

Part 2 ■ Synthesis Study of Evaluation and Evaluation Feedback



Part 2 ■ Synthesis Study of Evaluation and Evaluation Feedback

Chapter 1 ● Synthesis Study of Evaluation

JICA has conducted terminal and ex-post evaluations of 116 individual projects in FY 2001 (Table 2-3 and 2-4). Breakdown of these projects by regions, cooperation schemes, and sectors are presented in Table 2-1 and 2-2. JICA has already posted the evaluation results summaries of these projects on the JICA website, through the introduction of swifter disclosure of evaluation results via website. These summaries are also provided on the CD-ROM attached at the end of this report.

This chapter presents the synthesis study on evaluations of these projects. The Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA, as an independent evaluation section of JICA, conducted this study with the cooperation of external consultants with the aims of deriving common features and generalized lessons from individual evaluations so that it becomes easier to provide feedbacks toward JICA's future undertakings.

Table 2-1 Classification by Regions and Cooperation Schemes (Terminal and Ex-Post Evaluations)

Region	Project				Overseas Training		Others		Total
	Project-Type Technical Cooperation	Research Cooperation	Expert Team Dispatch	Training in Japan	In-Country Training	Third-Country Training Program	JOCV Team Dispatch	Grant Aid	
Asia	31	1	7	0	3	18	1	4	65
Africa	6	1	0	0	0	4	0	2	13
Middle East	6	0	1	0	0	3	0	1	11
Latin America & Caribbean	16	1	0	1	1	4	0	1	24
Europe	1	0	0	0	0	0	0	0	1
Oceania	0	0	1	0	0	1	0	0	2
Total	60	3	9	1	4	30	1	8	116

Table 2-2 Classification by Sectors and Cooperation Schemes (Terminal and Ex-post Evaluations)

Sector	Project				Overseas Training		Others		Total
	Project-Type Technical Cooperation	Research Cooperation	Expert Team Dispatch	Training in Japan	In-Country Training	Third-Country Training Program	JOCV Team Dispatch	Grant Aid	
Energy	1	0	1	0	0	0	0	0	2
Public Works and Utilities	3	0	2	0	1	8	0	4	18
Social Welfare	3	0	1	0	0	0	0	0	4
Human Resources Development	5	0	1	0	0	2	0	1	9
Planning & Administration	7	1	1	1	1	2	1	0	14
Mining & Industry	9	0	0	0	0	2	0	0	11
Commerce & Tourism	0	0	0	0	0	5	0	0	5
Agriculture, Forestry & Fisheries	21	1	1	0	1	6	0	2	32
Health	11	1	1	0	1	5	0	1	20
Others	0	0	1	0	0	0	0	0	1
Total	60	3	9	1	4	30	1	8	116

Table 2-3 List of Individual Projects Targeted for Terminal Evaluation in FY 2001

Title	Country	Cooperation Scheme
Asia		
Japanese Cooperation to Support the Formulation of Key Government Policies on the Judicial System	Cambodia	Dispatch of Experts
Meat Processing Technology	China	Overseas Training
Techniques on Environmental Information Network System	China	Overseas Training
The Joint Study Project on Early Detection and Diagnosis of Prostatic Cancers in Jilin Province	China	Dispatch of Experts
The Project for the Beijing Municipal Education and Training Center for Fire Fighting and Prevention	China	Project-Type Technical Cooperation
The Integrated Development Project in the Waterlogged Area in the Four-Lake Area of Jiangnan Plain, Hubei Province	China	Project-Type Technical Cooperation
Technology for the Control of Waste Gases in the Petrochemical Industry	China	Project-Type Technical Cooperation
Project Cooperation in Environmental Protection and Safety Training Center of Coal Industry	China	Project-Type Technical Cooperation
The Project for Promotion of Popularizing Practical Bivoltine Sericulture Technology	India	Project-Type Technical Cooperation
Telecommunications Outside Plant Construction Supervisory	Indonesia	Overseas Training
Electronic Engineering Education	Indonesia	Overseas Training
Quality Assurance of Live Attenuated Polio & Measles Vaccine	Indonesia	Overseas Training
Roles of Media in Family Planning/ Reproductive Health Information, Education and Communication Program	Indonesia	Overseas Training
International Training Course on Sabo Engineering and Water Induced Disaster Countermeasures	Indonesia	Overseas Training
Agricultural Engineering and Technology in the Developing Countries	Indonesia	Overseas Training
Improvement of the 2000 Population Census	Indonesia	Dispatch of Experts
Project on Strengthening Sulawesi Rural Community Development to Support Poverty Alleviation Programs	Indonesia	Project-Type Technical Cooperation
Technical Cooperation Project for Improvement of District Health Services in South Sulawesi	Indonesia	Project-Type Technical Cooperation
The Project for Improvement of Agricultural Extension and Training System	Indonesia	Project-Type Technical Cooperation
Dairy Technology Improvement Project	Indonesia	Project-Type Technical Cooperation
Implementation Support for Integrated Area Development Project in Barru District	Indonesia	Japan Overseas Cooperation Volunteers
Pediatric Infectious Disease Prevention Project	Laos	Project-Type Technical Cooperation
Training on Enhancing Women's Participation through Upgrading Micro Enterprises to Small-scale Enterprises	Malaysia	Overseas Training
International Seminar on Biotechnological Techniques in Tropical Medicine	Malaysia	Overseas Training
Capacity Building of SIRIM BHD on Product Test on IEC 335 & IEC 598	Malaysia	Dispatch of Experts
The Project for Technology related to the Processing of Feed based on Agro-industrial By-products of Oil Palms Production	Malaysia	Project-Type Technical Cooperation
The Project on Risk Management of Hazardous Chemical Substances	Malaysia	Project-Type Technical Cooperation
The Project for the Improvement of Technology on Diagnosis of Animal Infectious Diseases	Mongolia	Project-Type Technical Cooperation
Seed Bank Project	Myanmar	Project-Type Technical Cooperation
Advanced Telecommunications Outside Plant Technology (Optical Fiber)	Philippines	Overseas Training
Executives' Forum on Urban Environment and Transport Development Management	Philippines	Overseas Training
Regional Development Support for Local Planning and Development Officers	Philippines	Overseas Training
Expert Team Dispatch to Enhance the Capability to Monitor the Toxic Red Tide Phenomenon	Philippines	Dispatch of Experts
The Project for the Preparation and Publication of the Philippine Pharmacopoeia	Philippines	Dispatch of Experts
Phase 2 of the Family Planning and Maternal and Child Health Project	Philippines	Project-Type Technical Cooperation
Tuberculosis Control Project	Philippines	Project-Type Technical Cooperation
Bohol Integrated Agriculture Promotion Project (BIAPP)	Philippines	Project-Type Technical Cooperation
The Pesticide Monitoring System Development Project	Philippines	Project-Type Technical Cooperation
Research and Development Project on High Productivity Rice Technology	Philippines	Project-Type Technical Cooperation
Upgrading Project for Plastic Molding Tool Technology	Philippines	Project-Type Technical Cooperation
Capacity Building Project for Environmental Management in Mining	Philippines	Project-Type Technical Cooperation
International Trade Promotion	Singapore	Overseas Training
Management of Productivity and Quality for Small and Medium Size Enterprises(SMEs)	Singapore	Overseas Training
Human Resources Development in Financial Sector for ASEAN Countries – Financial Derivatives	Singapore	Overseas Training
Urban Environmental Management	Singapore	Overseas Training
Productivity Management	Singapore	Overseas Training
APEC-PFP Management Consultancy for Small and Medium Enterprises	Singapore	Overseas Training
APEC-PFP International Trade Financing	Singapore	Overseas Training
Medical Equipment Maintenance & Troubleshooting	Sri Lanka	Overseas Training
Construction Equipment Training Center Project	Sri Lanka	Project-Type Technical Cooperation
The Project for Improvement of Junior Schools	Sri Lanka	Grant Aid
Rehabilitation Program Development in the Sirindhorn Vocational Training School	Thailand	Dispatch of Experts
The Project on Strengthening of the National Institute for the Improvement of Working Conditions and Environment	Thailand	Project-Type Technical Cooperation
Improvement of Environmental Education in Agricultural Sciences	Vietnam	Dispatch of Experts
The Vietnam Information Technology Training	Vietnam	Project-Type Technical Cooperation
The Project for Reconstruction of Bridges in the Northern District	Vietnam	Grant Aid

Table 2-3 List of Individual Projects Targeted for Terminal Evaluation in FY 2001

Title	Country	Cooperation Scheme
Middle East		
Welding Technology for Palestinians	Egypt	Overseas Training
Rice Cultivation Techniques	Egypt	Overseas Training
The Water Supply Technology Training Improvement Project	Egypt	Project-Type Technical Cooperation
The Environmental Monitoring Training Project	Egypt	Project-Type Technical Cooperation
The Pediatric Emergency Care Project	Egypt	Project-Type Technical Cooperation
The Project for Rehabilitation of Equipment for Central Workshop of Road Construction and Maintenance Machinery	Jordan	Grant Aid
Project on Upgrading Exploration Technology of Mineral Resources	Morocco	Project-Type Technical Cooperation
Education Development Center	Saudi Arabia	Dispatch of Experts
Audio-Visual Communication in Family Health	Turkey	Overseas Training
The Project for the Fish-Culture Development Project in the Black Sea	Turkey	Project-Type Technical Cooperation
Africa		
The Project for the improvement of the Maternal and Child Health In-Service Training System and Program	Ghana	Project-Type Technical Cooperation
The Small-scale Irrigated Agriculture Promotion Project	Ghana	Project-Type Technical Cooperation
Blood Screening for Viral Hepatitis and HIV/AIDS	Kenya	Overseas Training
Applied Electrical and Electronic Engineering	Kenya	Overseas Training
Training Program on Global Positioning System (GPS) Surveying	Kenya	Overseas Training
Applied Plant Propagation at Jomo Kenyatta University of Agriculture and Technology	Kenya	Overseas Training
The Social Forestry Extension Model development Project for Semiarid Areas	Kenya	Project-Type Technical Cooperation
Bwanje Valley Irrigation Development Project	Malawi	Grant Aid
Maternal and Child Health Services Follow-up Project	Tanzania	Project-Type Technical Cooperation
The Comprehensive Study Concerning the Strategies for Poverty Eradication and Integrated Rural Development in Uganda	Uganda	Dispatch of Experts
Nakawa Vocational Training Institute Project	Uganda	Project-Type Technical Cooperation
The Project for Improvement of Agricultural Extension and Training Institutes	Uganda	Grant Aid
Lusaka District Primary Health Care Project	Zambia	Project-Type Technical Cooperation
Latin America and the Caribbean		
Regional Training Course on Railways Modernization and Electrification in Latin America	Argentina	Overseas Training
Plasma Processing for Industrial Materials	Argentina	Overseas Training
The Joint Study Project on Environmental Protection Type Livestock Production System	Argentina	Dispatch of Experts
Project of the Mine Pollution Control Research Center	Argentina	Project-Type Technical Cooperation
Project for Groundwater Development in Rural Areas	Bolivia	Grant Aid
The Clinical Research Project of State University of Campinas	Brazil	Project-Type Technical Cooperation
The Research Project on Small-Scale Horticulture in Southern Brazil	Brazil	Project-Type Technical Cooperation
Quality Improvement of Foundry Technology in Small and Medium Scale Industry	Brazil	Project-Type Technical Cooperation
International Training Course on Molluscan Aquaculture Engineering	Chile	Overseas Training
The National Center for Environment Project	Chile	Project-Type Technical Cooperation
The Development of Benthonic Resources Aquaculture Project	Chile	Project-Type Technical Cooperation
The Project on the Improvement of Mineral Processing Technology Concerning Medium and Small-scale Mines	Colombia	Project-Type Technical Cooperation
The Project for Agricultural Development on Sloped Terrains	Dominican Republic	Project-Type Technical Cooperation
Project on Strengthening of Nursing Education	El Salvador	Project-Type Technical Cooperation
The Technical and Vocational Education and Training Improvement Project at Technical High Schools	Jamaica	Project-Type Technical Cooperation
The National Center for Environmental Research and Training (phase 2)	Mexico	Project-Type Technical Cooperation
The Project on Engineering and Industrial Development Center for Small and Medium Scale Industries in Queretaro State	Mexico	Project-Type Technical Cooperation
Technical Cooperation for the Refinery Safety Training Center	Mexico	Project-Type Technical Cooperation
Outboard Motor Maintenance and Repair	Panama	Overseas Training
The improvement of Vegetable Production Techniques for Small Scale Farmers	Paraguay	Project-Type Technical Cooperation
The Research Project on Soybean Production	Paraguay	Project-Type Technical Cooperation
Welding Technology for Palestinians	Peru	Overseas Training
Oceania		
Sustainable Use of Coral Reef Fisheries Resources	Tonga	Overseas Training
Rural Electrification Project	Vanuatu	Dispatch of Experts
Europe		
The Fermented Dairy Products Development Project	Bulgaria	Project-Type Technical Cooperation

Table 2-4 List of Individual Projects targeted for Ex-post Evaluation in FY 2001

Title	Country	Cooperation Scheme
Asia		
Dalian China Energy Conservation Training Center Project	China	Project-Type Technical Cooperation
Tianjin Pharmaceutical Inspection Center Project	China	Project-Type Technical Cooperation
Shanghai Modern Molding Technology Training Center Project	China	Project-Type Technical Cooperation
Provision of Medical Equipment for Maternal and Child Health in Nanjing	China	Grant Aid
The Project for Development of Vocational Rehabilitation System in the National Rehabilitation Center for Physically Disabled People	Indonesia	Project-Type Technical Cooperation
The Project for Equipment Supply to TV Training Center	Indonesia	Grant Aid
The Academic Development of the Graduate Program at the Faculty of Agricultural Engineering and Technology, Institute Pertanian Bogor	Indonesia	Project-Type Technical Cooperation
The Telephone Outside Plant Construction Center Project	Indonesia	Project-Type Technical Cooperation
JICA Training Program (Agriculture)	Laos	Overseas Training
Third Country Training Program in Malaysia	Malaysia	Overseas Training
The Family Planning and Maternal and Child Health Project	Thailand	Project-Type Technical Cooperation
Middle East		
Road Maintenance and Construction Machines in the Kingdom of Morocco	Morocco	Project-Type Technical Cooperation
Latin America and the Caribbean		
Brazil Country-focused Environmental Protection (Waste Treatment)	Brazil	Training in Japan
Environmental Conservation in the Brazilian Amazon	Brazil	—
Marketing Improvement Project on Vegetables and Fruits	Paraguay	Project-Type Technical Cooperation

Synthesis Study of Evaluations in FY2001

1-1 Framework of the Synthesis Study

(1) Objective

JICA conducted this synthesis study (hereinafter referred to as “the Study”), a comprehensive analysis on evaluation results of individual projects, in order to analyze the overall tendency of JICA projects and their effects and factors that promoted or impeded realization of the effects, and to derive lessons for the effective and efficient cooperation.

(2) Subject of the Synthesis Study

The Study mainly focused on 63 terminal evaluations of Project-type Technical Cooperation, Research Cooperation and Expert Team Dispatch Projects (hereinafter called “Projects”) among all the individual projects, which JICA had evaluated in FY 2001. This was because these three cooperation schemes had a commonality among many cooperation schemes conducted by JICA, which could be a base for comparison and evaluation; all of them consisted of similar components such as having Japanese experts work together with their counterparts. Also they are applied to the same planning and evaluation methods (e.g., using PDM as a project management method and evaluating projects from the viewpoint of the DAC’s Five Evaluation Criteria with PDM). These three cooperation schemes have been integrated into Technical Cooperation Projects since FY 2002.

JICA also targeted Third-Country Training and In-Country Training (hereinafter called “Overseas Trainings”) for the Study. These two were also integrated into Technical Cooperation Projects from FY 2002; however, as they are different in terms of the contents and evaluation methods, it might not be appropriate to compare and analyze them in the same way with the above “Projects”. Therefore, 34 terminal evaluations on “Overseas Trainings” were analyzed separately from “Projects” and the Study reports whenever remarkable findings and significant results of analysis on “Overseas Training” were revealed.

(3) Members of the Study

Satoko MIWA, Senior Assistant to the Managing Director, Planning and Evaluation Department, JICA

Kaoru SUZUKI, Deputy Director, Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

Nozomi IWAMA, Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

Chihiro SAITO, Office of Evaluation and Post Project Monitoring, Planning and Evaluation Department, JICA

Naoko YANO, Senior Consultant, Research and Consulting Division, the Japan Research Institute, Limited

Naohiko KUWAMIYA, Senior Consultant, Research and Consulting Division, the Japan Research Institute, Limited

(4) Methods of the Synthesis Study

The Study set the following three questions for this synthesis study of evaluations: “Were targeted projects implemented effectively and efficiently?”; “What are the major factors that promoted or impeded realization of cooperation effects?”; “What are the major lessons learned which should be noted for more effective and efficient cooperation?”

The Study analyzed the terminal evaluation (hereinafter called as primary evaluation vis-a-vis the Study which is a secondary evaluation) reports of individual projects by the method described below.

1) Understanding Overall Trend

In order to understand the overall trend of primary evaluations, projects subjected to the Study were rated with a one-to-four scale for each of the DAC’s Five Evaluation Criteria (Relevance, Effectiveness, Efficiency, Impact and Sustainability) as well as the conclusion of the primary evaluation. The criteria of ratings are presented in the following sections where each criteria is analyzed. Then, the study derived what affected the respective Five Evaluation Criteria by analyzing the primary evaluation results. For the impartial rating on the primary evaluation results, an evaluator’s bias was alleviated by having at least three members among the above listed evaluators (two JICA staff and one external consultant) on each project when rating the primary evaluation results.

2) Analyzing Promoting and Impeding Factors

Upon the results described in above section 1), the promoting and impeding factors of cooperation effects were

classified into the following two categories: those related to contents of the plan or planning stage, and those related to the implementation process. Then, the factors falling into each category were further sorted into more detailed classification by the items of importance (such as target selection, purpose setting, preliminary study, progress management and coordination, inputs and system or organization for implementation). Through surveying the frequency of reference of the above-mentioned important items in primary evaluation reports and examining concrete cases, the Study analyzed what factors promoted or impeded the realization of cooperation effects in each planning stage and the implementation process.

3) Deriving Lessons

Based on the above results, items which should be kept in mind for more effective and efficient cooperation were summarized at each of the planning, implementation and evaluation stages.

(5) Limit of the Study and Response towards Data Constraints and Analysis of Evaluation Quality

In the course of analyzing the primary evaluation results, considerable variations in judgment and description were observed in their reports. However, it was difficult to verify whether the judgment given in the primary evaluation is appropriate from the reports only. Therefore, it was decided that the Study analyzed the judgment of the primary evaluation as given.

Since the Study was not able to make any verification over the judgment of the primary evaluation, the Study grasped the overall trend through the classification and rating of evaluation results for each of the Five Evaluation Criteria, and frequency survey on promoting or impeding factors. The Study paid due attention to the analysis of factors background based on specific cases. In addition, in the Study by the Five Evaluation Criteria on the primary evaluation results, the Study analyzes the quality of primary evaluation from the viewpoint of credibility and persuasiveness and derives lessons for the future improvement of evaluation quality.

As for analysis by the Five Evaluation Criteria, the Study derived concrete cases from the primary evaluation reports in order to analyze the factors affected to the project performance. However, as described above, due to the variety in analysis and presentation of primary reports, there might be some cases where issues of each projects were not described precisely. Therefore, the projects picked up in

this report as “problematic cases” do not necessarily mean that they had the most serious problems. Instead, they are more likely to be projects with well-written primary evaluation reports, which identified and analyzed the problems clearly.

1-2 Outline of Primary Evaluation

(1) Outline of Projects Subject to the Study

The study targeted 63 “Projects” and 34 “Overseas Trainings”, and their breakdown by region and starting fiscal year are presented in Figures 2-1 and 2-2. The total cost (inputs

Figure 2-1 “Projects” and “Overseas Trainings” by Region

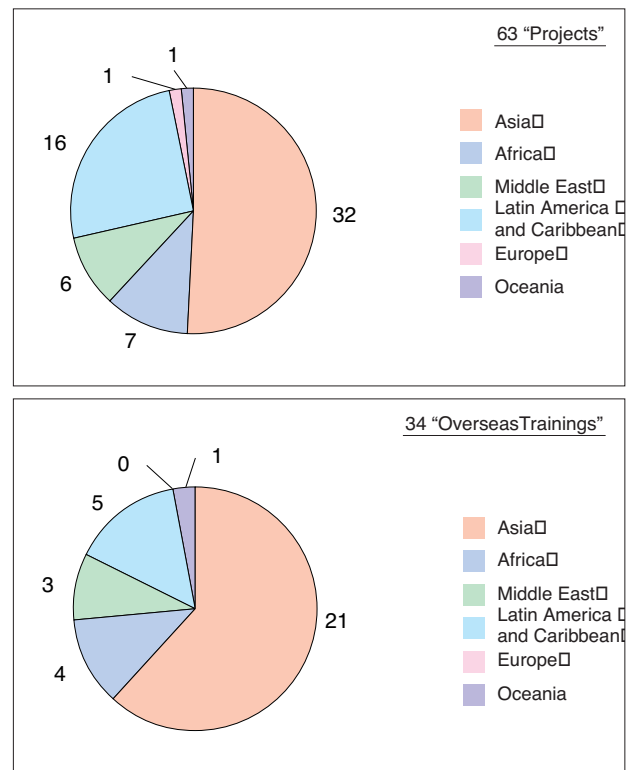
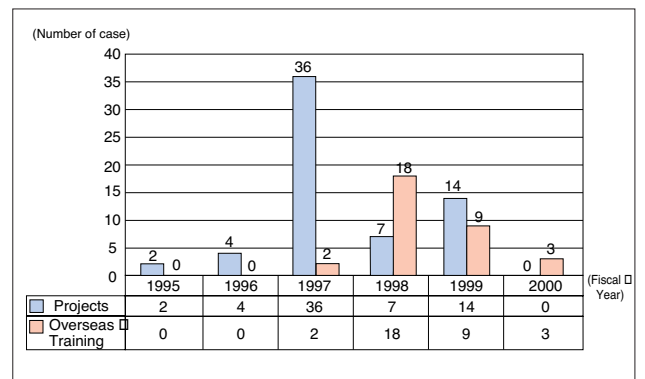


Figure 2-2 Starting Year of “Project” and “Overseas Trainings”



from Japanese side) per “Project” was approximately 678 million yen, and per “Overseas Training” approximately 22 million yen. “Projects” related to other ODA projects are 18 projects being collaborative with Technical Cooperation Projects, 26 with Grant Aid and two with Loan Aid. Similarly, “Overseas Trainings” related to other ODA projects referred to 38 Technical Cooperation and 9 Grant Aid.

(2) Summary of Primary Evaluation

JICA dispatched evaluation teams from Japan to 61 among 63 “Projects” for terminal evaluation. JICA Overseas Offices hired local consultants and evaluated the remaining two “Projects” and 34 “Overseas Trainings”.

The total number of evaluation team personnel dispatched was 295 (116 JICA staff and 172 others) and the average number of persons per a team was five. The typical composition of a team is described below.

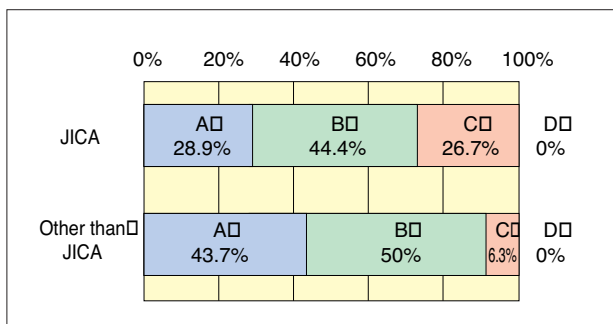
Team Leader/General	1 JICA staff
Technical Evaluation	2 persons from cooperating organizations in Japan
Planning Evaluation	1 JICA staff
Evaluation Analysis	1 external consultant

In JICA, basically a JICA staff (including senior advisors) is to be assigned as a team leader for a evaluation team with the aim that evaluation from ex-ante to terminal stage can serve as a project operational and management tools. JICA staff worked as team leaders for 46 among the

above-mentioned 61 “Projects”. For the remaining 16 “Projects”, the chairperson of the Supporting Committee in Japan, individuals related to other supporting or collaborative organizations in Japan or external experts were the team leaders.

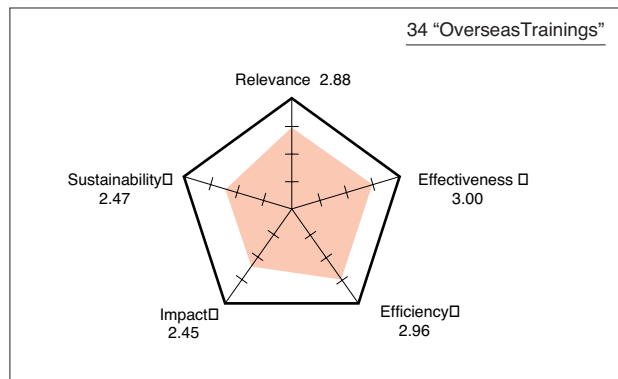
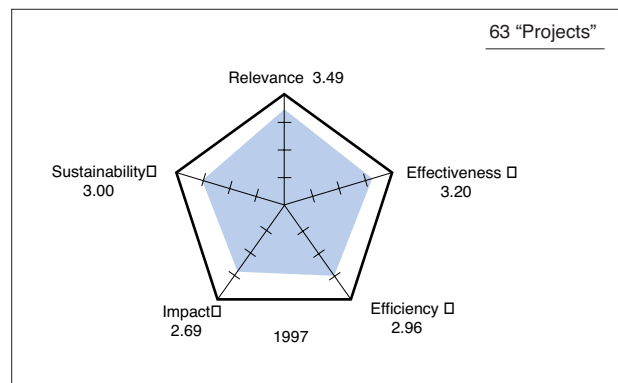
Figure 2-3 represents the conclusion of the primary evaluation of the 61 “Projects” by leader’s affiliation. “Projects” with JICA staff as team leaders were rated as “C” more than the others, which show severer evaluations by JICA. The results indicated that the JICA internal evaluation was not necessarily lenient. However, it could not be concluded that the results of the primary evaluation showed a certain trend by leaders; JICA or non-JICA staff, as the target projects were limited to 61.

Figure 2-3 Evaluation Results by Team Leader’s Affiliation



- A: Project purpose was accomplished or mostly accomplished and there were no problems found in terms of the Five Evaluation Criteria.
- B: Project purpose was accomplished or mostly accomplished but there were some problems in terms of the Five Evaluation Criteria.
- C: Project purpose accomplishment was delayed, or project purpose was mostly accomplished but there were problems in terms of the Five Evaluation Criteria.
- D: Project purpose was hard to accomplish and there were major problems in terms of the Five Evaluation Criteria.

Figure 2-4 Average Score of Primary Evaluation Results



1-3 Analysis by the Five Evaluation Criteria and Conclusion of Evaluations

1-3-1 Trend of Primary Evaluation Results based on the Five Evaluation Criteria

Figure 2-4 below shows the average scores given to “Projects” and “Overseas Trainings”, by rating on a scale of one-to-four the primary evaluation results for each of the Five Evaluation Criteria, (4 points to A, 3 points to B, 2 points to C and 1 point to D: the standards for the rating are given in the following section which explains the result by each Criteria). Based on this, it is discussed in the following (1) to (5) that the results of the synthesis study on the target projects. The “quality” of the primary evaluation was analyzed for each of the Five Evaluation Criteria as well.

(1) Relevance

1) General Trend

“Relevance” refers to the appropriateness of aid cooperation by looking at the consistency of the project purpose

relative to the intended beneficiaries’ needs, the target country’s development policies, and Japan’s aid policies. Relevance of projects was evaluated highly as a whole as presented in Figure 2-5. The average scores of the four point scale ratings were 3.49 for “Projects” and 2.88 for “Overseas Trainings”.

2) Factors Influencing Relevance

① Consistency with Development Needs and Policies

Almost all the projects with high relevance were found to be consistent with the partner countries’ needs and development policies.

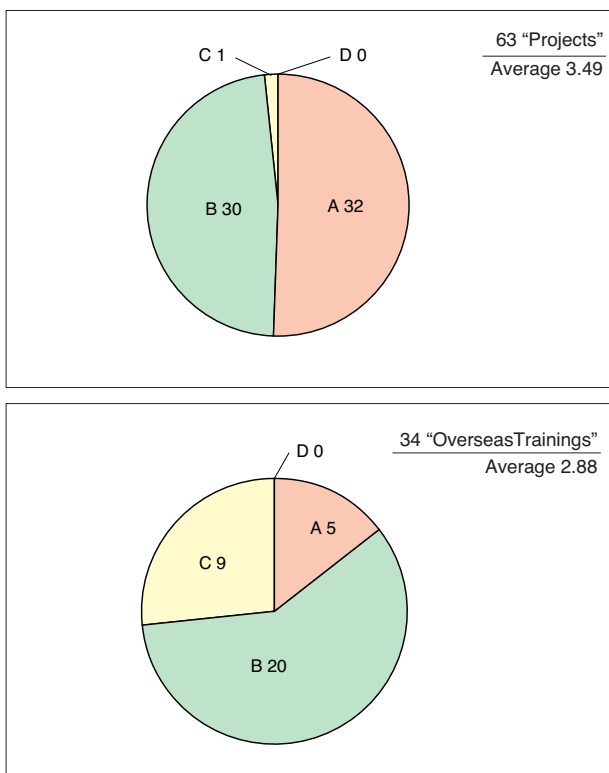
One of the good examples is the “Rehabilitation Program Development in the Sirindhorn Vocational Training School” project in Thailand, intended to support developing a management and training system of the model correctional institution in order to improve correctional education. This project was consistent with the needs of the Thai government which needed to address the issue of juvenile correction due to the increasing rate of juvenile crimes. Combined with the focus of the 8th National Master Plan of Thailand advocating prevention of juvenile delinquency and juvenile correction, the project was deemed to be highly relevant.

In case of “Overseas Trainings”, the conformity with the participating country’s needs is one of the standards of measurement. For example, the “International Trade Promotion” training in Singapore was consistent with the needs of the targeted Indochina countries that have placed trade promotion as major policy in promoting market-oriented economic reform. In addition, having implemented the training in Singapore, a successful example of international trade promotion in a neighboring country, led to increased relevance of the training program.

Meanwhile, there were some projects that were evaluated as not necessarily being highly relevant. The “Nakawa Vocational Training Institute Project” in Uganda is a case in point. The project was relevant as it was consistent with the needs of the industries of Uganda and Japan’s priority in assistance to Uganda. However, the project cannot necessarily be found to be relevant from the viewpoint of the educational policy of the current Uganda government.

In case of “Overseas Trainings”, many of the evaluations which scored low in relevance referred to the mismatch in terms of the needs of some participating countries because of the difference in the situation of the countries and their technical levels.

Figure 2-5 Results of Primary Evaluation on Relevance



A: Generally high (4 Points) B: Mostly high (3 Points)
C: Low in some part (2 points) D: Low (1 Point)

② Consistency with Japan's ODA Policies and Japan's Technical Advantage

Many of the projects with high relevance were consistent with Japan's ODA policies and Japan's technical advantage.

In the “National Center for Environment” project in Chile, environmental cooperation was one of Japan's priorities for development assistance to Chile, and in the “Phase 2 of the Family Planning and Maternal and Child Health Project” in the Philippines, the partner countries were also the target countries of Global Issues Initiative (GII) on Population and AIDS. Both projects were evaluated as being consistent with Japan's policies on development assistance.

In “Overseas Trainings”, the grounds for relevance are consistency with regional policies on development assistance as well as bilateral cooperation policy between Japan and the implementing country of a training program such as the “Japan-Singapore Partnership Program”. For example, the “APEC-PFP International Trade Financing” training in Singapore was an inter-regional cooperation project along with the Asia-Pacific Economic Cooperation Conference (APEC) and the “Agricultural Engineering and Technology in the Developing Countries” training in Indonesia were conducted as part of Japan's support to enhance cooperation from Asian countries to African countries.

In some projects, the grounds for the relevance of a project depended on Japan's technical advantage, for instance, as Japan has world-class techniques in the field of metal casting in the project of the “Quality Improvement of Foundry Technology in Small and Medium Scale Industry” project in Brazil. In “Overseas Trainings”, many training programs utilize the result of previous Japan's technical cooperation as their basis, and the relevance of these pro-

jects was evaluated highly from the viewpoint of transfer and effective utilization of cooperation effects.

③ Appropriateness of Planning

Primary evaluation results indicated that although the project purposes were consistent with the development needs and policies of partner country, some projects had problems with selecting the sub-sectors or setting targets.

For example, in the “Upgrading Project for Plastic Molding Tool Technology” in the Philippines, the project focused on the field of plastic molding in order to improve the technical level of the molding industry. However, the primary evaluation suggested that project had only a limited effects on the overall molding industry because the industry required various techniques and it was found that the needs for press molding were greater than for plastic molding despite its high potential.

Similarly, in the “Project for the Improvement of Technology on Diagnosis of Animal Infectious Diseases” in Mongolia, the project aimed at enhancing the diagnostic techniques for animal infectious diseases control. As the university research institute, an implementing organization, did not actually conduct diagnosis but rather research activities, it was pointed out that the project should include collaboration with an organization in charge of diagnostics in order to fully apply the project results for actual disease control.

In the “Bohol Integrated Agriculture Promotion Project (BIAPP)” in the Philippines, the project was consistent with the agricultural policy of the partner country, as well as the needs in the whole target area, which made its relevance high. However, small-scale farmers had difficulties in applying new techniques developed by the project and the project could not meet the needs of a subset of the targets.

3) Quality of Primary Evaluation

Those projects regarded as relevant were, as a whole, consistent with the needs and policies. However, in some “Overseas Trainings”, the evaluation covered only the needs of the implementing countries and not refer to those of participant countries.

As mentioned above in section 2), “③ Appropriateness of Planning”, some projects were insufficient in setting concrete project purposes, selecting targets as a measure to solve the issues in partner countries, or in conducting needs assessment at the level of beneficiaries, despite their conformity with needs and policies.

The evaluations of relevance have not always included judgment of appropriateness of the projects as the problem



The “Family Planning and Maternal and Child Health Project” in the Philippines. The State Maternal and Child Health Center.

solving measures so far. However, as described in the analyses in the following sections, in not a few projects the problems that can be attributed to the planning stage affected the projects till the termination and influenced the accomplishment of project purposes. In this sense, it is necessary, along with the consistency with (necessity or priority of) the needs and policies of partner countries, the appropriateness of the plan should be included in the evaluation viewpoints of relevance (adequacy as a measure to solve the issue).

(2) Effectiveness

1) General Trend

“Effectiveness” is the perspective of evaluation whether a project has achieved the expected effects, i.e., whether the project purpose is being achieved as initially planned and whether that can be attributed to the outputs of the project. According to primary evaluations, JICA’s cooperation rated high in general as described in Figure 2-6. The average score of “Projects” was 3.2, and that of “Overseas Trainings” was 3.0.

Most of “Projects” were evaluated as highly effective and have accomplished the outputs and project purposes. Whereas, among 12 projects, which were regarded low or relatively low in effectiveness, seven projects had not accomplished the project purposes at the time of terminal evaluations. The other five projects had problems which impeded the accomplishment of the purposes either in planning or implementation. Follow-up cooperation was implemented for five projects out of these seven projects which had not accomplished the project purposes. As for the other two projects, the primary evaluation concluded that follow-up cooperation was not necessary, because the partner country would be able to accomplish the purpose. Or the reason for the other project lies in the description of the project purpose in the original plan. More precisely, due to the discrepancy between the actual purpose intended and what was described in the original plan (PDM), the documented project purpose was not accomplished. As the actual project purpose was achieved through project activities, there was no need for following up.

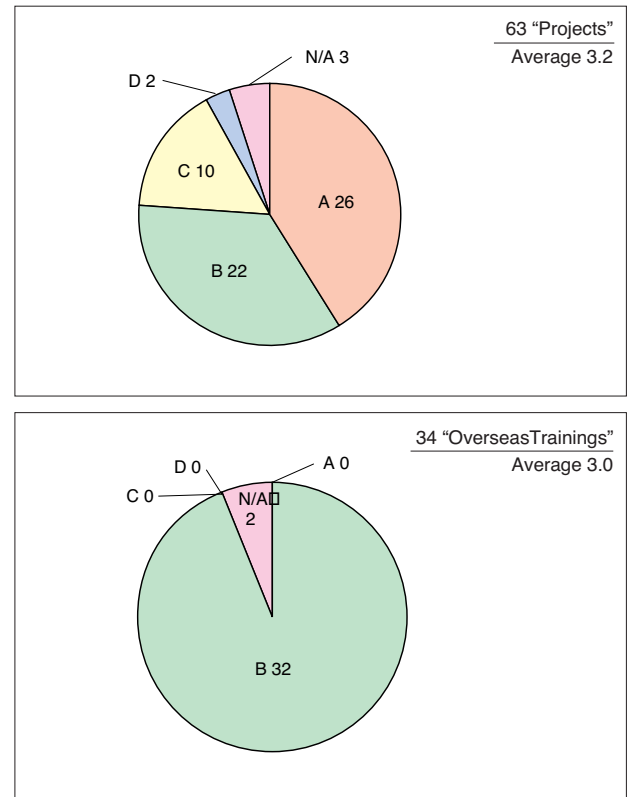
2) Factors Influencing Effectiveness

① Setting Adequate Project Purpose and Outputs

It was pointed out that many of the effective “Projects” in general had adequate project purposes or the necessary outputs which contribute to the accomplishment of the project purposes.

For example, the “Quality Improvement of Foundry

Figure 2-6 Results of Primary Evaluation on Effectiveness



A: Generally high (4 Points) B: Mostly high (3 Points)
C: Low in some part (2 Points) D: Low (1 Point)
N/A: Effectiveness could not be evaluated because indicators could not be measured, or the effectiveness was not actually evaluated because achievement of the project purpose was not determined.

Technology in Small and Medium Scale Industry” project in Brazil had consistency in terms of the project purpose; “improvement of the training and support service of vocational training institutions for the technical staff of the small and medium sized foundries”, with the output; “strengthening the management system, improvement of the skill of instructors, reinforcement of the training courses and systematic implementation of technical support services”. In addition, the reason for the project’s effectiveness was identified as having started project activities with clearly set indicators for the project purpose, including the technical standards for measurement of the qualitative improvement of the instructors’ capacity.

Meanwhile, five projects whose effectiveness was low or low in some part had difficulties in planning, such as setting of project purposes.

For example, the “Pesticide Monitoring System Development Project” in the Philippines aimed at developing a pesticide monitoring system, had a disjunction between project purpose and project outputs. To accomplish the

project purpose, it was necessary to implement a systematic field survey and to develop a database, in addition to transfer analytical techniques and methods, which were the target of project activities. Therefore, even if all the outputs were accomplished through the project, it simply meant that it was not possible to reach the project purpose but merely to build the underlying basis of achievement of the project purpose.

The “Maternal and Child Health Services Follow-up Project” in Tanzania worked on the following three issues in order to decrease the maternal and infant mortality rates: the enhancement of maternal and child health care activities, improvement of infectious virus diagnostic capability, and improvement of inspection and diagnostic capabilities at pediatric service sections. However, the project was found to have too high a purpose and too wide project scope and, therefore, the outputs and project purpose could not all be accomplished.

② Flexible Adjustment of Plan

There were many cases which raise progress management through monitoring and mid-term evaluation, as well as revision of the initial plan whenever necessary as contributing factors to the achievement of project purposes.

For example, in the “Project for Agricultural Development on Sloped Terrains” in the Dominican Republic, extension service, which was the essential factor for accomplishing the purpose of improving the economic condition of smallholders, was settled as an external factor in the initial plan. However, by including the activities for extension service by revising the plan, the project purpose could be accomplished.

In the “Technical Cooperation for the Refinery Safety Training Center” project in Mexico, unexpected problems occurred because of the unclear demarcation of responsibilities and authorities among concerned organizations, as



The “Project on Strengthening of Nursing Education” in El Salvador. Groupwork by Japanese Short-term expert.

well as their insufficient understanding of safety management. However, the experts properly reviewed the initial plan and PDM with the counterparts whenever necessary, which led to accomplishment of the project purpose.

③ Establishment of a Cooperation System

In many of the effective “Projects” development of a cooperation system with concerned organizations enhanced the effectiveness.

For example, the “Strengthening Project of Nursing Education” project in El Salvador was evaluated as having achieved the project purpose because this was promoted by the establishment of close coalition between the nursing training research center and training institution for nurses, both are implementing organizations, as well as the cooperation system involved a wide range of related organizations from central and local governmental organizations to nurse associations. Establishment of a cooperation system was attributed to the enthusiasm of the partner countries and their commitment, and favorable communication between the Japanese experts and the counterparts. Some devices for the latter were observed, such as the holding of regular meetings with the participation of all the staff of the nursing training research center and the changing the office layout for better information sharing.

In the “Joint Study Project on Environmental Protection Type Livestock Production System” in Argentina, the implementing organization was a research institution. However, as the institution signed a technical cooperation agreement with a national organization in charge of extension of techniques to livestock farmers and producers’ association, the route to extend the research results to livestock farmers was assured. Hence, the project purpose of “the bases for extension of environmental protection type animal production system are established” was accomplished.

④ External Factors

Some cases of low effectiveness had problems in the implementation process. For example, in the “Project for Technology related to the Processing of Feed based on Agroindustrial By-products of Oil Palms Production” in Malaysia, the project activities fell behind schedule because of the delay in plant construction by the partner country and the peculiarity of the project activities targeting research and development of new techniques.

Most of the lowering factors of effectiveness found in the implementation process, however, arose from conditions external to the project. Six out of those “Projects” with low or partly low in effectiveness had suffered from a change in external conditions.

In the “Project of the Mine Pollution Control Research Center” in Argentina, for instance, the economic crisis triggered the delay of inputs from the partner country and the dismissal of counterparts. In the “Project on the Improvement of Mineral Processing Technology Concerning Medium and Small-scale Mines” in Columbia, deterioration of public safety was the cause of the delayed expert dispatch to the project site and suspension of practical training at the mine. These events lowered the effectiveness of the projects.

Similarly, adverse effects were observed in the accomplishment of the project purposes in the following cases; Ebola virus fever and the delay of a field survey owing to the deterioration of public safety in the “Comprehensive Study Concerning the Strategies for Poverty Eradication and Integrated Rural Development” in Uganda, damage to target crops (pepper) caused by a hurricane in the “Project for Agricultural Development on Sloped Terrains” in the Dominican Republic, and annihilation of young fish because of damaged facilities by the high waves due to abnormal climatic conditions in the “Project for the Fish-Culture Development in Black Sea” in Turkey.

3) Quality of Primary Evaluation

In primary evaluation, in cases where the project purposes or outputs were achieved, effectiveness is highly evaluated. Therefore, consistency was observed between the accomplishment of project purpose outputs and the evaluation of effectiveness, in principle. However, some primary evaluations state that there was a sign of achieving the project purpose; even so, as it would take time for the change to be reflected in indicators, their accomplishment was not clearly judged at the time of terminal evaluation.



The operation room in “The Pediatric Emergency Care Project” in Egypt.

Indicators are measures to verify the accomplishment of project purpose. In setting indicators or the target values, it should be remembered that there are huge problems in data availability and measurement possibility because the partner countries may not have data showing current conditions or may not take statistics periodically. By considering the possibility of obtaining or measuring data and then adequately setting the target values, the accomplishment could be verified at evaluation.

Some primary evaluations did not analyze whether the outputs contributed to project purpose accomplishment (causality). Or others evaluated their effectiveness as low even when the project purposes were judged to be accomplished. For the latter, for example, it was found that although an evaluation judged the project to have achieved its purpose, “capacity of the implementing organization enhanced sufficiently to perform its functions”, it did not reach the initially expected level but rather a level that was very basic. The project was evaluated as less effective but achieved the project purpose to a certain extent, despite problems in the planning or implementing process. In such cases, it is necessary to further improve the way setting purpose operationally, “the extent to which a project aimed”, within the cooperation period initially, so that the project can be measured in terms of how much of the project purpose project was accomplished.

Considering project purpose, many “Projects” used quantitative indicators in order to evaluate a project by comparing the indicators at the commencement and at the termination of the project. For example, in the “Pediatric Emergency Care Project” in Egypt or the “Rural Electrification Project” in Vanuatu, effectiveness of a “Project” was evaluated through the careful before and after comparison of various indicators. Like the “Phase 2 of the Family Planning and Maternal and Child Health Project” in the Philippines, some projects used the method of comparing the indicators of the target area for JICA’s cooperation and those of non-target areas as a quasi-comparison group.

However, only a few primary evaluations compared the level of indicators with what originally was targeted. This might be because, at the initial years of the targeted projects for this Study, ex-ante evaluation had not been introduced, and planning using the PDM had just been introduced. Due to this background, the indicators were not properly selected, or target values were not appropriately set for these projects at the planning stage. Because of this, many projects reviewed and revised their initial plan at the

mid-term evaluation or terminal evaluation. It is essential for results-based management to select and set proper target indicators and to evaluate to what degree they were accomplished. It is one of the important issues at the stage of planning and ex-ante evaluation.

Some of the project purposes were evaluated on the basis of non-quantitative grounds. Among them, the “Research Project on Small-Scale Horticulture in Southern Brazil” in Brazil used convincing indicators such as quality approval by an external rating organization, the “Capacity Building of SIRIM BHD on Product Test on IEC 335 & IEC 598” project in Malaysia measured its performance by the acquisition of the qualification approved by an international organization, and the “Project on Strengthening Sulawesi Rural Community Development to Support Poverty Alleviation Programs” in Indonesia enforced a regulation legislating of a model developed by a project.

Quantitative indicators have merits that they are highly reliable and easy to analyze because the measuring method is constant. In some cases, not the quantitative data but the facts themselves are convincing and appropriate. It is important to select proper indicators, to evaluate the achievement of project purpose.

In case of “Overseas Trainings”, evaluation was implemented based on the results of a questionnaire survey in many cases. This is because the ex-participants returned their respective home countries, and that it is difficult and costly to conduct on-site surveys in all of the participants’ countries. Therefore, in not a small number of cases, accomplishment of project purpose was judged only by the self-evaluation by participants whether the contents of training were useful or not. The data obtained from questionnaire survey can be quantitative. However, the collection rate tends to be low, because the questionnaire survey sent to a multiple number of countries and it is difficult to collect all the response. Hence, in some cases, even “70 percent of the respondents selected”, it would be difficult to say that this represents the opinions of the participants. In order to improve the quality of evaluation, it is necessary to improve the methodology of the questionnaire survey or simultaneously use other method(s).

(3) Efficiency

1) General Trend

Under “Efficiency” criterion a project is examined from the perspective of the effective use of resources; how inputs brought about the results economically. The results of pri-

mary evaluation presented in Figure 2-7, scored 2.96 for both “Projects” and “Overseas Trainings”.

However, in the evaluations targeted for the Study, most of them were focusing on implementing processes, such as “whether the inputs or activities were implemented as planned” and “whether the inputs were fully used”, from the perspective of how efficiently the inputs were used to produce outputs. There were only a limited number of projects whose evaluations included the perspective of cost effectiveness.

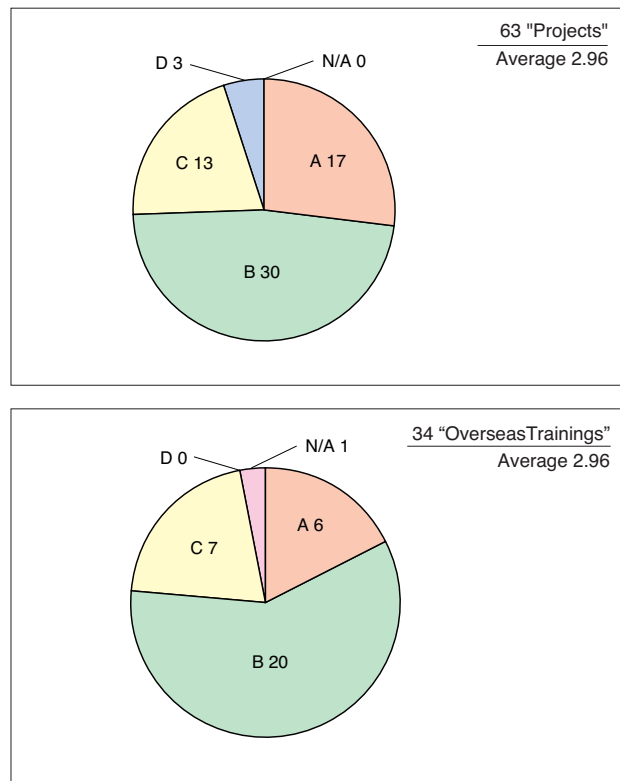
2) Factors influencing Efficiency

① Progress Management and Adjustment

Efficient “Projects” implemented monitoring, and flexible review and adjustment of plan to enhance the efficiency.

For example, in the “Project on Engineering and Industrial Development Center for Small and Medium Scale Industries at Queretaro State” in Mexico, the project held Steering Committee meetings biannually, and examined the results of monitoring and reflected them in the activity

Figure 2-7 Results of Primary Evaluation on Efficiency



A: Generally high (4 Points) B: Mostly high(3 Points)
 C: Low in some part (2 Points) D: Low (1 Point)
 N/A: project whose inputs were not evaluated, and with virtually no evaluation on efficiency.



The “Project for Agricultural Development on Sloped Terrains” in the Dominican Republic. Farmhouse on Sloped Terrains.

plan, which contributed to the efficiency of the project.

In the “Phase 2 of the Family Planning and Maternal and Child Health Project” in the Philippines, the project reviewed and improved the activities flexibly based on the beneficiary’s needs using the participatory approach, which enhanced the efficiency.

② Proper Input of Personnel

As for input of personnel, the timing of the dispatch of Japanese experts, concurrent jobs or transfer of counterparts were the factors that impeded the efficiency of projects, whereas the quality and low turnover rate of counterparts were the factors that promoted the efficiency of projects.

Considering the timing of the dispatch of experts, not a few evaluations pointed out that the projects could not be assured of the availability of experts and the dispatch of experts with certain expertise was delayed. In some cases, the projects faced the absence of experts due to the unexpected problems, such as health problem, as seen in the “Integrated Development Project in the Waterlogged Area in the Four-Lakes Area of Jiangnan Plain, Hubei Province” in China and in “Comprehensive Study Concerning the Strategies for Poverty Eradication and Integrated Rural Development” in Uganda. However, in many cases, the expertises of the dispatched experts are decided as early as the planning stage. In case it was expected difficulties in recruiting experts with the required expertise, the inputs plan should be carefully examined in advance.

Whenever it is necessary to modify the initial plan, flexible adjustment is important for the accomplishment of the outputs. For instance, in the “Project for the Improvement of Technology on Diagnosis of Animal Infectious Diseases” in Mongolia, the short-term experts complemented the activities in the field where the long-term expert could not

be assigned. In such a case that it was found the necessity of cooperation in additional field after the commencement of project as in the “Project for Promotion of Popularizing Practical Bivoltine Sericulture Technology” in India and the “Project for Agricultural Development on Sloped Terrains” in the Dominican Republic, the outputs were accomplished respectively through the additional dispatch of experts.

Considering the input of personnel from partner countries, as in the case of the “Research Project on Soybean Production” in Paraguay, the project was allocated with the proper counterparts, and only a few of them were transferred, which contributed to the smooth technical transfer. Meanwhile, because of the economic crisis, a number of counterparts were either left or discharged in the “Project of the Mine Pollution Control Research Center” in Argentina. In some cases, as in the “Construction Equipment Training Center Project” in Sri Lanka, counterpart turned over or transferred, which lowered efficiency.

In the “Environmental Monitoring Training Project” in Egypt, some of the counterparts had to be absent from training frequently because of the need to inspect pollution outbreaks. However, these kind of problems were alleviated in cases through requesting the person in charge in the partner countries to allocate full-time counterparts, not to transfer counterparts, or through devising ways to transfer techniques. In the above case of Egypt, the practical capacity of the counterparts was improved by limiting the training to two or three days a week for intensive technical transfer and using the inspections of the source of the pollution outbreaks as on-the-job training to actually apply the techniques learned.

Looking at “Overseas Trainings”, the disparity in knowledge and techniques among the participants, and/or their insufficient language ability adversely affected accomplishment of training results. However, as shown in case of the “Training on Enhancing Women’s Participation through Upgrading of Micro Enterprises to Small-scale Enterprises” in Malaysia, the quality of the participants were assured, and efficient implementation was promoted through extending the application deadline, improving the selection method and enhancing the involvement of JICA Overseas Offices in the process of pre-selection.

③ Proper Input of Equipment and Facilities, and Budget

Delay of equipment supply and facility construction, and problems in their specifications or in budget issues adversely affected the efficiency.

As for the input of equipment and facilities, in addition to the delay in procurement or installment caused by the Japanese side, also observed were projects with a delay in the partner country's input or administrative procedures. For instance, there was nearly a one-year delay in building the training center in the "Project for the Beijing Municipal Education and Training Center for Fire Fighting and Prevention" in China. Also, it took considerable time and cost for customs inspection clearance of supplied equipment in the "Clinical Research Project of State University of Campinas" in Brazil. As in the cases of the "Engineering and Industrial Development Center for Small and Medium Scale Industries at Queretaro State" project in Mexico and the "Capacity Building Project for Environmental Management in Mining" in the Philippines, even though equipment were procured in the partner countries in consideration of the price and future maintenance and management advantages, local suppliers delayed delivery which adversely affected the activities of the projects.

Considering the specifications, in the "Upgrading Project for Plastic Molding Tool Technology" in the Philippines, the software of the procured equipment which experts were familiar with did not match the context in the Philippines and it took time to reinstall the system and reorganize the network. In the "Improvement of Vegetable Production Techniques for Small Scale Farmers" project in Paraguay, plastic hothouses and green houses were provided to the project site in order to instruct and improve vegetable production. However, it was financially difficult for the final beneficiaries, the small-scale farmers, to procure the equipment themselves, and the project was not in line with the needs of beneficiaries in some parts.

In terms of budget, the partner countries had difficulties in assuring a budget because of financial difficulties in more than 10 projects, as seen in such countries as Argentina and Indonesia which suffered from an economic crisis, and with small countries in Africa, Central and South America. Also observed was a case where the implementing organization took considerable time to apply for funds to JICA and to close accounting procedures because of the difference of accounting procedure between Japan and the partner country. This adversely affected the timing of procuring equipment and developing plan for the next fiscal year in the "Blood Screening for Viral Hepatitis and HIV/AIDS" training in Keyna.

④ Others

The problems in selecting the project site and change in

external factors impeded the efficiency of the projects.

As for project sites, for example, in the "Integrated Development Project in the Waterlogged Area in the Four-Lakes Area of Jiangnan Plain, Hubei Province" in China and the "Bohol Integrated Agriculture Promotion Project (BIAPP)" in the Philippines, the project activities took place in more than one site. Specifically, the base for day-to-day technical transfer was located a considerable distance from the model sites, and traveling and coordination took time, which lowered the efficiency. In the "Water Supply Technology Training Improvement Project" in Egypt, the joint survey, conducted just after the commencement of the project, revealed that the initially selected training site was not appropriate. Therefore the project changed training sites and this revision contributed to realizing effective training. However, selecting the new site and withdrawing from the previous site took time and effort.

In not a few cases, external conditions affected efficiency, such as reorganization of implementing organizations as in the "Project Cooperation in Environmental Protection and Safety Training Center of Coal Industry" and the "Joint Study Project on Early Detection and Diagnosis of Prostatic Cancers in Jilin Province", both in China. In the latter case, the medical college, which was the implementing organization, was reorganized into Jilin University, and the project was delayed because of administrative procedures during the transfer period. However, joining the University then resulted in having attained an affluent resource of personnel for the project as well as reinforced its financial ground.

3) Quality of Primary Evaluation

The evaluation of efficiency basically questions cost performance such as cost-effectiveness and the efficiency of the cooperation process. JICA's evaluations have paid due attention to the latter and have examined verification from various aspects, such as whether the inputs or activities were conducted as planned, and whether the inputs were fully used. However, although JICA has recently put effort into disclosing the total cooperation cost, as described in General Trend above, evaluations from the perspective of cost were still limited. There were references in some of the evaluations that the number of experts dispatched and the quantity of equipment procured were kept to a minimum, and equipment was procured locally considering the price. Also, in the evaluation report of the "Project for the Beijing Municipal Education and Training Center for Fire Fighting

and Prevention” in China, the total cost by cooperation sectors is shown.

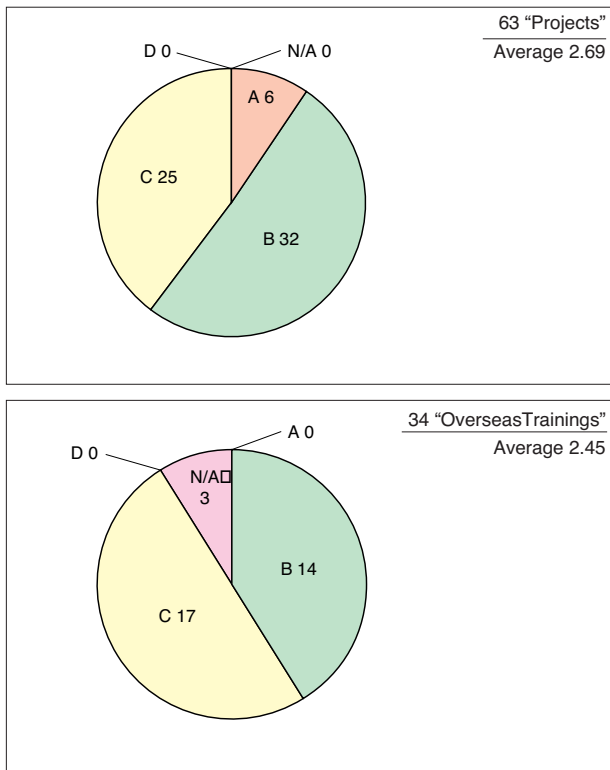
With the introduction of ex-ante evaluation, JICA is aiming to reinforce the system which examines efficiency by clarifying the expected benefit and cost of cooperation from the planning stage. One of the most important tasks in evaluating efficiency is to examine “whether the cooperation effects are appropriate to the cost compared with similar project” and “whether there are no alternative measures which accomplishes the same effects at cheaper cost”.

(4) Impact

1) General Trend

With “Impact”, such questions as “whether the overall goal was accomplished as expected through cooperation” and “whether there were any unexpected ripple effects” are asked. Figure 2-8 shows the results of the primary evaluation. Average Score is 2.69 Points for “Projects” and 2.45 points for “Overseas Training”, which are lower than the

Figure 2-8 Results of Primary Evaluation on Impact



- A: Overall goal is accomplished (4 points).
 B: Overall goal is about to be accomplished, or the evaluation did not refer to the achievement of overall goal but found large positive impact (3 Pints).
 C: Overall goal is not accomplished, but positive impact emerged (2 Points).
 D: Neither overall goal is accomplished, nor positive impact, but negative impact was identified (1 Pints).
 N/A: Impact can not be evaluated because of inability to measure indicators, etc.

scores for relevance, effectiveness and efficiency. The primary reason for this is because, although it depends on the content of projects, the projects were evaluated on the basis of “whether the overall goal was about to be accomplished or whether there were prospects of accomplishing it” while in many cases the overall goals had not been achieved at the time of terminal evaluation.

2) Accomplishment of Overall Goal

Among “Projects” approximately 50 percent accomplished both the project purposes and overall goals or were about to accomplish them.

For example, in the “Research Project on Soybean Production” in Paraguay, setting the sustainable cultivation of soybeans and expansion of production area as its overall goal, the project supported the development of the appropriate variety of soybeans and cultivating techniques at the Regional Agriculture Investigation Center (CRIA). The primary evaluation identified the project’s likelihood to achieve overall goal, based on the followings: multiplication of seeds of the developed variety by the agricultural cooperatives, the promotion of soybean cultivation and experimental cultivation by the provincial government. In the “Technical Cooperation for the Refinery Safety Training Center” project in Mexico, the project supported the improvement of safety in order to increase the productivity at the Salamanca Refinery, one of the major refineries of Petróleos Mexicanos (Mexican Petroleum). The project established the organizational system for safety management and a training system. Japanese safety management methods such as confirmation by finger-pointing and calling out was introduced and have become worksite routine. As a result, plant closure caused by human error has been reduced and the improvement of productivity was about to be accomplished.

On the other hand, among the “Projects” which had not accomplished their overall goals, many of the terminal evaluation reports identified that either these projects takes some time to reach attain the overall goal, or it is too early to make any judgement.

For example, in the “Project for Promotion of Popularizing Practical Bivoltine Sericulture Technology” in India, the harvest and incomes of the selected farm were increased as a result of the practical application of the developed techniques. Although there is a move among other farms to introduce the bivoltine sericulture technique in response to the above success, its scale was still limited. So, it would

take time to accomplish the overall goal of establishing bivoltine sericulture technique at the farm level. In the “Project on Strengthening of Nursing Education” in El Salvador, the quality of nursing education was improved and the high ratio of successes on the aptitude test showed that highly-skilled nursing personnel have been fostered. However, the students who received the improved education will not be graduating for three to five years, making it too early to evaluate the accomplishment of the overall goal, improvement in nursing service, at the time of terminal evaluation.

However, among the projects that had not accomplished their respective overall goals, the primary evaluations found that the contributions to their overall goals were limited. The evaluations pointed out the inconsistency between overall goal and project purpose. For example, the “Upgrading Project for Plastic Molding Tool Technology” in the Philippines and the “Project for Improvement Evaluation Technology on Animal Infection Diseases” in Mongolia had problems on appropriateness of planning which was already pointed out in “Relevance” section. Also, in the “Small-scale Irrigated Agriculture Promotion Project” in

Ghana, the possibility of accomplishing the overall goal of expansion to other areas deemed to be low due to the lack of conformity between overall goal and project purpose. The project accomplished its project purpose of “establishing a model farming system in irrigated agriculture” and there were many positive impacts such as the increased status of women. However, as the established farming system used the irrigation facilities which were supported by Grant Aid, the primary evaluation judged that the system could not easily be adopted as it was in other areas without similar facilities and attaining overall goal was unlikely.

3) Other Ripple Effects

Other ripple effects cited in the primary evaluations were as follows. There was no account of the negative ripple effect.

① Effect to Policy

In more than 10 “Projects”, cooperation results were reflected in the policies of the partner countries or the implementing organizations came to play important roles in policy formulation.

For example, in the “Pediatric Infectious Disease Prevention Project” in Laos, the vaccine application system from each province which was developed by the project became the national guidelines. In the “Seed Bank Project” in Myanmar, the superordinate organization recognized the importance of preservation and use of plant genetic resources and the national committee on managing genetic resources composed of the Ministries concerned (National Committee on Genetic Resource) was established. In the “National Center for Environmental Research and Training (Phase 2)” project in Mexico, the center has given advice on the development of a national environmental standard in Mexico and with the cooperation of the center, nine environmental standards have been ordained. Also, in the “Project Cooperation in Environmental Protection and Safety Training Center of Coal Industry” in China, the center was involved in the development process of the rating system for the training organizations in the field of coal safety and contributed to formulating training policy at the national level.

② Effect to Society

Impacts on the status of woman in society or improved awareness on issues that “Projects” worked on were identified.

In the “Project for Agricultural Development on Sloped Terrains” in the Dominican Republic, active participation to pepper agronomy of the women in rural communities



Solar Power Generation System by the “Rural Electrification Project” in Vanuatu.

contributed to raising the status of women. Also, in the “Phase 2 of the Family Planning and Maternal and Child Health Project” in the Philippines, through participatory family planning and reproductive health activities, the following impacts were observed; closer relationships within the community, male’s participation in family planning and nursing, awareness of environmental conservation with increased consciousness toward sanitation.

As for the impacts on society, Thailand has come to recognize the importance of correctional education through the mass media on the “Rehabilitation Program Development in the Sirindhorn Vocational Training School” project. In the “Rural Electrification Project” in Vanuatu, electrification has changed the daily life of the community such as by enabling work or study at night.

③ Effect to Economy

In the economic aspect, two positive impacts were reported such as the increase of income for individual beneficiaries and economic effects at industry level.

As for the former impact, sericultural farmers which applied the techniques developed by the project increased their incomes to two to four times in the “Project for Promotion of Popularizing Practical Bivoltine Sericulture Technology” in India. Target farmers improved farm management through the increase of rice production in the “Bohol Integrated Agriculture Promotion Project (BIAPP)” in the Philippines. Their living standard was increased and some of the farmers even rebuilt their homes or purchased televisions.

Considering the latter impact, for example, in the “Quality Improvement of Foundry Technology in Small and Medium Scale Industry” in Brazil, the exports from small and medium sized foundries doubled during the cooperation period and average productivity increased about 10 percent. The primary evaluation quoted assessment of the Brazilian foundry association saying that the project was one of the factors of the favorable outcomes, acknowledging the economic impact.

④ Effect to Organization and System

Many of the primary evaluations identified the positive impacts on the development of organization and system, and improvement of the moral of staff belonging to the organization, etc.

For example, in the “Project on Strengthening of Nursing Education” in El Salvador, their participation in training through project activities prompted the teachers at nursing schools to organize committees and learning sessions, resulting in expanded and enhanced communication



The “Fermented Dairy Products Development Project” in Bulgaria. Counterpart and provided equipment.

among the related organizations. The project also led to the establishing of a committee for the directors of the nursing school. In the “Project Cooperation in Environmental Protection and Safety Training Center of Coal Industry” in China, the Chinese government authorized the center as a first-class coal mine training facility. In the “Maternal and Child Health Services Follow-up Project” in Tanzania, WHO recognized the Medical Center, the implementing organization, as the “national measles laboratory”. In the “Fermented Dairy Products Development Project in the Republic” in Bulgaria, the project promoted the mutual collaboration between the manufacturing department and the research department of the targeted state-owned enterprise and resulted in a closer working relationship between the two departments. In the “Joint Study Project on Environmental Protection Type Livestock Production System” in Argentina, a new department related to the project was established in the national university, in addition, the participating organization established academic ties with Japanese national universities.

As for “Overseas Trainings”, networks were formed among the participants in some cases such as the “International Training Course on Sabo Engineering and Water Induced Disaster Countermeasures” in Indonesia and the “International Seminar on Biotechnological Techniques in Tropical Medicine” in Malaysia. Positive impact was also reported in the “Regional Training Course on the Railways Modernization and Electrification in Latin America” in Argentina, where collaboration between the implementing organization and the participant countries was promoted and the engineers who belonged to the implementing organization were dispatched to nearby countries, which promoted South-South Cooperation projects.

4) Quality of Primary Evaluation

The standard of judgment on impact seemed to be less consistent compared to other evaluation criteria. For example, the grounds for evaluations stating “impact was high” varied. Some based the assessment on the accomplishment of overall goals and others on positive ripple effects observed despite the lack verification of the accomplishment of overall goals. Others referred to the timing of evaluation saying not all overall goals can be evaluated at the time of terminal evaluation or to the difficulty in verification due to the limited availability of indicators, while mentioning the prospect of its achievement. There is difficulty in evaluating impact because the overall goals may not be set initially to be accomplished by the end of project period. However, it is necessary to evaluate as convincingly as possible the accomplishment of the overall goal and the prospect that the achievement of the project purpose can contribute to accomplishment of the overall goal.

It may be difficult to evaluate the accomplishment of overall goals at the time of terminal evaluation with measurable indicators, but at the ex-post evaluation implemented a few years later, impact together with sustainability will be the focus of evaluation. Therefore, it is necessary to assess the prospect of the overall goal being accomplished and whether the path for accomplishing the goals has been set at the time of the terminal evaluation. It is also necessary to improve the evaluation of impact, for example, by setting available indicators.

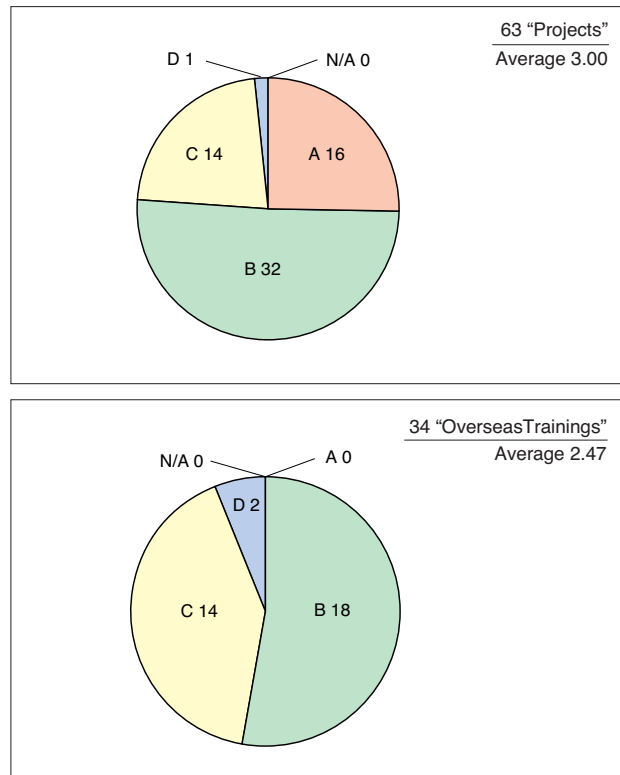
The primary evaluations identified ripple effects of various benefits of cooperation which could be referred to by future cooperation projects. However, some evaluations lack the concrete reasons for their judgment, such as “because participants were middle-class national officials, they were in the position to be able to disseminate the acquired knowledge and techniques within their respective countries, which showed the positive impact in policy”. Although the ripple effects are often described based on the qualitative analysis, future evaluations must lie on more objective evaluation based on concrete facts and grounds.

(5) Sustainability

1) General Trend

Under “Sustainability” criterion, the issues concerning “whether the cooperation effects will continue after the termination of the project” are examined. It generally involves the following three aspects: the organizational and institutional aspect, technical aspect, and financial aspect. Figure 2-9 shows the results of the primary evaluation. Average

Figure 2-9 Results of Primary Evaluation on Sustainability



A: Generally high (4 Points) B: Mostly high (3 Points)
C: Low in some part (2 Points) D: Low (1 Point)

score of “Projects” was 3.00 and “Overseas Trainings” was 2.47. Similar to Impact, at the terminal evaluation, sustainability was evaluated on the basis of prospects.

In the 16 “Projects” whose sustainability was high, their primary evaluations forecast sustainability of all the three aspects. In 15 “Projects” whose sustainability was low or low in some parts, the number of concerns indicated in the reports on sustainability for each of the organizational and institutional, financial, and technical aspect were 5, 13, and 8, respectively. One project, which was evaluated as having low sustainability, had problems in all three aspects. Seven projects were evaluated as having problems in two aspects.

Meanwhile, the evaluation of the organizational and institutional aspect and the financial aspect of “Overseas Trainings” were based on the capacity of the implementing organizations, and the evaluation of the technical aspect was based on the participants’ utilization of the acquired techniques after returning home. In 16 projects whose sustainability was low or low in some parts, problems referred to in the evaluation reports on sustainability in the organizational and institutional aspect, financial aspect, and technical aspect amounted to 3, 12, and 4, respectively.

2) Factors influencing Sustainability

① Organization and Institutional Sustainability

Highly or mostly highly sustainable “Projects” in terms of organizational and institutional aspects secured support from the partner countries, clear position in the policy or programs, stable implementing organization, and a low turnover rate of counterparts.

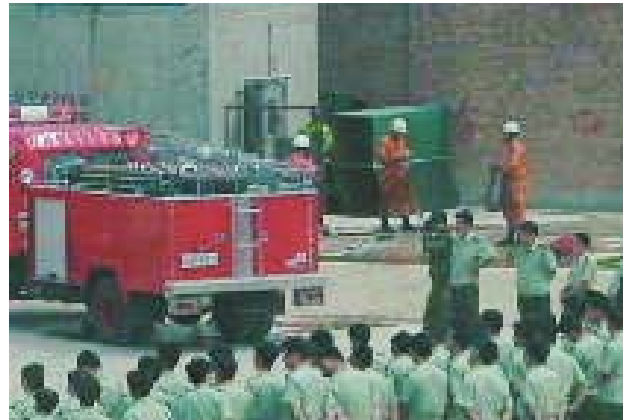
For example, in the “Project for the Beijing Municipal Education and Training Center for Fire Fighting and Prevention” in China, sustainability was enhanced for the following reasons: China put importance on the expansion of the training center for fire fighting techniques at the national level, the Training Center (the implementing organization) is given the status of the base for capacity building in Beijing. The Ministry of Public Security was also committed to disseminating techniques to fire stations across the country through the Training Center which possesses top-class technical training capability. In the “Research and Development Project on High Productivity Rice Technology” in the Philippines, high sustainability was achieved as a result of the implementing organization’s stable management supported by the central government, the low turn-over rate of staff and high incentives for research and development due to the improved systems such as that of leave for obtaining a doctor’s degree. In addition, the fact that the project was incorporated into the existing research and development policies or activities of the implementing organization enabled a stable allocation of an operational budget as well as staff from the beginning of the project.

For ensuring organizational and institutional sustainability, collaboration with other organizations such as community organizations and NGOs was identified as effective.

Especially in many of the projects in which the community participatory approach were applied. In the “Lusaka District Primary Health Care Project” in Zambia, attention was given to the sustainability of activities from the planning stage and thus the collaboration with community organizations or local NGOs was encouraged, which contributed to the project’s sustainability.

On the other hand, many primary evaluations identified the low retention of counterparts as the factor which impeded sustainability, including transfer, turnover, and non-full-time hire. Further, quite a few reports raised concern over the organizational reform or management of partner countries.

For example, evaluations pointed out the following contingent factors: the possibility of the transfer of the implementing organization from the central government to the local government in the “Project for Improvement of



Training at the “Project for the Beijing Municipal Education and Training Center for Fire Fighting and Prevention”

Agricultural Extension and Training System” in Indonesia, and the transfer of jurisdiction over the project management from the department in charge of research to the department in charge of production and development in the “Project for Fish-Culture Development in the Black Sea” in Turkey. In the “Project of the Mine Pollution Control Research Center” in Argentina, the evaluation pointed out that in addition to the change in external conditions such as the recession which hindered the development of mines and resulted in a less-than-expected increase in the needs to train engineers, the lack of strategy to link the training participation with authorized public certification caused problem in project management.

As for the countries where decentralization was in progress, some reports indicated that changes in the implementing organization’s status might impede the sustainability of project.

For example, in the “Phase 2 of the Family Planning and Maternal and Child Health Project” in the Philippines, as a result of health services being delegated to the local governments, the policy for health services became varied among the regions depending on the financial state and policies of the local governments. This gave rise to concern over the sustainability of stable health services.

In the “Project on Strengthening Sulawesi Rural Community Development to Support Poverty Alleviation Programs” in Indonesia, the evaluation reported that enforcement of regional autonomy would be positive factors in the further application of the model established by the project within the project participating provinces. On the contrary, the change will pose difficulty in extending the model to other provinces as the central government has no authority to promote the extension; this now depends on the policy of each province.

② Financial Sustainability

Financially sustainable “Projects” were evaluated to be able to secure the necessary budget even after project termination

based on the record of bearing the local costs during the implementation period supported by the relatively favorable financial condition of the recipient country. Also, in some cases, the implementing organizations have independent income resources or multiple financial resources.

For example, in the “Development of Benthonic Resources Aquaculture Project” in Chile, the implementing organization owns its own financial resources such as rental of harbor facilities and in the “Project on Quality Improvement of Foundry Technology in Small and Medium Scale Industry” in Brazil, the contribution from companies was the major financial resource of the vocational training center, the implementing organization. In the “Project on Strengthening of the National Institute for the Improvement of Working Conditions and Environment” in Thailand, the budget from the occupational injury insurance fund was systematically assured as well as that from the national budget. Similarly, in the “Project on the Improvement of Mineral Processing Technology Concerning Medium and Small-scale Mines” in Columbia, in addition to the allocation from the national budget, the implementing organization had a budget from the National Royalty Fund.

In addition to these cases, not a few implementing organizations in the beneficiary country made effort to assure their own income.

Implementing organizations worked on increasing their own income, for example, in the “Construction Equipment Training Center Project” in Sri Lanka, by accepting repair service or renting facilities; and in the “Maternal and Child Health Services Follow-up Project” in Tanzania, by accepting inspections at its laboratory. Some projects own financial resources, for example, in the “Project on Strengthening of Nursing Education” in El Salvador, the implementing organization were awaiting a license from the competent ministry to sell the textbooks and video materials developed by the project, and in the “Joint Study Project on Environ-

mental Protection Type livestock Production System” in Argentina, the university, the implementing organization, signed an agreement and contract on technical cooperation with a producers’ association.

Meanwhile, in “Projects” with low sustainability, securing the budget proved to be difficult even when the priority of the project was high, as the financial condition of the partner country was strained.

The projects which depended on the Japanese side even for the consumables or maintenance fees of equipment, were evaluated as low in sustainability after the termination of the project. Other projects which depended on the aid organizations for their budget have concerns, as the intentions of the agencies may have effects on the future course of the projects. An example of this was the “Pediatric Infectious Disease Prevention Project” in the Laos.

As for financial sustainability, as in the “Improvement of Vegetable Production Techniques for Small-scale Farmers” project in Paraguay, in addition to problems with the insufficient budget of the partner country, even when the implementing organization developed its own income sources, because all such income should first go into the national treasury before being returned to the implementing organization, there remain the problems of the timing and the returning rate.

③ Technical Sustainability

Technical sustainability was evaluated high, on the whole. Quite a few reached a level where the implementing organizations were able to continue the activities based on the transferred techniques or could disseminate the acquired knowledge and techniques to others.

Examples of this are: the acquisition of international certification (ISO17025) for the analytical techniques in the “National Center for Environment Project” in Chile, and conducting education by the pilot school not only for its students, but also for the reeducation of teachers in other schools in the “Technical and Vocational Education and Training Improvement Project at Technical High Schools” in Jamaica.

On the other hand, many cases, which had problems in technical sustainability, reported insufficient knowledge and experience of practice and application of counterparts.

For example, in the “Small-scale Irrigated Agriculture Promotion Project” in Ghana, the project was evaluated that the counterparts were capable of improve techniques, but not developing techniques on their own. In the “Upgrading Project for Plastic Molding Tool Technology” in the Philippines, it was pointed out that the implementing organiza-



Counterpart in the “National Center for Environment Project” in Chile.

tion had acquired basic knowledge but continuous improvement would be necessary to keep up with the latest technical innovations.

Retention of counterparts was also an issue in technical sustainability. For example, in the “Project for the improvement of Vegetable Production Techniques for Small Scale Farmers” in Paraguay, although the transferred techniques were retained by the counterparts, they did not take roots in the organization, making organizational retention an issue. In this connection, in the “Project of the Mine Pollution Control Research Center” in Argentina, because of the economic crisis many counterparts had to frequently transfer or leave their jobs, adversely affecting the technical sustainability. However, to cope with this, the evaluation also noted that knowledge was accumulated and shared at the organizational level by developing a manual of the transferred techniques and allowing notebooks organized in the process of transfer to be copied.

As for “Overseas Trainings”, the evaluation of technical sustainability was judged based on the participants’ response to questionnaires. In the “Training Program on Global Positioning System (GPS) Surveying” in Kenya, the evaluation mentioned that some participants could not utilize the acquired skills because of the lack of the necessary equipment at the organization they worked for.

3) Quality of Primary Evaluation

As described in 1) General Trend above, the evaluation of sustainability has been carried out from a generally consistent point of view referring to three aspects of sustainability: the organizational and institutional, financial, and technical aspects.

However, some of the evaluations based their assessment on the organizational and institutional or financial sustainability solely on weak grounds and insufficient explanations such as the implementing organization being under the jurisdiction of a governmental organization and therefore concluded to be sustainable. Especially in evaluating the financial sustainability, assessments based on the current financial situation of the implementing organization and concrete data on future prospects were few. The evaluation of sustainability must be based more on concrete evidence or on analysis of cause and effect.

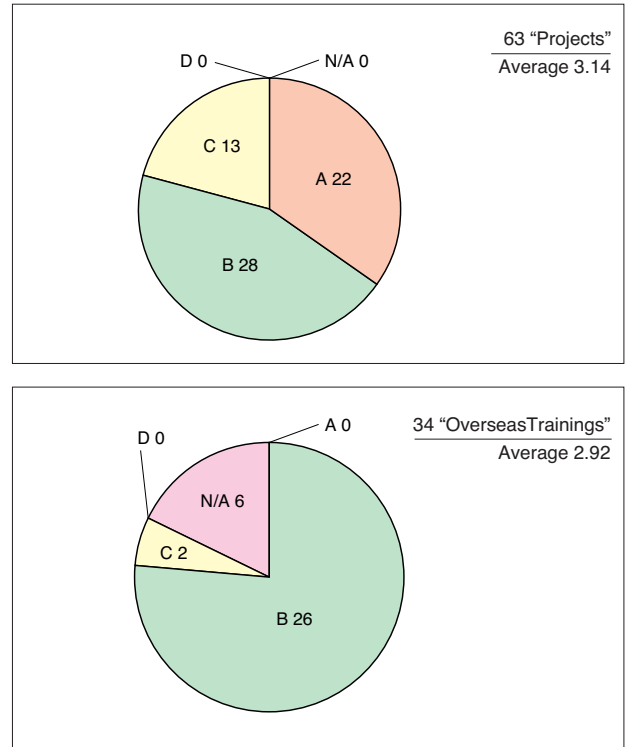
There were also some evaluations that referred to all three aspects, but did not make any judgment on the project’s sustainability as a whole. In the evaluation of sustainability, the factors which affect sustainability must be analyzed in the context of the particular project and a comprehensive assessment should be made.

1-3-2 Conclusion of Primary Evaluation

(1) General Trend

In primary evaluation a conclusion was made based on the results of the Five Evaluation Criteria for each project. Figure 2-10 shows the overview of the conclusions. Average score of “Projects” scored 3.14, and “Overseas Trainings” 2.92.

Figure 2-10 Conclusion of Primary Evaluation



- A: Project purpose was accomplished or mostly accomplished and there were no problems found in terms of the Five Evaluation Criteria (4 Points).
- B: Project purpose was accomplished or mostly accomplished but there were some problems in terms of the Five Evaluation Criteria (3 Points).
- C: Project purpose accomplishment was delayed, or project purpose was mostly accomplished but there were problems in terms of the Five Evaluation Criteria (2 Points).
- D: Project purpose was hard to accomplish and there were major problems in terms of the Five Evaluation Criteria (1 Point).

Table 2-5 Factors Influencing Conclusion of Primary Evaluation

Five Evaluation Criteria	Positive Factor			Negative Factor		
	Total	A,B	C,D	Total	A,B	C,D
Relevance	17	11	6	2	1	1
Effectiveness	55	47	8	8	2	6
Efficiency	20	16	4	6	4	2
Impact	22	18	4	8	4	4
Sustainability	11	10	1	9	5	4
Total	125	102	23	33	16	17

(2) Factors Influencing Conclusion of Primary Evaluation

Table 2-5 analyzes how the primary evaluation concluded the performance of a project as a whole, by extracting the grounds for conclusion and dividing them into “reason for positive evaluation” and “reason for negative evaluation” for each of the Five Evaluation Criteria. In order to examine whether there would be any difference if the conclusion differed, “Projects” are divided into two groups, the projects which were basically concluded to be successful (rated A or B) and the projects which were concluded to be problematic (rated C or D). This merely shows the general trend, but from Table 2-5 it can be deduced that effectiveness criterion played a major role in formulating the conclusion. Impact and efficiency criteria played a significant role for a positive evaluation, and sustainability and impact in the basis for a negative evaluation.

Regardless of the whether the conclusion of the project was favorable or not, impact was referred to as both positive and negative factors. There were few which referred to sustainability as a positive factor, but mainly as a negative factor. In projects evaluated to be problematic, more than 80 percent of their primary evaluations raised effectiveness, impact and sustainability as negative factors. In successful projects, sustainability, impact and efficiency were referred to as the reason for remaining concern.

Judging from the above, conclusions of primary evaluations were based mainly on effectiveness. In other words, the accomplishment of project purpose was the main criterion in concluding with special attention to impact.

(3) Quality of Primary Evaluation

In concluding primary evaluation, the comprehensive evaluation of the target project was made based on the results by the Five Evaluation Criteria. However, some primary evaluations only briefly explained the evaluation results of each the Five Evaluation Criteria without conclusions and some evaluations gave a conclusion but failed to state the grounds for the final assessment.

In concluding terminal evaluation, with due consideration to the various factors clarified by the evaluation on the Five Evaluation Criteria, an evaluation must be made by asking questions such as “whether the target project was successful or not” in achieving the purpose of the project with clear reference to its ground of judgment.

1-4 Analysis of Promoting and Impeding Factors of Project Benefit in the Planning and Implementing Process

Through the analysis for each of the Five Evaluation Criteria summarized in above section, the factors which affected project performance were identified. These major factors could be mainly divided into the following: appropriateness of the planning, appropriateness of project operation and management in the implementing process, and occurrence of external factors. This section categorizes the factors which affect the project effects into two stages, the planning and implementing process, and analyzes what promoted or impeded the realization of project effects.

(1) Promoting and Impeding Factors on Planning

1) General Trend

The promoting and impeding factors in realizing the project effects regarding planning were extracted from the primary evaluations and classified in Figure 2-11, 2-12, 2-13, and 2-14. As some evaluations referred to multiple factors in one project, the numbers in these Figures are the total number of references made in evaluation reports. However, the description in these report varied as some of the primary evaluations did not report the promoting and impeding factors in the planning stage, and some just referred to either promoting or impeding factors. As the Study included only those references which were made in each of the evaluation reports, it should be regarded only as a rough guide to grasp the tendencies.

As for “Projects”, one of the promoting factors of the effects related to relevance criterion, namely, whether the target sector was in line with the policy of the partner country and the needs of beneficiaries, and whether the selection of the implementing organization or target area was appropriate. Also, appropriate choice of approach, such as the domain and method of activities which led to the accomplishment of outputs, was found to be one of the promoting factors. So was found the preliminary survey that collected sufficient information that enabled such proper choices as above. (Figure 2-11).

On the other hand, setting of inappropriate project purpose is the leading impeding factor in realizing the project effects. For instance, setting of a project purpose which was practically not accomplishable or discordance between

overall goal and project purpose are noted. There were also many references to problems with the selection of the domain of project activities, cooperation approach and methods of technical transfer. For instance, selected sectors was too broad or the activities indispensable for accomplishment of the project purpose were missing. As many references are made for insufficient understanding on the current conditions and needs in advance, these factors ultimately influenced the accomplishment of the project pur-

poses, and that effectiveness and impact. The difference in recognition and understanding of the plan among the people concerned was one of the leading impeding factors. (Figure 2-12)

Considering “Overseas Trainings”, consistency with the needs of participant countries or proper selection of those countries were the leading both promoting and impeding factors. Selection of competent implementing organization was also a major promoting factor.

Figure 2-11 Promoting Factors in the Planning: “Projects”

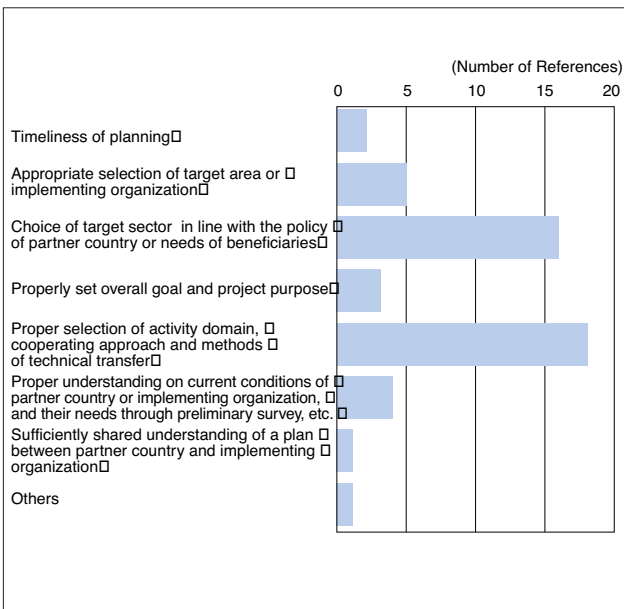


Figure 2-13 Promoting Factors in the Planning: “Overseas Trainings”

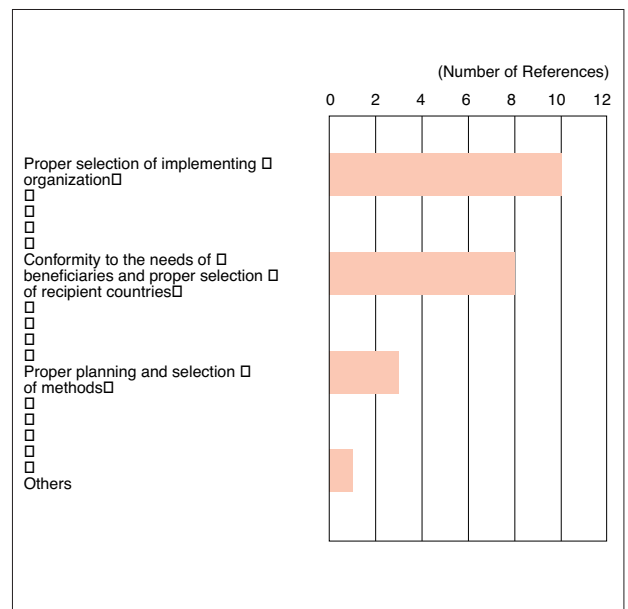


Figure 2-12 Impeding Factors in the Planning: “Projects”

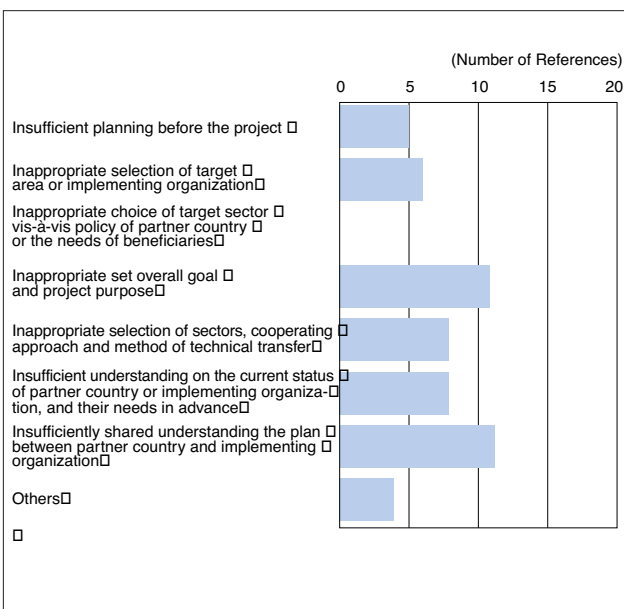
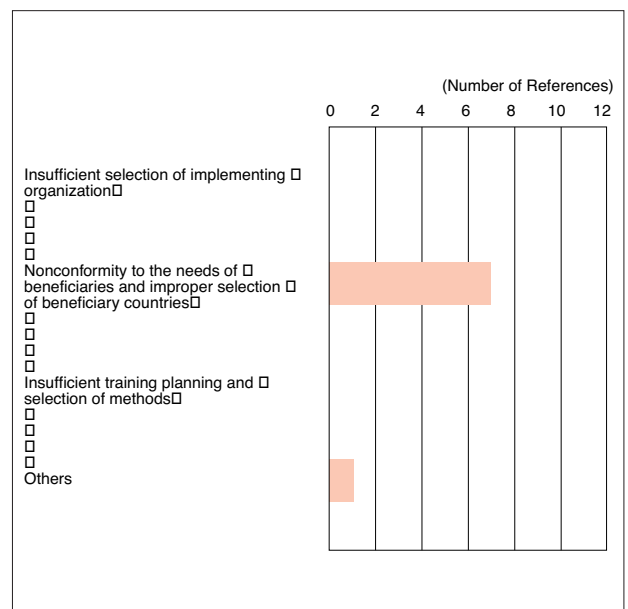


Figure 2-14 Impeding Factors in the Planning: “Overseas Trainings”



2) Major Promoting and Impeding Factors to Realizing Effects “Projects”

① Timing of Planning

Planning and implementation of a project at the opportune time is a factor enhancing project effects.

For example, in the “Project on Strengthening of the National Institute for the Improvement of Working Conditions and Environment” in Thailand, the project was commenced at the time of enactment of a new Labor Protection Law in the partner country and of the completion of facility construction of the implementing organization, which contributed to the effective and efficient implementation of the project.

Conversely, there were cases in which delays in planning affected the commencement of the activities or hampered the operation and management of the project. For example, in the “Rural Electrification Project” in Vanuatu, the evaluation pointed out that the detailed plan had not been laid down at the commencement of the project, and that it took time to unify the understandings of the people concerned.

② Selection of Target

Proper selection such as that of implementing organization, target group, and target area, plays important role in accomplishing the project purpose and overall goal.

For example, in the “Quality Improvement of Foundry Technology in Small and Medium Scale Industry” in Brazil, the selection of the implementing organization enhanced the effects of the project. The Project choose the technical center that was the only public vocational training institution in Brazil and had a close relationship with industry as the implementing organization, making acceptance of participants from all over the country possible. In contrast, other cases suffered from problems because of the choice of the implementing organization. For example, in the



Counterpart of the “Research and Development Project on High Productivity Rice Technology” in the Philippines. “PJ7” is a variety of rice created by the Project.

“Project for the Improvement of Technology on Diagnosis of Livestock Infectious Diseases” in Mongolia, in order to improve conditions regarding livestock infectious diseases which was the overall goal, collaboration with the Ministry of Food and Agriculture which oversees the diagnosis at the farm level was essential in addition to the cooperation with the research institute, the implementing organization.

In the “Maternal and Child Health Services Follow-up Project” in Tanzania, activities with de facto three different purposes in different areas were started as one project, which resulted in difficulty in project management because of wide range of targeted fields covering large project site.

In several cases, multiple project sites and the distance between them hampered the management of the project. For example, in the “Integrated Development Project in the Waterlogged Area in the Four-Lake Area of Jiangnan Plain, Hubei Province” in China, the implementing organization, the management office of the project, the two model areas and sites were spread out. The implementing organization was three hours away by car from the management office and the two model sites one hour away by car from each other, which impeded communication and access.

③ Meeting the Needs

Conformity of the project with policies of the partner country or needs of the beneficiaries was one of the leading promoting factors in planning.

For example, in the “The Development Project of Benthonic Resources Aquaculture” in Chile, the project met the needs of the small-scale fishery promotion policy of the partner country as well as the needs of fishery union in target provinces. Therefore, the support from the Chile side was consistent from the planning till the termination of the project, and the implementing organization was actively involved in the project as shown in its sufficient input of resources for the project.

None of the evaluations identified the lack of appropriateness between a project and policies or needs as impeding factors. This indicated that most of the projects were generally consistent with the policies and needs as described in the Relevance section of the above evaluation results.

④ Setting Project Purpose

As described in the aforementioned evaluation results for Effectiveness, appropriate setting of project purpose was one of the main promoting factors in the realization of the project effects.

For example, in the “Research and Development Project on High Productivity Rice Technology” in the Philippines, the appropriate setting of project purpose and outputs and



The “Maternal and Child Health Services Follow-up Project” in Tanzania. Health Center in Tanga City.

their numerical indicators were the promoting factors in accomplishing the purpose. The evaluation referred to the understanding of the needs of partner country as the primary reason for this success.

Conversely, inappropriately set project purposes proved to be detrimental to the accomplishment of the project purpose, outputs. For example, in the “Improvement of Vegetable Production Techniques for Small Scale Farmers” project in Paraguay, preset outputs were achieved in the subfields such as cultivating techniques, whereas the subfield of breeding and selection of varieties had difficulty in achieving outputs because the project period was too short to cover the breeding cycle. The primary evaluation concluded that realistic project purpose should be set with due consideration to sufficient project period required technically. In the “Clinical Research Project of State University of Campinas” in Brazil, the evaluation referred to the adverse effects of the initial plan with regard to efficiency. Because the project included as many field as HIV/AIDS, hepatic diseases and pediatrics, the project plan became complicated and resulted in difficulty in project management and consensus building among those related.

Quite a few primary evaluations referred to the problem of setting of the project purpose and indicators, although most of these problems were not serious enough to be detrimental. For example, in the “Improvement of Environmental Education” in Agriculture Science” in Vietnam, as the numerical target level of indicators was not clear, accurate assessment of the effectiveness of the project became difficult.

⑤ Activities

The appropriate selection of the field of activities and the application of the cooperation methods and techniques are

identified as the key elements for accomplishment of outputs and project purpose in many primary evaluations.

For example, in the “Expert Team Dispatch to Enhance the Capability to Monitor the Toxic Red Tide Phenomenon” in the Philippines, in the series of countermeasures to the toxic red tide, the project focused on improving the monitoring techniques which would be the core of the countermeasures given the cooperation period and the constraints of the resource allocation. This contributed to the accomplishment of the project purpose. Also the Project enabled the acquisition of highly effective skills by concentrating on just two model areas out of the toxic red tide areas across the country.

In the “Maternal and Child Health Services Follow-up Project” in Tanzania, utilizing traditional midwives met the needs of pregnant and parturient women and the needs of the whole community in remote areas. In the “Project for Agricultural Development on Sloped Terrains” in the Dominican Republic, choosing pepper as the target of technical transfer was found to have contributed to the realization of project effects due to the following features: cultivating techniques suitable to the natural condition in the target areas were readily accepted by small-scale farmers, and pepper was compact, easy to gather and ship, and could be kept longer, which contributed to their adoption by small-scale farmers and increase of farmer income.

On the other hand, there were projects which encountered difficulty as a result of the extensive scope of the activities, the lack of necessary activities for accomplishing project purposes, or the existence of technical problems.

For example, in the “National Center for Environmental Research and Training (Phase 2)” project in Mexico, the initial activity plan was not appropriate given the limited cooperation period and the domestic situation in Mexico, although unexpected change in the administration during the cooperation period negatively affected the achievement of outputs. In the “Project for Promotion of Popularizing Practical Bivoltine Sericulture Technology” in India, it took some time to modify the advanced techniques which were initially planned to meet a level that ordinary farmers could introduce.

⑥ Preliminary Study

In order to develop appropriate objectives or an activity plan, it is important to gain sufficient understanding of the current conditions and needs of the partner country in advance.

For example, in the “Project on the Engineering and Industrial Development Center for Small and Medium Scale

Industries at Queretaro State” in Mexico, experts who would be participating in the project were sent as members of the preliminary study at the planning stage. Hence, the plan of technical transfer was able to take advantage of the detailed survey on the technical ability of the counterparts. This made smooth technical transfer possible from the beginning of the project and enhanced the efficiency.

Meanwhile, like the case in the “Small-scale Irrigated Agriculture Promotion Project” in Ghana, even though financial difficulties in the partner country were anticipated, the structure of the administrative organization as well as the budgetary process were not fully understood at the time of planning. As a result, financial difficulties adversely affected efficiency and sustainability. In the case in the “Bohol Integrated Agriculture Promotion Project” in the Philippines, although a preliminary study was implemented, its accuracy was not sufficient enough to avoid a mismatch between the project and the needs of some of the beneficiaries. As a result, the importance of the selection of an appropriate surveying team has been pointed out in evaluation.

⑦ Shared Understanding

The lack of a shared understanding of the project purpose and the details of the plan within the project team hindered the efficient activities.

For example, in the “Social Forestry Extension Model Development Project for Semiarid Areas” in Kenya, the expense distribution by the implementing organizations was not clarified at the planning stage, creating budgetary problems on the partner country side.

Lack of a shared understanding occurred as a result of insufficient communication with the partner country, insufficient initial planning, and an elusive project purpose. For example, in the “Small-scale Irrigated Agriculture Promotion Project” in Ghana, because the project used the term “model” which has several meanings in describing its project purpose, clarifying its concept or content and unifying the understanding among those concerned proved to be problematic.

On the contrary, in the “Project on Strengthening of the National Institute for the Improvement of Working Conditions and Environment” in Thailand, the shared understanding of its plan promoted the effects. The ownership and the active participation on the part of the people concerned of the recipient country enhanced mutual understanding.

“Overseas Trainings”

As for “Overseas Trainings”, conformity with the needs and

the selection of participant countries are both the main promoting and impeding factors in materializing training effects.

For example, in the “International Trade Promotion” training in Singapore, the effects of training were enhanced by selecting four countries, Laos, Vietnam, Myanmar and Cambodia which had similar experiences and common needs in trade sector, as the participating countries. However, in the “Urban Environmental Management” training in Singapore, some of the participants were from countries which did not have large cities and thus had limitations on the application of what they had gained in the training after returning home. Therefore, it was pointed out that the preliminary study on the use of training results was insufficient.

In some cases, selecting appropriate implementing organizations and developing appropriate training plans enhanced the training effects. In the “Meat Processing Technology” training in China, the implementing organization had extensive instructing experience such as holding 100 sessions of similar training as well as sufficient training facilities such as laboratories. In the “Sustainable Use of Coral Reef Fisheries Resources” training in Tonga, the training focused on the most important resource, shellfish, in the participating countries in the South Pacific.

(2) Promoting and Impeding Factors in Implementing Process

1) General Trend

Just as the factors related to the planning stage, promoting and impeding factors of project effects in implementing process were extracted and categorized and analyzed shown in Figures 2-15, 2-16, 2-17 and 2-18.

In “Projects”, common promoting and impeding factors were personnel allocation such as that of experts and counterparts, input of equipment and facilities, budget allocation, implementing system of the project, collaboration with organizations concerned, and communication within project team or among organizations concerned. Furthermore, appropriate cooperation methods deemed as promoting factors included: appropriate operation and management of the project, revision and adjustment of the plan according to the changes in the situation, and devices and selection of technical transfer methods in order to accomplish the effects more effectively. On the other hand, external factors such as natural disasters and political, economic and social problems were referred to as impeding factors.

Most of the promoting and impeding factors related to the implementing process directly affected efficiency.

Those factors such as the effort to enhance the financial base of the implementing organization, establishing a system of cooperation with organizations concerned and well thoughtout technical transfer methods contributed to accomplishing the project purpose, materializing ripple effects, and assuring sustainability.

In “Overseas Trainings”, the management capability of the implementing organizations and the ability of the participants were the common promoting and impeding factors. As in “Projects”, other factors related to input, progress management and adjustment, curriculum, and training.

2) Major Promoting and Impeding Factors on Primary Education “Projects”

① Progress Management and Adjustment

As observed in the evaluation result for Effectiveness and Efficiency, proper progress management of project through monitoring or evaluation and flexible review or adjustment of the plan as necessary contributed to the realization of project effects.

For example, in the “Research Project on Soybean Production” in Paraguay and the “Project on Strengthening of Nursing Education” in El Salvador, progress was managed

Figure 2-15 Promoting Factors Related to Implementing Process: “Projects”

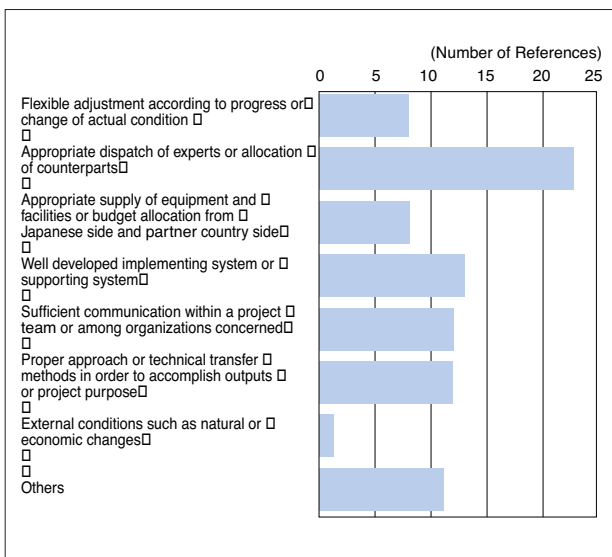


Figure 2-17 Promoting Factors Related to Implementing Process: “Overseas Trainings”

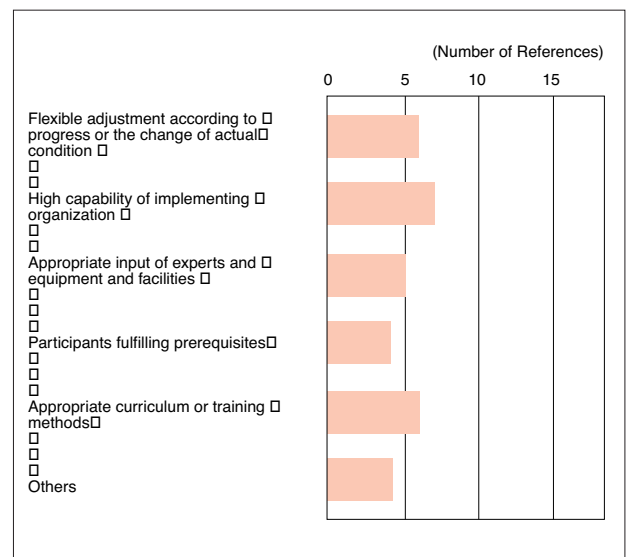


Figure 2-16 Impeding Factors Related to Implementing Process: “Projects”

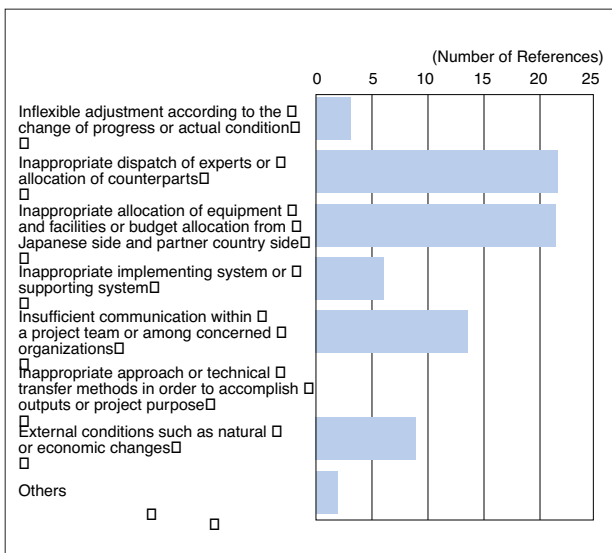
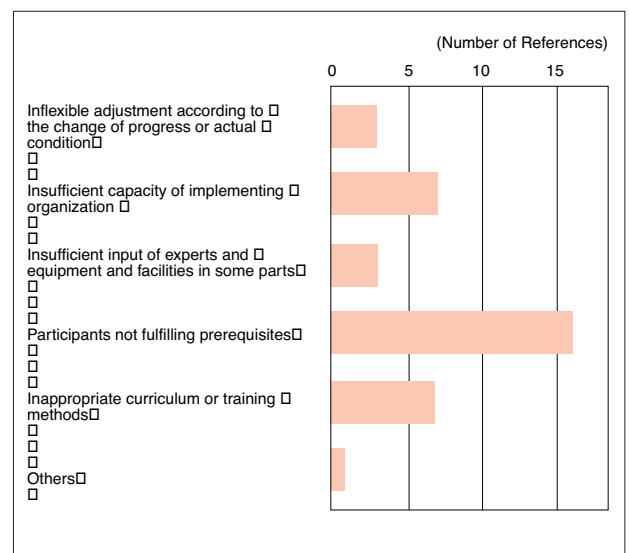


Figure 2-18 Impeding Factors Related to Implementing Process: “Overseas Trainings”



through biannual monitoring, which prevented the sidetracking during the project and the project purpose was accomplished on schedule. In the “Rural Electrification Project” in Vanuatu, “establishing an electricity tariff system” was one of its outputs. The monthly electric utility charge system was established as planned. However, because of emergence of delinquent payment, a five-level electric utility charge system was introduced in order to improve the collection rate of electric charges.

On the contrary, in the “Comprehensive Study Concerning the Strategies for Poverty Eradication and Integrated Rural Development” in Uganda, in spite of the unexpected circumstances such as deteriorating public security and outbreak of Ebola fever, the project did not review its activity plan accordingly and, therefore, progress was delayed.

② Personnel Inputs

The failure to allocate Japanese experts according to the initial plan or delays in their allocation lowered Efficiency and were impeding factors in realizing project effects.

Especially, in the health sector, difficulty in recruiting long-term experts proved to be a problem. For example, in the “Project on Strengthening of Nursing Education” in El Salvador, because of the difficulty in allocating long-term experts, short-term experts and experts from third countries were dispatched to cope with the situation. For the fields in which recruiting experts proved to be difficult, it was necessary to carefully examine the initial allocation schedule. The “Tuberculosis Control Project” in the Philippines is a good example, because it developed the input plan that combined the dispatch of a few long-term experts with the dispatch of short-term experts as needed.

Selecting personnel was also mentioned as both promoting and impeding factors.

An example of personnel selection becoming a contribu-



Facilities of the “Water Supply Technology Training Improvement Project” in Egypt.

ting factor was the “Project for the Preparation and Publication of the Philippine Pharmacopeia” in the Philippines in which the expert was experienced in drawing up and revising pharmacopeia and possessed strong leadership and language abilities. The appointment of this expert made up for the delay that arose from the unexpected leave of the former expert due to a health problem and made possible the accomplishment of the project purpose. In contrast, there were cases where the personnel factor lowered efficiency. For example, in the “Maternal and Child Health Services Follow-up Project” in Tanzania, there was a difference between the local needs and the specialties of some of the experts. In the “Upgrading Project for Plastic Molding Tool Technology” in the Philippines, the number of Japanese experts in the target field who could be dispatched abroad was limited and the project had difficulty in recruiting personnel.

As for the allocation of counterparts, many evaluations reported that the efficiency of the project was impeded when the counterparts were not full-time. The frequency of transfer of the counterparts is also identified as a promoting or impeding factor in realizing effects.

An example of this is when the counterparts hold concurrent duties, as was the case in the “Technical and Vocational Education and Training Improvement Project at Technical High Schools” in Jamaica. As the counterparts who were the teachers of the high school had many lectures, the time for transferring techniques was limited. In the “Water Supply Technology Training Improvement Project” in Egypt, all the counterparts remained their positions from the beginning to the end of the project contributing to the effective use of transferred techniques and realization of effects. While in the “Construction Equipment Training Center Project” in Sri Lanka, the high turnover rate of counterparts was pointed out as one of the major impeding factors.

As described in the aforementioned evaluation results for Efficiency or Sustainability, the allocation of counterparts was one of the key factors in accomplishing outputs or in assuring sustainability in technical cooperation. Quite a few projects worked on this issue through encouraging the implementing organizations or devising approaches on site. For example, in the “Project of the Mine Pollution Control Research Center” in Argentina, the project worked on the retention of techniques at the organizational level through the development of manuals to cope with the laying off of counterparts because of the economic crisis.

③ Allocation of Equipment/Facilities and Budget

As described in the previous section on Efficiency, many eval-



The “Project for Promotion of Popularizing Practical Bivoltine Sericulture Technology” in India. Cocoon market.

uations listed as impeding factors, the delay in procuring or installing equipment and facilities by the Japanese side and the delay in allocating equipment and facilities or customs clearance by the partner country side.

In the “Engineering and Industrial Development Center for Small and Medium Scale Industries at Queretaro State” project in Mexico, the delay in the delivery of equipment by the local suppliers adversely affected parts of the activity plan, despite the fact that all of the equipment was procured in the partner country considering cost, maintenance as well as shortening of the delivery time.

The input of equipment/facilities is one of the major factors that affecting efficiency and sometimes the accomplishment of the project purpose. Therefore, an even more precise input plan is needed.

Budget was, as describe in the evaluations on Efficiency and Sustainability, often mentioned as an impeding factor. However, some projects found ways to accomplish results or to assure sustainability, even when the partner country faced financial difficulties and encountered problems in budget allocation.

For example, in the “Nakawa Vocational Training Institute Project” in Uganda, the project incorporated activities to gain income by repairing or producing products in their training program. This made up for the delay in budget execution by the central government and reinforced the financial foundation of the implementing organization.

④ Collaboration Framework

Developing a collaborative relationship with the implementing organization or organizations concerned can be contributing factors in achieving project purpose or in yielding ripple effects.

For example, in the “Technical Cooperation for the Refinery Safety Training Center” project in Mexico, the experts’ proactive activities to involve the top executives of

implementing organization and their visit to Japan promoted understanding of safety management. This resulted in the allocation of 20 full-time staff and 240 safety promoters for each manufacturing line and led to the promotion of safety management activities. Also, in the “Project for Promotion of Popularizing Practical Bivoltine Sericulture Technology” in India experts were actively involved in the development of the system for the smooth implementation of the project and took the initiative in working in close collaboration with the central governmental organizations concerned and the local government in the pilot provinces. This led to the demonstrative implementation of activities in the 142 selected farms.

On the other hand, there were cases in which the problem in the implementation system or insufficient collaboration among concerned organizations impeded the smooth implementation of the project and realization of effects.

For example, in the “Project for the Fish-Culture Development in the Black Sea” in Turkey, during the five-year project period, the top management of the implementing organization changed more than ten times, which adversely affected the management of the project. In the “Bohol Integrated Agriculture Promotion Project” in the Philippines, the lack of collaboration between the head office of implementing organization and the regional offices which were in charge of the demonstrating sites and frequent changes of officials at the regional office impeded the efficient promotion of activities.

⑤ Communication

The smooth communication within the project team or among organization concerned contributed to the smooth management of the project and accomplishment of the project purpose.

For example, in the “National Center for Environmental Research and Training (Phase 2)” in Mexico, those involved in the project from both the Japanese and Mexican sides held monthly management meetings to discuss the project activities. This led to effort on the allocation of the management budget and personnel from the Mexican side which promoted effective project management. In the “Pesticide Monitoring System Development Project” in the Philippines, the fact that the implementing system was made up by two implementing organizations initially caused difficulty. However, by grouping the counterparts from both organizations according to outputs and holding regular meetings or skull sessions, the collaboration among organizations concerned was strengthened, leading to the smooth implementation of the project.



Equipment provided to the “Project on Upgrading Exploration Technology of Mineral Resources” in Morocco.

The communication between Japanese experts and the Supporting Committee in Japan was also cited as one of the promoting and impeding factors.

For example, in the “Project on Strengthening of Nursing Education” in El Salvador, timely information and support provided by the Supporting Committee in Japan contributed to the effective management of the project. On the other hand, in the “Upgrading Project for Plastic Molding Tool Technology” in the Philippines, because of insufficient communication between experts and the Supporting Committee in Japan, the Committee could not fulfill the coordination and supporting function for the project such as in recruiting experts.

None of the “Projects” evaluations referred to the problem of communication due to language proficiency. Instead, as a promoting factor, in the “Project for Improvement of Agricultural Extension and Training System” in Indonesia, because there were difficulties in communicating with the counterparts in English, the long-term experts took intensive lessons in Indonesian at an early stage of the project. This made smooth communication possible and contributed to the management of the project.

⑥ Cooperation Approach and Methods

For effective technical transfer, many projects made various devices at the project sites, which contributed to accomplishing outputs and realizing effects.

For example, in the “Quality Improvement of Foundry Technology in Small and Medium Scale Industry” project in Brazil, the project set a target product for each sub-sectors subject to technical transfer and provided well-balanced theory and practice. This reinforced the counterpart’s ability in giving practical instructions to companies. In the “Project for Improvement of Agricultural Extension

and Training System” in Indonesia, adopting a problem-solution training method encouraged the participants who are extension workers to discover and solve themselves the problems which the farmers faced.

In the “Project on Upgrading Exploration Technology of Mineral Resources” in Morocco, responding to the needs of the implementing organization that the acquisition of the practical and comprehensive exploration techniques together with the understanding of the theory were required, experts carried out on-the-job training through on-site explorations for more than 100 days a year. This contributed to the achievement of outputs. In the “Capacity Building Project for Environmental Management in Mining” in the Philippines, during the three-year cooperation period, the project held 20 seminars and symposiums to give the counterparts the opportunity to demonstrate what they had achieved. This raised the motivation of the counterparts and increased the understanding of the governmental organizations concerned and the awareness of mining companies on the importance of environmental management.

⑦ External Factors

In some “Projects”, external factors affected the implementing process, which had an effect on the accomplishment of project purposes and outputs and on efficiency.

External factors include natural disasters such as hurricanes, floods, earthquakes and infectious diseases, as well as political concerns, economic and social situations such as deteriorating security, economic crisis, organizational change, and decentralization. There were also cases in which man-made factors caused by social and economic activities surrounding the projects that affected the projects. For example, in “The Development Project of Benthonic Resources Aquaculture” in Chile, the start of the project was delayed because marine water for shellfish seed production was contaminated by fishnet detergent used at a fish farm near the project site.

Many of those external factors are ones which impede project effects, however, there were some that proved to be contributing factors. In the “Expert Team Dispatch to Enhance the Capability to Monitor the Toxic Red Tide Phenomenon” in the Philippines, during the project period, a large-scale red tide did not occur at the model sites and this enabled the counterparts and experts to concentrate on technical transfer.

External factors cannot be controlled. However, in certain cases, countermeasures can be prepared by gathering information in advance on political, social and economic



Training in the “Outboard Motor Maintenance and Repair” course held in Panama.

conditions. For example, in the “Project of the Mine Pollution Control Research Center” in Argentina, the primary evaluation stated that although the stagnation of the economy was an external factor, monitoring the situation and early response to any changes were essential.

“Overseas Trainings”

① Implementing System and Participants

In many “Overseas Trainings”, highly capable implementing organizations enhanced the effects of the trainings.

For example, in the “Telecommunications Outside Plant Construction Supervisory” training in Indonesia, the implementing organization had sufficient capability and experience for implementing training programs, such as developing textbooks or developing curriculums. This contributed to the effective implementation of the training. In the “International Seminar on Biotechnological Techniques in Tropical Medicine” in Malaysia, contributing factors were the superior experience and knowledge of the lecturers and the existence of sufficient equipment for training.

With regard to budget, some evaluations reported that it was difficult to secure the budget for continuing international training which requires a large budget, even in such case as the “International Training Course on Sabo Engineering and Water Induced Disaster Countermeasures” in Indonesia where implementing organization is able to carry out its own domestic training at its own expense,

Quite a few evaluations indicated that generally, the effects were enhanced when the development level of the economy and technology of the implementing country and participating countries were close, or when the social and cultural conditions were similar. On the individual level, problems on the difference in knowledge and techniques among training participants or the

lack of language ability were cited as impediments in accomplishing training results.

For example, in the “International Training Course on Molluscan Aquaculture Engineering” in Chile, there was little time left for the acquisition of the techniques which were the main topic of the training, because of the diversity in academic or technical background of participants which necessitated training from the basics.

As for the selection of training participants, as in the case in the “Training on Enhancing Women’s Participation through Upgrading of Micro Enterprises to Small-scale Enterprises” in Malaysia, there was insufficient time for selecting participants because of the time consuming process of application through diplomatic channels. Therefore, this situation was alleviated by beginning the application process early, approaching the Ministry of Foreign Affairs in Malaysia and seeking the cooperation of the JICA Malaysian Office in screening in advance. As a result, the quality of participants improved.

② Contents of Training, Management and Adjustment of Training Progress

As for training contents, curriculum design, flexible adjustments according to the needs of the training participants were the contributing factors.

For example, in the “Productivity Management (targeted to African Countries)” training in Singapore, the training effects were enhanced as a result of inviting lecturers who had practical experience in productivity management and selecting companies which were evaluated to have high productivity as visiting companies. As in the case of the “Outboard Motor Maintenance and Repairing” training in Panama, the training took a flexible approach by implementing monitoring during the training period and changing the lecture schedule or curriculum according to the needs of the participants, which led to the effective implementation of the training.

On the other hand, as in the case of the “Management of Productivity and Quality for Small and Medium Sized Enterprises” training in Singapore, the implementing side was not aware that the participants needed to allocate more time on practice than on theory.

There were also cases like the “Audio Visual Communication in Family Health” training in Turkey, in which the training could have seen more improvement if after the participant returned home sufficient monitoring had been carried out.

1-5 Lessons Learned from Evaluation Results

From the “1-3 Analysis by the Five Evaluation Criteria and Conclusions of Evaluations” and the “1-4 Analysis of Promoting and Impeding Factors in the Planning and Implementing Process”, important lessons for more effective and efficient project implementation in the future were derived. In (1) to (3) below, the lessons regarding planning, implementation, and evaluation which reflects the results of the analysis are given.

Some of these lessons include what has already been discussed in back issues of the Annual Evaluation Report such as “setting proper project purposes” and “developing a system to ensure financial sustainability”. Some projects have sufficiently considered and reflected the lessons in their implementation. For those lessons which are repeatedly mentioned, further analysis is necessary to assess what impeded the application of the lessons to the project, what made the difficulties in adopting them, and what made the differences between those projects which utilized the lessons and those which did not.

Lessons are conceptualized and generalized with the aim of giving them versatility, and in some cases this abstract quality is cited as the cause of difficulty in putting these lessons into practice. In order to use conceptualized and generalized lessons in an individual project, the lessons must be applied to respective case. For this, similar case from past projects can be a good reference. The Study observed many cases (good practices and bad practices) which can be referred to when considering concrete application methods for the lessons. In adopting these lessons, while referring to the various practical examples, lessons should be devised and applied appropriately to the individual projects, for the effective use of evaluation results.

(1) Lessons at Planning Stage

1) For good results, it is crucial to create a detailed plan based on the preliminary study on the needs of the partner country, the selection of implementing organization, and the social and economic conditions.

① As for the needs of partner country, the position or priorities of the development policies of the country must be taken into account to secure political and budgetary support. Also, the needs in target sectors should be surveyed to assess whether the field of cooperation, target groups and target areas are appropriate to meet the needs. With regard

to the target group, it is important to ensure that the project is consistent with the needs of women and those in the poor, whenever necessary, as well as pays attention to the composition of the target group. If the project chooses several target areas, it is necessary to implement a survey on the access and communication between sites.

② In selecting the implementing organization, it is important to confirm whether its mandate and jurisdiction meet the purposes of the project. Also important is the preliminary survey on the necessity of collaboration with other governmental organizations or private institutes in order to accomplish project purposes. It is also important to implement thorough investigation of the organizational, financial and technical aspects, including the allocation of counterparts and financial sustainability. JICA should discuss them with the partner country and implementing organization on creating countermeasures.

③ It is necessary to carry out a thorough preliminary study to assess situations which are related to development policies in the area of political, economic, and social conditions such as decentralization, economic condition and public safety as these external factors may affect the projects.

④ For an accurate preliminary study, the key is to select researchers who know well about the partner country or the target fields. It is also useful to include the Japanese experts or local consultants who will be participating in the project in the future in the study team. It should be in particular effective to include local personnel on the study team in the research of the social and cultural aspects.

⑤ In “Overseas Trainings”, it is necessary to gather sufficient information or to implement a sufficient study on the needs of the participant countries, policies of target areas and technical levels, including the perspectives of assuring qualified participants and their needs in applying the acquired knowledge and skills after returning home.

2) Clear and realistic project purpose and indicators should be set, with due consideration to the appropriateness of the project purpose, outputs, activities and input, developing common recognition on these points with the partner country.

① It is essential for the accomplishment of project purpose to draw up an appropriate plan. From this perspective, in developing a plan, it is necessary to consider if there is any disjuncture between overall goal and project purpose, or between project purpose and results. It is also necessary to examine if the necessary activities or inputs are included into the project for accomplishing the outputs. As for pro-

ject purpose or outputs, whether it is possible to accomplish them within the limited period and resources should be examined. Similarly, when reviewing the overall goal, thorough discussion with the partner country and the setting of realistic goal is important. In addition to these points, a strategy should be included in the project plan for securing sustainability so that even after the termination of the project its effects can be maintained and the impact sustained.

② In order to smoothly manage the project based on the consensus among the people concerned, it is important to set clear and easily understandable project purpose. When using conceptual words such as “system” and “model”, the definition of a word should be clarified to set specific indicators and to ensure a consensus among the people concerned. Similarly, it is also important to clarify the concepts so that the content of the plan will be as clear as possible.

③ Indicators are the methods of measuring and verifying the accomplishment of project purpose. Therefore, when selecting indicators, it is necessary to consider if those indicators are actually obtainable in monitoring or evaluation. Also important is the discussion and agreement with the partner country on the project purpose, what is to be achieved and to what extent, and reflecting these in the indicators. In selecting quantitative indicators, it is important to confirm whether relevant statistics are available in the partner country including past records for comparison.

④ Ensuring common understanding with the partner country on the content of the plan is vital in clarifying the division of responsibility and managing the project smoothly. To share a common understanding as well as to raise the ownership, the participation of the partner country from the planning stage is essential.

3) As for the input of personnel, equipment and facilities, a more detailed plan should be devised, with thorough research on areas such as the possibility of ensuring personnel, the necessary period for provision of equipment, and budgetary situation on the partner country side.

① As for experts, attention must be given at the planning stage to the sectors in which experts are difficult to be recruited in order to avoid an unrealistic plan. For this purpose, it is necessary to prepare a list of personnel in those sectors and develop a system to confirm the possibilities of securing personnel in advance. If it is difficult to secure long-term experts, it is necessary to plan taking the possibility to use short-term experts or experts from third countries into account.

② In providing equipment, the preliminary study should include the following items: the technical level or technical system, and the existence of agents and the fees for repair or parts procurement in the partner country. In order to have timely provision, confirmation of the necessary period for procurement, customs clearance and installation of equipments are vital. It is important to accumulate data on countries in which there is often a delay in customs clearance and reflect the findings in the planning. When procuring locally, it is also necessary to gather sufficient information on local suppliers and delivery periods in advance to develop an input plan. If the partner country is supplying facilities or both sides are sharing the input of facilities or equipment, close cooperation and a detailed comprehensive input plan is essential.

③ If problems in the budget allocation by the partner country is expected, it is important to survey the budgetary situation and the system of the partner country in advance and to discuss the budget allocation with the partner country. Also including activities that lead to generating independent sources of income and in some cases obtaining support from the Japanese side should be considered.

(2) Lessons at implementing stage

1) Periodical monitoring of a project is necessary in order to manage its progress. When there are changes in the external factors, appropriate review of the plan at an early stage is necessary.

① It is necessary to implement monitoring and progress management systematically, upon agreement with the partner country on its systems and methods. Timely organization of its activity record and monitoring report are important so that the people concerned can respond appropriately. These reports and records can be effective in notifying senior management of the implementing organization of progress of a project in order to secure their cooperation.

② Whenever unexpected situations occurred such as delayed progress or a change in external factors, it is important to revise the plan immediately. This should be done upon discussion with the partner country. As for external factors such as political, economic, or social conditions, careful monitoring is essential as part of risk management so early countermeasures can be taken when there are changes.

2) As for experts, the timing of dispatch as well as clarifying the activities that they will be responsible for is important.

① Carefully managed selection and dispatch procedures are important in preventing delays in the allocation of

experts. Especially when changing experts, it is necessary to pay attention to the schedule to avoid creating a period without an expert.

② So as not to create a mismatch between expert expertise and local needs, it is necessary to clarify what the experts will be in charge of and to select qualified experts who meet the corresponding requirements. It is also important to discuss and agree with the partner country the activities for which experts will be responsible in advance.

3) For the smooth implementation of a project, it is essential to secure the operational budget of the implementing organization. If necessary, organizing a system in which the implementing organization can obtain an independent source of income, strengthens its financial foundation and leads to financial sustainability in the future.

① If an implementing organization has problems with its operational budget, organizing a system in which the implementing organization can obtain its own source of income is beneficial. There are many forms of this kind of system, such as accepting business from external organizations, receiving contributions from companies, cost sharing with other aid organizations and renting its facilities. In order to establish such a system, the countermeasures by other implementing organizations engaged in similar activities can be referred to. It must be noted that in some countries even if the organization is able to generate its own income, it is secured by the national treasury and the reallocation is strictly limited. Therefore, it is necessary to study the situation in advance.

② If it is difficult for the implementing organization to generate its own income because of the content of a project or the mandate of the organization. Deliberation with the partner country from the planning stage is essential in ensuring operational budget allocation. It is also important to develop a plan with consideration to the financial capacity of the implementing organization after the termination of the project.

4) Holding regular meetings such as project steering committee is beneficial in promoting communication with the partner country and in ensuring the smooth implementation of a project. For the effective implementation of a project, it is important to build a collaborative relationship between the organizations concerned and Supporting Committee in Japan.

① Regular exchange of information and opinions on project management with the organizations concerned in the

partner country is helpful in building a favorable collaborative relationship with those organizations. When there are several organizations concerned, conducting committee or skull sessions is an especially effective way of strengthening the cooperative relationship with these organizations and ensuring the smooth implementation of the project.

② Good communication between the Supporting Committee in Japan and the experts is important. It enables the Committee to function fully in coordinating the dispatch of experts or giving experts technical support.

(3) Lessons on Evaluation

1) In evaluating “Projects”, such perspectives as cost Efficiency, appropriateness of project plan in Relevance, should be included. For evaluation on Effectiveness with better quality, setting indicators needs to be improved.

① Among the Five Evaluation Criteria, the evaluation on Efficiency needs to be improved by referring to cost. In verifying the Efficiency, such questions need to be asked as whether the input cost is appropriate relative to the project effects compared with similar projects or whether there was no lower cost alternative which would have accomplished the same project effects.

② In evaluating Relevance of a project, in addition to assess the appropriateness of the project to development needs and policies, it is necessary to examine the appropriateness of the project’s strategic approach in solving problems.

③ In the evaluation of Effectiveness, the improvement of the indicators which verify the accomplishment of project purpose is necessary. In evaluating Impact, the assessment of whether the overall goal was accomplished or whether there is the prospect of achieving the overall goal, and in evaluating Sustainability, a more specific basis for judgment and an analysis of the causal relationship is required.

2) Evaluation on “Overseas Trainings” should apply multiple methods as well as monitoring of ex-participants after their return home.

As for “Overseas Training”, it is necessary to improve the questionnaire survey method to include questions that enable crosschecks as well as to combine other methods so as not to judge the accomplishment of training results only by self-evaluation of the training participants. In order to evaluate the impact or sustainability, it is necessary to monitor ex-participants after their return home.

BOX 12 Regional Trends in the Five Evaluation Criteria and Conclusion of Evaluation

Are there any regional features or differences which should be taken into account when implementing projects? In order to answer this question, the Study reviews the primary evaluations by analyzing regional tendencies. The Figure below shows the regional classification of the Five Evaluation Criteria and Conclusion of primary evaluations. Each category is rated on a one-to-four scale the same as in the previous sections of this chapter and the results of the average score and comparison according to region is given. Based on this, regional trends have been analyzed. It should be noted, however, that target projects in areas other than the Asian region are limited in number, so extracting the general tendencies of each region is not appropriate; therefore, the results merely serve as reference. For a more accurate analysis of regional trends, the sample size must be increased. As for the Oceania region and European region, as there was only one project in each region, those regions were excluded from the analysis.

Figure Regional Trend of the Five Evaluation Criteria and Conclusion of Evaluation



(1) Asian Region

Average scores in all criteria were high overall in the project conducted in Asian region; especially, Efficiency was far higher than in other regions. This was because the percentage of the project with “high” (A) in Efficiency is larger than in other areas. China, Thailand and Malaysia had one each of the projects with “high” Efficiency and the Philippines and Indonesia had four. Each project, with the cooperation of competent counterparts, transferred techniques efficiently with the appropriate inputs from the Japanese side. Also, there was no problem bearing the local cost by the partner country side.

Apart from the above five countries, the Asian region includes the target projects implemented in seven other countries including Mongolia, Myanmar and Laos. Of the projects implemented in these seven countries, six, excluding one in Cambodia, were evaluated as having “mostly high” (B) in Efficiency. As the above five countries had a similar number of projects with “mostly high” (B) in Efficiency, there was no clear difference among the countries in the Asian region. There were five projects evaluated as having “low” (D) or “low in some part” (C) in Efficiency. Out of the five, four projects excluding one in Cambodia, gave as their reason for the low was either problem of experts or project mismanagement. Delays due to a lack of budget or external factors of the partner countries did not play a large part in these cases.

Judging from above, the Asian region scored high in Efficiency because there were relatively many implementing organizations with a sound implementing system such as in Indonesia and the Philippines, and because, compared with other regions, there were relatively few situations which seriously impeded efficiency resulting from factors on partner country side. In the cooperation in the developing of a legal system in Cambodia, because it was cooperation in a completely new field not only for Cambodia but for Japan also, it took time to establish an implementing system on the Cambodian side and this lowered the efficiency. However, one cannot simply decide, whether this was due to the feature of the recipient country in general or whether it was due to the unprecedentedness of the cooperation field, since there is no other case to compare this project with.

(2) Latin America and Caribbean Region

In the Latin America and Caribbean Region, there are no extremely high or low ratings in any of the criteria and all five scores are near the average. Effectiveness in the Latin America and Caribbean Region is higher than that in other regions, and this is because the percentage of projects with “high” (A) in “Effectiveness is higher than those in other regions. The eight projects rated as (A) include three projects in Brazil, two projects in Mexico and one each in Chile, Paraguay and El Salvador. The reasons for the high marks for the projects in Chile and Mexico were thought to be because the evaluation was done merely for extended period to original period, respectively, and thus the scope of the projects was limited.

Among the remaining projects, all three projects in Brazil were evaluated as having “high effectiveness” in their separate sectors of medical, agricultural, and mining. Some of the projects experienced almost no problem in the planning and implementing process and others experienced a few problems; however, both the outputs and project purposes were accomplished. Judging from these findings, the high effectiveness of the projects in Brazil might be attributed to the situation in the partner country such as highly effective acquisition of transferred techniques. In two of the three projects in Brazil, there was a record of previous technical cooperation given to the implementing organization. As for the third project in Brazil, Japan had worked in cooperation with different agency under the same superordinate ministry. It can be said that past experiences in cooperation increased the effectiveness of those projects.

Also, in the project in Paraguay, preceding cooperation had been implemented for a long time. Of the two projects in Mexico, one project other than the project which had its period extended had a past history of similar cooperation. Based on the experience, the project was able to devise an appropriate project plan which is thought to have contributed to the realization of the project effects. In the Latin America and Caribbean region, eight of all 16 target projects had received previous technical cooperation, while 18 projects of all 63 “Projects” had relations with other technical cooperation. Judging from these facts, the high percentage of advanced technical cooperation is one of the features in cooperation in the Latin America and Caribbean region.

Judging from the above, in the Latin America and Caribbean region, the highly competent organizations and personnel in the advanced countries of the region and an understanding of the current situation of the recipient countries through preceding cooperation were the factors which contributed to high effectiveness. The project in El Salvador is an exception to this, but it is thought that the project was able to accomplish its objective by developing a successful cooperation system with the people concerned in the recipient country.

Meanwhile, there are three projects which were evaluated as “efficiency was low in some part” (C). Those three projects were adversely affected by external factors namely an economic crisis, deteriorating public safety and a hurricane which impeded the accomplishment of outputs and project purposes. There were six projects in which the efficiency was evaluated to be “low in some part” or “low” among all 63 “Projects” and three out of six projects were implemented in the Latin America and Caribbean region.

(3) Middle East Region

In the Middle East region, Relevance and Sustainability were markedly higher than in other regions and Impact was lowest.

As for Relevance, all six projects were evaluated to be “high” (A), but as for Impact, four were evaluated as “overall goal has not been accomplished” (C). Of the four projects evaluated as (C) in Impact, one was adversely affected by external factors and could not accomplish its project purpose, but the other three projects had mostly accomplished their respective project purposes but had not accomplished their respective overall goals.

As for Impact, in many projects, their respective effects had not been realized at the time of terminal evaluation and the judgment standard varied as described in the previous sections in this chapter. Therefore, the way evaluation was carried out might have led to the low evaluation of Impact; however, it is possible to consider that there was some common impeding factor in those projects.

In two of the three projects which had accomplished their respective project purposes but had not accomplished their respective overall goals, there was a difference in understanding of the setting of project purposes and indicators between the Japanese side and the implementing organizations. In one of these projects the PDM was changed four times during the project period. From this, it can be thought that there were some problems in the setting of project purposes due to communication difficulties between the organizations concerned in the partner country. The project which had not accomplished its project purpose, also cited a problem in common understanding and communication between the organizations concerned in the partner country and its frequency was somewhat higher.

As for Sustainability, the high percentage of the projects with “high” (A) has raised the score. The three projects rated as (A) were implemented in Saudi Arabia, Egypt and Morocco and all three projects were evaluated as having high sustainability in all three aspects; organizational and institutional, financial and technical. Two of the remaining three projects noted some problems in the technical aspect and their sustainability were evaluated to be “mostly high” (B). One project whose sustainability was evaluated to be “low in some part” (C) cited organizational and systematic problems, but did not have problems in bearing local costs. Judging from these findings, in these target projects, the projects in the Middle East region had financially high sustainability.

(4) African Region

In the African region, the average ratings were lower in all criteria compared with other regions. There were marked differences in Effectiveness, Sustainability and Conclusion of evaluation. The low rating in the Conclusion is due to the low Effectiveness and Sustainability just cited.

As for the Effectiveness, a high share of the projects whose Effectiveness was “low in some part” (C) and the fact that there were no project with “high” (A) in Effectiveness, lowered the average score. Among three projects with “low” in Effectiveness, two projects cited problems with the planning and one project was affected by external factors adversely affecting the accomplishment of the project purpose. The former is not necessarily due to regional factors, but in the African region, four of the seven target projects indicated problems in the planning such as setting project purpose, and so there could be some common factor. Further analysis of the situation is necessary to evaluate a possible lack of information or existence of constraints on preliminary study which adversely affect the drawing up of an appropriate plan.

As for Sustainability, the percentage of the projects in which Sustainability was “low in some part” (C) was high and there was no project with “high” (A) in Sustainability, which lowered the average score. All of the projects evaluated (C) had problems in financial sustainability, three in technical sustainability, and one in organizational and institutional sustainability. However, the problem with one of the three projects with problems in technical sustainability, was that the technical transfer had not been completed yet due to difficulties in recruiting experts. Therefore, in this case the cause for the low evaluation was not on the side of the partner country. As for financial sustainability, even the projects whose sustainability was evaluated to be “mostly high” (B), had referred to financial problems. In the African region, low financial sustainability is a common trend. Therefore, in future cooperation, it is necessary to develop and implement a plan which takes these findings into consideration.

Chapter 2 ● Feedback from Evaluation Results

For more effective and efficient projects it is extremely important that evaluation results feedback into the planning and implementation of projects. As described in Chapter 1 of Part 1, JICA has set the following three objectives of Evaluation: (1) Using evaluations as a means for project management, (2) Improve the learning effects for those concerned, and (3) Secure accountability. This chapter addresses JICA's effort to use evaluation results as a project management tool and as part of the learning process for related parties.

Concerning using evaluation results for project management, this chapter presents a "follow-up" on the results of the terminal evaluations conducted in FY2001. In addition, this chapter summarizes the major lessons identified in the Annual Evaluation Reports of the past four years and present case examples to show how those lessons were applied to projects. Each of the past issues of Annual Evaluation Report discusses "lessons learned from evaluation reports", which are the most important lessons from projects targeted for evaluation every fiscal year. This chapter also uses the results of the questionnaire survey of JICA staff to discuss the current situation and issues concerning evaluation feedback in JICA.

2-1 "Follow-up¹⁾" of Evaluation Results

JICA evaluates individual projects with the aim of collecting necessary information for project management. JICA uses terminal evaluation to formulate recommendations on concrete measures for targeted projects based on the understanding project conditions and the evaluation results of the Five Evaluation Criteria. The results of terminal evaluation is to be incorporated into the decision making process and used to judge whether the target project should be terminated or continued. In order to fully consider these matters and take necessary measures, JICA does a terminal evaluation a few months prior to the end of a project.

If evaluation results confirm that a project's initial purpose will be achieved, the project is completed as scheduled. In some situations, however, a project needs further activities or more time to accomplish its project purposes within the project period or, even though its goals are mostly met, the project may need additional assistance. On the

other hand, there are such cases as projects make steady progress and accomplish their initial project purposes and, as a result, are expanded and continued with additional activities to enhance the project's benefits or to achieve new goals at a higher level.

JICA conducted 104 terminal evaluations on individual projects (63 Technical Cooperation Projects, 6 Grant Aids, 1 Japan Overseas Cooperation Volunteer Program and 34 Overseas Trainings) in FY 2001 and decided to extend a "follow-up" cooperation on 39 of these.

The "follow-up" varied in its combination of input, such as the dispatch of long-term or short-term experts, the dispatch of Senior Volunteers, the implementation of a new project in a phase 2-like form, and the extension of the cooperation period.

When classifying "follow-up" by objectives, 13 projects did "follow-up" aimed at expanding project benefits, such as transferring techniques and know-how to a similar sector or region or transferring higher or newer skills. When compared with the evaluation results, the terminal evaluation for these projects confirmed that they accomplished their project purposes and achieved good results. As a result, JICA did "follow-up" to disseminate the benefits of these projects.

For example, in "the Project for the Preparation and Publi-

1) JICA uses the word follow-up in a broad sense. In this report, "follow-up" means that some sort of continuous cooperation is performed, such as extending a project period or conducting a new project, based upon the evaluation results.

cation of the Philippine Pharmacopoeia” in the Philippines, the project purpose of “developing a Philippine Pharmacopoeia model” was accomplished. In order to achieve the overall goal of “publishing a Philippine Pharmacopoeia by ministerial ordinance”, preparation and effort is being made for the publication of the Philippine Pharmacopoeia by the Government of the Philippines in 2004. Therefore, the evaluation results of the terminal evaluation recommended that “the Government of Japan should continue its cooperation through: (1) giving advice to the management of preparatory organizations and (2) giving advice and transferring techniques to the monograph testing of medicine for the Philippine Pharmacopoeia in 2004”. In response, the Government of Japan has implemented a three year program entitled “the Project for the Preparation and Publication of the Philippine Pharmacopoeia, Phase 2” (2002-2005).

Eight projects did “follow-up” to supplement delays in some activities or further ensure sustainability, even though the projects had achieved their project purposes to a reasonable extent. The terminal evaluations of those projects concluded that most of the outputs were accomplished and the project purposes achieved generally, but there remained some concerns about sustainability or the need for further cooperation to assist technical acquisition.

For example, “the Project for the improvement of the Maternal and Child Health In-Service Training System and Program” in Ghana attained sufficient results in eight targeted activities and achieved the projects purpose mostly. The terminal evaluation, however, determined that one of its outputs of completely implementing the structured In-Service Training System was accomplished at the middle level because project activities were delayed due to untimely dispatch of experts to the concerned areas. Therefore, the evaluation report recommended to do a follow-up cooperation focusing on specific areas after about a year to confirm the project’s benefits. Based on the recommendation, JICA dispatched two long-term experts to the Ministry of Health for one year to expand use of the system.

On the other hand, five projects did “follow-up” to continue assistance because the evaluation determined that achievement level of project purpose and outputs in specific areas were low. These projects were evaluated as low in terms of achievement due to the reasons external to them. Also, most of the evaluations on Effectiveness and Sustainability were low.

For example, “the Project for the Fish-Culture Develop-

ment Project in the Black Sea” in Turkey, evaluation results concluded that high waves caused by abnormal climate damaged facilities and caused an outbreak of disease among zooxanthellae, which adversely affected the accomplishment of project purpose. As a result, assistance was extended for one and a half years, focusing on improving and establishing techniques that were delayed.

In addition, 13 overseas training courses, including Third Country Training Program and In-Country Training Program, conducted “follow-up” as a consequence of evaluations to assure project sustainability and expand training courses.

2-2 Trends in Past Lessons and Projects Reflecting Past Lessons

Evaluation results can be used to increase the learning benefits for people concerned in development assistance. For instance, past lessons can be referred to when preparing and implementing similar projects.

In “Lessons learned from evaluation results” in the Annual Evaluation Report, JICA compiles lessons that were stressed in many evaluation results for the targeted fiscal year and were highly relevant to other projects to given the direction of future assistance. Every year, the Annual Evaluation Report presents around 10 lessons as common lessons for that fiscal year.

This section analyzes features and trends for 30 lessons presented in Annual Evaluation Reports over the four years from 1999 to 2002 and presents case examples of how JICA used these past lessons in projects.

This analysis does not address lessons in Annual Evaluation Reports before FY 1998 because they were only for certain sectors or challenged certain schemes, and the content was specified.

(1) Trends of Past Lessons Learned

Lessons were largely divided into two types: “lessons for the planning stage” and “lessons for the implementing stage”. Many of the 30 lessons presented in Annual Evaluation Reports over the past four years were ones noted in the planning stage. This means that many project plans were found to be essential for effective and efficient implementation. Table 2-6 summarizes the lessons of past four years.

1) Lessons for the Planning Stage

Lessons for the planning stage can be largely classified into following four categories: ① Lessons about project plan, ② Lessons about implementing a system overseas, ③ Lessons about the cooperation approach, and ④ Lessons about the program approach.

① Lessons about Project Plan

There were eight lessons about the project plan, including setting project purpose and developing a plan for outputs, activities, and inputs that enables the achievement of

project purpose. Many lessons were mentioned in more than one year. For example, “develop project plan to ensure future sustainability” was mentioned every year from FY 2000 to 2002, “project purpose properly balance outputs, activities, and input” was mentioned in FY 2001 and 2002, and “promote participation of concerned parties in the partner country in project planning and establish consensus among them about the content of the project plan” was mentioned in FY 1999 and 2000. Also such lessons as “Clarify at the planning stage terms of reference of persons concerned in the project considering the mandate of the implementing

Table 2-6 List of Lessons in the Past Four Years

Past Lessons	Number of Reference	Fiscal Year			
		2002	2001	2000	1999
1. Lessons for planning stage	20				
○ Lessons about project plan	8				
Develop project plan to ensure sustainability in the future.	3	○	○	○	
Project purpose properly balance outputs, activities, and inputs.	2	○	○		
Promote participation of concerned parties in the partner country in project planning and establish consensus among them about the content of the project plan.	2			○	○
Clarify at the planning stage terms of reference for persons concerned in the project considering the mandate of the implementing organization and counterparts in the partner countries	1	○			
○ Lessons about implementing system overseas	5				
Limit the number of implementing organization to one as much as possible or streamline coordination structure when involving multiple implementing organizations	3	○	○		○
Phased implementation is effective if partner country not fully prepared.	1		○		
Assess capacity and authority of local government when conducting projects on decentralization	1		○		
○ Lessons about the cooperation approach	4				
Assess applicability and feasibility of project activities at pilot area or in model organization and clarify the path of impact from direct to end beneficiaries	2	○	○		
Consider real world application and extension in research cooperation projects	2		○		○
○ Lessons about program approach	3				
Strengthen overseas support system to enable smooth implementation of JICA's programs	2	○			○
Set program purpose clearly and improve quality of overall plan for formulating programs	1	○			
2. Lessons for implementing stage	5				
In advanced technology fields, flexible response to rapid changes in external conditions is necessary	2		○		○
In country promoting privatization, discuss sufficiently about the future after cooperation with recipient country considering reformation of implementing organization	1				○
Strengthen function of overseas offices to conduct country focused training more efficiently and effectively	1		○		
Improve in third country training, considering appropriateness of screening process, establishment of alternative course, and support to formulate network among ex-participants	1			○	
3. Other lessons learned	5				

organization and counterparts in the partner countries” was pointed out. It is important to note that similar lessons to these for the planning stage were drawn as lessons at the planning stage in Chapter 1, Part 2; “Synthesis Study of Evaluation”.

Judging from the above, these lessons about the planning require special attention when formulating projects. The reasons why similar lessons are pointed out every year could be that even though these lessons are recognized as important, they are difficult to put into practice and have issues hard to overcome. It is also worth noting that most of the lessons about the project plan are mentioned in the last three years, indicating increased awareness of the importance of planning.

② Lessons about Project Implementing System Overseas

The system of project implementation in partner country plays an important role not only for proper planning but also for smooth project implementation. Among the lessons of the past four years, many (five in total) were on implementing system overseas. These include, “limit the number of implementing organization to one as much as possible or streamline coordination structure when involving multiple implementing organizations” mentioned in FY 1999, 2001 and 2002, and “phased implementation is effective if partner country not fully prepared” mentioned in FY 2001.

③ Lessons Learned about the Cooperation Approach

There were four lessons about the cooperation approach in past Annual Evaluation Reports. These include “assess applicability and feasibility of project activities at pilot area or in model organization and clarify the path of impact from direct to end beneficiaries” in FY 2001 and 2002 and “consider real world application and extension in research cooperation projects” in FY 1999 and 2001.

JICA’s projects for disseminating techniques often transfer to or develop techniques at the implementing organization of the partner country and demonstrate their applicability during the project period. Then, the implementing organization, which is the target of the technical transfer, uses the results of this cooperation by disseminating the techniques to end beneficiaries or areas other than where they were demonstrated. Above lessons show the common recognition that, even in the project focusing on technical transfer or development, it is necessary to thoroughly examine and consider the system of dissemination so that the benefits of cooperation can be disseminated to end beneficiaries and

beyond the area of demonstration after the project.

④ Lessons Learned about the Program Approach

There are two lessons about program approach: “Set program purpose clearly and improve quality of overall plan for formulating Programs” in FY 2002 and “strengthen overseas support system to enable smooth implementation of JICA’s programs” in FY 1999 and 2002. In recent years, JICA has promoted a “program approach”, and the importance of these lessons has increased year by year.

2) Lessons Learned at the Implementing Stage

There were five lessons for the implementing stage, including “in advanced technology field, flexible response to rapid changes in external conditions is necessary” in FY 1999 and 2001 and “in country promoting privatization, discuss sufficiently about the post-project strategy with partner country considering reform of implementing organization” in FY 1999.

As described above, in past Annual Evaluation Reports, most lessons were about the planning stage. The Annual Evaluation Report 2003, however, presented various lessons for the implementing stage based on factors that either promote or impede achieving the benefits of assistance in “Synthesis Study of Evaluations”, Chapter 1, Part 2.

(2) Projects Reflecting Past Lessons

One of the most important objectives of JICA’s evaluation is to improve projects by incorporating lessons into project planning and implementation. This section presents how JICA has incorporated the lessons learned in the Annual Evaluation Reports of the past four years.

As a survey, the list of past lessons was distributed to departments and overseas offices involved in JICA project implementation who were then asked to provide examples. This section presents the most notable of these examples.

1) Projects Reflecting Past Lessons for the Planning Stage

Clarify at the planning stage terms of reference of persons concerned in the project considering the mandate of the implementing organization and counterparts in the partner countries.

Some examples of this lesson were provided. For example, the “improvement of the Asuncion Central Market” project in Paraguay (FY 2003 - 2005). The project’s preliminary study clarified policy, technical capacity, implementing system, and the current situation. The project purpose and

activities were then reviewed with the counterparts and revised the project plan based on what was requested by the partner country.

In “the Cerrado Ecological Corridor Conservation Project” in Brazil (FY 2002 - 2004), which targeted different departments in the same implementing organization to past JICA cooperation, the project clarified terms of reference among departments by describing which department implements which activities in the PDM when developing the project plan.

Develop project plan to ensure sustainability in the future.

The development study on “Prevention for Desertification in the South Region of Segor” in Mali (FYs 1999 - 2003) incorporates this lesson. This development study aimed at formulating a plan to prevent desertification. During the later stage of the study, the study team implemented demonstration activities including promoting vegetable cultivation, setting seedling fields and mills in order to verify the relevance of the plan developed. To begin these activities, the shortage of management budget of the partner country made sustainability of these activities a concern. Therefore, a system was introduced to gather part of the running cost from people in the target area in advance to use as part of the funding for management. The fund was also used to make small-scale loans to promote income generating activities by the local people. As a result, these activities are now smoothly managed by the partner country after the end of the cooperation period.

In addition, several projects planned for the near future try to include the necessary activities for assuring financial sustainability for the implementing organization. In the project under consideration in Paraguay, an inspection con-

signment system by external companies is planned as one of the project outputs in order to manage the necessary budget for maintenance of equipment with the experimental laboratory’s (the implementing organization) own income.

Promote participation among concerned persons in the partner country in project planning and establish consensus the content of the project plan.

The above lesson was incorporated into the “Improvement of the Asuncion Central Market” project in Paraguay. The project plan was developed with the participation of counterparts in the recipient country.

JICA introduced “Project Document” in FY 2001 to share necessary information for project planning and results discussed in ex-ante evaluation study among those responsible for implementing and evaluating projects. “Project Document” describes the project cycle of formulating, planning, implementing, and evaluating based on necessary information and thoroughly explains the relevance of project implementation. JICA had confirmed the content of projects with partner countries and developed consensus documents in the past. Sharing information compiled in “Project Document” with concerned people is a way to gain common understanding on the more concrete content of project plans.

Limit the number of implementing organization to one as much as possible or streamline coordination structure when involving multiple implementing organizations.

When a project has multiple implementing organizations in a partner country, coordinating them sometimes takes time and efforts and adversely affects efficiency. Hence, it is important to assure coordination, whenever with more than one, so that the project can secure the effective link-



The “Project of Sustainable Agricultural Development and Natural Resources Conservation in Cerrados” in Brazil. Related parties discuss over activity plan in a workshop.

age among concerned organizations.

The “Transportation Master Plan and Feasibility Study of Urban Transport Projects in Greater Cairo Region” in Egypt (FY 2001 - 2002) conducted a survey on urban transportation in the greater Cairo region, and then developed a master plan and prioritized projects. In conducting this development study, it was required cooperation with numerous organizations to implement it most effectively. It required the participation of central governmental organizations (Ministry of Transport, Ministry of Housing, Ministry of Justice and Ministry of Interior), local governments (Cairo and Giza Governorate), and companies (railroad and bus service providers), as well as national research institutes, universities and the National Statistics Office to conduct surveys. Consequently, the government of Egypt ordered the setting up of a Steering Committee headed by the Minister of Transport. The Steering Committee held a sequence of executive meetings and working groups to bind up all the concerned organizations and promote a structure for smooth discussion and study.

For “the Study on Urgent Rehabilitation Support Program of Agriculture in Kandahar” (FY 2002-2003) in Afghanistan, there were three related organizations in the beginning: Ministry of Agriculture and Animal Husbandry, Ministry of Irrigation and Water Resources and Environmental Affairs, and Ministry of Rural Rehabilitation and Development. The preliminary survey, however, indicated a concern about transaction cost among multiple organizations. Hence, the Ministry of Irrigation Water Resources and Environmental Affairs was selected as its implementing organization because it related most to the content of the study. The other two organizations became members of a

Steering Committee to implement the project smoothly and coordinate concerned organizations.

Phased implementation is effective if partner country not fully prepared.

This lesson was used in “the Project for Enhancement of Capabilities of Flood Control and Sabo Engineering of Department of Public Works and Highways” in the Philippines (FY 2000-2005). In this project, the implementing organization in the Philippines was newly established so its operation capacity could not be taken into account at the commencement of the project. Therefore, the requested cooperation was divided into two stages. JICA decided to judge whether Stage 2 should be implemented based upon the evaluation results of Stage 1 after three years. Terminal evaluation of Stage 1 was implemented in FY 2002 and, based upon its results, JICA has continued the project as Stage 2 until FY 2005.

In the “Enhancing Capacity of National Center for Natural Science and Technology of Vietnam in Water Environmental Protection” project in Vietnam (FY 2003-2006), Vietnam needed to improve environmental technology to counter worsening environmental problems. Governmental agencies, however, had been abolished or merged vertiginously, and factors in selecting the implementing organization for future sustainability were uncertain. Given these circumstances, the project set a shorter project (three-year) period and focused on the water issue in Phase 1. During the assistance period, JICA will observe the circumstance in Vietnam and modify and adjust its cooperation for the environment.

Similar to the above, in the “Trade Training Center” project in Egypt (FY 2002-2004), the center itself was estab-



The “Enhancing Capacity of National Center for Natural Science and Technology of Vietnam in Water Environmental Protection” project. Student of counterpart organization using provided equipment under supervision of expert “right side”.

lished together with the commencement of the project. JICA decided to implement a two-year Phase 1 to prepare the start-up of the center. The start-up, however, proceeded quicker than expected, and the plan for Phase 1 was reviewed and revised. This project showed that when a project is divided into phases, monitoring progress is indispensable.

In addition, the department within JICA that incorporated lessons to its project pointed out that since the partner country may consider that phase 2 will follow Phase 1 for a phased project, JICA needs to explain to the partner country that JICA monitors progress, and then decides if additional phase is necessary based upon the results.

Assess applicability and feasibility of project activities at pilot area or in model organization and clarify the path of impact from direct to end beneficiaries.

“The Healthy Municipality Project in the Northeast Brazil” in Brazil (FY 2003-2007) incorporates the above lesson. The project aims to introduce methods for building a healthy town with local participation. Project activities include establishing a model in a pilot area and disseminating the model along with concerned persons in the pilot area to selected areas within the same state. In order to disseminate the model to other areas, the project took a multi-tiered disseminating approach by holding training and seminars that invited people from areas other than the above.

In Papua New Guinea, a new approach for promoting small-scale rice cultivation is under consideration in which the project team selects key farmers and gives them training, and the key farmers then transfer the techniques to farmers around them. Spreading technique by having key farmers teach them to surrounding farmers is part of a new approach included in the project plan.

Strengthen overseas support system to enable smooth implementation of JICA's programs.

The JICA Pakistan Office used the above lesson. JICA Pakistan Office promotes the allocation and use of “sector coordinators” to effectively manage projects on site at the program level under a country-specific and thematic approach. The Office has already allocated a coordinator in the priority areas of education and health sectors to develop, manage, and evaluate projects under the program.

2) Projects reflecting Lessons at the Implementing Stage

In advanced technology field, flexible response to rapid changes in external conditions is necessary.

For projects in the information and technology field, tech-

nical innovation progresses rapidly. In order to cope with the pace of change, JICA set three-year periods in many projects, for example, “the Project of Capacity Building on the Development of Information Technology for Education” (FY 2002 - 2005) in Thailand and the “Project for Human Resource Development in Information Technology through Capacity Building of University of Colombo School of Computing” (FY 2002 - 2005) in Sri Lanka.

In addition to the project period mentioned above, a project, that is under consideration, in Kyrgyz to foster personnel necessary for the information and technology field, JICA, based upon the results of a preliminary evaluation, considers using short-term experts to transfer advanced technology and introduce a system that constantly reviews project content, such as training, as a way to respond to changing technology and demand.

(3) Lessons Reflected or Not Reflected in Projects

JICA has sufficiently used several past lessons, which enhanced learning effects of the people concerned. For instance, lessons such as “phased implementation is effective if partner country not fully prepared” and “limit the number of implementing organization to one as much as possible or streamline coordination structure when involving multiple implementing organizations” are used in many other projects not mentioned here. Therefore, JICA can conclude that feedback from these lessons has been thoroughly incorporated into its projects.

On the other hand, some lessons have yet to be sufficiently used in projects because they raised as lessons every year. For example, some project used the following lessons learned, but only a few of them reported them as good practice: “Project purpose properly balance outputs, activities and inputs”, “develop project plan to ensure sustainability in the future”, “establish consensus about the content of the project plan among them”, and “clarify terms of reference of persons concerned in the project considering the mandate of the implementing organization and counterparts in the partner countries at the planning stage”. Similar lessons are drawn in “Synthesis Study of Evaluations”, Chapter 1, Part 2.

As for factors impeding use of these lessons, some lessons may be difficult and take more time to be put into practice. In addition to the content of lessons, the insufficient feedback system and understanding on how to use lessons can be impediments. This survey notes opinions for why lessons are not reflected in projects, including “content

described in lessons is always considered in daily work rather than used in a specific project” and “because lessons are very general they are difficult to use as is”. Other opinions were “I do not know what kinds of lessons are indicated” and “I do not know how to obtain evaluation results”.

Based upon the above opinions, the next section presents results and analysis of the questionnaire survey conducted by the Office of Evaluation and Post Project Monitoring. The survey aims to find out what JICA does with feedback from evaluation results and analyze the factors promoting and impeding the incorporation of feedback into projects.

2-3 Study Results on Feedback of Evaluation Results

One of the major objectives of JICA’s evaluation is “to enhance learning of those concerned for more effective project implementation”. In order to learn from evaluation results and improve projects, it is not enough to prepare reports but also necessary to work on achieving more effective and efficient projects by sharing and accumulating evaluation results as organizational knowledge.

JICA conducted a study on feedback of evaluation results in FY 2000. Based on the results, JICA has improved such aspects as offering information by uploading evaluation results on its homepage. JICA also improved the quality of evaluation information by introducing the “Synthesis Study of Evaluations”.

However, as noted in the former section, feedback from evaluation results might not be fully reflected in JICA’s cooperation. Therefore, JICA implemented the questionnaire survey of its staff to reconfirm how JICA currently communicates feedback from evaluation results to its projects and how JICA uses it to improve and enhance the system. This section reports the results of the questionnaire survey analyzed by the Office of Evaluation and Post Project Monitoring and the problems drawn from the results.

FY 2003 Study Results on Feedback of Evaluation Results

(1) Study Methods

JICA implemented a study; “Feedback of Evaluation – Feedback as Learning Processes (hereinafter referred to as “previous study”)”, in FY 2000 in order to understand and to improve the situation at the time regarding feedback of evaluation results. The “previous study” did a questionnaire survey on situation of using ex-post evaluation (country program and thematic evaluation) and expectations of future evaluations covering a wide a range of concerned individuals from JICA staff and on-site experts to a broad range of people involved in implementing organizations in recipient countries. The “previous study” then gave a wide range of recommendations concerning feedback of evaluation results.

This Study, whose results are presented in the rest of this section, was implemented in September 2003 to clarify the issues that should be addressed to improve communicating feedback from evaluation results to JICA’s undertakings as well as to better understand the current situation and problems.

In order to compare with the “previous study”, this Study has many of the same questions on its questionnaire. This Study, however, was limited to JICA staff. In addition, although the “previous study” focused only on ex-post evaluation conducted by the Office of Evaluation and Post Project Monitoring, this Study expanded its subject to all types of evaluation including ex-ante, mid-term, terminal, and ex-post evaluation. As the study targets differ, this section does only referential comparisons to the “previous study”.

<Major items in FY 2003 questionnaire>

- Have you ever used the results of a JICA evaluation?
- If you have, what kind of evaluation did you use?
- What kind of procedures did you apply them to?
- How did you obtain the evaluation results that you used?
- Were the evaluation results useful?
- What kind of information was useful?
- If you have not utilized any evaluation results, why?
- Why were the evaluation results not helpful?
- To what kind of operation and management would you like to use evaluation results in the future?
- What kind of improvement is necessary to use evaluation results effectively?

(2) Results of Questionnaire Survey

Are Evaluation Results Used?

Less than half of JICA staff has ever used evaluation results. The earlier a department took evaluation into its routine management cycle, the higher the rate of use. (Figure2-19, 2-20)

Study questionnaires were delivered mainly to staff in overseas and domestic offices as well as departments in charge of project management within the headquarters in Tokyo. There were 367 responses (2 week collection period / collection rate 36.7%). Forty-six percent (46%) of respondents (170 persons) indicated that they “have used the results of JICA evaluations”. It seems that the situation has improved compared with the “previous study” done in FY 2000, in which about 40 percent of respondents answered “to have used”.

However, as described at the beginning, this survey expanded the subject from only ex-post evaluation that mostly target multiple projects to all types of evaluations, including ex-ante, mid-term, and terminal evaluation, which are mainly conducted on individual projects. These evaluations of individual projects are conducted by departments in charge of project management as a part of the management cycle. The results are to be directly used in managing the evaluated project. Furthermore, the evaluations of individual projects are more likely to be used, since JICA staff in charge of project implementation also conduct evaluations and may be more prone to refer to past evaluations of individual projects. Hence, one can not determine that the situation has improved.

Respondent use by affiliation shows some differences among departments.(Table2-7) Departments in charge of Technical Cooperation Projects, which have a longer history of conducting evaluation study and have them in their project management cycle, have a rate of use close to 70 percent. On the other hand, “other departments” (such as departments in charge of Development Studies) and “domestic offices”, which have a rather short history of introducing evaluation into their routine, have a rate of use less than 40 percent. At the “regional departments”² and “overseas offices”, use is rather high at about 60 percent.

However, as the response rates by affiliation and number of samples from each affiliation differ, the results may have selection biases³ of varying degree.

Figure 2-19 Composition of Respondents

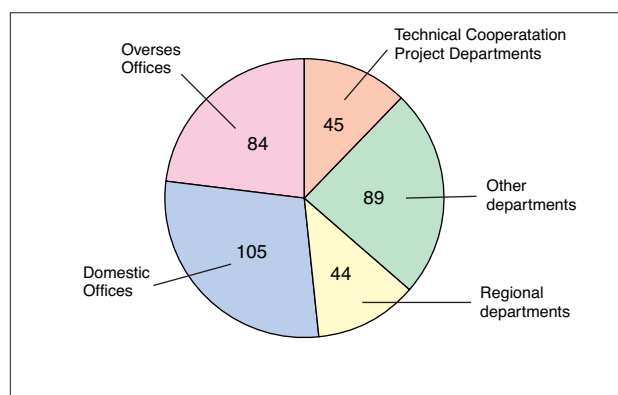


Figure 2-20 Use of Evaluation Results

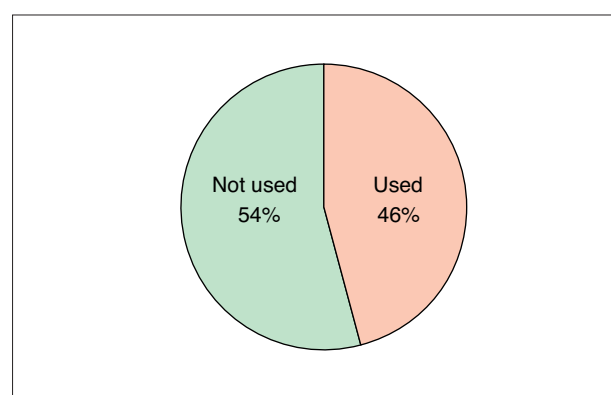


Table 2-7 Use by Respondent Affiliation

Have you ever used the results of a JICA evaluation?							
Affiliation	Yes	(ratio to total)	(ratio to department)	No	(ratio to total)	(ratio to department)	Total
Technical Cooperation Project Departments	31	18.2%	68.9%	14	7.1%	31.1%	45
Other Departments	32	18.8%	36.0%	57	28.9%	64.0%	89
Regional Departments	28	16.5%	63.6%	16	8.1%	36.4%	44
Domestic Offices	30	17.6%	28.6%	75	38.1%	71.4%	105
Overseas Offices	49	28.8%	58.3%	35	17.8%	41.7%	84
Total	170	100.0%		197	100.0%		367

Which Evaluation Results Were Used and for What?

1) What Kind of Evaluation has JICA Staff Used?

JICA staff used terminal evaluation most frequently on individual projects. (Figure2-21)

The Study asked respondents who used evaluations to select all the types of evaluations they have used, obtaining 128 answers for “terminal evaluation” and 87 for “ex-post evaluation”. More than half of JICA staff who have used evaluation results answered that they have used more than two types, indicating that they used many types of evaluation results. Among staff those who only used one type of evaluation result, many used either mid-term or terminal evaluations.

2) How Were the Evaluation Results Obtained?

Main means of access is the evaluation report itself. (Figure2-22)

Respondents who used evaluation reports obtained information from the evaluation report and barely used homepages or other means (Figure2-22).

This is partly attributed to the fact that when using evaluation results in a particular project, a certain amount of

information is necessary and so users mainly refer reports with a significant amount of information to see whether or not the results are really applicable.

Moreover, many respondents who used evaluation reports generally did not refer to the homepage, but, as described later on, when asked what will encourage the use of evaluation results, frequently mentioned improving homepage access. This means that many JICA staff may not be aware of the evaluation results summaries provided on the homepage.

- 2) Mainly in charge of “developing JICA Country Program” and “Project Selection”, in addition to the implementation of a limited number of individual projects.
- 3) In a questionnaire survey, respondents who take the survey may have certain biases, such as “group with a strong interest in the contents of the questionnaire”. Because of this, the analysis of the survey may not necessarily reflect the population as a whole.

Figure 2-21 Types of Evaluation Used

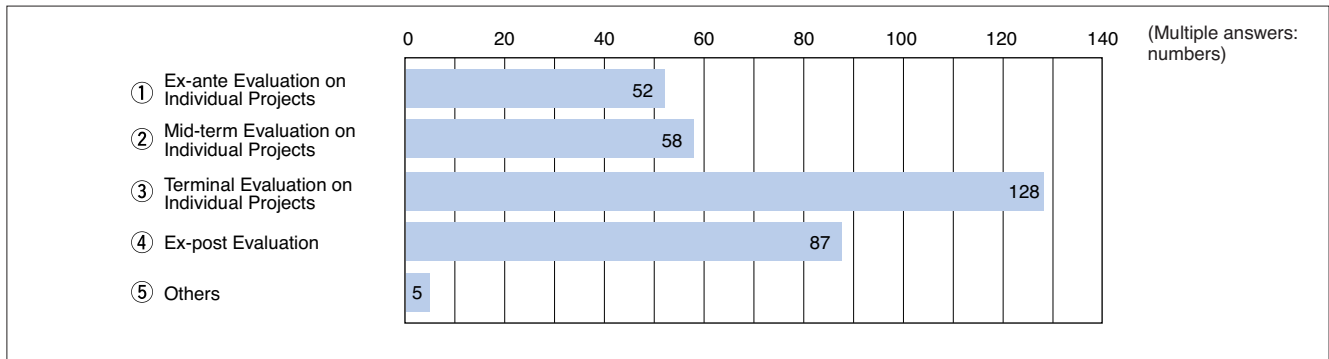
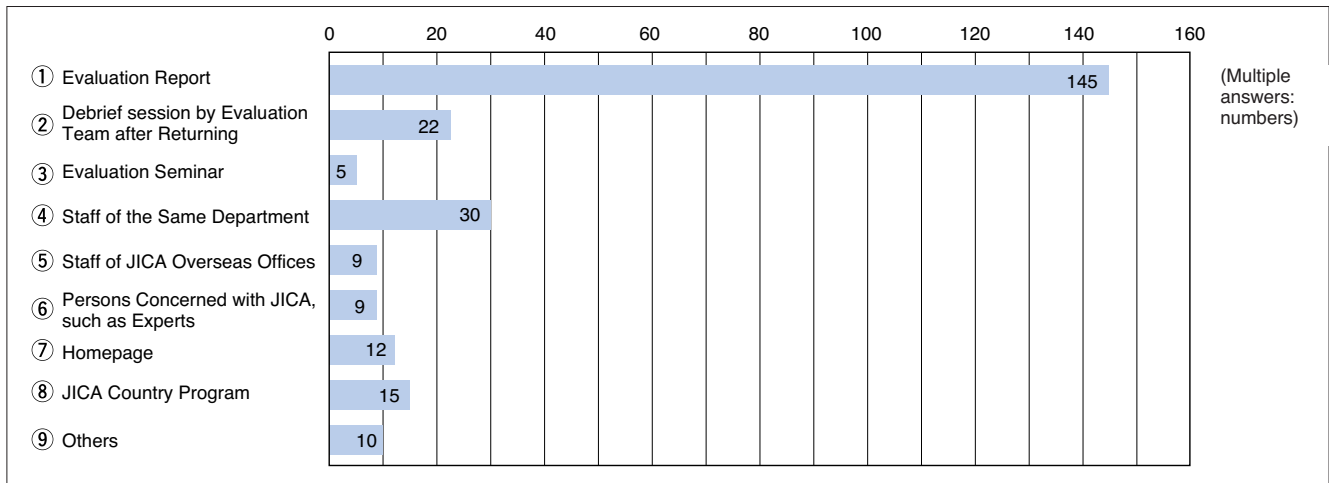


Figure 2-22 Access to Evaluation Results



3) For What Kind of Operation and Management Were Evaluation Results Used?

Many JICA staff used evaluation results to do other evaluations, manage and operate individual projects, and plan projects. In contrast, they are used comparatively less for formulating, finding and selecting projects and when considering a JICA Country Program. (Figure2-23)

For the type of operation and management JICA staff applied evaluation results to, the three top answers were very close in number (multiple answer). “Implementing other evaluation studies” had the most responses with 72, showing that past evaluation reports played a role in “how to conduct an evaluation on a project”.

The second most frequent answer was “Operation and management of individual projects (70)”. JICA staff used results to adjust project activities or to decide whether to terminate or continue a project. The third most frequent answer, “Planning individual projects (68)”, was on design-

ing a project plan that has already been decided on a implementation.

On the other hand, there were only 23 responses for “Consideration of JICA Country Program”, which summarize the direction of JICA’s cooperation with the partner country. This is considerably lower than use for planning, management, and operation of individual projects. The reference to “Formulating, finding and selecting a project” was also somewhat lower at 59. The relatively high use by “regional departments” indicates that “regional departments” also use evaluation results not for operations concerned with commencing cooperation as described above, but rather for projects that they directly manages.

One reason for less use of evaluation results at the entry stage of cooperation is that few lessons apply to “JICA Country Program” or “Formulating, Finding and Selecting Projects”. This is because most JICA evaluations target individual projects, excluding country-program and themat-

Figure 2-23 The Kinds of Operations and Management Using Evaluation Results

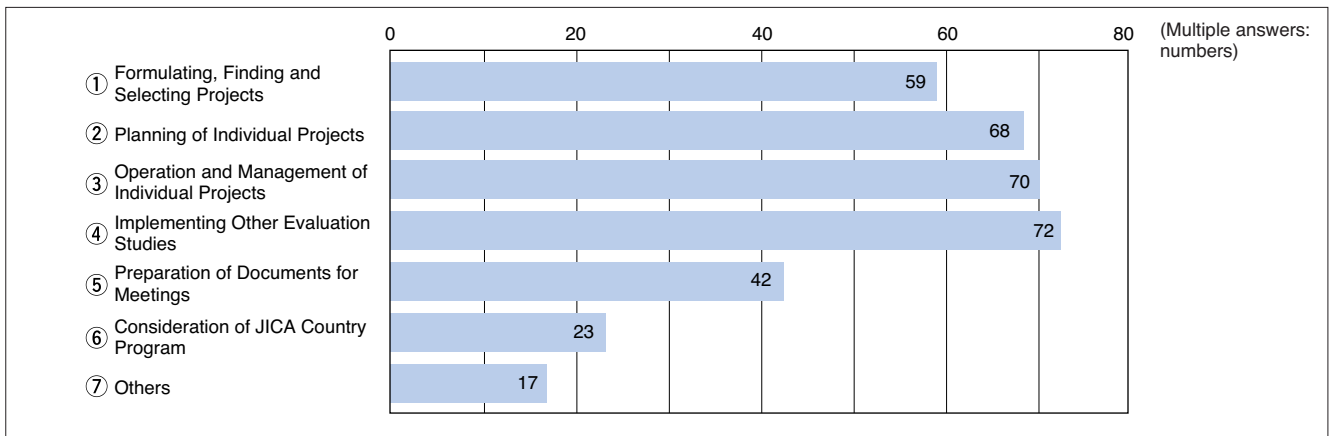
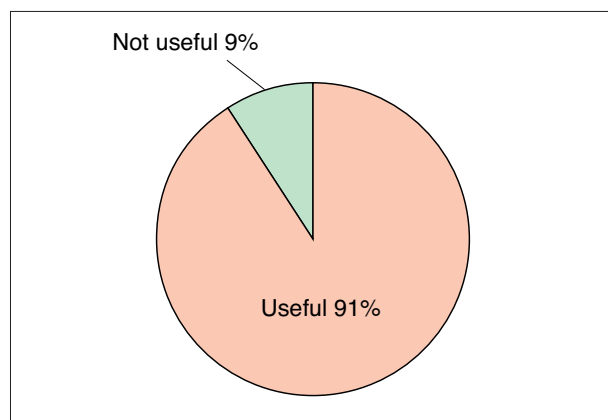


Figure 2-24 Were the Evaluation Results Useful?



ic evaluations, and thus most of the lessons are obviously about the “Planning” and “Operation and Management” of individual projects.

In checking for the multiple answers, responses to “for what sort of operation and management are evaluation results applied” showed no outstanding trend. About 35 percent of users, however, said they have used them for one operation while others indicated they used them for several. The most common combination of answers was “Planning of individual projects” and “Operation and management of individual projects”. This shows that JICA staffs who use evaluation result use them over multiple stages of project management.

4) Were Evaluation Results Useful? What Kind of Information within the Evaluation Report Was Useful?

Respondents used “Evaluation Results by the Five Evaluation Criteria” or “Recommendations” more than “Lessons”. Most of

the users found the information useful to their operation. (Figure2-24, 2-25) Lack of concrete information and project uniqueness prevented evaluations from being useful.(Figure2-26)

Ninety percent (90%) of respondents who used evaluation results said the content was useful (Figure2-24). Among the evaluation information offered, more than 60 percent of these respondents used “Evaluation Results by the Five Evaluation Criteria” and “Recommendations”, while less than half used “Lessons” (Figure2-26).

By definition, “Recommendations” gives advice and proposes specific actions to take on a project targeted for evaluation. “Lessons” are more conceptual and general in that they are derived from the experience of the targeted project for reference for similar projects in the future. Since many users said that “Evaluation Results by the Five Evaluation Criteria” and “Recommendations” on targeted projects were more useful than “Lessons”, it seems that many users

use evaluation results for managing the project being evaluated and for which they are in charge.

The reason for that “Lessons” is underused lies in the need to enhance the versatility and generalize content, so that future projects can learn from them. More precisely, conceptual and general information does not specify “who uses which method and how in what cases” and thus does not directly convey to potential users what the right “Lessons” is to them. If users want to use conceptual or general “Lessons”, they need to modify them to suit the project at hand; and if a user is unable to do this they are unable to apply the lessons. These factors can impede using the lessons.

Conversely, when using “Evaluation Results by the Five Evaluation Criteria” and “Recommendations” on projects other than the ones evaluated, users need to apply a two-stage process: conceptualize and generalize and then apply them according to usage. This shows that “Evaluation Results” and “Recommendations” are not also easy to directly

apply to other projects. In the “previous study”, many respondents said that one of the impeding factors for using evaluation results was “hard to apply because they were too unique for the specific project”.

The above shows that there are complications in applying any of “Evaluation Results by the Five Evaluation Criteria”, “Recommendations” and “Lessons” to other projects. However, if users who mentioned that “Evaluation Results” or “Recommendations” were useful also used evaluations for other projects, then those who can conceptualize and generalize evaluation results based on their experience will find “Evaluation Results” and “Recommendations” more useful because they have more information than “Lessons”, which omits an explanation.

On the other hand, users mentioned that information that is “too unique for certain projects, and not applicable”, “obscure evaluation point” or “superficial lessons and recommendations, lacking concreteness” as reasons for being unable to use evaluation results(Figure2-26).

Figure 2-25 Type of Information Found Useful

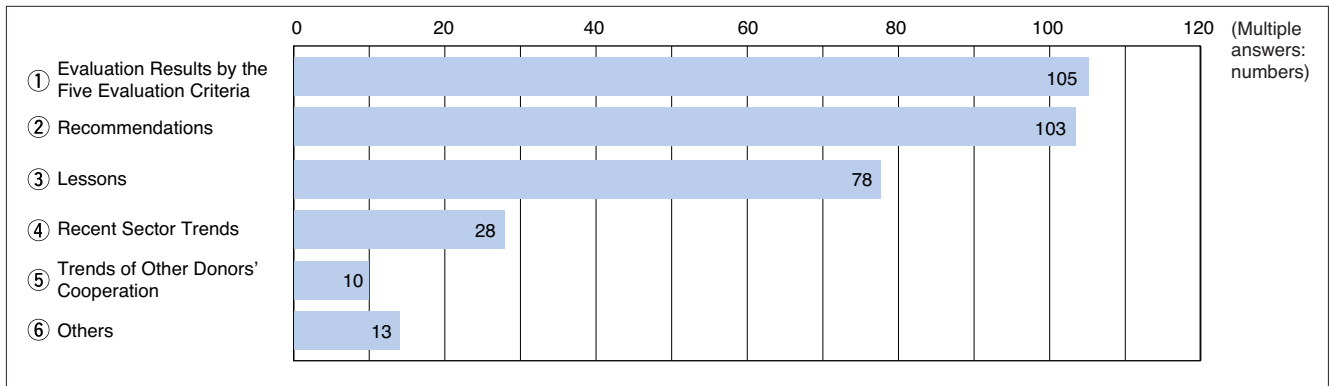
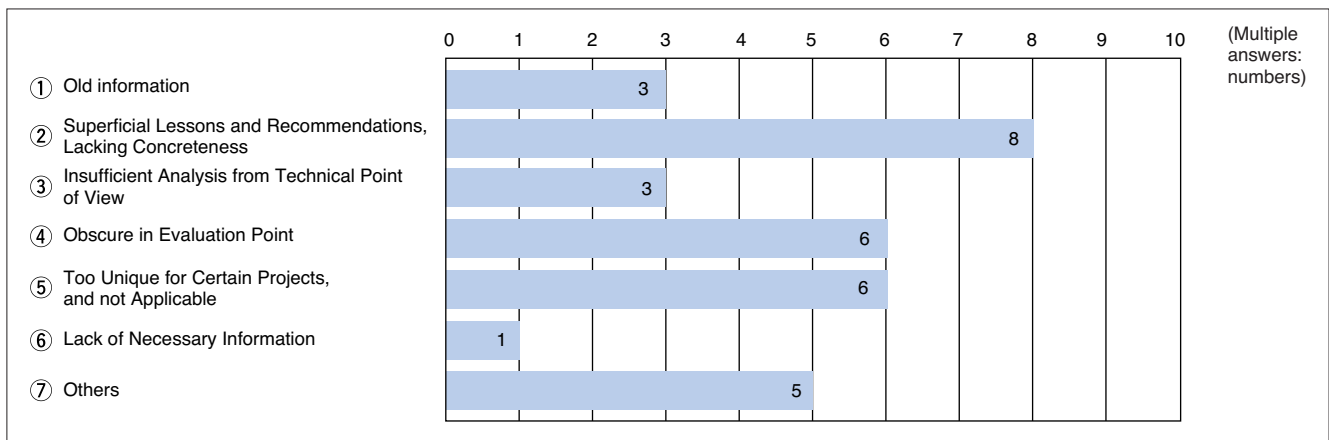


Figure 2-26 Reasons Why Evaluation Results Were Not Sseful



Why Do Some Respondents Not Use Evaluation Results?

1) What is the Most Common Reason for Not Using Evaluation Results?

Most respondents who do not use evaluation results gave “can handle duties without using them”, “do not know what kind of evaluation results are available”, or “do not know how to obtain them” as the reason. (Figure2-27)

The Study asked respondents who did not use evaluation results to select multiple reasons why. Almost half indicated that they “can handle duties without using evaluation results”.

Respondents who said that they “can handle duties without using them” can be divided into two groups: Those in charge of projects that should use evaluation results but nonetheless do not use them enough and those who are involved in projects that have not yet fully made evaluations a part of their routine systematically. Seventy five (75) of 197 “did not use” respondents serve in domestic offices (in charge of Training Program or Volunteer Program for which evaluations are not yet systematically performed), and about 40 percent of respondents that “can handle duties without utilizing evaluation results” belong to the latter group.

For reference, the non-use rate differs greatly between departments in charge of Technical Cooperation Projects, which were the first in JICA to introduce the evaluation into their management cycle of individual projects, and domestic offices, which introduced evaluations only quite

recently. Non-use rates were 31.1 percent and 71.1 percent respectively.

The primary reason for not using evaluation results, “can handle duties without using evaluation results”, was followed by problems of access such as “do not know the contents of evaluation reports” and “do not know what kind of evaluation results are available”. This problem is also evident from the fact that even respondents who use evaluation reports obtain them mainly through the evaluation reports and infrequently use other methods such as evaluation seminars and homepages.

More than 20 percent of non-use respondents said they “would like to but too busy to refer to evaluation results”. Only 10 percent of non-use respondents answered “evaluation results are useless”.

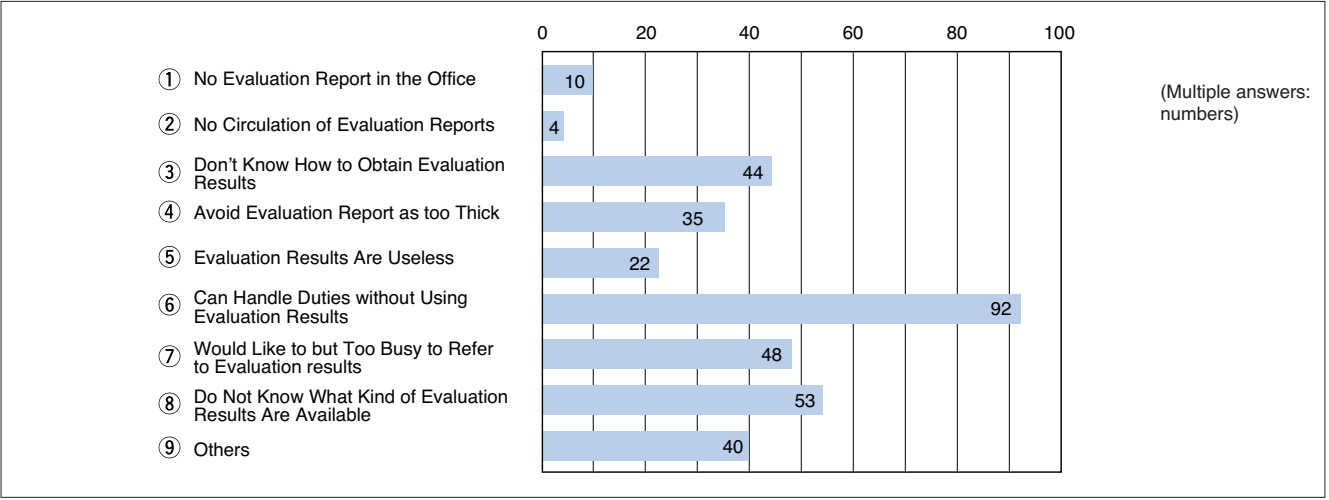
Judging from the above, non-use of evaluation results centers on the following issues: system and level of awareness insufficient to fully integrate evaluation results into project implementation, access to evaluation results, and user-friendly presentation methods that make it easy to obtain information.

2) Is There More than One Reason for not Using Evaluation Results?

Evaluation results were not used for multiple reasons, including time constraints and accessibility along with the main reason of “can handle duties without referring to them”. (Table2-8)

Several reasons combine to explain why JICA staffs do not use evaluation results. The main reason given by non-use respondents who gave only one response was ⑥ “can

Figure 2-27 Reasons for Not Using Evaluation Results (all non-user)



handle duties without using evaluation results” (less than 30). No significant patterns were found when more than one reason was given, but many answers included ⑥ “can handle duties without using evaluation results”(around 60) along with ⑤ “evaluation results are useless”, ⑦ “would like to but too busy to refer to evaluation results”, and ⑧ “do not know what kind of evaluation results are available”. To sum up the above, currently, JICA staff that do not use evaluation results mainly because they “can handle duties without using evaluation results” along with other reasons such as time constraints and availability.

When responses were looked at by affiliation, department in charge of Technical Cooperation Projects, which were the first to introduce evaluations to their management cycle, those showed no particular pattern. This is because only a few staff in these department answered “I do not use evaluation results”. In domestic offices, there was no large difference between the trend of total non-users to combine “can handle duties without using evaluation results” with other reasons, as explained above.

For reference, in the “previous study” done in FY 2000 surveying ex-post evaluation, the most common reason for not using evaluation results was “I do not know about ex-post evaluation”, followed by “I can work without knowledge of evaluation results”. Even though the targets are different, the main reason for not using evaluation results for both studies is the same: The access to and place of evaluation within the respondent’s daily work.

How Can the Use of Evaluation Results Be Promoted and Made an Integral Part of Project Quality Improvement?

Those who used evaluation results stressed further improving accessibility and quality, while non-users stressed improving accessibility and instituting evaluation into the management cycle (Figure2-28, Table2-9).

In order to research what is necessary to further promote the use of evaluation results and link use to project improvement, this study obtained multiple answers about what respondents think are “necessary improvements in order to promote utilization”.

The top three answers, as described in Figure2-28, are “to improve accessibility”, “to improve evaluation quality”, and “to develop a mechanism to utilize evaluation results”. Comparing the answers from using and non-using respondents, the ranking of each answer did not change but the ratios did. (Table2-9)

More than 60 percent of all respondents answered that better accessibility will increase use. On the other hand, trends differed for “to improve evaluation quality” and “to develop a mechanism to use evaluation”. Users tend to think that “quality improvement” is necessary, while non-users think that “development of the mechanism” is necessary.

Half of respondents who used evaluation results men-

Table 2-8 Reason for Not Using Evaluation Results (all non-user by affiliation)

Why Did You Not Utilize Evaluation Results? (multiple answers)	Non Users (total 197)		Non Users at Technical Cooperation Project Department (total 14)		Non Users at Domestic Offices (total 75)	
	Person	Ratio to the Total	Person	Ratio to Whole Technical Cooperation Project Department	Person	Ratio to Whole Domestic offices
① No Evaluation Report in the Office	10	5.1 %	0	0.0 %	4	5.3 %
② No Circulation of Evaluation Reports	4	2.0 %	0	0.0 %	3	4.0 %
③ Don't Know How to Obtain Evaluation Results	44	22.3 %	4	28.6 %	17	22.7 %
④ Avoid Evaluation Results as too Thick	35	17.8 %	1	7.1 %	13	17.3 %
⑤ Evaluation Results Are Useless	22	11.2 %	1	7.1 %	5	6.7 %
⑥ Can Handle Duties without Using Evaluation Results	92	46.7 %	4	28.6 %	39	52.0 %
⑦ Would Like to but too Busy to Refer to Evaluation Results	48	24.4 %	1	7.1 %	21	28.0 %
⑧ Do Not Know What Kind of Evaluation Results Are Available	53	26.9 %	4	28.6 %	24	32.0 %
⑨ Others	40	20.3 %	5	35.7 %	13	17.3 %

Figure 2-28 Improvements Necessary to Use Evaluation (by answer)

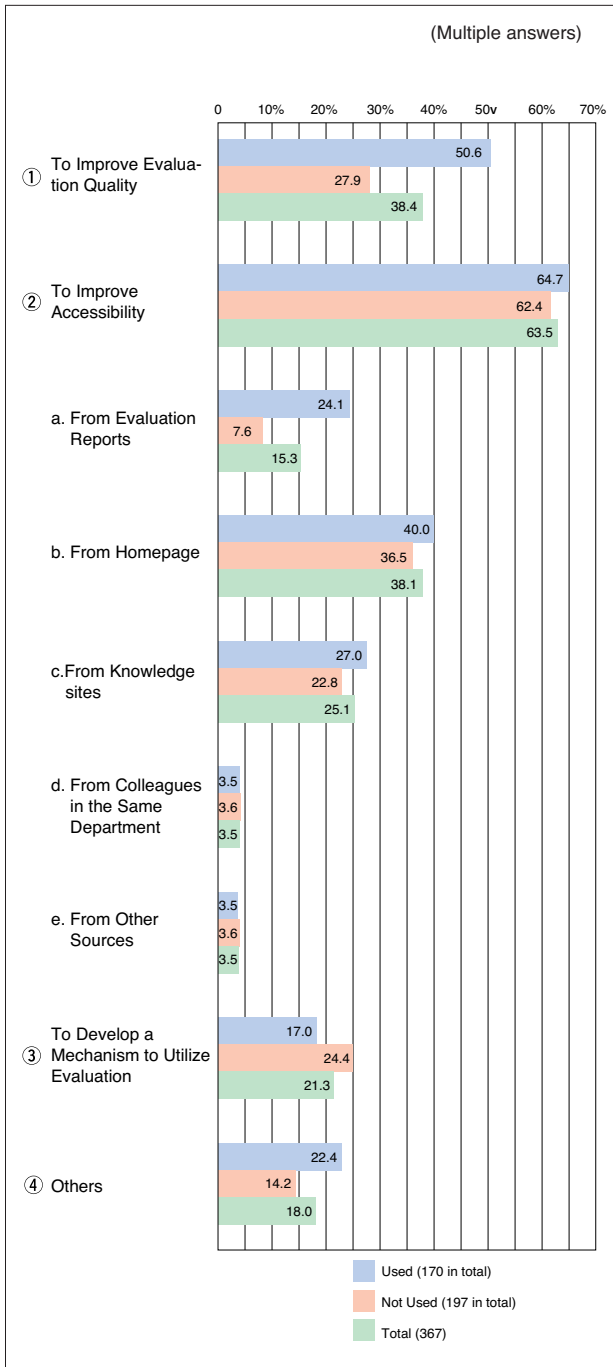


Table2-9 Top Three Answers of Improvement for Better Using Evaluation Results

Reference Rate by Respondents	"Used"	"Not Used"
To Improve Accessibility	64.7 %	62.4 %
To Improve Evaluation Quality	50.6 %	27.9 %
To Develop a Mechanism to Utilize Evaluation	17.5 %	24.4 %

tioned the necessity of “quality improvement”, while only one quarter of non-users pointed this out. More non-users than users indicated the necessity “to develop the mechanism to utilize evaluation”. This might be because, when compared to users, non-users do not know where to start and think that a mechanism to force and facilitate the use of evaluation is necessary.

In the following section, this Study analyzes the implications of the questionnaire survey results, including descriptive answers, concerning improving access, quality, and the mechanisms for evaluation results.

1) Accessibility

It is necessary to simplify homepage and database access and summarize results by sector or other category for a more user-friendly presentation of evaluation results.

As described above, more than 60 percent of all respondents mentioned improvements “to improve accessibility” for increasing the use of evaluation results in the future. Most of the respondents welcome homepage and database access within JICA. Descriptive answers given for presenting evaluation results include “to summarize the evaluation results by sectors”, “to summarize important points to cope with the limited capacity of a single individual to process information”, and “to make evaluation results easy to search”. Hence, the answers show a need to clarify and devise means of providing information as well as simplifying accessibility.

2) Quality Improvement

In order to increase user convenience, it is necessary to describe evaluation results in a more concrete and straightforward manner. To improve evaluation quality, it is also necessary to improve the capacity of JICA staff to do evaluations and to gather examples of good evaluations.

Almost 40 percent of respondents, most of whom use evaluation reports, stressed improving evaluation quality. Descriptive answers included “it is necessary to control evaluation quality”, “it is necessary to increase concrete descriptions”, “it is necessary to enrich qualitative information”, “it is necessary to formulate evaluation results so that they are easier to understand”, and “there are too many evaluations so it would lower evaluation quality if all projects were evaluated with the same effort”.

Some opinions stressed improving and fostering evaluation capacity including “it is necessary to reinforce evaluation training with good examples so that it improves the evaluation capacity of JICA staff regardless of their duties by enabling them to set and consistently review evaluation indicators”.

As described above, about 40 percent of users used evaluation reports “to implement evaluation study on other projects”. JICA Evaluation Guidelines, however, are only a few years old and the evaluation methods are only recently established. Consequently, older evaluations may not fully reflect the Guidelines. Also, even the recent evaluation needs to be improved in some areas, as pointed out in the “Synthesis Study of Evaluations” in Chapter 1, Part 2. In order to improve evaluation quality to increase use of evaluation results, it is also important to inform all JICA staff of “good practices” in evaluation reports so that they can refer to them.

3) Organizational Response for “Learning Organization”

It is also necessary to make a mechanism for learning from evaluation results during the routine management process and deepen understanding of evaluation objectives.

● Institute Evaluations into the Management Process

Many opinions say it is important to incorporate and systematize evaluations into the management process of a project including: “to verify why feedback of evaluation results were not promoted and introduce a strategy for using them with authority given from the senior management”, “to develop a system that assures recommendations are incorporated”, “to systematically incorporate evaluations into the routine”, and “to organize a system to incorporate external evaluation into project management”. Especially for departments that have just introduced evaluation, some opinions stressed concrete application methods including: “even if the significance of evaluation is understood theoretically, it is up to each staff member to apply the evaluation to their actual work”.

One other opinion stated that “for repeatedly cited recommendations on project management problems, all of JICA should discuss, formulate countermeasure options, and implement them on a trial basis”.

● Significance and Objective of Evaluation

There were many opinions about what should be improved in evaluation quality including “to evaluate frankly, not superficially”, “to document negative cases as they are” and “content too superficial because external publishing is a prerequisite”. Other opinions include “having to do so many evaluations may hamper project activities” and “evaluation should be simplified while considering them only for public relations”.

Other reasons follow from these answers for why evaluation results have not been used: problems of understanding the significance and objective of an evaluation. This lack of awareness implies that these respondents have yet to identify any concrete merits for how evaluations contribute to project improvement, such as the practical suggestions they provide.

In order to reflect evaluation results in an organization’s learning process, it is important to improve the place of evaluation in the management process and awareness of its benefits. It is also necessary that JICA continuously work on promoting greater recognition and awareness of evaluation.

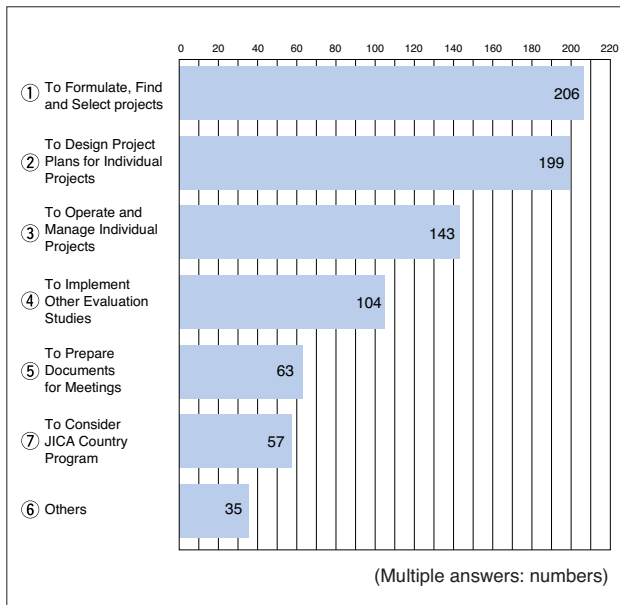
4) For What Kind of Operation and Management Should Evaluation Results be Used in the Future?

In the future, evaluation results should be used for operation and management that “formulates, finds and selects projects” and “designs project plans”. The use of evaluation “to manage and operate projects” and “implement other evaluation studies” will continue. (Figure2-29)

Study results show that more than half of respondents mentioned “to formulate, find and select projects” and “to design a project plan” as occasions to use evaluation results in the future, although only a few have actually used evaluations in this way. One reason for this may be that awareness and attitude of evaluation has changed over the two years since the introduction of ex-ante evaluation.

Almost 40 percent of respondents mentioned that they use evaluation results “to operate and manage individual projects”, while a little less than 30 percent said “to implement other evaluation studies” in the future. These two reasons are already the most common given for how evaluation results are currently used. The results show that JICA staffs

Figure 2-29 How Evaluation Results Should be Used in Operation and Management in the Future



want evaluation results to also contribute to the entry stage of cooperation, implying that quality improvement and use of lessons are issues that need to be addressed.

(3) General Overview of Survey Results

Based on the answers to the questionnaire, the following are considered to be the main challenge to promoting the use of evaluation results: “better accessibility to evaluation results”, “improved evaluation quality”, “instituting evaluation into the management process”, and “improved awareness of evaluation”.

Toward a “learning organization”, feedback from evaluation results is essential for JICA to learn from experience, improve projects, and implement more effective and efficient cooperation. To achieve these, JICA needs to work on the following issues.

1) Improving Accessibility

All evaluation reports are in the JICA Library and each department has a copy of evaluation reports concerning their projects. The JICA website provides Annual Evaluation Reports and summaries of various evaluation results. JICA has improved accessibility as needed. For example, starting in FY2003, JICA introduced a system providing summaries on its website immediately after completion of evaluation.

As mentioned above, however, there is a room for

improving the website because the system is not easy to search. Although the website’s search function has a constraint, other improvements are required such as adding user-friendly keywords so that users can easily search for the summary they want.

Concerning improved accessibility to evaluation results, many respondents said they want to obtain information from the website in the future yet the actual number who accessed the JICA Evaluation website (in Japanese) averaged over 56,000/month last year. This implies that most of the access to the website is external, or there are two possible reasons for the above questionnaire results: Either website access was limited because JICA staff did not know it existed, or even though they accessed the website, they did not actually use information because, as mentioned above, the search function is hard to use and the information summaries provided are insufficient for practical application.

For the former, it is necessary to notify staff that the JICA website provides evaluation results. For the latter, it is necessary to systematically improve access as well as reconsider both the content of information provided and the targeted users. To determine countermeasures to improve this, further survey is required to learn why JICA staff seldom uses the website as a means of using evaluation results.

2) Improving Quality of Evaluation Results and Providing User-friendly Information.

JICA countermeasures to improve the quality of evaluation results, as described in Chapter 2, Part 1, include the following; introducing a evaluation chief system, revising the JICA Evaluation Guidelines, implementing evaluation training, and implementing secondary evaluation by external experts. Quality improvement cannot be accomplished quickly, but it is nonetheless necessary that JICA continue to work in various areas such as system, methods, human resource development, and external evaluation.

According to the results of this study, many users used past evaluations as reference for doing an evaluation study. This suggests that selecting the best evaluations and widely sharing them as examples of good practice is a useful method for improving evaluation quality.

One of the descriptive answers to the questionnaire survey stressed the following: “Getting answers necessary for managing individual projects differs from obtaining lessons for future projects. When evaluating individual projects, the

former should be the focus. For the latter, a different evaluation should be done in addition to evaluations of individual projects". As this implies, given time and cost constraints, it is not always feasible to derive sophisticated lessons that can be easily applied to future projects in addition to evaluating the current management of the target project.

To use evaluation results of individual projects for future projects, additional effort to make the lessons more versatile may not be necessary, but it may be necessary to describe clearly the reasoning underlying the lessons learned and in what context they are effective. Given this, one possible solution might be modifying and organizing them in a more convenient manner by using ex-post evaluation such as thematic evaluations and synthesis study of evaluation.

Meanwhile, it was expressed that "general information is too general to use". There are merits and demerits for both conceptual and general evaluation results and detailed and concrete results. In order to ensure that feedback from evaluation results, it is necessary to evaluate while balancing each of these according to the objective.

Regarding this, one objective of the "Synthesis Study of Evaluations", Chapter 1, Part 2, was to take advantage of the "comprehensiveness" of synthesis study to derive general trends in evaluation results. In reporting, the study tried to enhance concreteness by including many cases to illustrate general evaluation results.

As observed in the remarks to the questionnaire survey, "lessons learned from evaluation results cannot be used for other project as they are. Users need to thoroughly understand their limits before using evaluation results". Evaluation results do not function on their own, and the user needs to devise how to use them.

3) Developing Feedback Mechanisms

In order to reflect past evaluation results in future cooperation, JICA put together the "Lessons learned from past evaluation results" section in JICA Country Programs and uses it to organize and implement cooperation programs and projects. Along with the revision of the JICA Evaluation Guidelines, JICA revised the format of ex-ante evaluation documents to include the "utilization of lessons from past similar projects" to assure that one of the feedback mechanisms of evaluation results for projects is at the ex-ante evaluation stage.

Regarding feedback from evaluation results, an opinion

in the answers to the questionnaire survey said; "I do not particularly use evaluation results but I am able to pay attention to such general points as raised by lessons related to daily work". As described in the previous section, however, departments with a short history of evaluation implementation tend to say that it is necessary to develop a mechanism to assure that feedback from evaluation results is incorporated into projects.

It is important "to develop a mechanism" for feedback from evaluation results in order to systematically accumulate past experience as knowledge that enables JICA staff to use them on projects regardless of his/her level of experience. The system is crucial to ensuring feedback. In addition to systematic measures such as "utilization of lessons learned" in ex-ante evaluation documents, it is also necessary to consider a system that conveys the merits of using evaluation results, such as organizational sharing of good practice for using lessons.

4) Improving Awareness of Evaluations

In order to improve use of feedback from evaluation results, it is also essential to raise awareness of evaluation.

Even better accessibility, better evaluation quality, and development of a feedback system will not assure improved use of evaluation results in projects without awareness of the importance of learning from evaluation results and how projects are improved by using evaluation results.

It is necessary to not only improve use of actual evaluations but also to make sure that more staff recognize the merits of evaluation. Therefore, in addition to gathering information about feedback from evaluation results, it is also important to collect and widely share in JICA those cases in which evaluation results contribute to project improvement. Holding workshops, as proposed in questionnaire survey answers, are considered useful for disseminating information on the merits of using evaluations.

Based on questionnaire survey answers, it made clear that even though many staff want to improve projects, it is not necessarily understood that using evaluations is one of the means for doing so. This might be because they see evaluations as an external inspection over JICA's performance rather than something for improving projects; that is, many staff regards evaluations as backward- rather than forward-looking.

From the perspective of accountability, it is important to examine through evaluation what has been achieved. Looking only at results, however, does not automatically

lead to improvement of JICA cooperation. To do so, it is essential to learn what promotes and what impedes the realization of project benefits and actually use what was learned from the evaluations. In other words, it is necessary to analyze in depth not only the results but also the reasons for those results. The primary purpose of evaluation is to improve projects by using evaluation results. JICA has made an important first step toward becoming an effective and efficient “learning organization” through improving awareness of evaluation, making evaluation a part of project management, and learning from past experience by using evaluation results to improve JICA’s cooperation.

Challenges for the Japan International Cooperation Agency (JICA)

Towards More Effective and Efficient JICA Cooperation

The “Synthesis Study of Evaluations” presented in this Annual Evaluation Report 2003 was conducted by the Office of Evaluation and Post Project Monitoring, JICA’s independent evaluation unit. Aiming at further improvement of JICA’s activities, it comprehensively analyzes evaluations in order to draw lessons from past experience and apply these lessons to future operations. As indicated above, the Study identified several challenges faced by JICA, including improvement of project design based on more accurate comprehension of the partner countries’ needs and socio-economic conditions; better project management taking advantage of monitoring and evaluation; and strengthening cost-effectiveness in its operation.

Recently, JICA has fully introduced the Project Cycle Management (PCM) method as well as ex-ante evaluation, which have already significantly improved the performance and quality of JICA’s cooperation. Nonetheless, the above-mentioned challenges remain issues that JICA must continue to address to further improve its cooperation.

Since 1999, in order to achieve more effective and efficient cooperation, JICA has made efforts to reinforce country-specific and issue-oriented approaches in its operations as well as to strengthen its evaluation system. JICA, as an Independent Administrative Institution, is required more than ever to enhance quality in its activities and to promote results-based management. JICA is therefore carrying out organizational and operational reforms to further reinforce country-specific and issue-oriented approaches. These efforts include reorganization of regional departments and establishment of new issue/sector-wise departments, delegation of more authority to overseas offices, reorganization of cooperation schemes, and a review of management procedures.

In addition, to address the above issues, JICA plans to improve its achievement of intended results of cooperation by strengthening ex-ante evaluation studies, improving the screening and appraisal process, enhancing monitoring and evaluation systems, and clarifying responsibility and authority within JICA. Moreover, to complement these efforts, JICA plans to strengthen its human resource capacity for planning, implementation, and evaluation, and other management of systems, for example by introducing a human resources registration system.

With the spirit of the Independent Administrative Institution system in mind, JICA resolves to operationalize the above initiatives as well as to continue existing efforts to achieve more effective and efficient cooperation. Moreover, in order to fulfill its mission as an Independent Administrative Institution, JICA is determined to do its best to improve its cooperation by continuously reviewing and reforming its operation as necessary. To do so, JICA vows to learn from its past experience and listen attentively to the wide range of views of the people concerned.

Yasuo Matsui
Vice President
Chairperson, Evaluation Study Committee
Japan International Cooperation Agency

For Effective JICA Cooperation that Responds Appropriately to the Needs of Partner Countries

—Enhancing Region- and Country-specific Approaches—

For more effective JICA cooperation, JICA needs to formulate and execute projects based on a sufficient understanding of the current conditions and needs in each region and country. Furthermore, in order to resolve identified development issues, the components of cooperation need to be designed and executed in a consistent and mutually-compatible manner.

These points are illustrated in the Annual Evaluation Report 2003 as well as in other JICA evaluation reports. In addition to the efforts in identifying and analyzing lessons of past cooperation, JICA has strengthened region- and country-specific approaches by establishing regional departments in 2000, introducing Country Programs, promoting program approaches for more consistent cooperation, and integrating modalities in order to more flexibly respond to the needs of partner countries. These efforts also include the delegation of such operations as project formulation and execution to JICA overseas offices.

Guided by our mission to execute more effective and efficient cooperation as an Independent Administrative Institution, JICA intends to further enhance region- and country-specific approaches. For this purpose, JICA will reorganize its regional departments from four to five departments in April 2004, and JICA plans to strengthen its project formulation functions. In addition, through substantial strengthening of overseas offices, JICA will continue to contribute to donor coordination at the field level. Also through “ODA Task Forces”, which have been introduced as part of ODA reforms (composed of members from Japanese Embassies, JICA overseas offices, the Japan Bank for International Cooperation (JBIC) offices, etc.), JICA plans to realize more effective identification, formulation and execution of Japan’s ODA.

Mikiharu Sato
Director, Preparation Office of Regional Department
Managing Director, Regional Department I
Japan International Cooperation Agency

Toward a Management System that Addresses Diverse Needs

In order to promote result-based management as an Independent Administrative Institution, JICA will reorganize and launch five new departments specialized in development issues and/or sectors (hereinafter referred to as issue/sector-wise departments) in April 2004. With this system, JICA aims to respond to the increasingly complex “development issues” in partner countries, as well as to improve its store of knowledge and technical-appraisal systems for each sector or issue for improved efficiency in its operations. JICA also considers addressing issues more comprehensively and with a results orientation. In so doing, in issue/sector-wise departments, JICA marks a shift from management focused on project or scheme-level to a program level approach.

The establishment of issue/sector-wise departments will lead to higher quality JICA evaluations. First, in issue/sector-wise departments, a consistent evaluation from the ex-ante evaluation to ex-post stage will be performed for each issue, enabling more efficient acquisition of knowledge and experience relative to each issue. Moreover, by thematic evaluations, information undiscovered under evaluations on individual projects can be obtained. By communicating feedback of evaluation results into formulation and management of its cooperation, JICA plans to promote cooperation of a higher quality.

In the issue/sector-wise departments, JICA will make every effort to use the knowledge obtained through evaluations to make steady progress as a “learning organization”.

Yuji Okazaki
Director, Preparation Office of Issue/Sector-wise
Departments
Managing Director, Social Development Study
Department
Japan International Cooperation Agency