

Zambia

Empirical Evaluation of Master Plan Study to Formulate Program Evaluation Method

Study period from July 2009 to November 2009



Summary of the Evaluation

JICA is enhancing its country- and region-specific approaches, and endeavoring to formulate cooperation program in which the three assistance schemes (technical cooperation, ODA Loan, Grant Aid) are conducted in an integrated manner in line with the development policy of the region.

This evaluation is one of the measures for strengthening the cooperation program. It derives recommendations and lessons learned for future formulation of cooperation program and for program evaluation method.

Background of the Evaluation

The majority of the program evaluations conducted by JICA's Evaluation Department have been "mid-term reviews" of ongoing programs. And evaluation survey of the outcomes of a program after its implementation had scarcely been conducted.

Therefore, under this study, a group of priority projects proposed in the master plan (hereinafter "M/P") whose cooperation scenario design process shares some similarity with a cooperation program, were assumed as a cooperation program and evaluated. Among all the M/Ps, regional integrated development plans, that present a basic development strategy

applicable to the region's characteristics, were considered most similar to the "strategic framework" that JICA's cooperation program seeks. With consideration to regional characteristics, three M/Ps were chosen for the evaluation: China, Philippines, and Zambia.

The Study on Environmental Improvement of Unplanned Urban Settlements in Lusaka in Zambia (2001) is one of the three M/Ps listed above, which had the shortest time lapse for realizing the projects proposed in the M/P report (See Figure 1 for composition of M/P).

The Framework and the Policy for Evaluation

In this evaluation study, the development objective in the M/P was substituted to cooperation program objective, and the study confirmed and examined its alignment with the country's development strategy. Furthermore, the strategy of the projects which were proposed and were implemented in the M/P were examined and the projects contribution to the achievement of

the development objective were evaluated using the "contribution" concept*.

Based on the evaluation results, recommendations and lessons learned on future JICA cooperation program design and program evaluation method were derived.

Evaluation Results

► Evaluation results

1. Alignment of M/P and its strategy

The M/P attaches importance to the development of water supply facilities and improvement of sanitation environment as well as the enhancement of primary education. It is thus in line with Japan's Country Assistance Program for Zambia (2002), which lists "enhancement of cost effective health services" and "human resources development and system development for self-sustainable development" as its priority areas. Also, the M/P is highly consistent with Zambia's Poverty Reduction Strategy Paper (2002) and Fifth National Development Plan (2006).

Out of the plans proposed in the M/P for eight unplanned settlements, water supply facility and waste disposal related projects were implemented in all targeted settlements. Furthermore, approximately 60% of the sanitation education and road improvement sector projects and toilet construction projects, and around 50% of community (CM) center

development projects, were implemented. Community school development and income improvement related projects had an implementation rate below 30%. At the time, aid coordination was not as actively carried out as today, and the M/P was not shared among other donors and NGOs. Nevertheless, over 50% of the projects in the plan were implemented in six of the eight unplanned settlements.

Because the group of projects listed in Figure 1 were implemented comprehensively, synergistic effects are being generated, e.g., the realization of community centers' (CM) function as a water fee collection facility and improvement in the morbidity rate. It has also been reported that the development of roads and drainage systems have not only improved access to highways, but have also improved sanitation through drainage and enhanced the efficiency of the waste collection project through road improvements.

* To evaluate the role JICA, as one organization, had played in the achievement of overall outcomes which includes Zambia governments' activities and all other aid organizations' activities. The concept of "contribution" is the idea of explicitly separating out the progress made in addressing the development issue (progress vis-à-vis the country's development strategy) and the outcomes one organization aims to achieve through its program, and verifying the plausibility of causal relationships between the two.

2. Evaluation under the concept of "contribution"

Though the evaluation study, improvements in the water and sanitation, health, and education indicators were confirmed after the M/P's formulation. Budget allocations for each of those sectors inferred that donors play a large role in making progress on addressing those issues. Comparing M/P target communities with non-M/P target communities, the results revealed that the indicators' margin of improvement was larger for M/P target communities. It was concluded that JICA's assistance and the effects observed in the M/P target communities are correlated.

The reasons for not achieving the outcomes as specified in the M/P were analyzed by comparing the M/P objectives and results. In addition to external conditions such as population growth (urbanization) which exceeded the expected figure, the lack of project implementation and financial management capabilities of the projects' executing agency and supervising organization personnel was confirmed to be the hindering factor for attaining the goal.

► Recommendations and analysis

1. Lessons learned on formulation of similar cooperation and/or cooperation program

In carrying out a similar development plan study-type technical cooperation, the collection of baseline data before and during program implementation will be critical. Assistance for the establishment of baseline data should be incorporated into the program as part of capacity development. Also, predictions about population changes will be essential to the realization of

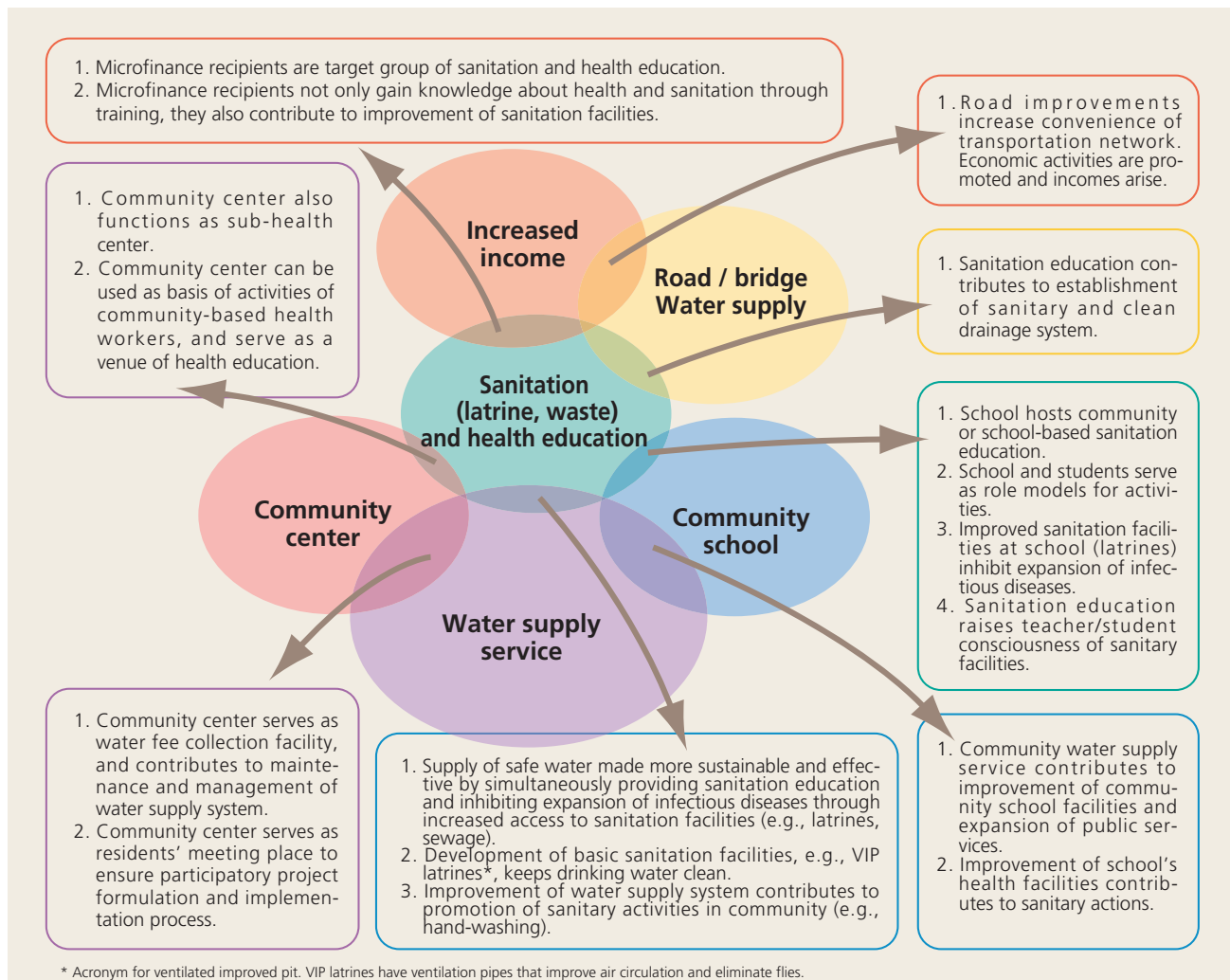
the strategy in the case of formulating regional integrated development program.

On the other hand, when formulating a cooperation program, regular monitoring needs to be incorporated into the program from the initial stage of the program so as to react to changes caused by external factors and to make appropriate revisions to the plan. Furthermore, the cooperation's effect is assumed to be greater if assistance that has visible and immediate results (service delivery) is combined with long-term technical transfer (capacity development).

2. Lessons learned on program evaluation method

The longer the cooperation period and broader the scope of the M/P or program, the possibility of deviation from the initial plan may arise. This is due to some changes caused by external factors, such as gradual decline in the strategy's effectiveness, and motivational decline of the executing agency towards strategy achievement. At the cooperation program formulation phase, the strategy scenario should be considered, bearing in mind that such changes most probably occur. Nevertheless, it is difficult to envisage all of the changes which may occur at the planning phase. By building in regular monitoring, as a part of program management, the program shall be able to react systematically to changes in external factors and revise the strategy. In conducting the monitoring, the burden on the executing agency should be taken into account and thus it is preferable to efficiently utilize and cooperate under aid coordination framework to jointly conduct necessary surveys and evaluation.

■ Figure 1 Composition of Study of the Project for Improvement of Living Environment for Unplanned Urban Settlements in Lusaka M/P



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Part 2. Project-level Evaluation Asia Middle East Africa Latin America Oceania Europe Ex-post Evaluation of Technical Cooperation and ODA Loans

Part 3. Program-level Evaluation Program Evaluation Thematic Evaluation List of Evaluations and Glossary Reference