementation and to assure accountability. JICA is trying to reinforce its evaluation system, improve the quality of evaluations, and enhance evaluation feedback by focusing its efforts on the following six strategic fields.

◆ Establishing a Consistent Evaluation System from the Ex-ante to Ex-post Stage

JICA introduced the ex-ante evaluation system in FY2001 and ex-post evaluation system for individual projects in FY2002. JICA is working to establish a consistent evaluation system from the ex-ante to ex-post stage to ensure higher effectiveness and efficiency of its operations.

◆ Expanding the Coverage of Evaluation

JICA is devoting itself to the development of evaluation methods that are suitable for its various cooperation schemes with different features, and the establishment of a their systematic evaluation system, with the aim of introducing evaluations into its Disaster Relief Program, Volunteer Program, JICA Partnership Program, and Group Training Program.

◆ Reinforcing the Evaluation System and Capacity

In response to efforts to improve both the quality and quantity of evaluations, JICA has strengthened its evaluation system by assigning evaluation chiefs, building up an evaluation network, and upgrading the evaluation capacity of personnel in charge of project planning and implementation.

◆ Developing and Improving Evaluation Methods

JICA is also making a constant effort to improve its Evaluation Guidelines as a key evaluation tool and to develop and improve evaluation methods that are more applicable to JICA Cooperation.

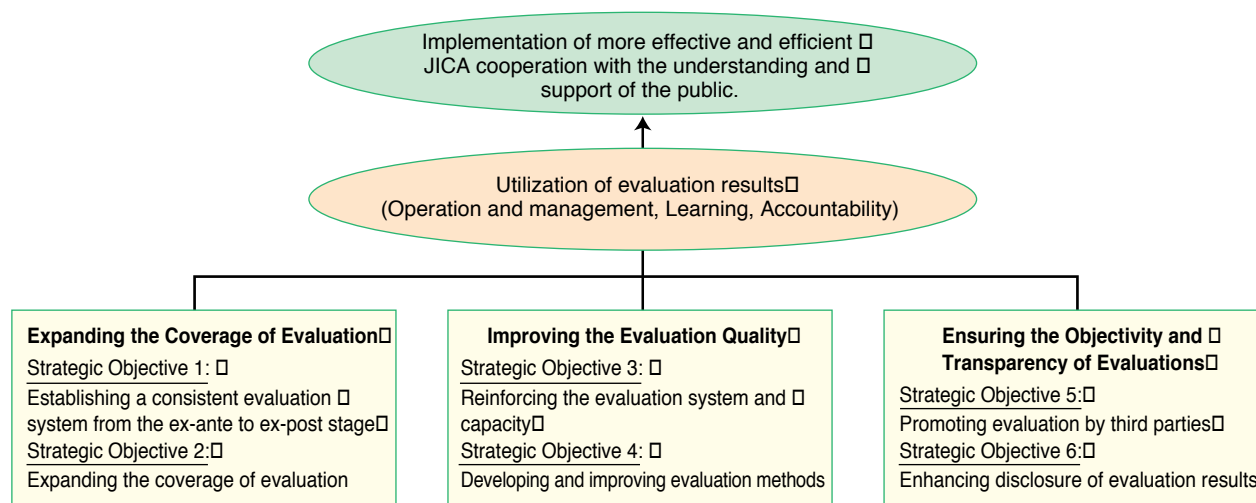
◆ Promoting Evaluation by Third Parties

In order to ensure the objectivity of its evaluation, JICA has expanded external evaluation and introduced secondary evaluation by the Advisory Committee on Evaluation, which is composed of outside experts.

◆ Enhancing Disclosure of Evaluation Results

In order to ensure that evaluation results are made available to the public both rapidly and surely, JICA has established an efficient system to disclose information through its website and reviewed and revised the editorial policy of its Annual Evaluation Reports.

This chapter will describe these efforts for enhancing evaluations in detail.



2-1 Establishing a Consistent Evaluation System from the Ex-ante to Ex-post Stage

For effective and efficient project implementation, it is essential to conduct evaluations consistently in various stages of the project cycle (such as before, during, at the end of, and after the execution of the project) and to review project plans and improve project management. It is also necessary to utilize lessons learned from the evaluations in planning and implementation of similar projects in future. In order to promote results-based management and to ensure accountability, it is also crucial to set a clear project purpose and indicators to measure achievement of the project purpose before the project is launched. At the same time, it is important to comprehend project's performance and analyze factors that have hindered or contributed to the achievement of expected effects through evaluation.

With these points in mind, JICA has been working to establish a consistent evaluation system from the ex-ante to ex-post stage. JICA introduced ex-ante evaluation in FY 2001 and ex-post evaluation on individual projects in FY2002. Thus, a consistent evaluation system has been completed that covers the entire project cycle of JICA's Technical Cooperation Projects¹.

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

(1) Ex-ante Evaluation

Ex-ante evaluation is conducted to assess the appropriateness of projects from the viewpoints of necessity of cooperation, expected effects, and adequateness of implementation plans. Based on the results of ex-ante evaluations, decisions on whether to implement projects and, if necessary, modification of plans are made. The results of ex-ante evaluations are summarized into an ex-ante evaluation document that describes the background of the project, project purpose, relevance of project implementation, indicators for measuring achievement of the project purpose, and plans for evaluation. The ex-ante evaluation document is used as basic information to ensure consistent evaluations and is published at the JICA website to secure

accountability in project implementation (BOX 2).

Currently, ex-ante evaluation is conducted for all Technical Cooperation Projects and Development Studies. For more effective project implementation, JICA has improved the quality of ex-ante evaluation since introduction by, for example, setting appropriate and objective indicators for assessing project achievement. In its effort to become a "learning organization", JICA came to examine how lessons learned from similar projects in the past have been used in the planning of projects through ex-ante evaluation, and to describe assessment in the ex-ante evaluation document.

(2) Ex-post Evaluation

Ex-post evaluation is conducted after a certain period has passed since the completion of the target project. It mainly focuses on Sustainability (whether the effects of cooperation have lasted) and Impacts (whether progress has been made toward achieving overall goals and whether unexpected effects have appeared) of the project.

The primary objective of ex-post evaluation is to gain lessons from the project that could boost the effectiveness and efficiency of similar projects in future as well as to assure accountability. JICA overseas offices, which are in charge of finding and formulating projects, play central roles in ex-post evaluation in order to assure that evaluation results will be used at the earliest stage of future cooperation.

Cooperation from JICA is implemented in the form of joint projects between partner countries and Japan. Therefore, JICA has been conducting mid-term and terminal evaluations in cooperation with partner countries. In ex-post evaluations as well, JICA seeks the participation of partner countries. Since partner countries play key roles in sustaining and expanding the effects of projects after the withdrawal of Japanese cooperation, it is important to give effective feedback on evaluation results to them so that Japan's assistance can be utilized sufficiently.

JICA carries out ex-post evaluations on all Technical Cooperation Projects three years after their completion. As for Development Study and Basic Design Study for Grant Aid, JICA cooperation schemes that provide research ser-

1) One of JICA's cooperation schemes launched in 2002 modified Project-type Technical Cooperation to more flexible in terms of project period, scale, and components (e.g. dispatch of experts, acceptance of trainees, and provision of equipments). All the past cooperation schemes redefined as Technical Cooperation Project, "development aid to achieve a certain output within a certain period under the cause-effect relation among inputs, outputs and activities", was grouped in this category.

BOX 2 Tools for Results-based Management – Ex-ante Evaluation Document

JICA summarizes the results of ex-ante evaluation in the ex-ante evaluation document. The document contains the background of the request for Japanese cooperation from the partner country, an outline of the project, the project purpose, ex-ante evaluation results (the results of comprehensive analyses based on the Five Evaluation Criteria to assess the necessity and appropriateness of project implementation), external risk factors, a plan for future evaluations, and indicators for measuring achievement of the project.

For effective ex-ante evaluation, based on the concept of results-based management, it is important to determine whether a strategy for achieving the project purpose has been clearly defined. Ex-ante evaluation assesses what objectives are to be achieved through the project, whether activities and inputs needed to achieve them are specified in the plan, and whether indicators for measuring progress through continuous monitoring and evaluations are given.

JICA tries to make sure that project strategies are clearly described in the ex-ante evaluation document. This guarantees that the ex-ante evaluation document is used after the project is launched as an important tool for results-based management under a consistent evaluation system. The document, which is posted on the JICA website, also needs to be easily understandable for everybody. Therefore, JICA revised its format in February, 2004 as a step toward clear and easy-to-understand presentation of evaluation results.

<Items Included in the Ex-ante Evaluation Document>

- 1. Project title**
- 2. Outline of cooperation** (provides an outline of the project targeted for the ex-ante evaluation: includes an overview of the project plan, the period of cooperation, the name of the recipient implementing agency, and the total amount of cooperation)
- 3. Necessity and significance of cooperation** (clarifies problems behind the project, the project's significance within government policy, and the process leading to and reasons behind cooperation from Japan)
- 4. Framework of cooperation** (explains expected results at the end of project and ripple effects, indicators to measure the achievement of targets, the outputs, activities and inputs needed to achieve the targets, and pre-conditions that must be fulfilled)
- 5. Results of evaluation based on the Five Evaluation Criteria** (describes the results of assessment for each of the Criteria and analysis on impeding factors to the project)
- 6. Consideration for poverty, gender, environment, etc.** (explains if the project will have negative impacts in terms of poverty, gender, environment, and peace and conflict, and how the project has taken these items into account)
- 7. Utilization of lessons learned from similar projects in the past** (describes lessons learned from the results of evaluations of similar projects and how the project has reflected these lessons on project planning and implementation)
- 8. Plan for evaluation** (explains schedules for mid-term, terminal, and ex-post evaluations)

国名・地域	事業事前評価表
ブラジル	国別アマゾン森林保全・環境教育プロジェクト
メキシコ	メキシコ州シコラス州地域小規模生産者支援計画プロジェクト
ホンジュラス	シノーガス農村開発プロジェクト
エルサルバドル	シノーガス農村開発プロジェクト
セネガル	安全飲水とコミュニティ活動支援計画
ベトナム	ベトナム法整備支援プロジェクト(フェーズ3)
ラオス	子どものための保健サービス強化プロジェクト
ホンジュラス	ホンジュラス国地方自治のための小規模農業支援プロジェクト
ラオス	ラオス法制度整備プロジェクト
カンボジア	国営公共機関の市場整備計画調査
ケニア	ケニア中等技術教育強化計画フェーズ2
エチオピア	エチオピア国オロミア州中央地域農村開発計画
カンボジア	カンボジア国公共機関の市場整備計画調査
キルギス	キルギス共和国政府機関及び農業物産加工業支援計画調査
キューバ	キューバ国中央地域における持続的発展計画調査

Example of ex-ante evaluation document available only in Japanese (<http://www.jica.go.jp/evaluation/before/index.html>). Listed by fiscal year and cooperation scheme.

vice to the partner country, JICA has taken necessary step toward introducing ex-post evaluation in full scale by trying to develop appropriate evaluation methods for such schemes.

Ex-post evaluations of individual projects are mainly conducted by JICA's overseas offices (with the help of local consultants). JICA has increased the number of countries targeted for ex-post evaluations while taking account of capacity of overseas offices to perform evaluations. In FY2002, JICA introduced ex-post evaluations on individual projects in 14 countries, including Indonesia, Vietnam, Thailand, China, the Philippines and Kenya. These are countries in which JICA has implemented many projects and

where its overseas offices have sufficient capacity to conduct evaluation (BOX 3). Seven more countries were added to those countries in FY 2003.

While expanding the number of countries targeted for ex-post evaluation, JICA has made a variety of efforts to establish its evaluation system and to enhance the capacity of its overseas offices to implement evaluations (for details, see 2-3 "Reinforcing the Evaluation System and Evaluation Capacity"). For example, JICA has developed the Ex-post Evaluation Guidelines for Overseas Offices (available in both Japanese and English), provided support to overseas offices using e-mail and other communication tools, organized evaluation training programs for staffs of overseas

BOX 3 Do the Effects of Aid Projects Last and Expand? – Introduction of Ex-post Evaluation on Individual Projects

In FY 2002, JICA fully introduced ex-post evaluation on individual projects as part of its effort to establish a consistent evaluation system from the ex-ante to ex-post stage.

Ex-post evaluation focuses on Impact (whether progress has been made toward achieving overall goals; whether unexpected positive or negative effects on policies, economy, institutions, technologies, society and environment have appeared) and Sustainability (whether the effects have lasted after completion of the project; what factors have contributed to or hindered the sustainability of the effects).

At the terminal evaluation stage, an assessment determines the sustainability of a project based on projections and possibilities. Often, the impacts of a project are not visible at the time of completion. Therefore, ex-post evaluation is important for examining the above-mentioned criteria. Another important objective of ex-post evaluation is to gain lessons learned from projects that could be useful for effective and efficient implementation of similar projects in future.

In FY 2002, JICA carried out ex-post evaluations on 64 projects, that were completed three to six years prior, in 14 countries where JICA carries out a large number of projects and where its overseas offices have sufficient capacities to conduct effective evaluations: Indonesia, Vietnam, Thailand, China, Nepal, Pakistan, Bangladesh, the Philippines, Mongolia, Egypt, Ghana, Kenya, Zambia and Tanzania.

The results showed that many of these projects had produced certain effects toward achievement of their overall goals. And there were some projects that had produced outstanding achievements. For instance, under the "Development of Mechatronics Engineering Course at Bachelor Degree Level in Pathumwan Technical College" project, which was implemented to establish a mechatronics engineering course at Pathumwan Technical College in Thailand, the targeted institution has been turned into a major source of experts in the mechatronics field in the country. As a result, what once was a vocational school has been upgraded to a technical college. The "Fundamental Technology Transfer Project for Production of Live Attenuated Measles and Poliomyelitis Vaccines" in Indonesia is another example of great success. Indonesia used to import measles and polio vaccines, but this project has made it possible for the country to produce all the vaccines it needs. Moreover, Indonesia is now exporting these vaccines and transferring technologies to other countries.

On the other hand, the impact of the "National Youth Service Engineering Institute" project in Kenya has been limited. The project has supplied useful vocational training for young people in poor and low-income families and a high ratio of graduates have passed national certification examinations. The skills and expertise of graduates who have found jobs have been rated highly by their employers in most cases. Unfortunately, however, many of the graduates have not found an appropriate job because of poor economic conditions. In "The Pilot Project on Prevention and Control of Rheumatic Fever and Rheumatic Heart Diseases" in Bangladesh, the original plan was to expand the project's results to other areas based on the experience gained in the project. However, the failure to secure enough funds and personnel to carry out nationwide research and awareness-raising activities has limited the expansion of the project results to just maintaining the implementing organization.

Common factors that prevented project sustainability in many countries are shortages of operation funds in the implementing agencies, necessary facilities and equipment, and manpower along with turnover of personnel. Also, quite a few remarks are made that projects should be designed to ensure that the implementing agencies are able to procure enough funds for operation after the withdrawal of Japanese cooperation, including the development of independent income sources.

offices using distance learning technologies, and assigned evaluation chiefs responsible for quality management of evaluation also at overseas offices. Summaries of ex-post evaluations on individual projects are posted on JICA website.

2-2 Expanding the Coverage of Evaluation

In addition to Technical Cooperation Projects and Development Studies, JICA has various other cooperation schemes. Included are the Disaster Relief Program, which dispatches rescue and medical teams to areas hit by natural disasters; the public-participation programs, which promotes participation of Japanese citizens in international cooperation through the Volunteer Program; and the Group Training Program in Japan for participants from developing countries. Due to the difference in characteristics, the evaluation method used for Technical Cooperation Projects cannot be simply applied to these cooperation schemes. Although evaluations of these types of cooperation schemes were conducted in various ways in trial basis, systematic evaluations with established methods had not yet been conducted.

JICA has set out to introduce evaluations into these schemes as part of its reorganization into an Independent Administrative Institution. JICA started by developing evaluation methods that suit the characters and implementation procedures of each scheme and has made efforts to introduce systematic evaluations. In FY 2003, JICA has designed basic frameworks for evaluation of the Disaster Relief Program, JICA Partnership Program, and Group Training Program, and started performing evaluations on a trial basis. With regard to the Volunteer Program, which includes the Japan Overseas Cooperation Volunteers and Senior Overseas Volunteers, JICA designed an evaluation framework and started working out concrete evaluation methods in FY 2003.

JICA is making further efforts to improve the evaluation methods it has developed, taking account of actual evaluation results, in order to establish an effective evaluation system covering these projects. Moreover, JICA is also using evaluation results to enhance the effectiveness and efficiency of project implementation. The new evaluation methods that have been introduced into the four cooperation schemes are described in the following sections.

(1) Disaster Relief Program

Evaluations of Disaster Relief activities are seldom conducted, even in the Western countries, and there is no established evaluation method. In order to introduce an evaluation system into the Disaster Relief Program, JICA developed evaluation methods, including evaluation criteria, by referring to the DAC's Five Evaluation Criteria, evaluation criteria adopted by the DAC and other international organizations, and the "Seven Rights" in disaster relief activity. As a trial to see whether the new method for disaster relief evaluation actually works, JICA conducted ex-post evaluations on the operations of three disaster relief teams in FY 2001 and 2002: a medical team dispatched to Turkey following a 1999 earthquake, a rescue team dispatched to Taiwan following a 1999 earthquake, and a medical team sent to Mozambique after a flood in 2001.

Based on the results of these evaluations, JICA adopted four evaluation criteria for disaster relief evaluations: Speed, Target, Operation and Presence (STOP). These criteria were, along with specifics concerning evaluation timing, evaluation study methods, and evaluators, incorporated into "The Japan Disaster Relief Team Evaluation Guidelines: STOP the Pain". These guidelines have been effective since March 2003. Using the guidelines together with the STOP evaluation criteria for the first time, JICA evaluated the operations of a rescue team dispatched to Algeria following an earthquake in May 2003 (BOX 4).

(2) Volunteer Program

For its Volunteer Program, JICA had several experiences in evaluations on Team Dispatches of Japan Overseas



Medical Team of Japan Disaster Relief. Scene of practice in a tent.

BOX 4 Evaluation of the Disaster Relief Program

Administrative reform of the government has accelerated since 1997, and as part of this, it was proposed that JICA set objective indicators for evaluation of its Disaster Relief Program, adopt external evaluations, and disclose information on these evaluations in easy-to-understand forms to the public. JICA was thus required to establish an evaluation method for the Disaster Relief Program (“*Reorganization and Rationalization Plan for Special Public Institutions*” approved by the Cabinet in December 2001).

In response to the above-mentioned plan, the Secretariat of Japan Disaster Relief Team has conducted trial evaluations of three disaster relief teams: a medical team dispatched to Mozambique after a flood in 2001 was evaluated in FY2001, while a medical team sent to Turkey following a 1999 earthquake and rescue team dispatched to Taiwan following a 1999 earthquake were evaluated in FY 2002. After examining the results of these evaluations, JICA developed the “the Japan Disaster Relief Team Evaluation Guidelines: STOP the Pain” in March 2002.

The main objectives of evaluation of the Disaster Relief Program are to improve the quality of operations and to report on these operations to the public (ensuring transparency and accountability). The Guidelines focus on four evaluation criteria (STOP)—Speed, Target, Operation* and Presence—and specify indicators to measure achievements as well as necessary information.

Previously, reports on disaster relief teams were made only by team members after operations ended. Under the new reporting procedures that were introduced to enhance the evaluation system, evaluation reports will be drawn up by incorporating necessary information and data collected after a certain period has passed following termination of activities. In addition, about a year after the dispatch of a team, external evaluation will be conducted by external experts to enhance the objectivity of evaluations.

The guidelines were applied, for the first time, to the evaluations of a rescue team and medical team dispatched to Algeria following an earthquake in May 2003. As of August 2003, the results of the evaluation survey have been analyzed, with recommendations and lessons being issued for further improvements in the operations. Actual steps to improve disaster relief operations, including additional purchase of necessary equipment and materials, have already started. In order to publish the evaluation results, as is required by the guidelines, the Secretariat is working on drafting evaluation reports and will conduct an external evaluation.

In addition to the rescue and medical teams, JICA also sent an expert team to Algeria. A dispatch of expert team, whose mission is to conduct technology transfer, has quite different features than being involved directly in the activities performed by the rescue and medical teams. Therefore, in FY 2003, JICA decided to conduct a trial on-site evaluation study that focuses on the operations of an expert team sent to Papua New Guinea after a major volcanic eruption in July 2002 for the purpose of developing another set of evaluation guidelines for expert team activities.

* For “Operation”, evaluations focus on five sub items: information, personnel, technology, materials & equipment, and coordination/cooperation.



Dispatch of Medical Team for Earthquake Disaster in Turkey.
Moment of rescuing survivors.

Cooperation Volunteer. In those evaluations, not only their effects on technical transfer but also their effects on human resource development for young people and promotion of mutual understanding were evaluated, which are important characteristics of the Volunteer Program.

In introducing systematic evaluations into the Volunteer Program, JICA has worked to find the evaluation method that is most suited to this type of program, referring to its experience in evaluating the Team Dispatch of Japan Overseas Cooperation Volunteer. After examining the results of a research on the future of JICA's Volunteer Program ("Strategic Reform on JICA Volunteer Program in the 21st Century" in FY2002), JICA decided to evaluate the Volunteer Program from three viewpoints: ① contribution to social and economic development in developing countries, ② promotion of friendly relations and mutual understanding between Japan and developing countries, and ③

sharing of volunteer experiences with society. Concrete indicators include relevance of the dispatch plan, achievement of project plans, improvement in the partner countries' understanding of Japan and Japan's understanding of the partner countries, volunteers' satisfaction with their experiences, degree to which their experiences contribute to society, and volunteers' and partners' satisfaction with JICA's overseas cooperation volunteer system. JICA is currently considering a study method for this kind of evaluation.

In concrete terms, JICA is working to introduce evaluations into its Volunteer Program based on the above-mentioned three viewpoints by conducting a trial questionnaire survey that targets volunteers, the organizations concerned in the developing countries, and people around the volunteers in Japan, and by revising the format of volunteer reports in line with the three evaluation viewpoints (BOX 5).

BOX 5 Evaluations of Volunteer Program

JICA volunteers, such as Japan Overseas Cooperation Volunteers and Senior Volunteers, work closely with people in the partner countries. Sharing experience with local people is an important means of mutually understanding customs and cultures and implementing effective cooperation for economic and social development in the partner country. The deepening of mutual understanding between Japan and the partner country through grassroots international exchanges (i.e., between JICA volunteers and local people) not only promotes friendly bilateral ties but also helps finding potential needs for cooperation among the people in the partner country. It also boosts the overall effectiveness of Japan's international cooperation.

After returning to Japan, JICA volunteers embark on successful careers in a broad range of fields that include international cooperation both at home and overseas. JICA believes that former volunteers have "a duty" to contribute to Japanese society by making good use of their precious experiences in developing countries. Therefore, JICA needs to expand its support for former volunteers so that they may fulfill this duty.

Because of this point of view, JICA has set three viewpoints for evaluation of the Volunteer Program: "contribution to social and economic development in developing countries", "promotion of friendly relations and mutual understanding between Japan and developing countries" and "sharing of volunteer experiences with society". It should be noted that these three viewpoints are mutually connected to "contribution to development", which is JICA's primary mission.

Because JICA's Volunteer Program engages in open recruitment, the citizens who participate in the program serve as its key players. JICA is responsible for supporting their activities so that they can take full advantage of their skills and make the most of their motivation to meet the needs of recipient countries. That is why JICA considers it necessary to determine whether its support system is beneficial for volunteers, Japanese citizens, and people in the recipient country when it evaluates the Volunteer Program. In order to ensure fairness in evaluation, it is important to promote active disclosure of information on volunteers' activities and their achievements.



A JOCV member demonstrating dental hygiene in elementary school (in Honduras).

(3) JICA Partnership Program

The JICA Partnership Program is a programs in which JICA supports projects proposed by NGOs and other organizations that are aimed at improving the lives of local residents directly in partner countries. Various schemes for collaborative projects with NGOs and other organizations were integrated into the JICA Partnership Programs in FY2002.

Collaboration with NGOs and other civil organizations has become indispensable in recent years and JICA has carried out many projects in this manner. However, these projects were not previously subject to evaluation. In introducing evaluation on JICA Partnership Program in FY2003, JICA developed an evaluation method that is suitable for the characteristics of the Partnership Program that encourages public participation.

The evaluation is conducted by NGOs in charge, and the results are shared with JICA. The evaluation focuses on the relevance of the project, achievement of the project purpose, sustainability of the project's effects, and recommendations and lessons for the planning and implementation of similar projects. Taking the characteristics of the Partnership Programs into account, evaluation items include achievements in promoting public understanding and participation in international cooperation activities, and degree of contribution to Japanese society based on experiences gained through the projects. In addition, focus is placed on monitoring of the JICA Partnership Program to assess and respond flexibly to the local needs in partner countries by providing better service taking the advantages of grassroots activity.



Activities of JICA Partnership Program "Health Education Promotion Project, Ermera District, Phase 2" by NGO. NGO staffs instructing three major nutrients to national staffs for their awareness raising activities.

(4) Group Training Program

For the Group Training Program, evaluations to examine achievements and results have been conducted at the completion of each training course every year. However, until now, evaluation methods were not well-established and systematic evaluations for the program had not been conducted. JICA is thus reviewing the program to respond adequately to diversifying training needs in developing countries and enhance the program's effectiveness. As part of this effort, JICA has decided to introduce systematic evaluations that cover the entire cycle of the program, from the establishment of a training course to completion of the program.

Under the new evaluation system, which was introduced in FY2003, an ex-ante evaluation is performed before the establishment of a training course. This evaluation focuses on the project's priority as JICA cooperation, its conformity with the concept of JICA's Group Training Program, and the appropriateness of its curriculum, and includes a comparison with alternative training schemes, such as the Overseas Training Program. In addition, target levels concerning skills and knowledge that the participants should obtain through training are set, and concrete procedures for measuring participants' achievement are devised. Every year, the degree of achievement of the targets for each course is examined and its curriculum is reviewed. Then, the results are reflected on the course management for the next year. Before the completion of cooperation period, a terminal evaluation is conducted to confirm the appropriateness of course's management and content, and the effects that were produced. Based on the results, a decision is made as to whether the course should be terminated or continued.



Group Training "Computer (WEB Application Server System Designer B)". Exercise at setting up computer network. Every year, participants from various countries join Group Training courses held in Japan.

2-3 Reinforcing the Evaluation System and Capacity

Along with the introduction of a consistent evaluation system from the ex-ante to ex-post stage and the expansion of evaluation coverage, both the types and number of evaluations have increased significantly in recent years. At the same time, JICA is required to enhance the credibility and usefulness of its evaluations, in other words to improve quality toward more effective feedback of evaluation results.

In response to calls to improve both the quality and quantity of evaluations, JICA has tried to enhance its evaluation system and the evaluation capacity of those concerned to JICA cooperation.

(1) Introduction of the Evaluation Chief System and Evaluation Network

As was mentioned in Chapter 1 of Part 1, evaluations of individual projects are conducted mainly by the departments involved in project implementation (i.e., departments in JICA Headquarters and overseas offices), with support and supervision provided by the Office of Evaluation and Post Project Monitoring. Within this system, an “evaluation chief” system and evaluation network were introduced in FY 2003 as steps to share knowledge concerning evaluations, improve the quality of evaluations, and

promote evaluation feedback to the people involved in project implementation.

Under the new evaluation chief system, evaluation chiefs are assigned to each division of project implementation department. An evaluation chief is responsible for managing the quality of evaluations and promoting effective feedback of evaluation results to improve project planning and implementation. This system is aimed at ensuring effective quality management of evaluations and utilization of evaluation results in ways that best suit actual conditions. One evaluation chief is assigned to each of the implementing divisions and overseas offices (92 in total). These evaluation chiefs are to contribute controlling quality and to learning from evaluation results by providing the division members with technical advice on implementing and sharing knowledge concerning evaluations (BOX 6).

An evaluation network that links these evaluation chiefs has been established to ensure that information on evaluations is shared throughout the entire organization. The network enables members to exchange information and opinions and seek answers to questions among themselves through use of an e-mailing list (EVA-NET) managed by the Office of Evaluation and Post Project Monitoring.

The network is also supported by an advisory group of senior advisors who answer questions from evaluation chiefs that require expertise in specific areas. Evaluation

BOX 6 Voice of an Evaluation Chief

I work for the Social Development Study Department, which is in charge of Development Studies (i.e., planning, implementation, ex-post monitoring, and evaluation related to Development Studies). The Department develops long-term development plans in the field of social development—which includes such sectors as transportation, regional development, education, health, water resources, environment, and telecommunications—in recipient countries.

In order to conduct evaluations from a unified perspective, JICA has developed “Development Study Evaluation Guidelines (draft)” that cover the entire project cycle—from project formation to the post-project stage. Since FY2001, we have conducted ex-ante evaluations for our development study projects using these guidelines. As the number of projects for which we have developed ex-ante evaluation documents has been increasing, we will need to make further efforts to make these documents (which are posted on JICA’s website) easier to read. It is also important to make clear the key points of ex-ante evaluations for each field in order to improve quality of the documents.

In the departments in charge of Development Studies (the Agriculture, Forestry, and Fisheries Development Study Department; Mining and Industrial Development Study Department; and Social Development Study Department), the evaluation chiefs and staff members involved in evaluations share information on situations related to evaluation implementation and related issues in all these departments, and discuss evaluation procedures suited to the characteristics of Development Studies.

Through these efforts, we are going to strengthen cooperation with the other evaluation chiefs and staff members in order to make our evaluations more effective and useful, both inside and outside JICA.

(Yodo KAKUZEN, Evaluation Chief, First Development Study Division, Social Development Study Department)

chiefs use information and knowledge obtained through the network to improve the quality of evaluations and to promote evaluation feedback in each section. The information and knowledge also contribute to the development and improvement of evaluation methods by the Office of Evaluation and Post Project Monitoring.

(2) Expanding Evaluation Training

JICA is expanding its training programs so as to strengthen the evaluation capacities of a broad range of personnel involved in evaluations of JICA projects, including JICA staff members, experts, consultants, and concerned personnel in developing countries.

Following the publication of the JICA Evaluation Guidelines, JICA held a training course on the evaluation framework and techniques since FY 2001. The course was held 15 times and targeted a total of 300 staff members at JICA Headquarters. JICA also conducts training for evaluation chiefs who play key roles in improving evaluation quality since 2003.

Meanwhile, improving evaluation capacity of overseas offices has become of further importance, along with increases in the number of projects conducted under the initiative of overseas office and introduction of ex-post evaluation on individual projects. In response to these developments, in FY 2003, JICA launched a remote education program for staffs of overseas offices using a teleconferencing system. The training is conducted in English and the curriculum was developed jointly with the World Bank Institute, which has plenty of experience in remote training. This program was first conducted in June 2003 for JICA's overseas offices in Indonesia and the Philippines (BOX 7). JICA plans to expand the training program to other offices by using its teleconference system (JICA-Net) and a similar system of the World Bank.

In FY 2001, JICA started a "Monitoring and Evaluation Training Program" as part of pre-dispatch training for experts who are going to be sent to developing countries for technical cooperation. This is a weeklong practical training program designed to help these experts understand the concepts and methods of JICA's monitoring and evaluation. In FY2002, the program was held seven times for a total of 298 experts.

Because upgrading the capacities of consultants involved in evaluation is essential for improving the quality of evaluation, JICA cooperates with training institutions (such as the Foundation for Advanced Studies on International

Development and the International Development Center of Japan) by supplying advice on the curriculums of their evaluation training programs that target consultants and by dispatching lecturers to these programs. This is intended to contribute to human resources development in evaluation.

For concerned personnel in partner countries, JICA has been holding the "ODA project evaluation seminar," a training program designed for officials of government departments in charge of evaluation in partner countries, jointly with JBIC since FY 2001. In FY 2002, 19 participants from 18 countries took part in the program. Enhancement of the evaluation capacity of people concerned in partner countries is crucial to effective and efficient implementation of development assistance in these countries. In order to support further improvement in the evaluation capacity of personnel in charge in partner countries, JICA plans to develop and offer a training program for them based on its experience in remote training for overseas staff members using its remote training system.



Training seminar targeting evaluation chiefs. Aiming to acquire practical knowledge for quality management of project evaluation through case-study practice.

BOX 7 JICA/WBI Joint Distance Learning Course on Evaluation “Management Focused on Monitoring and Evaluation”

In more than 50 countries, Japanese and local staff members are engaged in the operation of JICA projects. As JICA is trying to expand and strengthen the roles and functions of its overseas offices, JICA considers it very important to upgrade the evaluation capacities of the staffs at these offices. After examining various possibilities in search of the most efficient and effective way to provide training to JICA employees working at overseas offices, the Office of Evaluation and Post Project Monitoring set out to offer a remote training program using JICA’s teleconference system (JICA-Net).

The World Bank Institute, headquartered in Washington D.C., offers various types of remote training programs for trainees around the world using a teleconference system called the Global Development Learning Network (GDLN), and JICA worked with WBI for a year to develop contents for a remote training program for evaluation. In this program, participants learn the basic theories and methods of evaluation through five three-hour lectures (15 hours in total) that consist of exercises, discussions, and question-and-answer sessions to help participants understand the subjects better. Emphasis is placed on interactions between instructors and participants rather than one-way lectures; for instance, participants are required to e-mail the results of exercises to their instructors, who then make relevant comments via e-mail or during lectures. During the course, a lot of time is spent explaining how evaluation concepts and techniques are actually applied to JICA’s project management to help participants understand evaluation theories. Actual JICA projects are used as examples to give participants a sense of what real project evaluations are like.

In the first remote training program held in June 2003, sites in Indonesia, the Philippines, Tokyo, and Washington D.C. were linked by a teleconference system, bringing together a total of 32 participants from the JICA offices in Indonesia and the Philippines as well as JICA Headquarters. The instructors delivered their lectures from WBI Headquarters in Washington D.C. and JICA Headquarters in Tokyo. Most of the participants were remarkably enthusiastic, attending all the lectures and completing and submitting all the exercises assigned to them. After each lecture, they often sent e-mails with questions about topics discussed in the lecture. Discussions and question-and-answer sessions in the lectures were also quite lively, with many participants asking questions and offering their views concerning various topics—from evaluation methods to improve the quality of evaluation. Distances and time differences among the sites proved to be no significant obstacle to the smooth operation of the program. The teleconference system linking people who were at great distances from each other gave the participants an opportunity to take part in the same program with people in other countries with whom they had barely talked with before. It seemed to be a very inspiring experience for many of the participants. An evaluation conducted after the course showed that nearly 80 percent of the participants had found it a very high-quality training program, and 70 percent of the respondents said the program had been beneficial. The Office of Evaluation and Post Project Monitoring plans to improve the program further before the next training course is conducted.



Distance learning course on “Management-Focused Monitoring and Evaluation” using teleconference system. Delivery from the Japanese side.

(BOX 7 Cont'd)

Comments by A Participant

First of all, I wish to thank JICA Headquarters and WBI for a successful course that has influenced me to have greater motivation in dealing with monitoring and evaluation by giving me a better understanding of basic concepts for even more effective and efficient project implementation.

The joint lectures that employed intensive model exercises and discussions encouraged me to have a wider perspective of necessary knowledge, sharper and critical analytical capacity, and better skill competency in using various tools and methodology in evaluations.

Because it was a distance learning course, we have to make an effort to become familiar with distance communication rules; however, this method gave us an opportunity for better interaction and communication with the lecturers in Tokyo and Washington as well as other participants from the Philippines, and for sharing experience, common problems, and issues in evaluation work through practice. This arrangement will create better networking among JICA Headquarters and other overseas office staff members on a regional basis.

As an Indonesian staff member who has been working with JICA since 1995, I believe that this course was both useful and valuable in improving our handling of project monitoring and ex-post evaluation. I also believe that it will have a place in future efforts to conduct ex-ante evaluation as a major part of the needs survey process in Indonesia. It is my hope that the course will be continued into the future, and that its topic will be extended to cover more specific and practical issues in monitoring and evaluation.

Dinur Krismasari,
Senior Program Officer in the Program Division,
JICA Indonesia Office



Ms. Dinur Krismasari, Senior Program Officer of Indonesia office completed this course.

2-4 Developing and Improving Evaluation Methods

In working to improve both the quality and quantity of its evaluations, JICA is making an effort to develop, improve, and reinforce its evaluation methods for higher usefulness.

(1) Revision of JICA Evaluation Guidelines

In FY2001, JICA published its *“Practical Evaluation Methods: JICA Evaluation Guidelines,”* which systematically organizes the implementation principles of JICA evaluation and the framework of the evaluation method. At that time, however, JICA had yet to establish a consistent evaluation system from the ex-ante to ex-post stage. And a large portion of the Guidelines focused on terminal evaluation.

JICA therefore revised the Guidelines so that they can apply to the most recent evaluation system, incorporating more explanations about ex-ante and ex-post evaluations, in February 2004.

Designed to raise the quality of evaluation, the new Guidelines contain more explanation about each stage of the evaluation process – from planning of evaluation to reporting of evaluation results – and the main objectives and points to be considered for each type of evaluation, from ex-ante to ex-post evaluation. The Guidelines reflect the results of both evaluations that were conducted in the past and the secondary evaluation that was conducted by the Advisory Committee on Evaluation in FY2003 (For more details, see Part 3 “External Evaluation–Secondary Evaluations by the Advisory Committee on Evaluation”).

So as to be more practical and useful to those who in-

BOX 8 Development and Improvement of Evaluation Methods (Revision of JICA Evaluation Guidelines)

JICA Evaluation Guidelines (*Practical Evaluation Methods: JICA Evaluation Guidelines*) were introduced in April 2002 for full-scale use in project management. Intended mainly for terminal evaluation, they were distributed to all JICA staff members and experts involved in JICA projects in partner countries. Since publication of the Guidelines, the Office of Evaluation and Post-Project Monitoring has received specific questions and requests concerning evaluations from concerned parties on the field of international cooperation overseas. After posting the Guidelines on JICA's website and publishing them for the general public, the Office began to receive questions and positive feedback from people outside JICA.

The circumstances surrounding evaluations; however, have changed dramatically since then. The importance of evaluations has increased markedly, and JICA has thus accelerated its effort to expand and enhance them. In addition to the introduction of ex-ante evaluation to JICA's evaluation system in FY 2002, ex-post evaluation on individual projects was introduced. In response to these changes, JICA revised the Guidelines to make them a more useful guide for those who trying to improve the quality of its evaluation.

Responding to the introduction of a consistent evaluation system from the ex-ante to ex-post stage, the revised Guidelines contain detailed explanations on evaluation and monitoring at each stage of the evaluation cycle – i.e., the ex-ante, mid-term, terminal, and ex-post stages – arranged along the arc of the project cycle. As part of the effort to improve the quality of its evaluations, JICA enhanced explanations of the Guidelines so that the basic concepts of its evaluation could be understood properly, and organized a method to ensure effective application of evaluations in practice.

The revised Guidelines are composed of two parts: the “Theory” section, which explains the basic concept and techniques of evaluation, and the “Practice” section, which describes important points in carrying out evaluation. The “Theory” section specifically states that evaluations are conducted to examine how the project was conducted and the results that it has produced, to determine whether the project was worth implementing from a comprehensive perspective, and to draw lessons so that improvements can be made in future project planning and implementation. In addition, the section contains detailed explanations of concepts and tools used in evaluations to facilitate clear and systematic understanding of JICA's basic evaluation methods.

The “Practice” section outlines objectives of evaluation (why should evaluations be conducted?), viewpoints of evaluations (what points should be considered in evaluations?), and analyses and utilization of evaluation results (how should the results be analyzed and utilized?) at each step of each type of evaluation – i.e., the ex-ante, mid-term, terminal, and ex-post stages. This section also contains a “check list” that shows key viewpoints for each step of the evaluation process, including “planning,” “implementation process” and “the DAC's Five Evaluation Criteria.”

As a reference to support the practical use of the Guidelines, problems frequently encountered by those involved in evaluations are addressed in a “Frequently Asked Questions” section and advice on how to solve these problems are included in the appendix.

involved in evaluations, the Guidelines explain in detail the research and analysis methods used at each step of the evaluation procedure and contain many case examples based on knowledge accumulated through past evaluations as well as “Frequently Asked Questions.”

The new Guidelines are distributed widely both inside and outside JICA and are available on JICA's website. JICA plans to publish an English version of the new Guidelines as well.

JICA has also produced a manual for ex-post evaluations for individual projects – both in Japanese and English – as part of its effort to develop useful methods and manuals.

(2) Utilization of Evaluation Results: Synthesis Study of Evaluations

JICA has tried to ensure the effective utilization and feedback of evaluation results. As part of this effort, JICA conducted a fact-finding survey on the feedback of evaluation results within JICA in FY 2001 and compiled a report entitled, *Feedback of Evaluation – Feedback as Learning Processes.* One of the factors that impeded effective utilization of evaluation results was the fact that lessons learned from individual projects were not sufficiently conceptualized and generalized for application to other cases. Based on this, JICA introduced “Synthesis Study of Evaluations”

through the meta-evaluation² method.

In a synthesis study, in order to produce generalized lessons that can be used more easily, evaluation results of several projects within a specific theme or sub-sector are collected. Tendencies and problems common to the projects as well as good practices that are identified through comparisons are then reanalyzed. In FY 2001, a synthesis study of evaluations was conducted targeting the results of 55 evaluations in the field of population and health.

In order to promote feedback into the planning of similar projects in future, JICA has developed the synthesis studies since FY 2002 by focusing more on the effectiveness that lead to the achievement of Project purpose. In order to reflect evaluation results on thematic guidelines, the target fields of synthesis studies cover priority issues where thematic task teams have been established, such as “Agricultural and Rural Development” in FY 2002, and “Primary and Secondary Education/Science and Mathematics”, “Poverty Reduction/Community Development”, and “Information Communication Technology” in FY 2003. (“Part 4 Country-program Evaluation and Thematic Evaluation” introduces the summary of the synthesis study of evaluations in the field of population and health. “Part 2 Chapter 1 Synthesis Study of Evaluation” presents the synthesis of the evaluations on individual projects conducted in FY2001.)

Furthermore, as means of evaluating evaluations, JICA introduced secondary evaluations that are conducted by external experts in FY 2002. (For details, refer to “2-5 Expansion of External Evaluation” of this Chapter and “Part 3 External Evaluation –Secondary Evaluation by the Advisory Committee on Evaluation”)

(3) Development of Program-Level Evaluation

Methods

To ensure effective project implementation, the “policy – program–project” structure should be properly organized along with the “means and ends” relationship and the firm positioning of individual projects within the structure, as shown by Figure 1-1(Page 10). JICA is currently making efforts to enhance this kind of systematic approach. However, at present many of the projects targeted for ex-post evaluation are not developed within this structure in the planning stage due to the different trend of the times about five years ago.

Learning from the past is very important for formulating the “policy–program–project” structure properly. Therefore, JICA is evaluating past projects by compiling them into programs ex-post when conducting a country-program

and thematic evaluations. In concrete terms, individual projects are incorporated into a “Program Approach Logic Model³” and evaluated as part of policy or the relevant program. Through this process, JICA tries to find answers to key questions for future improvement that include “Have JICA’s cooperation projects concerning specific development issues been consistent as a whole?”, “What kind of effects have they produced?”, and “What types of cooperation projects should be combined to produce effects for the concerned issue?” JICA then draws recommendations and lessons.

JICA introduced the Program Approach Logic Model on a trial basis in a thematic evaluation of the “Population and Health Sector in the Philippines under JICA/USAID Collaboration: Part 1 (Reproductive Health)” in FY2000. The model was further improved in a following thematic evaluation entitled “Population and Health Sector in the Philippines under JICA/USAID Collaboration: Part 2” (FY2001), which focused on cooperation targeting infectious diseases control. Using the model, the characteristics of JICA cooperation were revealed by comparing its inputs with those of other aid agencies. Since more than one infectious disease was targeted in the evaluation, the impact of projects for each disease was evaluated.

In previous years, JICA’s country-program evaluations simply categorized projects in each priority sector for a sector-wide evaluation. However, the Program Approach Logic Model was adapted for country-program evaluations for “Honduras” (FY 2001-2002), “Panama” (FY2001-2002) and “Senegal” (FY2002-2003), organizing projects that shared common overall goals under a program ex-post, in an attempt for more systematic evaluations. (For details, refer to “Part 4 Country–program Evaluation and Thematic Evaluation.”)

-
- 2) Meta-evaluation, which is analysis based on existing evaluation results, is itself a form of utilization of evaluation results. By providing an analysis of the results of more than one evaluation, it can help ensure better understanding of problems and issues concerning projects from a broader perspective and extract important concepts and general theories from evaluation results. This means that meta-evaluation has the advantage of making it possible to extract lessons that are easier to use for improvements in project planning and implementation.
 - 3) A program-level logic model, made by formulating, categorizing, and integrating logical frameworks of the projects, often used whenever those projects regarded and evaluated as a program ex post. The model shows the cause-effect relation among Program Purpose, Inputs, Outputs, Indicators, and Important Assumptions of a program.

(4) Collaboration with NGOs – Development of Evaluation Methods for JICA Partnership Program

JICA carries out a large number of joint projects in collaboration with NGOs. Not many of these projects, however, have been evaluated, and there has been no established evaluation method for them. Because of this, JICA set up an “NGO-JICA Evaluation Subcommittee” under the “NGO-JICA Committee”, a Committee for discussion on collaboration among NGOs and JICA, in FY2001. Through this sub-committee, JICA has been working with NGOs

to develop an evaluation method for “grassroots” cooperation projects designed to benefit local residents directly.

As part of this, NGO and JICA performed a joint evaluation of a project in Indonesia entitled “Empowerment of the Poor in South Sulawesi to Support Poverty Alleviation” in FY 2001 and “The Secure Water Supply Project in Dry Zone” in Myanmar in FY2002. In FY2003, JICA conducted a thematic evaluation on “NGO-JICA Collaboration Program” targeting eight cooperation projects under the framework of the JICA Partnership Program (projects by NGOs based on their proposals).

BOX 9 Partnerships with NGOs in Evaluation –NGO-JICA Evaluation Subcommittee

The NGO-JICA Evaluation Subcommittee is an organization under the NGO-JICA Committee, a committee for discussions on collaboration between NGOs and JICA. The subcommittee’s mission is to share information and knowledge through joint evaluations, promote mutual learning, and draw lessons and recommendations that are useful for more effective planning, implementation, and evaluation of projects (conducted jointly or independently).

For these purposes, the subcommittee has implemented a joint evaluation on a poverty reduction project in Indonesia entitled “Empowerment of the Poor in South Sulawesi to Support Poverty Alleviation,” and on “The Secure Water Supply Project in Dry Zone” in Myanmar as trial evaluations of collaboration in grassroots projects. The evaluations drew lessons for effective implementation of these kinds of projects and proposed recommendations on the viewpoints to be included in evaluation. In a thematic evaluation that has been conducted in FY2003, a cross-cutting analysis for eight target projects is to be done based on evaluation items that reflected the above-mentioned recommendations and lessons. The applicability of the evaluation items was also examined. Through analysis of tendencies common to these projects, lessons for more effective project implementation and recommendations for better utilization of monitoring and evaluations were put forth. The subcommittee plans to draw up a report on the results of the study by the end of FY2003 and to share important results with a broad range of personnel concerned by holding an open seminar.

The following is a list of the members of the NGO-JICA Evaluation Subcommittee (as of 2003). Subcommittee meetings are held about once every two months.

Miyuki AOKI:	Services for the Health in Asian & African Regions (SHARE)
Ayumu OHSHIMA:	JICA
Yukiharu KOBAYASHI:	JICA
Kaoru SUZUKI:	JICA
Hiroshi TANAKA:	Institute for Himalayan Conservation
Yosuke TAMABAYASHI:	JICA
Sayako TOKUDA:	JICA
Toyokazu NAKATA:	Institute of Participatory Development
Makoto NAGAHATA:	Japan NGO Center for International Cooperation
Mahomi MASUOKA:	JICA
Satoko MIWA:	JICA
Koichiro WATANABE:	Save the Children
Nobuaki WADA:	SOMNEED (Society for Mutual Aid, Networking, Environment, Education & Development)



NGO-JICA Evaluation Subcommittee.
Discussing evaluation method by groups.

(5) Joint Evaluation with Other Aid Agencies

As is observed in the movement surrounding the United Nations' Millennium Development Goals and Poverty Reduction Strategy, the international community has in recent years come to place importance on close cooperation among donors toward achievement of development goals that respects developing countries' "ownership". This trend has also led to wide recognition of the importance of joint evaluation by countries and organizations involved, as is evidenced by the fact that joint evaluation is among major issues on the agenda of annual meetings of the OECD/DAC Evaluation Network (formerly the Working Party on Aid Evaluation).

Joint evaluation is particularly useful for evaluating the overall effects of aid in a specific sector or on a particular issue in a partner country, which cannot be accurately assessed by evaluations covering cooperation by a single aid organization. Joint evaluation has many other advantages as well, in that it reduces the procedural burden of partner countries and promotes sharing of evaluation methods among parties concerned, including partner countries.

JICA has been actively involved in both joint projects and evaluations with such international organizations as the World Bank and the United Nations Development Programme (UNDP) as well as aid organizations of other countries like the U.S. Agency for International Development (USAID), the Canadian International Development Agency (CIDA), and the Department for International Development (DFID) of UK. In recent years, JICA has performed joint evaluation "Joint Canada-Japan Peace-building Learning Project" with CIDA and an evaluation entitled "Population and Health Sector in the Philippines under JICA/USAID Collaboration" with USAID. (See "Part 4 Country-Program Evaluations and Thematic Evaluation".)

JICA participated in DAC's "Joint Evaluation of External Support to Basic Education in Developing Countries", an evaluation initiative launched in FY2001 that involves nine countries and four international organizations that are members of the DAC Evaluation Network, as a member of the executive committee (targeted countries for case studies: Bolivia, Uganda, Zambia, and Burkina Faso). Capitalizing on its experience in the field of basic education, JICA has been actively contributing to this initiative by taking part in the processes of developing the evaluation framework, implementing field studies, and analyzing evaluation results.

2-5 Promoting Evaluation by Third Parties

Promoting evaluation by third parties is crucial for securing evaluation objectivity. As JICA believes that the participation of external experts enables not only to secure objectivity of evaluation but also to contribute to improving the quality of evaluation through use of their expertise, JICA has been committed to expanding external evaluations.

The participation of third parties is particularly useful for ex-post evaluation, which, unlike the other types of evaluation that mainly target project operation and management, is more focused on drawing lessons from evaluation results and on ensuring accountability. JICA is promoting external evaluation through commissioning evaluation studies to external party to make the most of its advantages.

With regard to evaluations conducted by JICA on project management (internal evaluations), JICA is working to improve the quality of evaluation based on objective data and information. These evaluations must also be assessed by a third party through disclosure of evaluation results to the public. Moreover, JICA promotes evaluations from an external viewpoint by asking third parties to take part in evaluation study missions or to review internal evaluation results.

In order to promote this, JICA is building partnerships with a broad range of outside experts and organizations, including universities, research institutes, academic societies, members of the private sector, and NGOs.

Furthermore, JICA plans to promote the commissioning of evaluations to external experts and organizations in partner countries and to increase secondary evaluations for internal evaluations that are conducted by these experts and organizations. JICA has already adopted reviews by third parties for ex-post evaluations on individual projects. To promote this, JICA is making various efforts to expand its network with experts and organizations in partner countries, including local evaluation societies.

(1) Commissioning of Evaluation Studies

JICA has expanded external experts' involvement in its evaluations by seeking the participation of academics at universities and research institutes as well as consultants in its evaluation studies. Since FY1999, JICA has commissioned external organizations with expertise in particular target areas to conduct comprehensive evaluation studies. In FY2002, JICA entrusted out country-program evalua-

tions that targeted Honduras, Panama, and Sri Lanka, and a thematic evaluation on “JICA’s Cooperation on Water and Poverty in Africa” to private consultant companies. In the same fiscal year, JICA commissioned the Japan Society for International Development to conduct a thematic evaluation on the “Environmental Center Approach” (BOX 10).

(2) Main Activities of the Advisory Committee on Evaluation and Introduction of Secondary Evaluations

JICA established the Advisory Committee on Evaluation in FY2002 to improve the quality of its evaluations by seeking advice from external experts as well as to ensure objectivity.

BOX 10 Evaluation by an External Organization (The Japan Society for International Development)

In FY1999, JICA began to promote external evaluation to expand evaluation objectivity by including the viewpoints of third parties. Under this initiative, JICA has asked a broad range of external organizations with expertise in various development issues to evaluate its projects. In FY2002, JICA commissioned the Japan Society for International Development (JASID) to conduct a thematic evaluation entitled the “Environmental Center Approach: Development and Social Capacity for Environmental Management in Developing Countries and Japan’s Environmental Cooperation.”

This evaluation covered six environmental center projects in developing countries that have been supported by Japan: the Environmental Research and Training Center in Thailand, the Environmental Management Center in Indonesia, the Sino-Japan Friendship Center for Environmental Protection in China, the National Center for Environmental Research and Training in Mexico, the National Center for Environment in Chile, and the Environmental Monitoring Training Project in Egypt. In this evaluation, efforts in environmental management by the governments, firms, and citizens of four key countries – Thailand, Indonesia, China and Mexico – were understood as a social environmental management system. At the same time, the contributions of environmental center projects by JICA toward the development of social environment management systems were analyzed, while related cooperation projects and policy structures were also evaluated as required in order to propose recommendations for making JICA’s environmental cooperation projects more effective and efficient.

This was the second time that JICA commissioned the JASID to do an evaluation study, following a thematic evaluation in FY 2001, “Alleviating Regional Disparities between Bangkok Metropolitan Area and the Northeast Region”. Through this evaluation, it has become possible to involve the expertise of JASID members who are well-informed about environmental issues in Japan, the situations and policies concerning environmental protection in the target countries, and environmental cooperation projects both at home and abroad. In these evaluation studies, the rich human resources of JASID as well as its broad international network were extensively mobilized.

Commissioning evaluation studies to JASID as an external party has enabled JICA to ensure a broad perspective and neutrality in its evaluations. JICA plans to continue its effort to enhance external evaluations in the future.



Open Seminar in Japan. More than 100 participated and the results of evaluation were reported and discussed .

Since its first meeting in June 2002, the Committee has held a total of 10 sessions as of the end of October 2003. The Committee has provided JICA with a broad range of recommendations and proposals for making improvements to JICA's evaluation system and methods as well as to project planning and implementation. The issues addressed include evaluation methods for the Disaster Relief Program and Volunteer Programs and the system for disclosing evaluation results. Summaries of the committee's plenary sessions are available on JICA's website.

Upon the request by JICA, in FY2003, the Committee carried out secondary evaluation of the results of terminal evaluations that targeted the 40 Project-Type Technical Cooperation Projects that were implemented in FY2001. The full text of the Committee's report on its secondary evaluations is presented in Part 3 of this Report.

(3) Assignment of External Advisors and Introduction of Third Party Reviews by External Experts

In order to take advantage of the expertise of experts for its evaluations, JICA asks external experts to take part in its country-program and thematic evaluations as advisors. In



Meeting of the Advisory Committee on Evaluation

pursuit of higher transparency in its evaluation, JICA has secured the participation of more than one external advisor in all country-program and thematic evaluations implemented since FY2003.

In its result on secondary evaluation conducted in FY2003, the Advisory Committee on Evaluation suggested that the involvement of more secondary evaluators (i.e., persons who are not the primary evaluators) would lead more credible conclusions. In response to this suggestion, from FY2003 onward, all country-program evaluations and thematic evaluations are to be subject to third party review by external experts different from advisors for those evaluations.

The results of the third party review will be included in reports as "external experts' reviews" along with the results of primary evaluations. So far, reviews are made for the "Country Program Evaluation for Senegal" and the "Synthesis Study of Evaluations in the field of Agriculture and Rural Development".

In the country-program evaluation for Senegal, JICA asked three university professors specializing in the country and the target areas ("fisheries sector development" and "rural development") who have sufficient knowledge of development assistance to review evaluation results. This review was conducted with consent of the external organization (consulting firm) that was entrusted the study.

The review confirmed the usefulness of the Program Approach Logic Model (2-4 "Developing and Improving Evaluation Methods") and provided various suggestions for evaluation improvement. These included the following: "In addition to an overview, more detailed analysis on the causes should be included in discussions on macroeconomic and social factors"; "Due to insufficient comprehension of the fisheries industries in Senegal, some of the analysis of the effects of

Member of the Advisory Committee on Evaluation

● Chairperson:

Hiromitsu MUTA: Ph.D. Professor, Director of the Center for Research and Development of Educational Technology, Tokyo Institute of Technology

● Committee Members:

Atsuko AOYAMA: M.D., Ph.D. Professor, Department of International Health, School of Medicine, Nagoya University

Kiyoko IKEGAMI: Director, UNFPA Tokyo Office

Michiya KUMAOKA: President, Japan International Volunteer Center

Toshihiko ISHIHARA: Ph.D. CPA (Japan), Professor of Accounting and Public Management, in Business Administration, Institute for Industrial research, Kansei Gakuin University

Akira KAWAGUCHI: Manager, Asia and Oceania Group, International Economic Affairs Bureau, Japan Business Federation (from November 4, 2003)

Tsuneo SUGISHITA: Professor, Faculty of Humanities, Ibaraki University

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

Shunichi FURUKAWA: Ph.D. Professor, Institute of Policy and Planning Sciences, University of Tsukuba

Atsushi YAMAKOSHI: Manager, Trade and Investment Policy Group, International Economic Affairs Bureau, Japan Business Federation. (to November 3, 2003)

aid in this sector is unsatisfactory”; and “Issues concerning poverty and gender demand more in-depth research and analysis supported by clear understanding of the social and cultural backgrounds.”



Third party review included in the Report on “Senegal Country-program Evaluation”.

2-6 Enhancing Disclosure of Evaluation Results

(1) Rapid Disclosure of Evaluation Results through JICA’s Website

Rapid and sound disclosure of reliable evaluation results is an essential part of JICA’s effort to ensure accountability. Summaries of the results of all evaluations conducted in each fiscal year are included in its Annual Evaluation Reports. In FY1999, JICA started posting not only the Annual Evaluation Reports but also reports on country-program evaluations and thematic evaluations on its website. Since the ex-ante evaluation was introduced in FY 2001, JICA has posted ex-ante evaluation documents as quickly as possible on its website. The evaluation site in the Japanese version of JICA’s website records an average of 56,000 hits per month, and that in the English version records 16,802 hits per month.

However, many pointed out, including the members of the Advisory Committee on Evaluation that the disclosure of evaluation summaries has to be accelerated, as their timing of uploading lagged almost two years since the implementation of the evaluation. This was due to the fact that

these evaluation summaries were available on JICA’s website only after posting of Annual Evaluation Reports that included them.

In response to this suggestion, in FY 2003 JICA started posting summaries of the results of all types of evaluation, from ex-ante to ex-post evaluations, as swiftly as possible after the evaluation studies are completed. In addition, by the end of September 2003, summaries of the 290 evaluations conducted in FY2001 and 2002, which were not yet included in the previous issues of Annual Evaluation Report, were posted on JICA’s website. In another step taken in FY2003 to ensure higher transparency of JICA’s evaluations, evaluation plans for each fiscal year have become available through JICA’s website.

(2) New Editorial Policy of JICA’s Annual Evaluation Reports

JICA’s Annual Evaluation Reports were mainly designed as means to provide information on the all the evaluation results conducted in a particular fiscal year and to summarize them. However, JICA received a number of suggestions regarding the Reports, such as that the message of the Report was unclear, or that the Report needed more focus to be useful as a tool for communicating with the public.

JICA therefore conducted a reader survey when it published the Annual Evaluation Report 2002 (BOX 11). Taking account of readers’ suggestions and opinions and seeking advice from the Advisory Committee on Evaluation, JICA reviewed and changed its editorial policy for the Annual Evaluation Report. Under the new policy, the Report places emphasis on reporting JICA’s overall performance by conducting a synthesized analysis of evaluations while at the same time delivering clear messages. Meanwhile, evaluation results of individual projects are posted more quickly on JICA’s website. In addition, in order to make it easier for more readers to understand information included in the reports, the presentation style and design were revised.

JICA intends to continue improving its Annual Evaluation Reports by seeking feedback from a wide range of readers through surveys and other means.

(3) Holding Evaluation Seminars

In addition to the disclosure of evaluation results through its Annual Evaluation Reports and website, since FY 2001, JICA has held evaluation seminars for the general public to report on the results of various evaluations, in-

cluding country-program evaluations and thematic evaluations, and receiving public suggestions and opinions on evaluation results.

In FY2002, JICA held five seminars, including one entitled “Country-Program Evaluation Methods and Challenge for the Future,” which was based on country-program evaluations for Honduras, Panama, and Sri Lanka. Another seminar was entitled “Toward Enhancing the Program Approach”, which was based on a thematic evaluation, “Population and Health Sector in the Philippines under JICA/USAID Collaboration”. Also held was a joint seminar entitled “ODA Evaluation: Bangladesh as a Case Study”, which was coorganized by the Ministry of Foreign Affairs, Japan Bank for International Cooperation, and the Japan Evaluation Society. A total of about 520 participants, including concerned parties to development assistance, researchers at universities and research institutions, consultants, NGO members, and students, participated in the seminars and engaged in active discussions of various topics.

JICA also organizes seminars for related parties in partner countries. In FY 2002, JICA held a feedback seminar on country-program evaluations in Honduras and Panama and a thematic evaluation titled “JICA’s Cooperation on Water and Poverty in Africa” in Zambia. In FY2003, JICA and the Japan Society for International Development jointly held feedback seminars on the thematic evaluation of the “Environmental Center Approach” in Thailand, Indonesia, and China.



Feedback seminar of the thematic evaluation “Poverty and Water in Africa” held in Zambia.

BOX 11 Results of a Reader Survey on the JICA Annual Evaluation Report 2002

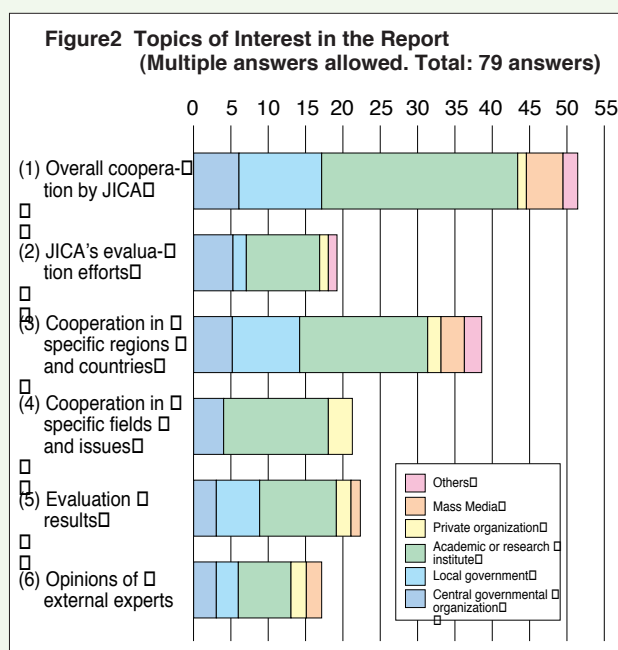
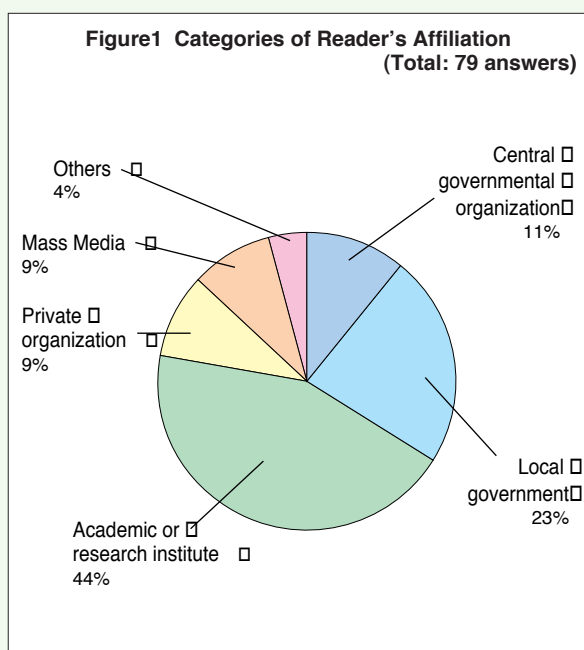
JICA conducted a reader survey for its Annual Evaluation Report 2002 through mailing and its website in order to improve its content. A total of 79 readers responded to the survey. The following are the questions asked in the survey and the results of responses obtained.

<The Main Questions Asked in the Survey>

1. Reader's affiliation
2. Topics of interest in the Report
3. Opinions and suggestions regarding the Report
4. Expectations for the Report

<The Results of the Survey>

The three top categories of the organizations to which respondents belong were “academic or research institute” (44%), “local government” (23%), and “central governmental organization” (11%). Particularly strong interest by people at academic and research institutes was thus identified (Figure1).



As for topics of interest in the report, 51 out of the 79 respondents answered “Overall cooperation by JICA.” This suggests that many readers regard the Report more as a source of concrete information about JICA’s activities than as a simple report on “Evaluation results” (22 respondents; see Figure2). The answers to questions about the quality of the report were largely positive (Figure3). However, the respondents who answered that the report was “not interesting” or “not easy to understand” pointed out a variety of specific and insightful comments. Some said that the content had been stereotyped, while others said the evaluations were superficial and lacked in-depth analysis. This indicates that deeper analysis and focused content are required.

Figure 3 Opinions and Suggestions Regarding the Report

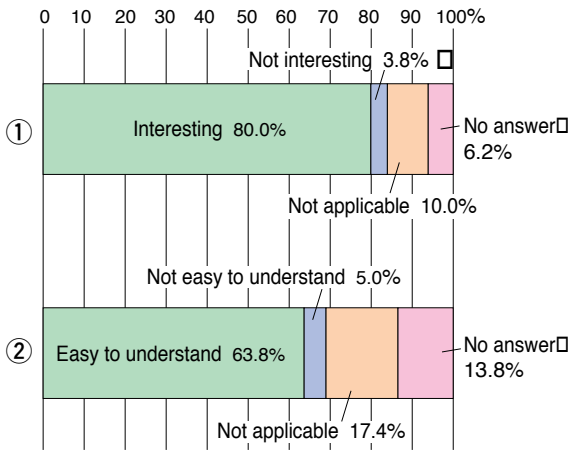
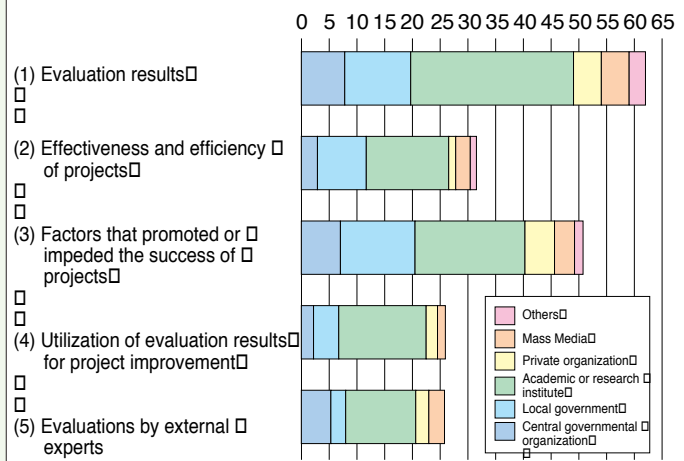


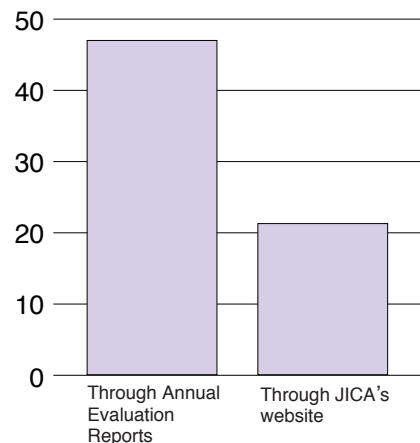
Figure 4 Expectations for the Report (Multiple answers allowed. Total: 79 answers)



Asked about their expectations for the Report, many of the respondents answered “Evaluation results” (64 respondents) and “Factors that promoted or impeded the success of projects” (52 respondents). This indicates the report is widely recognized as a means for publishing evaluation results. It is also clear that many readers place much importance on whether JICA analyzes the factors behind the success or failure of projects and uses the evaluation results for further improvement (Figure 4).

As for means to disclose evaluation results, many respondents pointed out that the publication of Annual Evaluation Reports is as necessary as disclosure of evaluation results through JICA’s website. This might be because a large number of responses were from academic or research institutes that keep the Annual Evaluation Reports in their libraries (Figure 5).

Figure 5 Means to Disclose Evaluation Results (Multiple answers allowed. Total: 79)



The results of the survey and some of the opinions and suggestions offered by the respondents have been incorporated into the Annual Evaluation Report 2003 and also into JICA’s efforts to improve and enhance its evaluations. JICA also plans to take the remaining opinions and suggestions into account. JICA appreciates the valuable feedback it receives from a wide range of readers.