The Results of the External Evaluation and Rating

JICA is promoting external evaluations in order to improve the transparency and objectivity of evaluation results. Based on the project evaluation results, JICA is assigning the rating based on the rating methods for ODA Loan projects and technical cooperation.

Introduction

Ex-post evaluations, for which the results were published in FY2009, were conducted for 31 technical cooperation projects, 52 ODA Loan projects, and 2 Grant Aid projects (which previously were implemented by the Ministry of Foreign Affairs) on a trial basis.

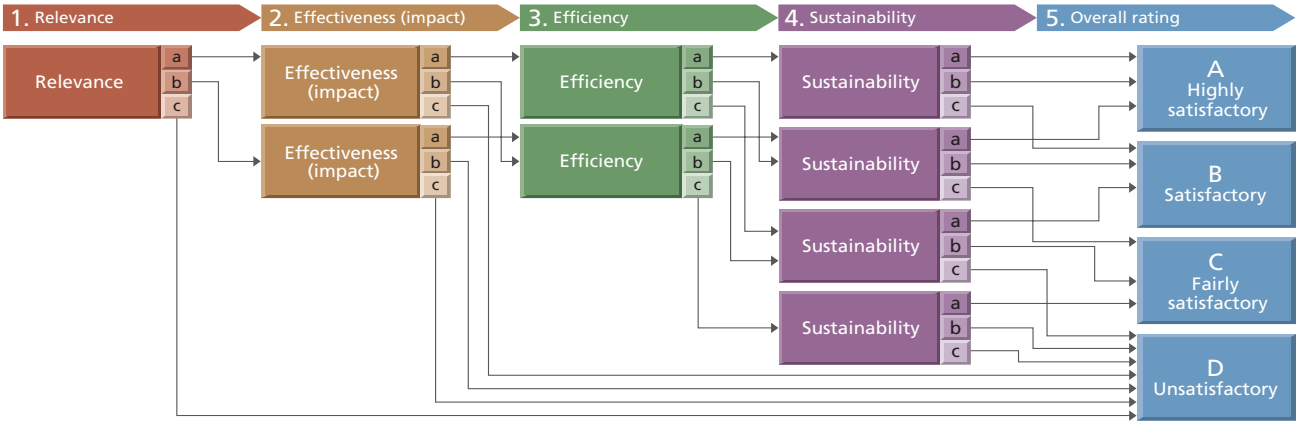
In this year, referring to the rating method of ODA Loan projects, rating system (A~D) is applied for technical cooperation on trial in order to show evaluation results clearly. As to the projects for which the ex-post evaluation results will be published in FY2010 and beyond, it is expected that the evaluation results will be shown in a consistent and clear way.

The Results of Ex-post Evaluation Rating for ODA Loan Projects

The results of ex-post evaluation of ODA Loan projects are rated using four grades - A (highly satisfactory), B (satisfactory), C (fairly satisfactory), and D (unsatisfactory). The rating started with the individual ex-post evaluation results published in FY2004. In assigning ratings, projects are first evaluated individually on: (1) relevance, (2) effectiveness (impact), (3) efficiency, and (4) sustainability. The result is inserted into the Rating Flowchart, and an overall rating is assigned.

Out of 52 projects for which results were released in FY2009, 17 projects (32.7%) achieved a rating of A, 22 projects (42.3%) were rated B, 11 projects (21.2%) were rated C, and 1 project (1.9%) was rated D (see next page). For outlines of the ex-post evaluations for 19 projects out of the 52 projects, refer to page 40 and onwards.

Rating Flowchart



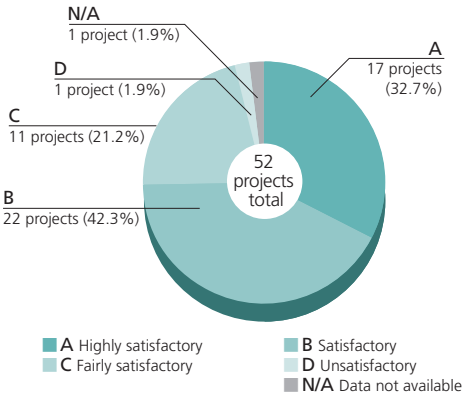
Rating Method

Item	Points	Criteria		Notes
1. Relevance	Evaluate the relevance to development needs at the time of the appraisal and at the time of the ex-post evaluation and evaluate the project's consistency with development policies.	Consistent with needs and policies	a	
		Some problems in consistency	b	
		Serious problems in consistency	c	
2. Effectiveness (impact)	Compare planned and actual figures to measure effectiveness.	80% or more of target	a	·Multiple operation and effect indicators are analyzed on the basis of major indicators.
		50% - 79% of target	b	
		Below 50% of target	c	
3. Efficiency	Compare the planned content and the actual content, in terms of project outputs, project period, and cost. Based on the results of each comparison, rate the overall efficiency of the project.	**1. Outputs** Not reflected in the ratings, but is taken into consideration when rating the items below.	(Outputs)	·In cases where additions or changes have been made to the project outputs, these are considered in evaluating the project period and costs. ·Overall efficiency is assessed by ranking the project period and project costs into three categories (a, b and c). Different rules may be applied for extreme cases.
		2. Project period	(Input)	
		100% or less of target	a 3 points	
		Between 100% and 150% of target	b 2 points	
		Exceeding 150% of target	c 1 point	
		3. Project costs (total project costs in foreign currency)	(Input)	
		100% or less of target	a 3 points	
		Between 100% and 150% of target	b 2 points	
		Exceeding 150% of target	c 1 point	
		4. The points for the two items above are tallied together (a = 3 points, b = 2 points, c = 1 point)		
		[aa] → Efficiency is a (a+a = 6 points)	a	
		[ab, ba, ac, ca, bb] → Efficiency is b (4 - 5 points)	b	
		[bc, cb, cc] → Efficiency is c (2 - 3 points)	c	
4. Sustainability	Evaluate sustainability based on the financial situation, and by considering technical capacity, operational system and the status of facilities.	Highly sustainable	a	·Grade "c" is assigned in cases of excessive debt, chronic deficits, or marked budget shortfalls.
		Some concerns but no major problems	b	
		Major concern at the time of ex-post evaluation	c	
5. Overall rating	Perform an overall rating.	See the flowchart above.		

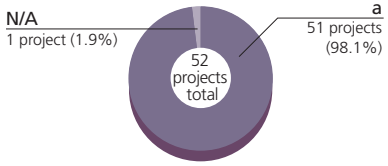
The Results of Ex-post Evaluation Rating for ODA Loan Projects

Country	No.	Project name	page	Relevance	Effectiveness	Efficiency	Sustainability	Overall rating
India	1	Power System Improvement and Small Hydro Electric Project		a	b	b	b	C
	2	Northern India Transmission System Project		a	a	b	a	A
Indonesia	3	Rating Schools Establishment Project		a	b	b	b	C
	4	Heavy Loaded Road Improvement Project (2)		a	a	c	a	B
	5	Transmission Line Construction Project in Java-Bali (1)-(3)		a	a	b	b	B
	6	Sumatra East Coast Highways		a	a	c	a	B
	7	Multipurpose Dam Hydroelectric Power Plants Project	40	a	a	b	a	A
	8	Upland Plantation and Land Development Project at Citarik Sub-watershed	41	a	a	b	b	B
	9	Small Ports Development Project in Eastern Indonesia	42	a	b	b	b	C
	10	New Padang Airport Construction Project		a	a	b	b	B
	11	Bajoe-Kolaka & Palembang-Muntok Ferry Terminals Development	43	a	b	b	b	C
	12	Disaster Prevention Ships Procurement Project		a	b	b	b	C
	13	Renun Hydroelectric Power and Associated Transmission Line Project (I) (II) (III)		a	a	b	a	A
Uzbekistan	14	Telecommunication Network Expansion Project (I) (II)		a	b	b	a	B
	15	Senior Secondary Education Project	44	a	b	b	b	C
Kyrgyz Republic	16	Bishkek-Osh Road Rehabilitation Project (I) (II)	45	a	a	b	b	B
Sri Lanka	17	Port of Colombo North Pier Development Project (I) (II), Urgent Upgrading of Colombo Port Project		a	a	b	c	C
	18	Towns North of Colombo Water Supply Project		a	b	b	a	B
	19	Transmission and Substation Development Project (II)		a	a	b	b	B
	20	Greater Colombo Flood Control and Environment Improvement Project (II)(III)	46	a	b	a	c	C
	21	Power Sector Restructuring Program*		N/A	N/A	N/A	N/A	N/A
	22	Medium Voltage Distribution Network Reinforcement Project	47	a	a	b	b	B
	23	Poverty Alleviation Micro Finance Project		a	a	b	b	B
Thailand	24	Regional Road Improvement Project (III)	48	a	b	a	a	A
	25	Thailand-Japan Technology Transfer Project	49	a	a	a	b	A
China	26	Yingkou Water Supply Project		a	a	b	a	A
	27	Xinxiang-Zhengzhou Highway Construction Project		a	a	b	a	A
	28	Chongqing Water Supply Project		a	a	b	a	A
	29	Tangshan Water Supply Project	50	a	b	b	a	B
Pakistan	30	Ghazi Barotha Hydropower Project (I) (II)		a	a	b	a	A
	31	Karachi Water Supply Improvement Project		a	a	b	c	C
Bangladesh	32	Rural Electrification Project (Phase V-B)		a	a	b	b	B
	33	Power Distribution and Efficiency Enhancement Project	51	a	a	b	b	B
Philippines	34	Arterial Road Links Development Project (Phase III)	52	a	a	b	b	B
	35	Fisheries Resource Management Project		a	a	b	b	B
	36	Provincial Cities Water Supply Project (III) (IV) (V)		a	a	b	b	B
	37	Tiwi Geothermal Power Plant Complex Rehabilitation Project		a	b	c	b	D
	38	Domestic Shipping Modernization Program (Phase II)		a	a	b	a	A
	39	Third Elementary Education Project	53	a	a	a	b	A
	40	Mak-Ban Geothermal Power Plant Complex Rehabilitation Project		a	a	c	a	B
	41	Metro Manila Strategic Mass Rail Transit Development Project (I) (II) (III)		a	b	b	b	C
Viet Nam	42	Coastal Communication System Project in Southern Part of Viet Nam	54	a	a	b	a	A
	43	Ham Thuan - Da Mi Hydropower Project (I)-(IV)		a	a	b	a	A
	44	Phu My-Ho Chi Minh City 500kV Transmission Line Project		a	a	b	a	A
Malaysia	45	Port Dickson (Tuanku Jaafar) Power Station Rehabilitation Project	55	a	a	b	a	A
Tunisia	46	Sewage System Development Project in Four Cities		a	b	b	a	B
Columbia	47	Bogota Water Supply Improvement Project	61	a	a	b	a	A
Brazil	48	Tiete River Basin Depollution Project		a	a	b	b	B
Peru	49	El Nino-Affected Highway Rehabilitation Project	62	a	a	b	b	B
	50	Sierra-Natural Resources Management & Poverty Alleviation Project (II)		a	b	b	b	C
	51	Lima-Callao Metropolitan Area Water Supply & Sewerage Improvement Project		a	a	b	a	A
Bosnia and Herzegovina	52	Emergency Electric Power Improvement Project	64	a	a	b	b	B

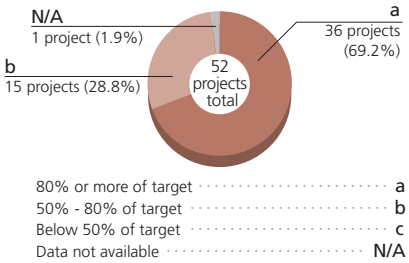
Overall rating



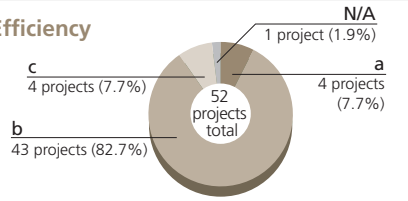
Relevance



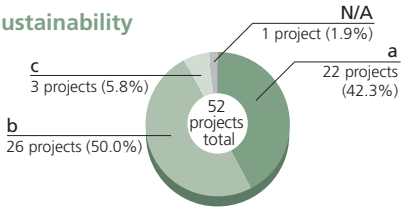
Effectiveness (impact)



Efficiency



Sustainability



* "Power Sector Restructuring Program" in Sri Lanka was not rated, as it was suspended because the loan conditions were partially unmet. In the future, such suspended projects will be reviewed according to the method described on page 34.

* For details on the projects, see their respective ex-post evaluation report. (URL:http://www.jica.go.jp/english/operations/evaluation/oda_loan/post/)

* Outlines for ex-post evaluations of ▭ projects are found on page 40 and onwards.

The Results of Ex-post Evaluation Rating for Technical Cooperation Projects

External evaluation of ex-post evaluations

Since 2002, when the system was introduced, ex-post evaluations of technical cooperation projects had been conducted internally by JICA overseas offices. However, in light of the growing recognition of the importance of presenting a fair and objective understanding and explanation of project impacts, it was decided that ex-post evaluations would be conducted externally from FY2008.

Specifically, as noted on page 14, ex-post evaluations of projects over 200 million yen are outsourced to an external evaluator and in principle conducted within three years of project termination. In FY2008, 31 technical cooperation projects terminated in FY2005 were evaluated.

To get an overview of the entire project process from the fair perspective of an external evaluator, it was decided that rather than focusing on impact and sustainability as before, projects would be evaluated on all five of DAC's evaluation criteria (relevance, effectiveness, efficiency, impact, sustainability). However, because relevance, effectiveness, and efficiency are items that are judged based primarily on the conditions and processes during the projects' duration, the actual survey method used is secondary evaluations that rely on existing reports.

Furthermore, ex-post evaluations are now conducted externally, and it is possible to maintain the objectivity and transparency of evaluations at the ex-post evaluation phase. Therefore, secondary evaluations by external evaluators that had been conducted for terminal evaluations (internal evaluations) have been abolished. Accordingly, projects are now rated in the ex-post evaluations, not in the secondary evaluation for terminal evaluations.

Rating (on trial basis)

Ratings are given by the external evaluator, based on his/her findings, for DAC's five evaluation criteria and overall rating, on a scale of 1 to 5 (1: "highly unsatisfactory" - 5: "highly satisfactory"). In this report, the overall rating is represented on a scale of A to D for increased clarity (please refer to ex-post evaluation findings of individual projects on page 33 and page 35 onwards)*.

First, the scoring table that was used for the rating of terminal evaluations until last fiscal year was adopted. After each evaluator gave his/her score on a trial basis, a workshop was held and the evaluators worked to improve the score table and standardize the evaluation criteria. After that, the evaluators made a final decision on the scoring content.

It was confirmed that, while different evaluators rated each project, the scores for the overall rating, relevance, and sustainability were highly logic and reproducible because the scoring perspectives and standards were clear. On the other hand, the reproducibility of the scores for effectiveness, efficiency, and impact were relatively low. The reasons may include: 1) There were not enough perspectives from which to give a score; 2) The criteria for evaluation were not standardized among the evaluators; and 3) There were not enough necessary information for evaluating the project. JICA aims to solve these issues and establish a rating system that is consistent with the other schemes. Ratings not only represent the evaluation findings in an easy-to-understand way; they are also useful for considering measures to improve development projects. However, because the ratings do not reflect everything there is to know about a project, they should not be overemphasized. The rating should be considered as one indicator (the same applies for ODA Loans as well).

Overview of evaluation findings

A list of projects for which the ex-post evaluation findings were published in FY2009 and their rating results are on the next page. For outlines of the ex-post evaluations of 11 of the 31 projects, refer to page 35 and onwards.

As to the overall rating, 26 projects (84%) were given a score of 3 (the "medium" level : B) or above, and can be judged that the expected effects had generally been realized. For projects that were judged to have satisfactory effectiveness, impact, and sustainability, it was revealed that, despite undergoing structural and organizational changes after the project's termination, e.g., the merger and abolition of executing agencies and relocations of personnel, those personnel who received technical transfer are continuing to take actions to achieve the policy objectives and satisfy societal needs. Meanwhile, it is pointed out that, for projects that received an unsatisfactory evaluation, they had the following points in common: objectives and activities that are outside the executing agency's authority were planned, and involvement of necessary relevant agencies were insufficient to achieve the objectives.

As to the problems observed in conducting the evaluations, it was noted that, because the format of the expert's report and project completion notification were not defined properly, there was bias in the volume of information and it was difficult to obtain sufficient information for conducting the evaluations.

Other problems were also cited. In some cases, the project objective in the basic project document, the Project Design Matrix (PDM), had been reworded to the project outcome. In addition, for the project for which appropriate indicators and their target values were not established, the criteria for judging whether the objective was achieved relied on the evaluator's sense of values. Furthermore, when an unrealistically high overall goal was set, it was difficult to analogize the cause and effect relationship, i.e., whether the project led to the achievement of its objective.

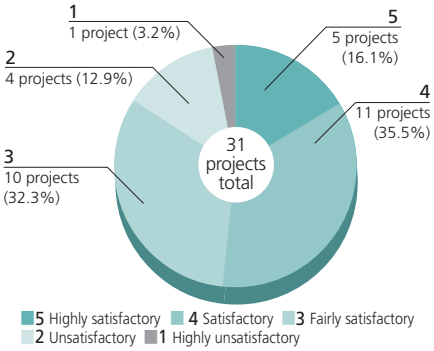
Based on these lessons learned, JICA aims to further improve project formulation and project implementation.

* Conversion method: 5, 4→A (highly satisfactory) / 3→B (satisfactory) / 2→C (fairly satisfactory) / 1→D (unsatisfactory)

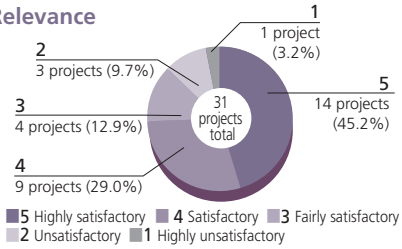
The Results of Ex-post Evaluation Rating for Technical Cooperation Projects (on trial basis)

Country	No.	Project name	page	Relevance	Effectiveness	Efficiency	Impact	Sustainability	Overall rating	A-D
Cambodia	1	Phase II of the Maternal and Child Health Project		4	3	3	3	4	3	B
Kazakhstan	2	Project for the Improvement of Health Care Services in Semipalatinsk Region	35	5	4	4	5	5	5	A
Thailand	3	Modernization Water Management System Project		2	2	2	2	2	2	C
China	4	Anhui Primary Health Care Technical Training Center Project		4	3	2	3	4	3	B
	5	China-Japan Friendship Project on the National Center for Safety Evaluation of Drugs	36	4	2	2	3	5	3	B
Nepal	6	Community Tuberculosis and Lung Health Project		5	4	3	4	4	4	A
	7	Community Development and Forest/ Watershed Conservation Phase II		5	4	4	4	5	5	A
Viet Nam	8	Project for Strengthening Training Capabilities for Road Construction Workers in Transport Technical and Proffessional School No.1	37	4	4	5	4	5	5	A
	9	Project for Strengthening Training Capability for Technical Workers in Hanoi Industrial College		5	5	4	4	5	5	A
Malaysia	10	Project for the Capacity Building of the National Institute of Occupational Safety and Health (NIOSH) in the Field of Occupational Safety and Health (OSH)	38	5	5	5	3	4	4	A
Myanmar	11	Leprosy Control and Basic Health Service Project		5	4	4	4	4	4	A
Mongolia	12	Project for Improvement of Technology on Diagnosis of Animal Infectious Diseases	39	3	4	4	4	4	4	A
Egypt	13	Project on Improvement of Science and Mathematics Education in Primary Schools★	56	3	2	3	2	2	2	C
Tunisia	14	Project for the Establishment of the Vocational Training Center for the Electric and Electronics Industry		5	4	4	4	4	4	A
Morocco	15	Training Center Project for Agricultural Mechanization		4	4	4	4	2	3	B
Ethiopia	16	Project for Capacity Building of the Alemgena Training and Testing Center of ERA	57	5	3	2	4	4	4	A
Zambia	17	HIV/AIDS and Tuberculosis Control Project★		5	3	3	3	2	4	A
Senegal	18	Project on the Safe Water and the Support on Community Activity★		4	2	2	2	3	3	B
Tanzania	19	Project on Sokoine University of Agriculture Center for Sustainable Rural Development	58	4	3	3	3	3	3	B
Argentina	20	Project of Research and Development of Pejerrey Aquaculture and Propagation		3	4	4	2	4	4	A
Costa Rica	21	Project on Productivity Improvement for Enterprises		5	4	4	3	3	4	A
Dominican Republic	22	Technology Improvement Project for Irrigated Agriculture	59	5	4	3	4	4	4	A
Panama	23	Panama Canal Watershed Conservation Project		5	4	4	2	3	3	B
Paraguay	24	Improvement of Small and Medium Scale Dairy Farm Management Project★		1	2	3	1	1	1	D
Barbados	25	Caribbean Disaster Management		4	4	2	2	3	3	B
Brazil	26	Cerrado Ecosystem Conservation Project★	60	3	2	1	2	2	2	C
	27	Strengthening of the Agricultural Techinical Support System to Small-Scale Farmers in Tocantins State★		2	1	1	2	2	2	C
Bolivia	28	Project for the Dissemination of High-Quality Rice Seeds for Small-Scale Farmers		5	4	4	4	4	4	A
Fiji	29	Project of the Information and Communication Technologies (ICTs) Capacity Building at the University of the South Pacific	63	4	3	3	2	4	3	B
Micronesia	30	Fisheries Training Project		2	3	3	2	4	3	B
Turkey	31	Project on Energy Conservation		5	5	4	4	5	5	A

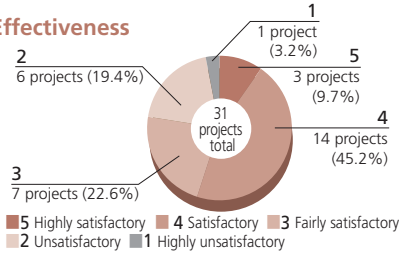
Overall rating



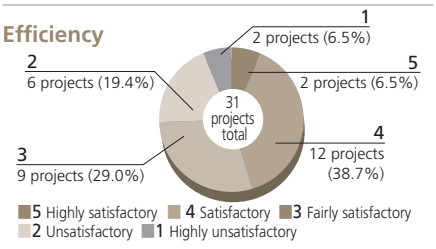
Relevance



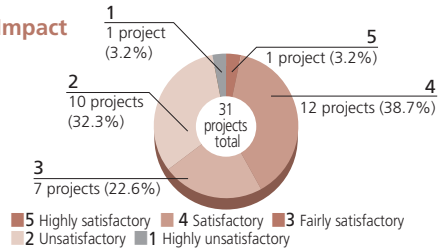
Effectiveness



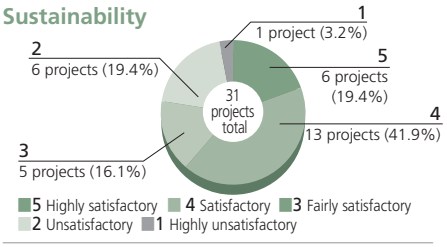
Efficiency



Impact



Sustainability



* For projects with an asterisk(★), the division in charge of the project has some interpretations that vary from the evaluation findings, considering judgments at present based on the ex-post evaluation situation. For details, contact the evaluation department of JICA.

* Outlines for ex-post evaluations of ▭ projects are found on page 35 and onwards.

Projects Cited as Having Issues in Ex-post Evaluation

An overall rating is given for technical cooperation on a scale of A to D (replacing the scale of 5 to 1), and for ODA Loans, also on a scale of A to D. Of the projects for which the evaluation findings were released in FY2009, one project from each scheme was given D (unsatisfactory).

JICA will conduct follow-up studies and ex-post monitoring in response to the challenges, lessons learned, and recommendations presented in the ex-post evaluation, and take stock of them for future similar projects.

Tiwi Geothermal Power Plant Complex Rehabilitation Project in Philippines (ODA Loan project)

● Problems

The project was highly relevant, and power output recovered to a certain extent as an outcome of the repair of the generating units. However, due to insufficient amount of steam necessary for geothermal power generation, two of the units in the scope of work (six generating units) were not repaired. Even with regards to the generating units (four) that were partially repaired, their use ratio stayed at around 50% of the initial target value.

There was also an issue of efficiency. The project's implementation procedures were put on hold, coupled with the trial over the steam supply service contract and considerations being made about privatizing the power plant complex. In addition, because it took a long time to deliberate the changes that would be made to the scope in response to the aging of the generating units caused by the project's delay, as well as to obtain approval for the changes, an extended period of time was required from the investigation to the actual repair work. Additionally, there was an issue of sustainability, as concerns over enasuring the future supply of steam grew.

● Lessons learned and recommendations

Ensuring a sufficient supply of steam is essential for the operation of the geothermal power plant complex. It was pointed out that the project's implementation should have been promoted, only after studies and risk analyses were undertaken and measures were appropriately taken vis-à-vis the steam supply contract and geothermal reservoir, based on the strong commitment of the Filipino Government.

Improvement of Small and Medium Scale Dairy Farm Management Project in Paraguay (technical cooperation project)*

● Problems

Although the capacity development of executing agency staff was confirmed, it cannot be said that the desired objective was achieved. The national dairy farming promotion plan that was initially to be created, was formulated independently by high-ranking authorities; the project was relegated to the formulation of its implementation plan. It is believed that the problem lies with the fact that, even after the cooperation policy shifted at the ex-ante study phase, from the initial request of technical assistance to policy assistance for the development of measures that will serve as the basis for the dissemination of dairy farming techniques, JICA's main counterpart continued to be the Technology Bureau. Also, no experts were brought in to promote system reform. Additionally, the situation of the small and medium scale dairy farmers—the project's target group—was not fully understood in the ex-ante study. Their situation was studied and understood as part of the project activities, but the project's short timeframe of two years did not provide sufficient time to revise the plan and carry it out.

● Lessons learned and recommendations

It was pointed out that it is essential to collect and analyze detailed information from before the project's start on the situation of the target group, the policies and system pertaining to the target sector, and relevant organizations, and pursue an appropriate approach based on this information.

Review of Suspended ODA Loan Projects

Some ODA Loan-financed projects are suspended without ever completing. In such cases, it is important to ascertain the factors and processes that led to the project's incompletion and derive lessons for the improvement of future project management. However, it is difficult to conduct an ex-post evaluation of suspended projects using DAC's five criteria and rating system. It was also pointed out by the Japanese ODA Loan Evaluation Expert Committee in FY2007 that the evaluation method should be reconsidered for such suspended projects.

In response, JICA has decided not to rate suspended ODA Loan projects but to focus on deriving lessons learned from the review of the appropriateness of the judgments made at the project appraisal phase and project supervision phase, as well as of the follow-up situation afterwards.

In FY2008, three projects were reviewed on a trial basis: 1) Telecommunication Network Expansion Project in Colombo Metro Area (II) in Sri Lanka; 2) Pattimura University Development Project in Indonesia; and 3) Ciliwung-Cisadane River Flood Control Project in Indonesia. The findings indicated that although all the projects were highly relevant, their incompletion may be attributed to: "policy changes of the counterpart government due to the privatization of the executing agency"; "decline in technical relevance"; "worsening security"; and "policy changes of the counterpart government vis-à-vis project modification proposal". The review concluded that the suspension of JICA's assistance to project implementation was unavoidable for all three projects. The lessons learned were that it is important to ensure that the executing agency is qualified in formulating an ODA Loan project in the deregulated sector, and that the project scope is relevant.

*For this project, the division in charge of the project has some interpretations that vary from the evaluation findings, considering judgments at present based on the ex-post evaluation situation. For details, contact the evaluation department of JICA.