

Part 3

Program-level Evaluation



Part 3 Program-level Evaluation

Part 3 introduces program-level evaluations conducted by JICA in fiscal 2005.

Program-level evaluation analyzes a set of projects in relation to a specific country or development issue in a cross-sectional and comprehensive manner. Its objective is to draw out common recommendations and lessons and feed them back to efforts for improving JICA's technical cooperation.

There are two types of program-level evaluation: thematic evaluation and synthesis study of evaluation. Thematic evaluation sets a specific development issue or cooperation scheme as a theme along with a valuation analysis framework in line with the theme, and then analyzes a set of projects in relation to the theme for the purpose of drawing out recommendations and lessons common to those projects. Synthesis study of evaluation analyzes the terminal and ex-post evaluations of a set of projects in relation to a specific development issue or cooperation scheme in a comprehensive and cross-sectional manner for the purpose of drawing out general recommendations and lessons.

Since both types evaluate a set of projects or programs, more general and comprehensive recommendations and lessons can be drawn out than from project-level evaluation, and a wider range of feedback is possible. Specifically, in addition to feedback to individual projects, the outcomes of evaluation are used for feedback to program-level planning and implementation of JICA's cooperation; i.e. formulating and revising JICA Country Programs and thematic guidelines, or planning and implementation of a JICA Program that strategically combines a set of projects and has recently strengthened its approach.

JICA selects themes for evaluation strategically from a medium-term perspective in line with JICA's priority issues and internationally focused themes. In fiscal 2005, from the perspective of human security, aid reaching out to people and capacity development, sustainable development of regional society, and the approach for strengthening of partnerships with people in developing countries were selected as themes, and the evaluations shown in Table 3-1 were conducted.

In implementing the evaluations, in addition to domestic sur-

veys based on the reports and other existing documents, field surveys were conducted involving interviews and questionnaire surveys with partner institutions and local residents, a beneficiary group of cooperation, in order to grasp the real picture of local cooperation field.

From the perspectives of securing objectivity and impartiality in evaluation and implementing evaluation based on specialized knowledge, participation of external experts and expanding evaluation commissioned for external specialized organizations are being promoted. For instance, JICA ensures that external experts with expertise in the themes concerned participate in evaluation committees, which formulate evaluation policies and examine evaluation results, as advisors. As evaluation by external organizations, Thematic Evaluation on Economic Partnership and Thematic Evaluation on South-South Cooperation, which will be introduced in Part 3, were contracted out to a university, think-tank, and a consulting firm. Furthermore, for all program-level evaluations, JICA asked external experts to conduct secondary evaluation to assess evaluation framework, analysis methods, and evaluation results based on their expertise and disclosed the results along with the evaluation reports.

JICA is working to disclose evaluation results to the public, and not just stakeholders. When an evaluation report is drafted, an open seminar is held. In the seminar, the outline of the evaluation is explained and opinions are actively exchanged at a panel discussion involving invited external experts and seminar participants. All evaluation reports are available on JICA's website (www.jica.go.jp/english/evaluation/index.html).

Of the program evaluations conducted by JICA in fiscal 2005, Part 3 provides summaries of an evaluation on assistance that reaches people in need, "Thematic Evaluation on Community Participation Approach," an evaluation on assistance for capacity development of developing countries, "Thematic Evaluation on Economic Partnership," and an evaluation on cooperation in terms of promotion of partnerships among countries and regions, "Thematic Evaluation on South-South Cooperation."

Table 3-1 Program-level Evaluations (Conducted in Fiscal 2005)

	Title of Evaluation	Target Country
Thematic Evaluation	NGO-JICA Joint Evaluation: Thematic Evaluation on Community Participation Approach	Indonesia, Zambia, Niger
	Thematic Evaluation on Capacity Development of Local Administrations (First Year)	Indonesia
	Evaluation by Third Party: Thematic Evaluation on Economic Partnership (Second Year)	Indonesia, Malaysia, Philippines, Thailand
	Evaluation by Third Party: Thematic Evaluation on South-South Cooperation	Indonesia, Cambodia, Thailand, Laos, El Salvador, Chile, Mexico, Uganda, Kenya
	Thematic Evaluation on Assistance for Palestine Refugees	Syria, Palestine, Jordan
	Program Evaluation (Education Sector in Malawi and Viet Nam) (First Year)	Viet Nam, Malawi
Synthesis Study of Evaluation	Synthesis Study of Evaluation: Higher Education (Second Year)	Thailand, Laos, Kenya, Tanzania

Chapter 1 Enhancing the Approach for Community- and People-centered Development

NGO-JICA Joint Evaluation: Thematic Evaluation on Community Participation Approach —Support for Community-initiated Development—

1 Outline of Evaluation Study

(1) Background and Objectives

JICA focuses on implementing projects that directly reach people in need under the concept of human security. In implementing these types of projects, the participation of the community is an important factor for effective cooperation. JICA currently implements diverse types of community participation approach across sectors, and purpose and positioning of community participation and the degree of participation are all different in each project. Therefore, the NGO-JICA Evaluation Subcommittee (hereinafter referred to as “the Subcommittee”) has selected as case studies three ongoing technical cooperation projects. The objectives of this study are to analyze the types of community participation approach taken in each project, suggest important points for evaluation in the community participation approach and draw lessons that are applicable to similar projects.

1) Projects Subject to the Study

Three ongoing projects that incorporate the community participation approach were selected as case studies and domestic and field studies were carried out. Taking into account the fact that diverse types of community participation approach are taken in various sectors, the Subcommittee chose projects that are different in areas, regions and positioning of participation. Table 3-2 shows the projects subject to the study, areas, project periods, and so forth.

Table 3-2 Projects Subject to the Study

Project Name	Country	Area	Project Period	Abbreviation
Gunung Halimun Salak National Park Management Project	Indonesia	Environment	Feb.2004–Jan.2009	Indonesian Project
Project for the Improvement of School Management through Community Participation	Niger	Education	Jan.2004–Jan.2006	Nigerien Project
Project for Participatory Village Development in Isolated Areas	Zambia	Rural Development	June 2002–May 2009	Zambian Project

2) Evaluation Study Period and Teams

The Subcommittee conducted the study. Following discussions on the evaluation framework and collecting data from domestic studies from November 2004 to June 2005, a study team comprised of NGOs and JICA was established for each project and field surveys were conducted from July to September 2005. After the teams returned to Japan, evaluation results were put together and analyzed, and the evaluation framework was reviewed, to compile a report from October 2005 to March 2006. The Subcommittee and the evaluation consultant drafted the report based on the discussions at the Subcommittee meetings.

2 Framework of the Study on the Community Participation Approach

Based on the discussions that took place at the Subcommittee meetings, it was concluded that the projects subject to the study,

Table 3-3 Members of the Field Study Teams

Country (Period of the Survey)	Name	Organization
Indonesia (7/11-7/24, 2005)	Yosuke Tamabayashi	Administration Team, Region Dept. I, JICA
	Makoto Nagahata	i-i-network, Research and Action for Community Governance
	Tomoo Arakawa	Asia Volunteer Center
	Ryuko Hirano	Office of Evaluation, Planning and Coordination Dept., JICA
	Noriyo Aoki	IC-Net Limited (Consultant)
Niger (9/5-9/18, 2005)	Tsukasa Konishi	Association of Medical Doctors of Asia (AMDA)
	Miyuki Aoki	Service for the Health in Asian & African Regions (SHARE)
	Chieko Yokota	Office of Evaluation, Planning and Coordination Dept., JICA
	Noriyo Aoki	IC-Net Limited (Consultant)
Zambia (9/18-9/27, 2005)	Atsuko Isoda	Japan International Volunteer Center
	Yasushi Nozaki	Nagoya NGO Center
	Hiroshi Tanaka	The Institute for Himalayan Conservation
	Yuko Katsuno	Office of Citizen Participation, Training Affairs and Citizen Participation Dept., JICA
	Noriyo Aoki	IC-Net Limited (Consultant)

* See Chapter 1, Part 1 for the details of the NGO-JICA Evaluation Subcommittee

although different in community approach and the degree of participation, share a common direction toward goals to be achieved through community participation, which is to enable the community to develop the desire and willingness to solve its own issues and problems and continue activities on its own.

The Subcommittee discussed what “community-initiated development” means at workshops to establish a common concept as a framework of the study, and concluded that the following eight points are important when considering any development in which the community is enabled to carry out its activities sustainably and independently. The eight vital points are: (1) decision-making and leadership, (2) management, (3) communication, (4) community resources management, (5) community’s initiative, (6) collaboration with outsiders, (7) highly-diverse participation, and (8) learning and vision (See Figure 3-1).

In order to achieve active participation by the community*,

the study divided the process of the projects into four stages: (1) preparation stage, (2) problem analysis and planning stage, (3) implementation stage, and (4) sustainability stage. The Subcommittee worked out important aspects for the community, counterparts, and donors in each stage. Table 3-4 shows these points in each stage.

The four stages mentioned in this report indicate the stages where counterparts and donors expressly approach communities after the selection of target villages and thus are not necessarily related to the JICA’s project cycle**.

(1) Preparation Stage

The preparation stage is the period before the project starts any form of intervention in the community. In this stage, the counterpart and experts from the donor countries share the purpose of the project and the concept of community-initiated

Figure 3-1 Community-initiated Development and its Important Elements

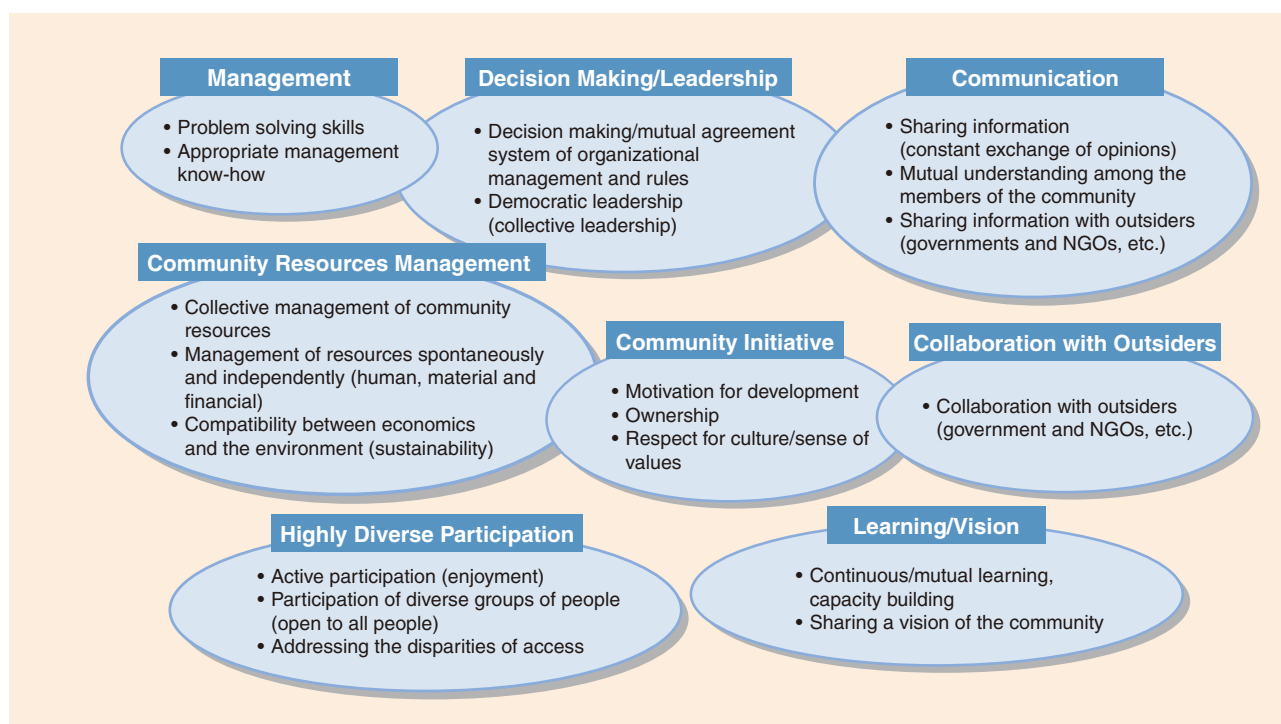


Table 3-4 Points of Evaluation According to the Process of Project Implementation

Preparation Stage	Problem Analysis and Planning Stage	Implementation Stage	Sustainability Stage
Mindset	Awareness	Initiative	Decision-making and leadership
Understanding the current situation of the target site	Organization building	Organizational management	Management
Building the implementation system	Problem analysis and planning	Community resources management	Community resources management
Community resources management	Community resources management	Monitoring	Collaboration with outsiders
	Institutionalization and extension	Institutionalization and extension	Highly-diverse participation
			Feedback to policies and systems
			Utilization and sharing of the experience gained

* In actual development projects, the term, “community” or “residents,” refers to the entire community in some cases, a specific group and its members in other cases. The meaning depends on the project strategies, area and conditions of the community, etc.; however, this report does not specify the scope of the term.

** For instance, JICA does not set the specific target area and specific intervention with the community before the project starts in many cases. In addition, project activities would be continued by the community itself in the sustainability stage in some cases even though the donor’s intervention has been completed. For these viewpoints, the processes are set from the aspect of intervention with the community.

approach to deepen mutual understanding. Thus, the first stage fosters important visions for the donors and counterpart and forms the basis for promoting community-initiated development. There are four important aspects of the preparation stage: mindset, understanding the current situation of the target site, building an implementation system, and community resources management. “Mindset” means that the counterpart and the donor recognize and share the view of promoting a community-initiated project. “Understanding the current situation of the target site” means that the counterpart and the donor cooperate with the community in order to understand the conditions of the community and to raise awareness within the community. “Building an implementation system” is conducted in consideration of the collaborative relationships with the existing administrative organizations and local NGOs. “Community resources management” means that the counterpart and the donor understand the common resources and management systems of the community.

(2) Problem Analysis and Planning Stage

The problem analysis and planning stage is the period in which the counterpart and the donors start their intervention in the community through facilitators. In this stage, the community identifies its issues and problems, analyzes them, and plans the activities with the facilitators (who are different from project depending on the counterpart, local NGOs, etc.). Building the community’s awareness and solid institutions with care nurtures its initiative and strengthen its ownership. There are five important aspects of the problem analysis and planning stage: “awareness” of the community, “organization building” of the community, “problem analysis and planning” which the community carries out with the support of the counterpart and the donor, “community resources management,” which involves activities that consider sustainable use, and “institutionalization and extension,” which the counterpart and the donor work on with sustainable development in mind.

(3) Implementation Stage

This stage is the period in which the community commences its activities based on their ownership. It is preferable that the community’s institution becomes reinforced and the management system developed, as the (community) members realize the importance of sustainability and monitoring for their activities. There are five important aspects of the implementation stage: “initiative” of the community, “organizational management” with transparency, sustainable “community resources management,” “monitoring,” with which the community reviews their activities to give feedback, and “institutionalization and dissemination” for future sustainability.

(4) Sustainability Stage

The sustainability stage refers to the stage where the community continuously implements the activities by itself even after the donor terminates its input. In this stage, it is desirable that the

community collaborates with the counterparts within the existing or new system. The community identifies the issues that they are able to solve by themselves and those that need support from outside in carrying out activities, with the help of the counterpart in some cases. During this stage, it is desirable for the community to have nurtured the eight aspects mentioned in the beginning of this section as shown in 1-2 Framework of the Study. We have selected the five most important aspects from those eight aspects: decision-making and leadership, management, community resources management, collaboration with outsiders, and highly diverse participation. In addition, there are two other important viewpoints for the counterparts and donors to consider: feedback to policies and systems and utilization and sharing of the experience gained.

3 Outline of the Projects and Perspectives on the Community Participation Approach

An outline of the projects and perspectives on the community participation approach are introduced as follows.

(1) Indonesia

The purpose of the project in Indonesia is to conserve biodiversity in the Gunung Halimun Salak National Park. The project is being implemented with the aim of formulating a management plan for the national park to conserve its biodiversity. While the current Indonesian policy does not permit people to live in or practice cultivation in the national park, there are about 300 villages in the neighborhood. These villages have existed for 100 to several hundred years. Therefore it is not realistic to remove these indigenous people from the park. In other words, there is a gap between the legal system and the actual situation in the park. Furthermore, natural resources around the park are illegally exploited, accelerating deforestation. Thus, by presenting a model case of cohabitation with nature in pilot villages, the project attempts to use the experience of the pilot villages to formulate a management plan for the national park, and further incorporate it into the policies.

The project has set up six working groups for the formulation of the above-mentioned management plan, three of which have taken a community participation approach: namely, the groups for Conservation Village Model (MKK), Protection and Monitoring of Endangered Species, and Ecotourism and Environmental Education. For the activities of MKK, two villages were selected in the project, based on the socioeconomic surveys implemented in villages with serious deforestation problems. With the aim of building organizations for proactive conservation of forests, the forest police officers live in the target villages as facilitators to help them develop their own organizations. When the field survey of this evaluation study was implemented, it was only two months after the project started to approach the communities and there-

fore it was at the stage where efforts were being made to build awareness in the community through dialogue with the residents.

Two aspects characterize this project: concern for building awareness among the stakeholders starting with the preparation stage, and a sensibly approached implementation system based on the partnership. The project carefully worked on building awareness among local NGOs, local governments, and the counterpart national park staff. It also focused on building an implementation system through collaboration among the related stakeholders. The role of the national park staff is to control people who practice illegal logging and/or cultivation. Therefore at the beginning of the project, the national park staff of the Gunung Halimun Salak National Park, as the counterpart, and JICA experts did not necessarily share the same ideas as to why it is so important to take the community participation approach in the project. Hence, the experts utilized opportunities such as the revision of the PDM and field surveys to understand the situation and background of the villages in order to build collaboration and share the concept of community participation for the project. Although there had been little communication and shared information among the stakeholders before the project started, the relationships and collaboration among them are reinforced little by little through the joint field surveys and seminars.

(2) Niger

The purpose of the project in Niger is to establish school management on the COGES model through community participation. In Niger, the rate of school enrollment at the elementary school level was about 50% in 2005, which was low even among low-income countries. In order to solve education-related problems, it was regarded as important to manage schools in a participatory manner, attract the community's interest in schooling and education, and reflect local needs and resources for effective school management. However, COGES, as the policy of the Niger government, did not illustrate concrete measures. Therefore the project was launched to provide support for COGES to improve the school enrollment rate and the quality of basic education by demonstrating the methods to practice the COGES policy and propose concrete manuals. These activities involved sustainable school management, which reflects the local needs, by the initiative of the COGES comprising of community represen-



Evaluation team interviewing local people (Niger)

tatives and school teachers. Furthermore, the project intended to institutionalize the model by providing a model for sustainable school management by the COGES and its support system. The project clearly identified the community as the implementing body and made efforts to develop the capacity of existing administrators who supported the community and strengthened the organizations. It can be said that this is the project that places the community at the center of problem-solving and implementation.

At first, the project began by conducting democratic elections where everyone could vote for the members of COGES as representatives of their community. Democratically elected COGES members implemented improvement measures using their own ability and resources through discussions on the improvement of the school environment, planning, and gathering resources in and outside of the community. The project produced a manual on the election for the establishment of COGES and a manual on formulating and carrying out a school improvement plan. Based on these manuals, the project conducted training for COGES members. In addition, the project established a monitoring system implemented by COGES supervisors and COGES officers and supported joint management of the COGES by commune. The project was also engaged in awareness-raising activities by the community, such as the campaign for girls' education.

The field study targeted two villages where COGES activities were carried out well and one village with difficulties. In the villages showing good progress, it is observed that the people are widely sharing the idea that the school belongs to them and the issues surrounding the school can be solved by themselves through an implementation of elections and school improvement plans, thus showing positive signs of change in the people as well as concerned parties. Moreover, the people had started to show interest in community issues other than school-related ones. On the other hand, in the village with difficulties, the democratic election had not functioned well due to the existing power structure, and no substantial progress had been made in their activities.

The characteristic of this project is to establish a multi-layered support system for COGES using the existing administration, and at the same time, it considers the capacity development of administrators. In addition, in response to the expansion of COGES, the project has formed regional groups of COGES and supports the formation of the alliance of COGES groups in an attempt to strengthen the sustainable support system at the regional level. The projects minimized input by fully utilizing existing local systems and resources, with the aim of establishing an implementing system in such a way so that the counterpart implementing body can continue the project on their own.

(3) Zambia

The purpose of the project in Zambia is to establish a rural development model through community participation in isolated areas. Specifically, it aims to nurture the ownership of the community and community organizations through implementation of

micro projects in village-unit communities, thus building an autonomous community by allowing them to be in charge of sustainable community development. This approach is based on the experience of JICA experts who have applied this rural development model in other developing countries.

Micro projects are carried out in 15 villages each year. To begin with, agricultural extension workers who received training analyzes the problems in each village with the cooperation of the community, and, based on the analysis, the community drafts a proposal for a micro project. Based on the proposal, the Department of Agriculture Coordination Office distributes funds from the project to each community and, with the support of the extension workers the community carries out the micro project. The project aims to empower the people to carry out sustainable village development activities through implementation of such a micro project.

In the micro project villages that the field survey team visited, there were some cases which have shown signs of initiative, such as taking proactive actions through a cycle of micro projects: namely, issue analysis, planning, and implementation, and expressing the importance of monitoring by external organizations. On the other hand, there were some villages mired in problems associated with leadership and fund management and there was a gap between issue analysis and planning.

There are two characteristics of the Zambian Project. First, it involves various stakeholders at four different levels of implementation at the village, the province, the state government, and the central government. Second, the community can take an opportunity to implement the project using funds based on their own analysis and plan.

4 Results of a Comprehensive Analysis Based on the Evaluation Points

This section explains the results of comprehensive analysis of case studies using the evaluation framework for each process as determined in Section 1-2.

(1) Preparation Stage

1) Mindset

JICA experts and the counterparts should realize that the main actor in development is the community and the role of outsiders is support. It is therefore important that JICA experts demonstrate these attitudes to the counterparts not only through training, but also through OJT.

In the project in Indonesia, the counterparts have changed their way of thinking; they came to realize that in order to protect the forest, it is necessary for them to understand the way of life of the communities surrounding the forest and encourage their motivation towards creating community forests, rather than controlling and oppressing them. For this purpose, it was necessary to revise

the project document right after the project had begun, reorganize the activities, and conduct socioeconomic surveys. In addition to the awareness of the community about the forest conservation, the counterparts also have come to understand the necessity of developing a new legal framework, since the current policy does not allow cultivation and habitation within the park. Until the awareness was formed, JICA experts worked to show the importance of the cohabitation with the community and of the attitude of learning from the community, the main actor, in order to realize sustainable national park, through various channels, such as OJT, joint studies with NGOs, and workshops.

2) Understanding the Current Situation of the Target Site

Grasping the socioeconomic situation in the targeted site leads to better understanding of the potential issues and concerns that the community holds. It also contributes to the formulation of effective strategies to approach the communities. These surveys can be utilized for improving the collaborative relationships among the stakeholders in one case, and the results of the surveys are utilized for selecting target sites in another case. Thus, the results are used not merely for data collection for reports, but also as materials for discussion of how to build collaborative relationships among the local NGOs, local governments, and counterparts, as well as how to approach the community, which in the end contributed to nurturing the new mindset of project stakeholders.

The Indonesian Project conducted the socioeconomic survey jointly with counterparts and local NGOs to select a pilot village and the inventory survey to understand the situation of the 300 villages that are assumed to live inside the national park. The field survey gave good opportunities for the national park staff and NGO members who had had no connection with each other before the project to build a cooperative relationship and announce the expansion of the national park for the community.

3) Building an Implementation System

It is very important to note that various stakeholders from the community level to the central government level are actively involved in the project. Their active involvements will ensure ownership of the partner country after the problem analysis and planning stage and sustainability of the community activities even after the project.

In the project in Niger, administrative officers at each level who are associated with the Ministry of Basic Education and Literacy have gained the sense of ownership and have actively been involved in the promotion of the project. Moreover, local NGOs with abundant experience in education have been incorporated in the implementation system, contributing to the promotion of community participation.

4) Community Resources Management*

There are two types of projects in terms of resources man-

* Community resources include human resources, local materials, funds and natural resources. Therefore the budget from outside is included.

agement: the first type consists of projects focused on utilizing local resources and minimizing the amount of input from outside in solving problems, and the second one consists of projects whose input from outside has already been incorporated as a model.

The Indonesian Project aims to build a community organization that can manage the natural resources without depending on inputs from outside. Although an income generating activity is an option for formulating an organization that can conduct proactive forest conservation, it may not be applied depending on the situation, in an attempt to minimize the amount of input from outside in general. On the other hand, the Zambian Project has allocated about US\$10,000 per village and US\$100 per household, and the community has shared the cost of the materials and labor, such as for infrastructure construction.

(2) Problem Analysis and Planning Stage

1) Awareness

Awareness means that the community recognizes that they are the main actors for solving the issues by sharing the issues and visions for solution with cooperation from outside, such as from the counterparts. In some projects, residents in the community realize that the community activities are for the community and go beyond the personal interests of individuals. In such projects, the counterparts and JICA promote a proactive awareness of the community while paying attention to the transparency of decision making, the degree of information sharing, and the degree of representation of community groups. On the other hand, when there is no clear awareness, many problems remain. Raising awareness in terms of nurturing independence is vital even after the implementation stage, and therefore, it is important for the counterparts and JICA to address this issue in accordance with the level of awareness and experience of the community.

In the project in Niger, residents in the community understood the importance of education subconsciously, although they felt some mental distance with respect to education and schools. Therefore, the community conducted an election in which the residents could participate freely for the first time, and selected the representatives of their school from their community. By conducting such democratic election, the community changed its attitude towards education, and they became interested in gaining knowledge through school enrollment and in the development of their community.

In the project in Indonesia, the socioeconomic survey revealed a big difference in terms of socio-historical background between the two targeted villages. Based on such result, the project applied different approaches in accordance with each situation. For instance, for the village that needed more time to understand the issues and nurture awareness, the project would allocate more time for developing "awareness."

2) Organization Building

It is important to build an independent organization that can

create a network with other organizations by utilizing information and resources in cooperation with the counterparts and donors. For such organization building, the ability of a facilitator who supports the community is important. JICA has tried to establish a framework to support such organization building of the community.

In the Nigerien Project, the group of representatives of the community organization played an important role in school management. Before the project started, the traditional authorities were the members of the committee acting as guardians. However, JICA believed that democratic elections for selecting the representatives of the committee would contribute to the effective and sustainable activities as well as active participation that would bring the benefits to the whole community. Thus, the community elected parent association members. Furthermore, the counterparts and JICA experts gave careful consideration to the traditional authorities when the community selected new leaders for the school and provided training in dealing with politics in order to avoid friction between the newly elected leaders and the traditional authorities.

3) Problem Analysis and Planning

Understanding the local resources that the community can utilize and organizing activities that the community can work on by itself to solve its issues would contribute to the strengthening of the organization and partnership.

In the Zambian case, the community analyzed the problems and planned their activities with the support of the extension workers. However, as time for problem analysis and planning activity is quite limited, the designed micro projects were not necessarily consistent with the solution to the issues raised in the problem analysis.

4) Community Resources Management

In the community where the members thoroughly discussed how to utilize its natural resources in the planning stage, the planning, rules, and management of those resources are performed in a sustainable way, whether there are inputs from outside or not. The awareness that the community tries to solve the issues by themselves leads to less dependency on outsiders, which results in the ownership of the community and sustainability of activities. In addition, in villages with rich natural resources, the residents maintain their households by utilizing these natural resources, and thus it seems important for them to be aware of utilizing these natural resources in a sustainable manner.

In the project in Niger, the philosophy was to solve issues and problems by themselves. Therefore, the community tried to solve the issues by itself, such as by utilizing local resources to improve the school environment, while minimizing the cost for the activities. When they need extra funds, the community tried to share costs as much as possible.

5) Institutionalization and Extension

The study suggests that it is important for the counterparts and JICA to support institutionalization and extension of implementation systems and methods, by taking the termination of the project into consideration from its beginning so that the sustainability of the activities of communities as well as the approach are ensured.

In the Indonesian case, the related local governments (district level) are involved after selecting pilot sites with consideration given to the sustainability of the activities. If the activities are implemented at community levels in line with regional development, the local governments have the possibility of working on the concerned villages even after the termination of the project.

(3) Implementation Stage*

1) Initiative

Good collaboration among the diverse stakeholders such as the communities, counterparts, and JICA experts would contribute to active participation.

In the Nigerien case, the community improved its initiative and gained confidence in the implementation of activities through the experience of solving the issues in their school. Moreover, the parents whose children did not go to school also participated in the community activities, thus showing the extension of the activity to the entire community. When the community faced the issues, the related stakeholders such as the JICA office, the project office, NGOs, staff of the school management committee, and the central government shared the issues, and each actor tried to improve the condition.

2) Organizational Management

If the community holds regular meetings, shares information within the community, discusses and reconsiders activities when a problem arises, it suggests that the organizational management of the community organization is strengthened. Such progress of the organizational management is effective for the independence of the community.

In the Nigerien case, the school management committee held periodic meetings and discussed issues and activities. The committee suggests occasional switching of the leader of the committee. The system of consultation with the staff in COGES or the COGES alliance is introduced in case issues/problems occur.

3) Community Resources Management

There are three important aspects regarding sustainability after the project has been completed: managing resources by utilizing local resources during the implementation, identifying activities that the community can implement by themselves from the activities that require support from outside, and awareness of

the importance of the sustainable natural resources management by the community.

In the Zambian case, some communities placed an emphasis on making all the community members understand how to deal with community funds. Specifically, the people are closely bonded and local leadership is properly exercised to establish the community fund and they can formulate a plan to solve future issues of the community, and some residents proposed that they should establish an independent committee for the auditing purpose. On the other hand, in some villages rules and regulations on resources management did not fully function.

4) Monitoring

Building a community-initiated monitoring system would contribute to the sustainable activities after the project is terminated.

In Niger, as the Nigerien government decided to set up COGES for all the elementary schools, it becomes difficult for the COGES staff as government officials to monitor all the schools. Therefore each commune, as the minimum administrative unit, formed a COGES alliance, which conducted training, consulting and monitoring for each COGES.

In Zambia, an expert in the field of monitoring has been newly assigned to establish the community-led monitoring system. The project is on its way to formulating specific items and tools for monitoring (i.e. a checklist to be used by managers and others) with the involvement of extension workers.

5) Institutionalization and Extension

If the community participation approach in a project can establish policies or systems in the government, it would contribute to extension of the approach and enhance the sustainability of the outcomes of the project.

The Nigerien case illustrates that the government of Niger could apply the approach and the implementation system that the project formulated to the general policy. In addition, the low-cost monitoring method of the project was shared with other donors, and promoted among other potential users.

(4) Sustainability Stage**

In the project in Niger, school management activities with community participation strengthened the community's independence and self-reliance. Many communities started to think about the development of the community comprehensively and negotiation skills to deal with outsiders were nurtured. Some communities have shown an attitude to proactively solve health care and water shortage issues, besides the issues of education. They have thus started to utilize both internal and external funds for these purposes.

* Since the Indonesian Project was at the preparation stage and the early stage for problem analysis and planning, we do not include any analysis of the implementation stage for the Indonesian Project.

** Since all three targeted projects are still being implemented, the aspects of sustainability were not obvious. However, some efforts that can lead to sustainability can be seen in the Nigerien Project, and we will describe them in the report.

5 Lessons Learned

Based on the results of the analysis of the three projects through the processes described in Section 1-4, the Subcommittee concluded that the following five aspects are important for outsiders: building an implementation system, facilitation, awareness/organization building, community resources management, and monitoring/follow-up. Table 3-5 shows the importance of each aspect at each stage of the implementation process. The following lessons learned would help implement more effective cooperation.

(1) Building an Implementation System

It is important to clarify the roles of the related actors to increase a community's initiative and to reinforce collaboration among the actors from the preparation to the implementation stages.

With regard to the clarification of the roles of the related actors, it is important for the counterparts and experts dispatched by donors to share objectives and methods of the project and to clarify the role of each actor as well as the community during the preparation stage. At the problem solving and planning stage and implementation stage, the role of each level, community, local governments and central government, needs to be consolidated through activities.

With regard to the collaboration among related actors, it is vital to build a collaborative implementation system among villages, regions, local governments, and central government in order to execute activities with due consideration given to sustainability and synergy effect. Therefore the importance is the organic collaboration among these actors even during the preparation stage. In the case of community participatory projects, review of the system is carried out mainly in the field where necessary during the problem-solving and planning stage, and as a result, feedback to the central government tends to be delayed. Thus it is necessary for the actors involved to share the problems in a swift manner.

(2) Facilitation

Facilitation* is an important item from the preparation to the implementation stages. In the preparation stage, it is important to foster facilitators through training and OJT. In the stage for problem analysis and planning and the implementation, both the community facilitators and facilitators from outside, such as NGOs and the local government, are important. It is also necessary for facilitators to be flexible in adapting to the actual situation in the community.

Facilitators working at the community levels constantly

encounter new issues and events once the community sets out actions. It is therefore effective to provide opportunities for increasing their capacity, such as periodic training, let alone OJT.

Besides the facilitators from external bodies, facilitators acting as central figures within the community become necessary in order to realize sustainability of the community activities. Collaboration among the facilitators from both inside and outside is critical to sustainable activities. In the case of a pilot project whose aim is to reflect the community activities on the policies, the officers from the local governments as the implementation organizations should act as facilitators. This will increase the versatility and lead to diffusion. When using external organizations such as local NGOs as facilitators, it is necessary to establish sustainable implementation system incorporating them.

Since economic and social conditions, as well as awareness-raising and institutionalization of support system, are all different in each community, facilitation needs to correspond to the degree of maturity of the community. For example, in communities with low levels of awareness, facilitators need to take enough time to raise awareness. In communities with difficulties in promoting activities, facilitators need to study the causes jointly with the community members. Facilitation in line with the progress is required.

(3) Awareness-raising and Organization Building

Awareness-raising and organization-building are important aspects from the preparation to the implementation stages, especially in the problem analysis and planning stages. Other three important aspects are building awareness for carrying out activities for the community itself, building organizational norms, and nurturing representative leaders.

Awareness-raising is the basis for the execution of activities in the community, and leads to securing autonomy and sustain-

Table 3-5 Importance of Each Aspect in Each Implementation Process

	Preparation Stage	Problem Analysis and Planning Stage	Implementation Stage	Sustainability Stage
Building an implementation system	◎	○	○	□
Facilitation	○	◎	◎	□
Awareness/organization building	○	◎	○	□
Community resources management	◎	◎	◎	□
Monitoring/follow-up	—	○	◎	○
	—	—	○	◎

(Note) ◎ Most Important ○ Important □ Necessary for sustainability

* Facilitation refers to supporting activities and draws on people's abilities when they carry out activities independently and supports effectively the process of achieving the problem solving on their own. Facilitators support the process when the community aims to solve a problem by also promoting linkages with the outside community.

ability of activities. This is because awareness of the community for the necessity of problem-solving jointly encourages their ownership. To that end, it is important for the residents to understand that solving problems through community activities will also help solve problems of individuals.

In forming organizations, it is important to make sure residents share and agree with the process of formation. In order to achieve transparent organization management, setting rules including leadership change, formation of self-governing regulations to carry out transparent decision-making, and building autonomous organizations based on the disclosure of information.

Representativeness of the leaders refers to capability to coordinate opinions of individuals in a democratic manner when raising awareness and institutionalizing the community. In some cases, the democratic process of electing leaders has increased the transparency of the organization, benefited the interests of the whole community, and had a positive influence on the participation and proactive execution of activities. In cases where traditional authorities take up a position due to social and cultural background, it is necessary to pay adequate attention to whether there is no impartiality in the decision-making process or among participating social classes.

(4) Community Resources Management

Community resources management is important from the preparation to implementation stages. Community resources are the basis for the community's activities. By managing and utilizing resources on the basis of the community's ownership, the sustainability of the activities and natural resources would be enhanced

It is obvious that community residents manage community resources by themselves when it comes to community activities. It would be difficult to nurture ownership of the community if the input of resources such as external funds is made known before the residents' awareness becomes mature. It is therefore desirable

for the residents themselves to identify which community resources can be used and which factors needs external support. Then, input should be made in a timely manner after assessing the degree of awareness and institutionalization on an as-needed basis. It is also necessary to use local and natural resources as much as possible, and manage resources with due consideration give to sustainable use.

In particular, as far as proper conservation and utilization of natural resources are concerned, not only the community's self-help efforts, but also establishment of legal and administrative systems is significant. When management of natural resources by the community is legally limited, it is necessary for the donors and counterparts to urge the partner country to change the system in view of the sustainable utilization of resources.

(5) Monitoring and Follow-up

It is important to build a community-based monitoring system in the problem analysis stage and conduct monitoring during the implementation stage. Moreover, it is also important to build a follow-up system, which is highly crucial after the project completion.

In order to establish a community-based monitoring system, it is important to incorporate the review and monitoring of residents' activities into the activity cycle of the community. Residents themselves should affirm the progress of activities within the organization, identify the problems and ask external advice when necessary. Furthermore, monitoring would become more effective and efficient when a system where organizations in other communities collaborate with each other to monitor themselves jointly is established as a community monitoring system.

If there is no system for feedback, monitoring may end up being a mere accumulation of information. Thus it is desirable to establish a system where all the concerned parties can share the monitoring results and improve their activities based on the results.

To enhance the approach for community-based development, Thematic Evaluation on Capacity Development of Local Administration was started in fiscal 2005, and is continually implemented in fiscal 2006. Here, the outline of the evaluation is introduced.

1. Outline of Evaluation Study

Based on the progress of decentralization in developing countries, JICA places emphasis on (1) improving the efficiency and effectiveness of administrative functions, (2) promoting balanced decentralization, and (3) encouraging participation and improving transparency as

development objectives in relation to support for governance to ensure administrative functions. Since the end of the 1990s, JICA has implemented support for local administrations in Indonesia, Thailand, and other countries in Asia. Recently, such support programs for decentralization and local administrations have been launched continuously, not only in Asia but also in Africa, the Middle East, Latin America, and other regions.

Under these circumstances, JICA has conducted Thematic Evaluation on Capacity Development of Local Administrations since fiscal 2005, taking up the case of Indonesia. The study sys-

tematically first clarified the development challenges on capacity development of local administrations, which is important for decentralization (development challenge chart). Then analysis was made on how JICA and other donors have approached these challenges to extract lessons that contribute to future cooperation in this field.

Based on discussions, the Evaluation Study Committee evaluation developed the development objective chart for capacity development of regional local administrations in Indonesia, whose evaluation axis is shown below.

Superior Objectives	Major Objectives
1. Development of a system and framework for local autonomy	1-1. Clarifying the relationship between the central and local governments
	1-2. Clarifying the authority/role/relationship of local governments
	1-3. Promoting the representation system for democratic administrative control
	1-4. Ensuring transparency and accountability of the administration
2. Establishment of a system for financial management	2-1. Improving the efficiency of the administrative and financial operations through reforming the local government financing system
	2-2. Establishing a fair and neutral revenue system for local government finances
	2-3. Establishing an efficient expenditure system for local government finances
3. Capacity development of local government officials	3-1. Reforming the civil service system for better administrative performance
	3-2. Expanding the training and system for capacity development of local government officials
4. Effective and efficient administration of local governments	4-1. Improving the processes of planning, implementation, and evaluation
	4-2. Improving administrative services and increase the efficiency
	4-3. Enhancing the organizational capacity
	4-4. Improving administrative capacity through the promotion of public participation
	4-5. Promoting leadership

2. Evaluation Results

Support for capacity development of local administrations in JICA's projects concentrates on superior objectives No. 3 and No. 4, approaching particularly major objectives 3-2, 4-1, 4-2, and 4-4. Superior objectives 3 and 4, which influence improvements in administrative services through capacity development of local administrations, are important challenges also for the other donors. In contrast, most of other donors place emphasis on supporting institutional and framework development as targeted in superior objectives 1 and 2.

This study revealed that JICA's projects approach several major objectives under different several superior objectives. As found when approaching the superior objectives No.3 and No.4, capacity development of government officials and good practice of administrative services lead to securing sustainability by linking these two superior objectives and creating a synergy effect for each

objective. In all of the projects studied, capacity development of the counterparts, the local government officials, is regarded crucial. Thus, OJT was always highlighted because it encourages learning through experience while working together with counterparts.

Summarizing JICA's approaches by timeline and regions, the continuous efforts in South Sulawesi province from the citizen level to the head of provincial government level, have had quite a positive impact in terms of achieving sufficient understanding of participatory community development and cooperation between the local autonomies and the civil society, and in terms of making actual progress with its cooperation.

3. Lessons Learned

Based on the evaluation results, lessons for more effective cooperation are obtained from the following two viewpoints

(1) Approaches to the Development Objectives

As for approaches to the development objectives, two lessons were obtained: (a) importance of strategic efforts by grasping the big picture and structural relatedness on the issue of capacity development for local administrations; and (b) effectiveness of medium to long-term efforts in a certain region targeting multi-layered stakeholders surrounding the local government.

(2) Project Planning and Implementation

The following lessons were extracted for project planning and implementation: (a) choosing appropriate counterparts at the time of devolution, (b) capacity development of local administrations balanced in theory and practice, (c) enhancing coordination among various stakeholders, (d) utilizing the leadership of the heads of local governments, (e) modeling outputs obtained from the concerned projects, and (f) Japan's unique aid approach focusing on local ownership.