

The JICA Operations Evaluation System

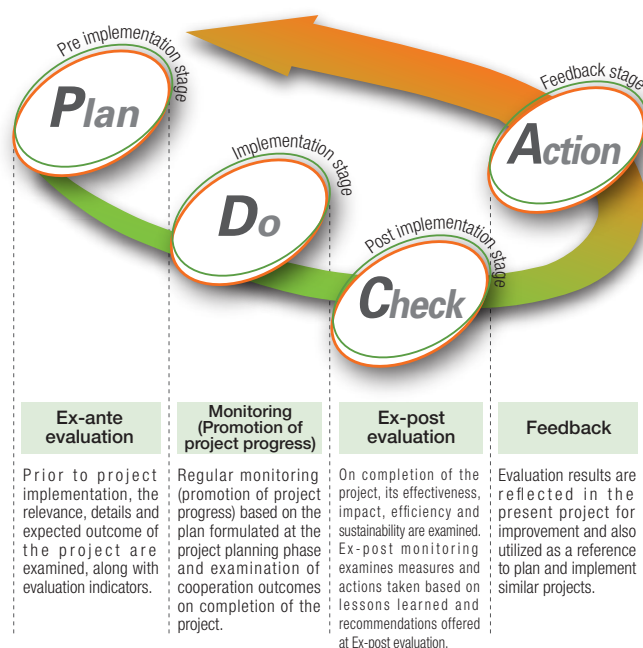
To improve its projects and ensure accountability to Japanese taxpayers, JICA implements operations evaluations for Technical Cooperation, ODA Loans and Grant Aid projects.

1

Evaluation throughout the project's PDCA cycle

The PDCA cycle is a management tool that promotes continuous improvement of project activities and JICA's operations.

It has four steps: Plan; Do; Check; and Action. For all projects, JICA's evaluation is conducted based on the PDCA cycle, regardless of the scheme of cooperation. Considering the characteristics of the scheme of cooperation, such as the assistance period and timeframe for the expected results, JICA monitors and evaluates each project stage (planning, implementation, post-implementation and feedback) within a consistent framework. By evaluating each stage of the PDCA cycle, it aims to improve the project development results. Details of the evaluation conducted at each stage are introduced on pp.4-6.



2

Coherent methodologies and criteria for three schemes of cooperation

JICA adopts an evaluation system using cross-sectoral methodologies and criteria applicable to all schemes of assistance. For Technical Cooperation, ODA Loans, and Grant Aid projects, respectively, JICA aims to conduct the evaluation and utilize the findings based on a consistent philosophy and a standard evaluation framework, while taking the differences in characteristics among each assistance scheme into consideration.

Specifically, an evaluation framework that reflects: 1) Project level evaluation based on the PDCA cycle; 2) Evaluation applying the Five DAC Criteria for Evaluating Development Assistance as laid out by the OECD-DAC (Organisation for Economic Co-operation and Development/Development Assistance Committee) and internationally accepted as an ODA evaluation method (Table 1); and 3) Publication of evaluation results based on a uniform style and using a rating system developed by JICA. For the Five DAC Criteria, JICA performs reviews to ensure a more appropriate evaluation judgment. The rating system and results are introduced on p.12 and pp.16-17.

Table 1 Evaluation Perspectives Using the Five DAC Criteria for Evaluating Development Assistance

Relevance	Examines the extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor: Does the goal of the aid activity meet the needs of beneficiaries? Are the activities and outputs of the program consistent with the overall goal and the attainment of its objectives?
Effectiveness	Measures the extent to which a program or a project attains its objectives.
Impact	Examines positive and negative changes as a result of the project. This includes direct and indirect effects and expected and unexpected effects.
Efficiency	Measures the outputs in relation to the inputs to determine whether the aid uses the least costly resources possible to achieve the desired results.
Sustainability	Sustainability relates to whether the benefits of the project are likely to continue after the closure of the project.

The JICA evaluation system has the following five features:

- 1 Evaluation throughout the project's PDCA cycle
- 2 Coherent methodologies and criteria for three schemes of cooperation
- 3 Cross-sectoral and comprehensive evaluation through a thematic evaluation
- 4 Ensuring objectivity and transparency
- 5 Emphasizing use of evaluation results

3

Cross-sectoral and comprehensive evaluation through a thematic evaluation

JICA conducts thematic evaluations to assess a group of projects comprehensively and cross-sectorally or analyze a specific development issue or assistance scheme. The thematic evaluation is conducted by selecting projects based on a specified theme and analyzing them from perspectives that differ from individual project evaluations, to derive recommendations and lessons learned which can be used across projects.

The challenge going forward is how to evaluate cooperation programs (a strategic framework designed to assist developing countries in achieving their specific mid- to long-term development goals), which JICA has been making efforts harder for, in line with the progress made to date in this endeavor. In response, JICA conducted the "Analysis to Enhance the Evaluability of JICA's Cooperation Programs" in FY2014, details of which are introduced on pp.52-54.

4

Ensuring objectivity and transparency

JICA has incorporated external evaluations according to project size in the ex-post evaluations which require objective verification of project implementation results for all three schemes of assistance; the findings of which are provided via the JICA website. JICA will continue making efforts to increase objectivity and transparency in its operations evaluations.

To improve evaluations, JICA has established mechanisms allowing the viewpoints of external parties to be reflected in the operations evaluation system. In this context, JICA receives advice on evaluation policy, as well as on the evaluation system and methodology from the Advisory Committee on Evaluation consisting of third-party experts (refer to p.7).

5

Emphasizing use of evaluation results

JICA's operations evaluations are not merely evaluations. The results also provide feedback to improve the "Action" phase of the PDCA cycle, which is also utilized as recommendations to improve the project and lessons learned for ongoing and future similar projects. JICA intends to further strengthen the feedback function to reflect the evaluation results in JICA's fundamental cooperation strategies.

At the same time, JICA makes efforts to reflect the evaluation results in its development policies, sector programs and the respective projects of recipient governments by feeding back the evaluation findings and by other means.

- | |
|---|
| ① Feedback to JICA's basic strategies
Improving JICA Thematic Guidelines, cooperation programs, etc. |
| ② Feedback to projects
Improving the target project, similar projects in progress or in preparation |
| ③ Feedback to partner government's policies
Feeding back to partner government's project, program, development policy, etc. |



Results of the operations evaluation are available on JICA's website:

http://www.jica.go.jp/english/our_work/evaluation/index.html

Pre Implementation Stage Evaluation (Ex-ante Evaluation)

To determine the needs for the project as well as set targets for project outcomes, JICA conducts the ex-ante evaluation.

What is pre implementation stage evaluation?

JICA conducts the ex-ante evaluation prior to project implementation to confirm the needs and priorities of the project, verify the project outline and anticipated outcomes, as well as establish indicators to measure the outcomes. During the ex-ante evaluation, JICA also confirms the implementations of appropriate safeguards after reviewing environmental and social considerations, as well as reflecting lessons learned from past projects.

Utilization of results of ex-ante evaluations

The results of the ex-ante evaluation conducted from this perspective are reflected in subsequent decision-making on project design and approach. Once the project commences, monitorings and evaluations are conducted based on the evaluation plan and indicators set at the time of the ex-ante evaluation.

Number of Ex-ante Evaluation Performed in FY2013*1

Technical Cooperation	94 projects
ODA Loans	49 projects
Grant Aid	68 projects

Evaluation at Pre Implementation Stage by Scheme

Scheme	Technical Cooperation	ODA Loans	Grant Aid
Evaluation scheme	Ex-ante evaluation		
Timing	Prior to project implementation		
Targets	In principle, all projects*2	All projects	In principle, all projects*3
Principals of evaluation	Internal evaluation		
Items evaluated and evaluation method	Confirming the needs and expected outcomes and verifying the plan of the project, in light of the Five DAC Criteria		

*1 Published as the Ex-ante evaluations performed in FY2013 (as of January 2015).

*2 In projects concerning less than 200 million yen, it is possible to apply a simple evaluation.

*3 JICA targets projects estimated at over 200 million yen for the implementation of a preliminary survey.

Post Implementation Stage Evaluation (Ex-post Evaluation)

JICA conducts ex-post evaluations to evaluate completed projects comprehensively and monitor whether the project's effectiveness, impact and sustainability will continue to manifest after project completion.

What is post implementation stage evaluation?

JICA performs an ex-post evaluation on completion of the projects that cost 200 million yen or more, the results of which are immediately presented to the public in an understandable form. While projects that cost over 200 million and under one billion yen are subject to internal ex-post evaluation*¹ by JICA overseas offices, those over one billion yen*² are evaluated by third-party evaluators (external ex-post evaluation) to ensure more objective evaluation. Ex-post evaluation is conducted uniformly for all three assistance schemes after completion of each project and a comprehensive analysis is performed using the Five DAC Evaluation Criteria. For external evaluation, a rating system*³ has been adopted to present the results in an easily understandable manner.

Utilization of results of ex-post evaluations

The recommendations and lessons learned gathered from these ex-post evaluations will be applied toward improving the project, as well as planning and implementing similar projects in future.

Number of Ex-post Evaluation Performed in FY2013

Technical Cooperation	(External Evaluation) 20 projects (Internal Evaluation) 27 projects
ODA Loans	(External Evaluation) 38 projects
Grant Aid	(External Evaluation) 18 projects (Internal Evaluation) 23 projects

Evaluation at Post Implementation Stage by Scheme

Scheme	Technical Cooperation	ODA Loans	Grant Aid
Evaluation scheme	Ex-post evaluation		
Timing	In principle, by 3 years after project completion		
Targets	All projects with contributions of 200 million yen or more	All projects with contributions of 200 million yen or more	General and Fisheries Grant Aid projects with contributions of 200 million yen or more implemented by JICA and some other sub-schemes
Principals of evaluation	External evaluation / Internal evaluation * ⁴		
Items evaluated and evaluation method	Based on the Five DAC Criteria		

*1 Refer to p.20 for the internal evaluation.

*2 For projects less than 1 billion yen but those are a high likelihood of gaining valuable lessons, ex-post evaluation is conducted.

*3 Refer to p.12 for the rating system.

*4 For projects over 1 billion yen and those where there is considered to be a high likelihood of gaining valuable lessons, external evaluations are conducted.

Internal evaluations are conducted by JICA's overseas offices for projects over 200 million yen and under 1 billion yen.

Thematic Evaluation

JICA conducts a comprehensive evaluation and analysis of JICA's cooperation in relation to a specific theme or development goal, the results of which are utilized for future cooperation planning and implementation to be more effective.

JICA conducts thematic evaluation based on a specific theme, such as region, sector and assistance methodology, for projects that are relevant to the theme and using an evaluation criteria established for each theme. This includes comprehensive analysis, which extracts tendencies and problems common to particular issues or compares and categorizes projects to extract common features and good practices. Comprehensive analysis and examination of the evaluation results elicit recommendations and lessons learned relating to the specific theme. Furthermore, JICA also endeavors to develop a new evaluation methodology.

Moving forward, JICA will also evaluate JICA's cooperation programs, which are strategic frameworks designed to support the achievement of developing countries' mid- to long-term development goals. Taking into account the fact that cooperation programs will be subject to future evaluations, JICA will need to verify from the ex-ante evaluation stage: Whether the goal and indicators for the cooperation program are clearly set; and whether there is a consistent cause/effect relationship between the overall goal of the projects that comprise the cooperation program and the goal of the cooperation program.

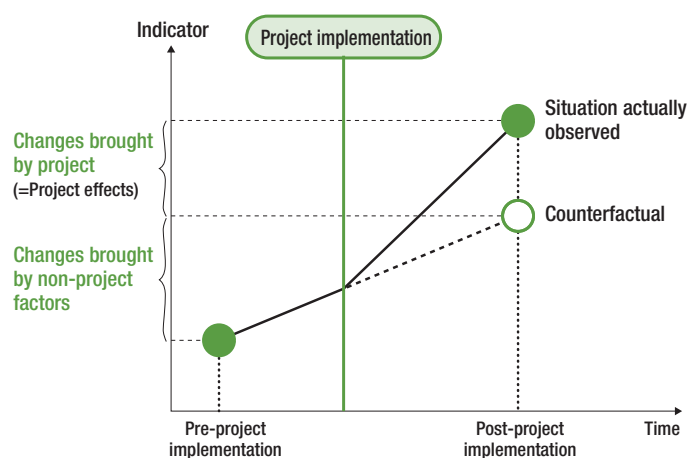
FY2014 Thematic Evaluation

- Extraction of "knowledge lessons" (a cross-sectoral analysis of evaluation results) (refer to p.42)
 - "Knowledge lessons" learned from nature conservation projects
 - "Knowledge lessons" learned from irrigation, drainage, and water management projects
 - "Knowledge lessons" learned from fisheries projects (inland aquaculture / fishery resource management)
 - "Knowledge lessons" learned from disaster management projects
- Analysis for Enhancing the Evaluability of JICA's Cooperation Programs

Impact Evaluation

To further enhance project effectiveness and quality, JICA has been promoting evidence-based project implementation and emphasizing the application of impact evaluation as a major tool for this purpose. Using statistical and econometric methods, impact evaluation assesses the changes in target society achieved by specific measures, projects, or development models to improve and solve development issues. JICA has introduced this evaluation method, in addition to those traditionally used to measure effects, for some projects to assess their effects more rigorously. These evaluation results can then be used as reliable evidence by JICA for project management and by partner countries for policy-making. In FY2014, impact evaluations were conducted for several projects, including the Technical Cooperation Project to Strengthen the Development of Human Resource for Health in Tanzania and the Technical Cooperation Project on Capacity Building to Disseminate Quality and Productivity Improvement (KAIZEN) in Ethiopia. Moreover, JICA's experience in impact evaluation was presented at an international conference co-hosted by the Asian Development Bank (ADB) and the International Initiative for Impact Evaluation (3ie) at the ADB headquarters in Manila, as described on p.57.

Conceptual Diagram of the Impact Evaluation: Comparison of situation actually observed and counterfactual situation



Advisory Committee on Evaluation

JICA established the Advisory Committee on Evaluation in July 2010 to enhance evaluations, strengthen feedback of evaluation results and consolidate evaluation accountability.

The Committee, chaired by Motoki Takahashi, Professor at the Graduate School of International Cooperation Studies, Kobe University, includes experts in international cooperation and evaluation from international organizations, academia, NGOs, media and private sector groups.

Outlines of expert advice provided by committee members during the meetings convened in August 2014 and January 2015 are as below.*1

List of Committee Members

(as of January 2015)

Chairperson	
Motoki Takahashi	Professor, Graduate School of International Cooperation Studies, Kobe University
Acting Chairperson	
Akifumi Kuchiki	Professor, College of Bioresource Sciences, Nihon University
Members (in alphabetical order)	
Hisashi Takanashi	Managing Director, Engineering and Consulting Firms Association, Japan (ECFA)
Kenichiro Yokoo	Director, International Cooperation Bureau, Keidanren (Japan Business Federation)
Kiyoshi Yamaya	Professor, Doshisha University Graduate School of Policy and Management
Kunihiko Hirabayashi	Director, UNICEF (United Nations Children's Fund) Tokyo Office
Masaichi Nosaka	Manager, Yomiuri Research Institute, The Yomiuri Shimbun
Toyokazu Nakata	Chairperson, Muranomirai
Yasuyuki Sawada	Professor, Faculty of Economics, Graduate School of Economics, The University of Tokyo
Yoshiko Homma	Lawyer (Yoshiko Homma Law Office) / Professor, The Graduate School of Law, Soka University

From the Meeting in August 2014

Increased efficiency and effectiveness of ex-post evaluation to use evaluation results strategically

- Although the concept of evaluating a group of projects as a program to enhance evaluation efficiency is the right direction for JICA, key to this approach will be the process and strategy on how to select projects for evaluation.
- The mid-term review and terminal evaluation reports of Technical Cooperation projects were replaced by regular monitoring sheets and project completion reports, respectively, both of which are to be prepared by project team members (e.g. consultants and experts) themselves. Attention should be paid to ensure this change does not undermine accountability.
- Recently, many Technical Cooperation projects are terminated within three years and sustainability is often problematic. They may have been evaluated mainly on outputs rather than outcomes. The results of the evaluation should be shared with project team members (e.g. consultants) to learn lessons for future projects.

Progress of the project evaluation plan in FY2014

- It is important to train JICA staff, particularly those assigned to overseas offices, on project evaluation. JICA should create a roadmap and further making efforts to accelerate human resource development.
- It is essential to link the two evaluation objectives: learning lessons from projects and ensuring accountability. In other words, JICA should consider how to share lessons learned from its activities with people outside the organization.
- JICA's efforts to promote the use of evaluation results are commendable. It is significant to make opportunities for each individual; not only to gain experience but also to share it with others. In particular, overseas office staff should be involved in this process.
- Although JICA's efforts to analyze and improve detailed technical aspects of the impact evaluation are worthy, it is more important to explore the most effective approach from a broader perspective.

From the Meeting in January 2015

Progress made in terms of improvement based on past recommendations of the Advisory Committee on Evaluation

- European and American donor agencies closely exchange views on aid effectiveness. JICA should strengthen its ability to convey opinions to play a leading role in the Asian donor community in future. Conversely, attention should be paid to ensure that the information dispatched does not take on a life of its own.
- Projects should be evaluated from the following three perspectives: (1) whether appropriate measures have been taken for partner countries; (2) whether the process was appropriate; and (3) whether there were any other options. In particular, the third perspective should be strengthened by promoting joint evaluation with other donors as well as third-party evaluation.

Comments on the draft of the Annual Evaluation Report 2014

- The Annual Evaluation Report has been made easy to read. It is essential to make it logically consistent from start to finish.
- JICA's efforts to convert lessons learned into knowledge are admirable. More emphasis should be placed on how to use and scale up knowledge.
- The public should feel it is inappropriate to evaluate efficiency by

comparing estimated and actual costs and assessing the timeliness of disbursement. Typically, things do not go as planned.

- In general, Japanese people care whether assistance reaches those in need, rather than whether inputs are transformed into outputs. By evaluating efficiency from a Japanese rather than international perspective and presenting the results to the world, JICA can convey Japan's message. Moreover, the existing flowchart of the rating system must be reviewed.
- There is a comment that "There is a gap between the technology JICA intends to transfer to developing countries and the latest technology used by the private sector; therefore, JICA should remain aware of the latest technological development in the private sector." This perspective should be taken into account evaluation.
- With regard to effectiveness, efficiency and sustainability in particular, JICA should consider whether to design projects assuming developing countries lack the capacity to absorb support; whether to assist them in building that capacity and whether to implement projects in cooperation with other donors to optimize finite resources.

JICA's efforts

To improve its evaluation methods and systems, JICA will adopt as many of the above recommendations as possible after carefully considering them, particularly on the strategic selection of projects for evaluation, the development of human resources,

the use of lessons learned for improvement, the publication of results and the improvement of the rating system, while taking into account resource limitations and the data available in project evaluation.

*1 The minutes of the Committee meetings are posted on the JICA website.

Toward Improving Operations Evaluation

To improve future projects, operations evaluations require a perspective of contributing to improve development outcomes by appropriately identifying project effects. In this chapter, some efforts to improve JICA's operations evaluations are described.

Introduction

JICA has been making efforts to further strengthen the PDCA cycle and enhance the quality of projects, to realize development outcomes and make them sustainable. Operations evaluation is critical for appropriately examining (evaluating) the extent to which development outcomes are achieved and ensuring that

lessons learned and recommendations obtained through the evaluation are reflected in operations. This chapter describes JICA's operations evaluation efforts to implement effective projects which have been undertaken since FY2014.

FY2014 Operations Evaluation Efforts

In FY2014, JICA continued to improve systems related to operations evaluation, adopt new evaluation methods, promote the use of evaluation results and support efforts to enhance the evaluation capacity of stakeholders; taking into consideration the advice received from the Advisory Committee on Evaluation (refer to p.7). Furthermore, JICA continued to carry out holistic cross-sectoral analyses of detailed operations evaluations as a whole and compiled lessons learned from individual evaluations of project implementation efforts to exhibit development effectiveness (refer to pp.13-14).

Publication of JICA Guidelines for Operations Evaluation (Second Edition)

JICA has made efforts to strengthen its evaluation system since the new JICA was established in 2008. In 2010, "New JICA Guidelines for Project Evaluation (First Edition)" were developed and used to ensure consistent evaluation across the three cooperation schemes of JICA. As several years have passed since the first edition was published, the need has arisen to revise the Guidelines to reflect changes in the project evaluation system (e.g. the introduction of internal evaluation into the ex-post evaluation system). The second edition of the "JICA Guidelines for Operations Evaluation" was created and published on the JICA website in 2014.

With the main aim of fulfilling accountability to the public, the second edition summarizes the principles of JICA's operations evaluation.

Points of JICA Guidelines for Operations Evaluation (Second Edition)

- (1) Purposes, objectives and basic principles of JICA operations evaluation and the concrete concept of evaluation in ex-ante and ex-post evaluations are compiled concisely.
- (2) The objectives of JICA operations evaluation are 1) ensuring accountability and 2) further improvement of projects through PDCA cycle, as hitherto.
- (3) As the basic principles of JICA operations evaluation, 5 items are specified: 1) ensuring quality of evaluations, 2) impartial attitude and ethical awareness, 3) ownership and communication, 4) accountability, and 5) effective feedback to project management.

JICA website

http://www.jica.go.jp/english/our_work/evaluation/tech_and_grant/guides/index.html

Efforts to improve the PDCA cycle of project management using lessons learned from evaluation

Various efforts have been made to use the evaluation results to improve projects management through the PDCA cycle. For example, a seminar for "Feedback of Operations Evaluation Results" was held this fiscal year to share the evaluation results with all project management departments. At the seminar, the findings and lessons learned from the evaluations performed during the previous fiscal year were presented to JICA staff and others concerned and shared across the organization. Moreover, a workshop-style training program "Learn from Ex-post Evaluations: How to Enhance the Effectiveness of Projects" was launched.

Meanwhile, JICA is working to analyze and convert the lessons learned from individual project evaluations into knowledge that can be easily applied to similar projects. In FY2014, practical and universal lessons were identified and systematized as "knowledge lessons (important lessons)" for four sectors: nature conservation; irrigation, drainage and water management; fisheries; and disaster management sectors (refer to pp.42-51).

Furthermore, JICA has developed Standard Indicator References covering a dozen sectors in each of two assistance schemes, Grant Aid and Technical Cooperation (refer to p.10). These References were created by selecting indicators that can be used to design new projects and classifying them by development objectives. JICA will promote the use of these References, as well as another existing references for ODA Loan projects, among JICA employees and others concerned. These documents are also available on the JICA website.

Many of the above-mentioned measures were implemented based on the recommendations made by the thematic evaluation in FY2013: "Analysis on the Improvement of Management System for Utilizing Lessons Learned in PDCA Cycle."

Developing a new evaluation mechanism

JICA has promoted a cooperation program approach to optimize the performance of cooperation schemes by integrating independent projects under the strategic framework of a "JICA cooperation program" to achieve specific, medium- to long-term, higher-level goals of developing countries.

To assess the achievements of JICA cooperation programs from a more objective perspective, JICA conducted a study to explore

how best to evaluate them by focusing on their evaluability. Please refer to pp.52-55 for more details.

Training to enhance the evaluation skills of JICA staff

Training programs, such as “How to Set Clear Objectives and Appropriate Indicators,” “Learn from Ex-post Evaluations: How to Enhance the Effectiveness of Projects,” and “Impact Evaluation Training,” were provided for JICA staff and others concerned to deepen their understanding of project evaluation so that they can use the evaluation results for improving projects. Moreover, training programs on “Introduction to Ex-post Evaluation” were organized for the relevant national staff in overseas offices.

Strengthening the network with other development partners

Against a global backdrop of emphasizing outcomes, many operations evaluations are implemented by international organizations, such as the World Bank and bilateral aid agencies. JICA exchanges information with the evaluation departments of such aid agencies. JICA believes that information obtained from these agencies can be utilized effectively, including consideration of how the evaluation sections support evaluations implemented by

operation sections, promotion of impact evaluation, the evaluation method of cooperation program. This year, JICA exchanged views with organizations, including the World Bank’s Independent Evaluation Group (IEG), Development Impact Evaluation (DIME) in the World Bank’s Research Group, Korea International Cooperation Agency (KOICA), Organisation for Economic Co-operation and Development/Development Assistance Committee (OECD-DAC) Network on Development Evaluation and the Asian Development Bank (ADB).

Moreover, JICA made presentations on its activities at international conferences on evaluation, such as the China-DAC Study Group Round Table, a forum held by the ADB Independent Evaluation Department, an international conference on impact evaluation co-sponsored by the ADB and 3ie and the ODA Evaluation Workshop; jointly organized by the Japanese Ministry of Foreign Affairs and the Malaysian Economic Planning Unit. In Japan, JICA also gave a presentation on its impact and ex-post evaluations and exchanged views with Japanese experts at a conference of the Japan Evaluation Society.

JICA-AFD Joint Evaluation

Column

Climate Change Program Loan in Indonesia

Although Indonesia is not listed in Annex I of the United Nations Framework Convention on Climate Change (UNFCCC), it is one of the worst-offending countries in the world in terms of greenhouse gas emissions; not only due to degradation of forests and peatlands but also soaring energy consumption driven by rapid economic growth. Moreover, its geographical and climatic conditions leave the country extremely vulnerable to climate change. In this context, the Government of Indonesia has been actively engaged on climate change issues, chairing the 13th UNFCCC Conference of Parties in December 2007, publishing the National Action Plan Addressing Climate Change, and developing other laws, regulations, plans, systems, and guidelines to promote measures to mitigate and adapt to the impacts of climate change.

To support the commitment of the Government of Indonesia to act on climate change, JICA and the French Development Agency (AFD) provided General Budget.

Support under the framework of a Climate Change Program Loan (CCPL) from 2008 to 2010, during which time 500 to 800 million US dollars were financed yearly. These funds were not targeted at individual climate change projects but directed toward the state treasury to support wide-ranging efforts of the Indonesian Government to mitigate and adapt to climate change, including institutional reforms.

JICA and AFD organized a joint ex-post evaluation to assess the results of the CCPL in 2012. This was the first

opportunity for JICA to assess a sequence of support effects from bottom to top (“inputs” – “direct outputs” – “induced outputs”) and vice versa (“impact” – “outcomes” – “induced outputs”). The external evaluators dispatched by JICA and AFD analyzed information collected from field visits, interviews, and document reviews. During the CCPL period, the Government of Indonesia established various laws and regulations addressing climate change and promoted reforms, while involving relevant ministries and state-owned and private companies in continuous policy dialog. Consequently, climate change measures were mainstreamed into Indonesia’s development agenda. The CCPL framework was found to directly and indirectly contribute to this, particularly in the following three aspects: (i) promoting coordination and information sharing among different stakeholders in Indonesia as well as with development partners; (ii) identifying the progress, attainments, obstacles, and challenges of climate change policies in the forestry, energy, and transportation sectors as well as adaptation measures; and (iii) introducing remedial actions and additional project assistance to address the challenges and issues identified in the results of monitoring and policy dialog. Conversely, the evaluation revealed several problems regarding the capacity of local governments to collect basic data and information on climate change and develop adaptation and mitigation measures based on the collected evidence.

¹ The World Bank also joined this co-financing program only in its third year, 2010.

Development of Standard Indicator References to Improve Project Evaluation

Introduction

Individual projects are evaluated to assess their effects, improve their performance and help enhance aid effectiveness. To assess the effects of projects more precisely, JICA has recently been making efforts to develop Standard Indicator References.

Thematic Standard Indicator Reference for Grant Aid Projects

To objectively and quantitatively describe the effects targeted by Grant Aid and Technical Cooperation projects implemented by JICA in developing countries, standard indicators for development issues and problems to be addressed have been compiled and classified by development objective.

"Thematic Standard Indicator Reference for Grant Aid Projects" comprises standard quantitative indicators in 12 major sectors: basic education; health; water supply; rural water supply/groundwater; transportation (roads, bridges, land transportation, aviation and ports); agricultural and rural development; fisheries; disaster management; information & communication technology; broadcasting; energy; and solid waste management. These indicators are classified based on the Development Objectives Chart (*) made for Thematic Guidelines.

Thematic Standard Indicator Reference and Major Lessons Learned for Technical Cooperation Projects

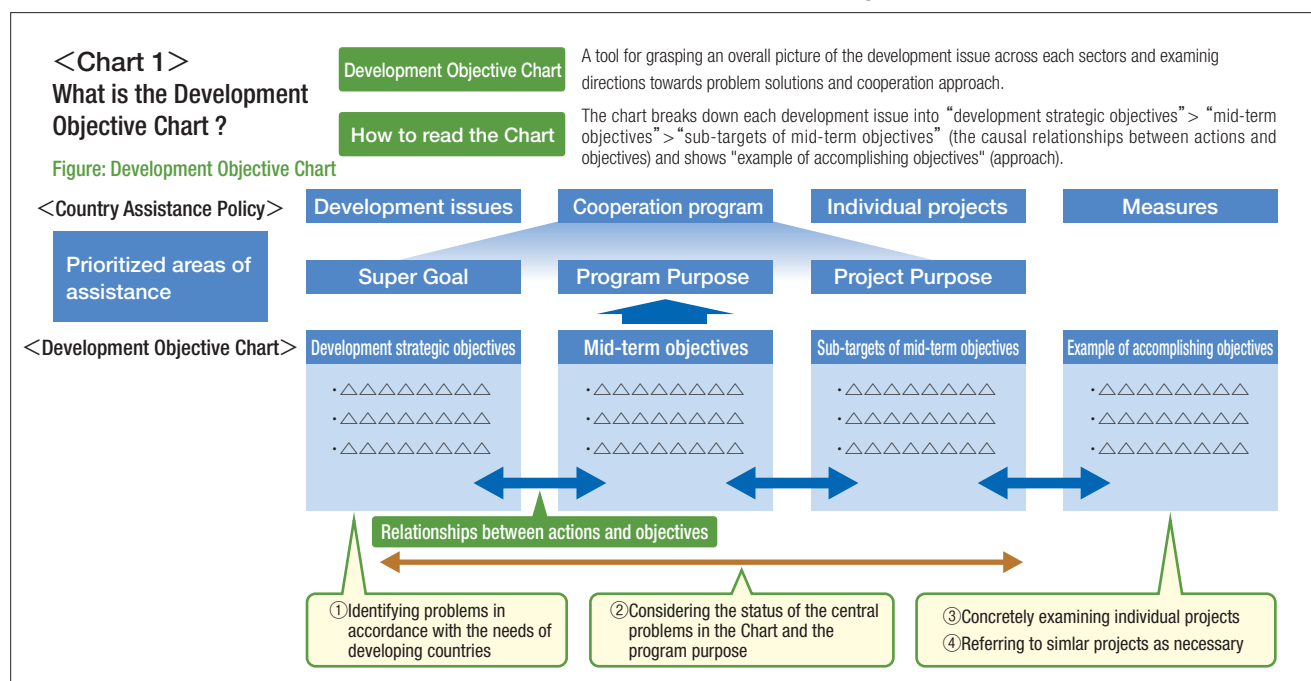
"Thematic Standard Indicator Reference and Major Lessons Learned for Technical Cooperation Projects" comprises indicators and major lessons learned, in 12 sectors (as of December 2014): basic education; disaster management; agricultural and rural development, small and medium enterprise promotion; trade and investment promotion; water resources; legal system development;

disability and development; gender and development; finance; health; and local administration. These indicators and lessons learned are classified based on the Development Objectives Chart made for Thematic Guidelines. The References will be further developed in other sectors.

* The Development Objectives Chart is a tree diagram that breaks down each development issue into "development strategic objectives", "mid-term objectives" and "sub-targets of mid-term objectives", and shows the causal relationships between actions and objectives to form an overall picture of the development issue across all sectors in developing countries (refer to Chart 1). This can contribute at the project planning stage to understanding the relevance between individual projects and development issues and set appropriate indicators based on clearer objectives. The Development Objectives Chart is expected to be used as a reference for those setting quantitative indicators, particularly at the project formulation and ex-ante evaluation stages.

Process to create the References / usage patterns / methods of use

These References were compiled through the following process: first, the Evaluation Department sorted indicators set for past projects and analyzed how they were used in individual project evaluations to draft a set of standard indicators, which was then edited under the technical supervision of relevant Thematic Departments and Senior Advisors. The Standard Indicator References are effectively used by overseas office staff when formulating projects as well as headquarters staff when designing project plans at the ex-ante evaluation phase and monitoring and evaluating projects. They are not only used by JICA staff to reference their work but also published on the website to facilitate their use by development consultants and others involved in ODA projects. Moreover, they are being translated into English for reference by local staff in overseas offices. Furthermore, JICA is doing its utmost to build capacity. In-house training is also provided for JICA staff using the References.



This paragraph describes how to use the Standard Indicator References by taking a set of indicators for a Technical Cooperation project as an example (refer to the chart below). At first, (1) refer to the Development Objective Chart to set a clear objective for the project and confirm its positioning in a cooperation program. Then, (2) set an Overall Goal, a Project Purpose and objective and measurable Indicators for the project. Next, (3) refer to Major Lessons Learned to consider their applicability. Finally, (4) refer to Examples of Project Objectives, as well as similar projects listed in the column of Reference Projects, to gain a clear picture of the project.

Operation and Effect Indicator Reference for ODA Loan Projects

JICA has also compiled "Operation and Effect Indicator Reference for ODA Loan Projects," in which indicators for ODA Loan projects are classified by sector. It covers 20 sectors, including the solid waste sector newly added in July 2014, as follows: thermal power generation; hydropower generation; wind power generation; power transmission and substation facilities; power distribution; gas; roads; railroads; aviation; ports; information & communication technology; irrigation and agriculture; river improvement; afforestation; water supply; water drainage; education; health; tourism; and solid waste. This document is not only used by JICA staff as a reference for their work but also published on the website.

Improvements by applying the References and issues to be concerned

The efforts to extract knowledge from experience and systematize it in a way to facilitate practical use have greatly contributed to improving project management by JICA staff. By transforming unorganized information into knowledge, JICA has made considerable strides. The use of these Standard Indicator References and other reference materials is expected to enhance the quality of project planning processes, such as project formulation by overseas office staff and project designing and ex-ante evaluation by headquarters staff.

Conversely, it is important to keep in mind that these Standard Indicator References and other reference materials are not a framework or tool to analyze and develop the process for producing specific effects. It is essential to set indicators on a case-by-case basis to properly describe the project purpose, which is defined based on an analysis of the status quo and development issues of the target country.

Related link:

• Standard Indicator Reference

http://www.jica.go.jp/english/our_work/evaluation/indicators/index.html

<http://www.jica.go.jp/activities/evaluation/indicators/index.html>

Thematic Standard Indicator Reference and Major Lessons Learned for Technical Cooperation Projects (Sample)

Point

- Standard Indicators for objectives at the program level (mid-term objectives) and project level (sub-targets of mid-term objectives) are listed, categorized by development issue type. This tree diagram enables those designing projects to always set clear objectives.
- In addition to Indicators, examples of Project Purposes are listed to facilitate understanding of the logic model of individual development issues.
- Lessons learned that need to be considered and applied are selectively listed (some of them are modified). This can reduce time required to find important lessons learned from a huge volume of data.
- Examples of previous projects are listed for reference.

Model (1) Training of Teachers (Improving the Classroom Practices of Teachers)

Development strategic objectives	Mid-term objectives	Indicators for objectives at the program level	Sub-targets of mid-term objectives	Examples of Overall Goal / Project Purposes and indicators	Method and policy of indicator setting	Major lessons learned	Example of operation purpose (Image of projects)	Reference project
Country Assistance Policy	Development issues to be addressed by cooperation programs	Indicators set in line with the objectives (target years and indicators) of the relevant sector / area development plans of the partner country	Development issues to be addressed by individual projects	By producing (outputs), the project will achieve (outcomes) and thus contribute to (impacts)	Points to consider and keep in mind when setting indicators	Lessons learned and potential risks that should be studied for the projects related to this mid-term objective (Analyzed from the two viewpoints: 1) Planning stage and 2) Management)		Information about the projects that should be referred to as good practices
E.g. "Basic Education" 1. Expansion of primary and secondary education	1-2. Enhancing the quality of primary and secondary education	(1) Completion / achievement rates of primary / secondary education (2) National / achievement test results (Improvements in the academic achievements of students)	1-2-1. Increasing the number of teachers and raising their awareness, knowledge and skills (Improving the classroom practices of teachers)	(Model description) By enhancing the motivation and knowledge of teachers for classroom practices, the project will improve the classroom practices of teachers and thus contribute to enhancing the quality of learning for students. (Standard indicators) 1. Standard indicator of the Overall Goal: (1) National test results 2. Standard indicator of the Project Purpose: (1) Achievement of the targets set for classes	- In the case of indicators such as "More than 3.0 points when assessed with the classroom achievement evaluation tool," it is necessary to set objective and understandable definitions and standards for the target values.	1) Planning stage: The reliability of data can be enhanced by comparing not only the changes in the target area over time but also the disparities between the target area and other areas or national averages. 2) Management: It is desirable that the counterpart organization bear the operating costs of teachers' training (e.g., daily allowances for trainers and traveling expenses for trainees) in order to ensure sustainability.	By organizing in-service training for primary math and science teachers in △△ area, the project will establish an in-service teacher training model and thus contribute to improving the classroom practices of teachers.	- Mathematics and Science Education Improvement Project in △△ - Study on In-service Teacher Training Improvement Plan in △△

① Verifying "setting of clear issues" and the status in cooperation program based on the "Development Objective Chart"

② Setting Overall Goal and Project Purpose of individual projects and objective and measurable indicators

③ Referring and utilizing major lessons learned

④ Referring similar project cases