Part 1. Project Evaluation in JICA

Reference

# Glossary

#### [A]

# Acceptance of Technical Training Participants

The Japanese government accepts leading administrators, engineers, technicians, and researchers from partner countries as trainees and con-ducts technical training aimed at transferring technologies and deepening their understanding of Japan. It is divided into two types; (1) a group-train-ing course with fixed programs to which participants are invited, and (2) a country-focused training course that is designed to meet specific requests of each country.

#### Accountability

Responsibility to furnish adequate and accurate explanations to citizens and the people of a partner country regarding contents of cooperation, financial affairs, and reasons behind decisions when proceeding with development aid and international cooperation activities and programs.

#### Activities

"Activities" are carried out to achieve the output of a project. Each activity flow is described for every output in a logical framework (PDM).

### Advisory Committee on Evaluation

Advisory Committee on Evaluation, which was established in fiscal 2002, is composed of external experts (academics, NGOs, journalists, etc.) who are knowledgeable about development assistance and evaluation. They give advice to the Evaluation Study Committee on evaluation systems and methods. They also review the results of internal evaluations and contribute to the improvement of objectivity of the evaluation.

# Appraisal

Prior to the funding decision, a comprehensive examination is conducted to determine the relevance of developmental assistance, the possibility of implementation and latent sustainability.

### [B]

# Baseline Survey

Baseline survey investigates and analyzes the characteristics of a target area prior to the implementation of a project. These surveys are necessary when setting project objectives using indicators because reference values for the determined indicators must be clarified before starting a project.

# Beneficiaries

Individuals, groups or organizations that receive the benefits of a project.

# Capacity Development (CD)

Process by which a developing country strengthens its own capacity in order to solve development issues. In contrast with capacity-building, whose aim is to build capacity from outside, capacity development refers to the endogenous process of building, strengthening, and maintaining capacity by a developing country.

## Cooperation Program

A strategic framework that consists of a set of projects to assist a develop-ing country in achieving mid-and long-term specific development goals (cooperation goals and appropriate cooperation scenario to achieve those goals). In contrast, "Program-based approach," which is a form of donor intervention at the multi-level, refers to cooperation implemented based on a principle of providing well-coordinated assistance to development pro-grams of the partner country.

# Counterparts

Local personnel who work together with JICA experts, consultants, or Japan Overseas Cooperation Volunteers (JOCV) sent to developing coun-tries and who receive technical instruction directly from them.

# Country-program Evaluation

Assessing the JICA cooperation projects of a country on a cross-sector basis. The overall impact of JICA cooperation and its implementation process in a country are analyzed and recommendations and lessons for future cooperation are offered to the country. The results of evaluation are reflected in improvements in JICA Country Program and cooperation methods for the country.

#### [D] Development Assistance Committee (DAC)

The Development Assistance Committee (DAC) was formed in 1961 as a subordinate agency of the Organization for Economic Cooperation and Development (OECD). DAC distributes aid information, adjusts aid policies, and examines the implementation of aid by member countries and their aid policies. Where necessary, it also gives advice to member countries.

A cooperation scheme that is implemented in the case of a large-scale disaster in a foreign nation, especially a developing nation, based on the request of the affected country. It consists of personnel, material, and monetary contributions, and JICA is in charge of personnel and material support.

#### [E]

#### Effect

The change(s) that occur directly or indirectly as a result of the assistance, either intended or unintended. Relevant terms: result, outcome.

#### Effectiveness

Effectiveness is a perspective to evaluate whether the project purpose is being achieved as initially planned and whether it can be attributed to the outputs of the project.

#### Efficiency

Efficiency is a perspective in which a project is examined from the perspective of the effective use of resources; whether the achievement 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 with the same costs.

When independent decision-making capabilities and economic, social, legal, and political power are obtained with awareness and exercised by individuals or organizations, being able to make decisions by themselves helps erase social inequalities.

# Evaluation

The systematic and objective examination of a project, program, policy and its design, implementation and results. It aims to judge the relevance and fulfillment of the objectives and developmental efficiency, effectiveness, impact and sustainability. An evaluation has to provide credible and useful information, and enable the incorporation of lessons learned into the decision-making process of both recipient and donor countries. It is also the determination process of the value and meaning of the activity, policy and program, as well as the systematic and objective assessment of an in-design, on-going or completed development assistance.

## Ex-ante Evaluation

Ex-ante evaluation is performed when a project is requested by a partner country. It first involves a study of the project to determine its necessity as well as its conformity with the JICA Country Program. This is followed by an on-site evaluation to clarify details of the project and its expected outputs are clarified. Then, the relevance of the project is comprehensively examined and evaluated. In ex-ante evaluation, evaluation indicators are set and they are used to measure the effectiveness of the project in subsequent evaluation, from the mid-term evaluation to the ex-post evaluation.

# Experts

Experts dispatched to developing countries and international organizations carry out the formulation of development plans, research studies, instruction, extension activities, consulting and other work at a variety of locations, including government-related organizations, testing and research institutes, and academic and training institutions. Experts are classified by length of dispatch term into long-term (one year or longer) and short-term (less than one year).

# Ex-post Evaluation

Ex-post evaluation is an evaluation executed at a certain period of time after completion of a project. It is undertaken for the purpose of deriving recommendations and lessons that contribute to improving JICA Country Program and planning effective and efficient JICA projects, by focusing most notably on Impact and Sustainability among the Five Evaluation Criteria.

#### External Evaluation

The evaluation of a development cooperation conducted by entities and/or individuals outside the donor and implementing organizations.

#### [F]

### Feedback

The process of presenting findings of a monitoring and evaluation to concerned parties, so that the findings are incorporated into future policies and plans.

#### Five Evaluation Criteria

The evaluation criteria advocated in "Principles for Evaluation of Development Assistance" by the Development Assistance Committee (DAC) in 1991. The five criteria are Relevance, Effectiveness, Efficiency, Impact, and Sustainability.

### Follow-up Cooperation

Technical Cooperation Project designed to extend cooperation in a specific sector that has not accomplished the project purpose.

#### [G]

#### Gender

Social and sexual distinction formed by a set of values that a specific society shares and individuals possess.

#### Good Practice

Good implementation cases that can be role-models for others.

#### Grant Aid

Grant aid is financial assistance without the obligation of repayment particularly directed to the least developing countries, whereas "Loan assis-tance" is a government loan with a long repayment period. The aim is to support economic and social development for Basic Human Needs, such as health care, water supply, education, HIV/AIDS, children's health, envi-ronment, population, and construction of basic infrastructure, which serve as the basis for the socioeconomic development of a country.

## [H]

## Human Security

Human Security means focusing on individual people and building societies in which everyone can live with dignity by protecting and empowering individuals and communities that are exposed to actual or potential threats. A practical approach to human security involves two general strategies: protection and empowerment. Protection shields people from acute threats of fear, such as conflicts, terrorism, crime, human rights violations, displacement, disease epidemics, environmental destruction, economic crises, and natural disasters; and from want, such as poverty, hunger and lack of educational and health services. Empowerment enables people to develop their abilities to make choices and take action on their own behalf so that they will be able to cope with these threats.

# [11]

## Impact

Impact refers to positive and negative, primary and secondary long-term effects produced by a project, directly or indirectly, intended or unintended.

# Important Assumptions

"Important assumptions" are factors or risks that cannot be controlled by a project but may affect the progress of the project or the achievement of the goal. It is an element of logical framework (PDM), subject to periodical monitoring.

# In-country Training

A type of training implemented within a developing country in order to extend the knowledge and skills within the country. In most cases, the personnel who received a technical transfer play the central role in its implementation.

## Indicator

"Indicator" is a quantitative or qualitative variable that provides a simple and reliable means to measure achievement of or a change made by a project. A logical framework (PDM) should also include the initially targeted value of each indicator.

#### Input

One of the components of logical framework (PDM), "input" refers to the financial, human, and material resources used to implement a project.

#### Internal Evaluation

Evaluation of a project conducted by JICA within the project management process.

#### Intervention

The process by which parties involved in assistance (donor and non-donor) may invoke to promote development.

# [1]

# Japan Overseas Cooperation Volunteers (JOCV)

The Japan Overseas Cooperation Volunteers Program promotes and fosters volunteer activities by the youth of Japan who wish to work with local communities in developing countries and contribute to the economic and social development of the region to which they are dispatched.

# JICA Country Program

The JICA Country Program is a document formulated by JICA that presents JICA's direction on medium-term to long-term cooperation to the target country, to be implemented within the framework of country-specific aid policy. It encompasses development goals, development issues, project plans, and points to consider when implementing aid. It also provides a rolling plan for each development issue, covering a period of three to five years.

# JICA Partnership Program (JPP)

JPP is a technical cooperation program implemented by JICA to encourage and promote the assistance activities implemented by Japanese NGOs, universities, local governments, and public corporations for the people of developing countries. JPP is classified into three types according to the type of the implementation group; 1) Partner Type, 2) Support Type, and 3) Proposal Type.

#### Joint Evaluation

An evaluation carried out together with relevant organizations in the partner country or with other donors.

## [4]

# Lessons Learned

Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situa-tions. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.

# Loan Assistance (Yen Loan)

Government loan with a long repayment period and a low-interest rate for relatively large-scale projects that support socioeconomic development in developing countries. Since JBIC provides yen-based loans after examining projects, it is also known as yen loan.

## Local Cost

Of the funds necessary for the implementation of projects, local cost refers to the costs procured in partner countries in local currency, such as bud-get for local remuneration for construction and procurement of equipment. When a project is jointly implemented, it refers to costs that should be borne by the partner country (costs for land acquisition, facility construction, facility maintenance, and project management).

## Logical Framework

"Logical Framework" identifies the project's main elements (input, output, purpose, etc.) and their cause-effect relationships, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution, and evaluation. A similar framework is also applied to PDM. See "Project Design Matrix" (PDM)

## Logic Mode

Logical presentation of processes and relations that lead to outcomes in a project or program. The model logically shows goals, outputs, and inputs as well as their cause-effect relations, indicators, and important assumptions.

#### [ M ]

#### Means of Verification

Means of verification refers to information sources and survey methods used to measure the achievement of a project. One of the elements of logi-cal framework (PDM).

#### Meta-evaluation

Meta-evaluation refers to analysis of a series of evaluation results. It also examines the quality of evaluation and the performance of the evaluators, as the "evaluation of evaluation."

#### Mid-term Review

Refers to an evaluation conducted at the mid-term of a project, examining points such as the efficiency and relevance of the project. It provides information for deciding whether or not the initial planning needs to be revised.

# Millennium Development Goals (MDGs)

The eight "goals" to be ensured by 2015, announced at the United Nations Millennium Summit in 2000; (1) Eradicate Extreme Poverty and Hunger, (2) Achieve Universal Primary Education, (3) Promote Gender Equality and Empower Women, (4) Reduce Child Mortality, (5) Improve Maternal Health, (6) Combat HIV/AIDS, Malaria and Other Diseases, (7) Ensure Environmen-tal Sustainability, and (8) Develop a Global Partnership for Development.

#### Monitoring

A continuing function that uses a systematic collection of data on specified indicators to provide management and the main stakeholders of an ongo-ing development project with indications of the extent of progress in the use of all allocated funds.

#### [ N ]

### NGO

Non Governmental Organization: Non profit-making organizations in nongovernmental or private sectors.

# NGO-JICA Council

Consultative organization to promote partnership between NGOs and JICA.

## [0]

# ODA

Official Development Assistance: Economic assistance provided by governmental organizations in developed nations to developing nations. It is divided into two categories; (1) bilateral assistance such as grant, loan, compensation, and technical cooperation, and (2) multilateral assistance where donors provide funds or contributions via international organizations.

# Organisation for Economic Co-operation and Development (OECD)

The OECD aims to maximize the member countries' economic growth, expanding trade, and helping nonmember countries develop more rapidly through exchange of economic data and creation of unified policies. The OECD has three major councils: Economic Policy Committee (EPC), Trade and Development Board (TDB), and Development Assistance Committee (DAC).

## Outcome

It refers to short-, medium-, and long-term effects achieved by the outputs of a project. Long-term effect is called "impact" in some organizations.

It refers to the services and results produced by the implementation of a project. In other words, it refers to the changes brought by the project including those related to the accomplishment of outcome. One of the elements of Logical Framework (PDM).

# Overall Goal

The overall goal refers to the indirect and long-term impact defined at the project-planning stage. One of the elements of logical framework (PDM).

# Overseas Training

It refers to "In-country Training" and "Third-country Training". See also "Incountry Training" and "Third-country Training".

## Participatory Evaluation

An evaluation in which representatives of donors, implementing agencies, and stakeholders (including beneficiaries) work together to evaluate all stages of a project; plan a study, implement it and analyze study results.

[ P ]

#### Performance

This information shows the achievement degree of project purpose and overall goal, output status, input situations, etc., in comparison to the achievement targets set in the planning stage.

#### Performance Indicator

The variable showing the actual results in comparison with the original plan, in order to verify the change occurred as a result of development assistance.

## Performance Measurement

The system to examine the performance of development assistance relative to the overall goal.

# Poverty Reduction Strategy Paper (PRSP)

An independently prepared report that the 1999 World Bank and International Monetary Fund (IMF) Development Committee required of heavily indebted poor countries (HIPCs) hoping for debt reductions, for the pur-pose of approving or disapproving debt reduction. Special attention to poverty countermeasures is required in preparing the paper.

# Preconditions

An element of logical framework (PDM), "preconditions" refers to the requirements that must be satisfied before implementing a project.

# Primary Health Care (PHC)

An approach to health care in which diagnosis, treatment, and efforts to raise health standards are handled integrally on the local level. Available to all members of local communities, PHC aims to establish affordable and accessible systems of medical care. PHC is composed of eight elements: (1) health education, (2) provision of food and improvement of nutrition (3) supply of safe water and hygiene management, (4) maternal and child health (including family planning), (5) preventative vaccines, (6) prevention and

control of epidemic illness prevailing in regions, (7) appropriate treat-ment of

general illnesses and injuries, and (8) supply of essential drugs.

# Project Design Matrix (PDM)

PDM is the term used in the PCM method, describing the logical frame-work of a project to facilitate planning, monitoring, and evaluation. It is composed of elements such as narrative summary, indicators, methods to acquire data, external factors, input, and preconditions.

# Project Evaluation

Evaluation of an individual case of development intervention intended to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader program.

## Project Purpose

The project purpose is the target expected to be achieved by the completion of a project. One of the elements of logical framework (PDM).

# Project-type Technical Cooperation

A type of technical cooperation under which three kinds of aid schemes (dispatch of Japanese experts, acceptance of trainees, and provision of equipment) are integrated and implemented as a program. It has been integrated into Technical Cooperation Projects since fiscal 2002.

# Provision of Equipment

The provision of equipment needed generally for technical transfer. JICA provides the necessary equipment as part of technical cooperation toward the effective implementation of the various types of Technical Cooperation Projects.

#### [ R ]

#### Recommendations

Specific measures, suggestions and advice obtained from evaluation results aimed at enhancing the effectiveness, quality, or efficiency of the project concerned; redesigning the objectives; and/or the reallocation of resources.

#### Relevance

Relevance, one of the Five Evaluation Criteria, refers to the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities, and partners' and donors' policies. In addition, it examines appropriateness of strategy or approaches taken by a project, as well as whether it has a legitimacy to be implemented through ODA.

#### Results-based Management

A management strategy focusing on performance and achievement of outputs, outcomes, and impacts.

#### [S]

# Secondary Evaluation

Evaluation performed on an evaluation performed by another person (primary evaluation). It is also called meta-evaluation since it is an evaluation of an evaluation to verify the quality of primary evaluation. See also "Meta-evaluation".

#### Senior Advisor

An expert who belongs to JICA. Overseas, they work as high-level advi-sors, project leaders, and general experts, while in Japan, they conduct various kinds of research, offer advice on research, train would-be experts, and instruct in technical training for participants overseas.

# South-South Cooperation

Mutual economic development among developing countries through regional cooperation. Since the capital-intensive, knowledge-intensive technology of the more developed countries often fails to meet the needs and the situations of developing countries, cooperation among developing countries through institutions such as the United Nations Conference on Trade and Development (UNCTAD) has been encouraged.

## Stakeholder

Agency, organization, group and individuals who, directly of indirectly, can affect or can be affected by the development assistance or its evaluation.

# Sustainability

One of the Five Evaluation Criteria. It refers to the continuation of benefits of a project after the project assistance is completed.

# [T]

# Target Group

The specific individuals or organizations for whose benefit the development intervention is undertaken.

# Technical Cooperation Project

One of JICA's cooperation schemes launched in 2002. This scheme allows flexibility in terms of project period, scale, and components (e.g. dispatch of experts, acceptance of trainees, and provision of equipment). It is defined as "development aid to achieve a certain output within a certain period under the cause-effect relation among input, output and activities" including Project-type Technical Cooperation and team dispatch of experts.

## Technical Cooperation for Development Study

Development Study supports the formulation of plans for public projects by dispatching a study team to contribute to social and economic advancement in developing countries. Reports, which are prepared based on the study results, provide partner governments with data for assessing social and economic development policies. They also offer international organizations and donor countries resources for studying the need for financial aid and technical cooperation.

# Technology Transfer

Organizations and individuals possessing specific skills transfer them to other organizations and individuals through education and training, and then strive to ensure that they take root and spread. In the case of interna-tional cooperation, it means that production and managerial skills required for further development in developing countries are transferred from devel-oped countries or companies.

#### Terminal Evaluation

Terminal evaluation is performed right before completion of a project, focusing on the achievement of project purpose, its efficiency, and sustainability. Based upon the results of the evaluation, JICA determines whether it is appropriate to complete the project or necessary to extend follow-up cooperation.

#### Thematic Evaluation

Evaluation on specific sector(s), important issues (such as environment, poverty and gender issues) or specific project style. Several projects are targeted and evaluated cross-sectionally. The results will be reflected in future policy making for related developmental issues, and in cultivating and forming projects in the related areas.

The experts in developing countries to be dispatched to other developing countries as a part of the South-South Cooperation. Due to their similar environments, technical standards, cultural and linguistic similarities, it is believed that more appropriate transfer of technology can be achieved.

#### Thematic Guidelines

JICA's past experience and knowledge in relation to important points in implementing its activities and direction of cooperation are systematically compiled into the guidelines after analyzing situations, aid trends, approaches, and methods with regard to major development issues.

#### Third-country Experts

Technical experts of developing countries dispatched to another developing country as south-south cooperation. Third-country experts are expected to transfer their techniques more effectively, making the most of the similarity of their environment, technical level, language and cultural aspects.

## Third-country Training

A type of training implemented by JICA aimed at enabling a partner country that was subjected to technical transfer from Japan to hand on the knowledge and techniques it has acquired to neighboring countries. The host country invites trainees from neighboring countries with similar natural, social, or cultural environments individually or in groups to be trained in the appropriate technique in accordance with each country's local circumstances. It has been integrated into Technical Cooperation Projects since fiscal 2002.

# Training in Japan

One of the forms of the "Acceptance of Technical Training Participants" conducted in Japan.

# [ V ]

# Volunteer Program

In this report, it refers to Japan Overseas Cooperation Volunteers, Senior Volunteers, Japan Overseas Development Youth Volunteers, and Senior Volunteer for Overseas Japanese Communities.

# Abbreviation

BHN : Basic Human Needs.

CD : See "Capacity Development".

CIDA : Canadian International Development Agency
DAC : See "Development Assistance Committee".
DfID : UK Department for International Development

IMF : International Monetary Fund

JBIC : See "Japan Bank for International Cooperation".

JOCV : See "Japan Overseas Cooperation Volunteers".

MDGs: See "Millennium Development Goals".

**OECD**: See "Organisation for Economic Co-operation and Development".

PDM : See "Project Design Matrix".

PRSP : See "Poverty Reduction Strategy Paper".
UNDP : United Nations Development Programme
USAID : U.S. Agency for International Development

WBI : World Bank Institute
WHO : World Health Organization