

# Part 1

## Evaluation in JICA



# Chapter 1 JICA's Evaluation Activities

## 1-1 Objectives and Types of Evaluation

### (1) Objectives

In order to implement effective and efficient cooperation, it is important to evaluate what changes and effects have been brought about by the projects implemented in the past, and then reflect the lessons and recommendations on improvements in the implementation of new projects. JICA's project evaluation assesses the relevance and effectiveness of a project as objectively as possible at each stage of the project cycle.

The objectives of evaluation are to utilize evaluation results in a decision-making process for project management and to feed lessons learned from evaluation back into the learning process of the aid organizations concerned for more effective project implementation. In addition, by disclosing evaluation results, JICA intends to ensure transparency and accountability to gain public support and understanding in

Japan and developing countries in implementing effective and efficient cooperation.

### (2) Types

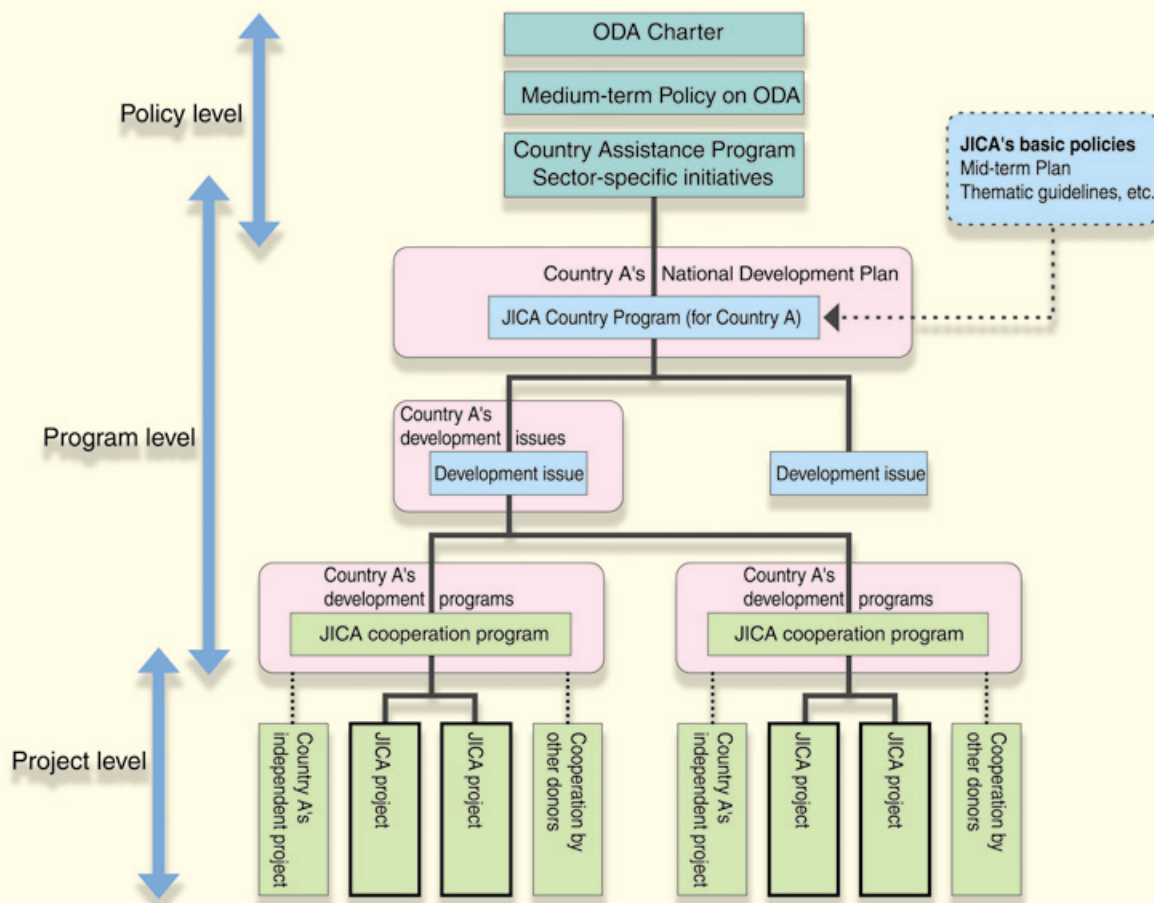
Project evaluation can be categorized from the perspectives of what to evaluate, when to evaluate, and who evaluates. Classification of JICA's project evaluation is based on the following three perspectives.

#### 1) Evaluation Focus

From the perspective of what to evaluate, ODA evaluation is classified into three levels—policy, program and project levels—among which JICA conducts project- and program-level evaluations (Figure 1-1).

Project-level evaluation covers individual projects and is conducted by JICA's departments and overseas offices responsible for project implementation. It is intended to be

Figure 1-1 ODA System and JICA's Evaluation



used in planning and revising projects, making decisions on whether to continue cooperation, drawing lessons for the future, and securing transparency and accountability.

Program-level evaluation evaluates a set of projects in comprehensive and cross-sectional manner. It examines what effects JICA's cooperation brought about at a country-program level, or to what extent JICA's cooperative approach was effective in a specific development sector and issue. It is also directed at specific cooperation schemes such as Volunteer Program and Disaster Relief Program. These evaluations are conducted by the Office of Evaluation of the Planning and Coordination Department of JICA as country-program evaluation or thematic evaluation. These evaluation results are used for improving JICA Country Programs and thematic guidelines, modifying cooperative approaches for effective program implementation, as well as formulating and implementing new projects.

## 2) Evaluation Within the Project Cycle

Project-level evaluations are classified into four types from the perspective of when to evaluate: ex-ante, mid-term, terminal, and ex-post evaluations, which correspond to four stages in the project cycle (Figure 1-2).

### a. Ex-ante evaluation

The ex-ante evaluation is carried out at the planning stage of a project to examine its necessity and conformity with JICA Country Program and needs of the partner country. Also it is

conducted to clarify the expected cooperation effects and examine and evaluate the relevance of the project comprehensively. Results of ex-ante evaluation are applied when approving a project plan. Evaluation indicators of a project set at the ex-ante stage will be used to measure the progress and effect of cooperation in subsequent monitoring and evaluations at stages from mid-term to ex-post evaluations.

### b. Mid-term evaluation

The mid-term evaluation is conducted at the middle point of a project to evaluate for smooth operation leading to outcome. It aims to examine whether the achievements, implementing process, and plans of the project are appropriate, focusing on relevance, efficiency, and so on. Results of the mid-term evaluation are utilized to revise the original plan or improve the operation structure.

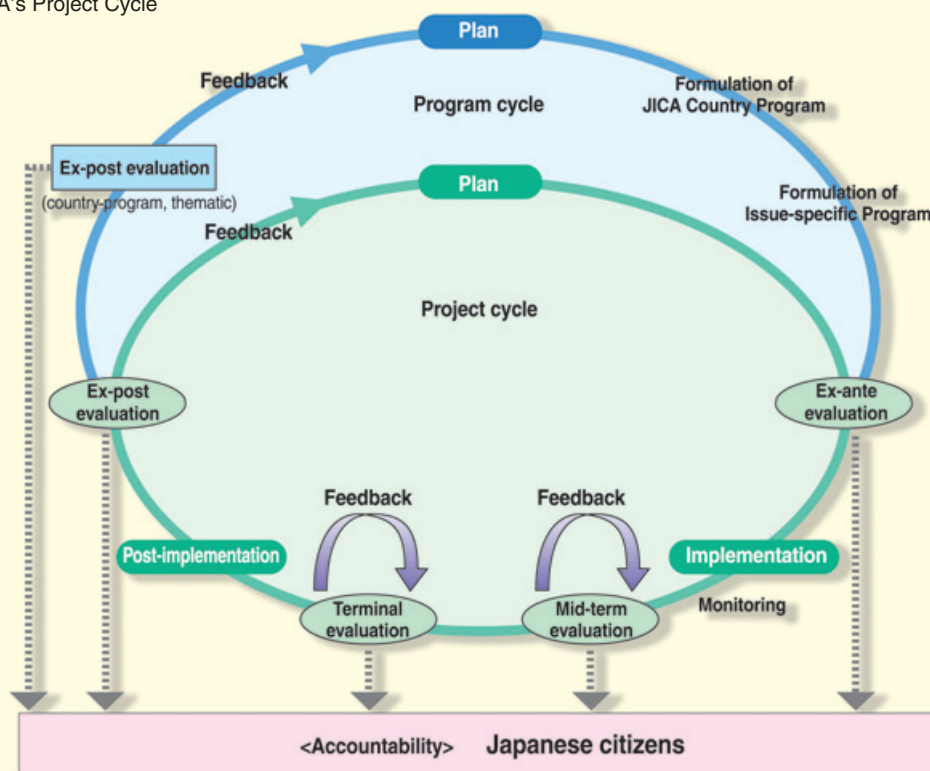
### c. Terminal evaluation

The terminal evaluation is conducted to examine whether the project will achieve the outcome as planned prior to the termination of a project. It comprehensively analyzes the achievement level of the project purpose, efficiency, and prospective sustainability of a project. Based on the result, it is decided whether to complete or extend the project.

### d. Ex-post evaluation

The ex-post evaluation is conducted a few years after completion of a project to verify impact of the project on the recipient side and sustainability of the cooperation effect. Results of ex-post evaluation serve as lessons learned for

Figure 1-2 Position of Evaluation Within JICA's Project Cycle



effective and efficient project implementation in formulating and implementing new projects and/or programs in the future.

Program-level evaluations such as country-program evaluation or thematic evaluation are conducted as ex-post evaluations. They are used to improve JICA Country Programs or thematic guidelines as well as to formulate and implement new projects.

### 3) Evaluation by Types of Evaluators

From the perspective of who evaluates, JICA's evaluations is classified as follows.

#### a. Evaluation by JICA (internal evaluation)

It is conducted by JICA who is responsible for project management in cooperation with external specialists, such as consultants and academics. Internal evaluation collects information necessary for decisions in project management and revision.

JICA also promotes the review of such internal evaluation results by the third parties (academics, journalists, NGOs, etc.) with expertise in development assistance and familiarity with JICA's undertakings to assure transparency and objectivity.

#### b. Evaluation by third parties (external evaluation)

In order to ensure the quality, transparency, and objectivity of the evaluation, JICA entrusts a certain portion of evaluation studies to external experts and organizations (universities, research institutes, academics and consultants, etc.). Specifically, they are third parties who are not involved in the planning and implementation of the evaluated project and who have high expertise in the evaluated fields. External evaluation may be conducted by external experts and organizations in the partner country in addition to those in Japan.

In addition, JICA carries out the third party reviews as described in **a.** using external evaluators.

#### c. Joint evaluation

This evaluation is conducted in collaboration with organizations in partner countries or with other donors. Joint evaluation with partner countries are effective for sharing the results of effects and issues about projects. It also contributes to learning evaluation methods and improving capacity of those countries in carrying out evaluation. Since all JICA cooperation activities are joint efforts with the partner country, project-level evaluations are all conducted as joint evaluations. Program-level evaluations are also conducted with the participation of the partner country, and evaluation results are fed back to those involved in the partner country.

A joint evaluation with other donors is becoming important in terms of aid coordination and is also effective for learning about each other on projects and evaluation methods.

## 1-2 Methods of Evaluation

Evaluation has no meaning unless evaluations are utilized. To produce reliable and useful evaluation results, the project needs to be examined in a systematic and objective manner and then convincing value judgement has to be made with supporting grounds. It is also important to draw recommendations and lessons learned through analyses of the factors which affect success and failure of the project.

JICA's evaluation framework is composed of three stages: (1) studying and understanding the situation surrounding the project; (2) assessing the value of the project by the five evaluation criteria; and (3) drawing lessons and recommendations and feedback them for improvement\*.

### 1) Grasping and Examining the Conditions of the Project

The first step in evaluation study for a project is to examine the project achievements as to what has been achieved in the project and to what extent it has been achieved. The next step is to identify and analyze the implementation process as to what is happening in the process of achievement and what kind of effects it has on the achievements. Furthermore, the causal relationships between the project and the effect, namely whether the achievement has resulted from the project, is examined.

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

The next step is to make value judgements about the project based on the information on the actual conditions of the project obtained through the above-mentioned procedure. For judging the value of projects, JICA has adopted the five evaluation criteria (relevance, effectiveness, efficiency, impact, and sustainability) proposed in 1991 by the Development Aid Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) (Table 1-1).

### 3) Drawing Lessons and Recommendations for Feedback

The recommendations should be formulated based on the results of an evaluation study, and they should propose specific actions for the project stakeholders. Evaluation results are reported to those involved in the project and disclosed in public. Feedback of evaluation results to projects is important in improving the project and enhancing its effectiveness. In order to make lessons and recommendations that are easily fed back, it is necessary to clarify the contributing and hindering factors that have affected the success or failure of a project. It is also

\*JICA's project evaluation methods are explained in detail in "JICA Guideline for Project Evaluation: Practical Methods for Project Evaluation" (JICA, September 2004). These guidelines are available on the Evaluation page on JICA's website ([www.jica.go.jp/english/evaluation/index.html](http://www.jica.go.jp/english/evaluation/index.html)).

**Table 1-1** Perspectives of Five Evaluation Criteria

<b>Relevance</b>	"Relevance" relates to the legitimacy and appropriateness of aid projects. Primary attention is paid to such questions as whether the expected effects of the project (project purposes and overall goals) meet the needs of the intended beneficiaries and provide proper solutions to the problems and issues in the area or sectors concerned, whether the project is consistent with the partner country's policies, whether the approach of the project is reasonable, and whether the project should be funded by ODA.
<b>Effectiveness</b>	"Effectiveness" relates to the question of whether the implementation of the project has actually benefited (or will benefit) the intended beneficiaries and the target society.
<b>Efficiency</b>	"Efficiency" is a criterion concerning the relations between the project costs and its outputs. The main question asked to judge the efficiency of a project is whether the achievements degree of outputs can justify (or will justify) the costs (inputs), in other words, whether there was no alternative means that could have made the same achievements at lower costs, or whether it was impossible to make greater achievements at the same costs.
<b>Impact</b>	In judging the "impact" of a project, the longer-term effects of the project are studied. These include unintended positive and negative impacts.
<b>Sustainability</b>	"Sustainability" is a criterion that examines whether the effects produced by the project have been sustained (or are likely to be sustained) even after the completion of cooperation.

necessary to specify the target of the feedback.

### 1-3 Evaluation System

JICA's current evaluation system is composed of the Evaluation Study Committee, the Advisory Committee on Evaluation, Office of Evaluation, and the project implementation departments (headquarters and overseas offices). Major roles and activities of each group are shown in Figure 1-3.

**Figure 1-3** JICA's Evaluation System