



**Frequently Asked  
Questions regarding  
JICA's Project  
Evaluation**

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1. General questions regarding JICA's Project Evaluation	
1.1	The ex-ante evaluation focuses on the project planning, but I do not understand the meaning of evaluation that is conducted as part of this.
1.2	I do not understand the difference between the PCM method and JICA's evaluation method.
2. Evaluation questions	
2.1	I do not understand what the evaluation questions are.
2.2	I do not understand the relationship between the evaluation questions and the Five Evaluation Criteria.
3. Survey method when there is a problem with the logframe	
3.1	What should be done when the project purpose is simply a restatement of output?
3.2	What should be done when the overall goal diverges from the project purpose?
3.3	How are projects that have two purposes evaluated?
3.4	How are projects having vague plans or that have diverged from the initially prepared PDM evaluated?
4. Indicators	
4.1	What should be done when indicators are insufficient and do not match the project purpose?
4.2	How should the evaluation be conducted when it is deemed that target values are nonexistent or inappropriate?
4.3	How can target values be verified as being appropriate?
4.4	Do all indicators have to be seen as quantitative?
5. Evaluation method	
5.1	I am unclear on the meaning of the project's "logic."
5.2	How should evaluation results be presented when it appears that the project will not be able to fulfill its purpose?
5.3	The project is implementing activities that are not mentioned in the logframe and these activities are producing outputs. How are these outputs evaluated? Are they seen as indirect effects?
5.4	I do not understand what is the viewpoint of the implementation process and how it is utilized in the evaluation.
5.5	How are such items as level of enhanced functions, improved knowledge/skills, and empowerment evaluated?
5.6	When evaluating capacity improvement, etc., how are projects that were not well monitored up to the time of the evaluation evaluated?
5.7	How are projects that are implemented in collaboration with other donors or projects of the partner country's government that are partially assumed by JICA evaluated?

6. Five Evaluation Criteria	
6.1	Why are the Five Evaluation Criteria necessary?
6.2	Do all five of the criteria need to be examined even for small projects?
6.3	Is it sufficient to only discuss matching relevance with the development plan and aid policy?
6.4	When verifying effectiveness, how should the causal relationship with the outputs be considered?
6.5	How should impact be considered when determining whether it is a result of project implementation?
6.6	How should the efficiency of technical cooperation be considered?
7. Role of the Evaluation Grid	
7.1	Why is the Evaluation Grid necessary when the logframe exists?
7.2	I do not understand the connection between the Evaluation Grid and the logframe.
7.3	How do I keep the necessary data and the survey scope from taking on enormous proportions when preparing the Evaluation grid?
7.4	Even if I prepare an Evaluation Grid, I do not know how to use it.
7.5	Why is a PDME not used?
8. Partner country	
8.1	Is the partner country's participation in the evaluation necessary?
8.2	How should the evaluation proceed if the partner country has its own evaluation method?
9. Preparation of the Evaluation Report	
9.1	Is it necessary to prepare an English-language version of the report?
9.2	What points should be kept in mind when the persons in charge check the report?

1. Overall questions regarding JICA's Project Evaluations			
1.1	The ex-ante evaluation focuses on the project planning, but I do not understand the meaning of evaluation that is conducted as part of this.	The JICA ex-ante evaluation includes both "project planning" and "evaluation of plan content." The role of "evaluation" in the ex-ante evaluation is to verify the appropriateness of the project by looking at its plan via the Five Evaluation Criteria and to feed back any problems or issues that arise through this process into the planning. The objective is to formulate an appropriate project through this process.	Pg. 118
1.2	I do not understand the difference between the PCM method and JICA's evaluation method.	1.PCM method as a form of participatory evaluation - The PCM method is a method of project management that incorporates the "participation" concept. It is made up of 1) a method for formulating participatory plans through the implementation of participatory workshops, and 2) monitoring and	

	<p>evaluation methods. The PDMs that are used in this process and the Five Evaluation Criteria are also used in JICA's evaluation method.</p> <ul style="list-style-type: none"> <li>- JICA's Project Evaluation method that was explained in these guidelines was developed by bringing together the characteristics of JICA's technical cooperation projects and methods for managing these projects. Thus, they combine a variety of evaluation techniques needed in JICA's evaluation, such as the application of the logframe based on a logic model, verification of the implementation process, preparation of the Evaluation Grid, verification of causal relationships, methods for conducting quantitative and qualitative evaluations, etc. Accordingly, evaluations do not use only the PCM method.</li> <li>- For example, participatory workshops, which are a major characteristic of the PCM method, are utilized as a means for consensus building among concerned parties in the ex-ante evaluation and are producing effects. However, it is important to take note that doing this is not as sufficient as an ex-ante evaluation. In addition to baseline surveys and needs assessments, it is important to make full use of the above-mentioned evaluation techniques when conducting ex-ante evaluations.</li> </ul> <p>2. The PDM and the PCM method are not the same</p> <ul style="list-style-type: none"> <li>- The PDM, which is a project management tool used in the PCM method, is one form of logframe that is produced from the logic model. As a tool for project management, the logframe is widely used in not only the PCM method but also in other management methods. Thus, it should be noted that the PDM and PCM method do not refer to the same thing.</li> <li>- JICA uses the PDM (logframe) because it conducts evaluations utilizing the logic model, which is one of evaluation theories.</li> </ul>	
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2. Evaluation Questions			
2.1	I do not understand what the evaluation questions are.	<ul style="list-style-type: none"> <li>- The “evaluation” is an answer to questions regarding the project, and the evaluation questions are the starting point for finding this answer.</li> <li>- The evaluation questions compare the stages of the evaluated project and each element of the project’s content with the project purpose. They are set to cover items that must be targeted for verification. The department that is in charge of the project considers what items should be checked and what items would be useful in correcting and improving the project.</li> </ul>	Pgs. 51 - 54
2.2	I do not understand the relationship between the evaluation questions and the Five Evaluation Criteria.	<ul style="list-style-type: none"> <li>- JICA uses the Five Evaluation Criteria as the basis for its project evaluations, and, in essence, the project evaluation (value judgment) is made by taking the five criteria into account. When considering specific evaluation questions, it is easier to set questions by looking at each criterion. The person in charge may select those items among the five criteria that require emphasis and those that do not.</li> <li>- However, in evaluations on a specific theme, the evaluation question and the specific theme are the same. In those cases, the Five Evaluation Criteria may not be used as a foundation.</li> </ul>	Pgs. 51 – 54

3. Survey method when there is a problem with the logframe			
When designing the evaluation, the evaluation team understands the project’s content and logic by referring to the logframe. If the team notices anything inconsistent with the content of the logframe, it can take action as follows.			
3.1	What should be done when the project purpose is simply a restatement of output?	<ul style="list-style-type: none"> <li>- Two cases can be assumed. First, the concepts behind the outputs and project purpose seem to be restatements of each other because concerned parties do not understand them well. Second, there is a problem with</li> </ul>	Pgs. 38 - 40

	<p>Example</p> <p>Project purpose: To disseminate technology appropriate to Country A to model farmers</p> <p>Outputs:</p> <p>1) Technology B, which is appropriate for Country A, is developed</p> <p>2) Technology B is disseminated to model farmers</p>	<p>expression (sentences should say different things but are not expressed well).</p> <p>- If there is a clear restatement, check to see whether or not the content of the logframe properly reflects the actual project. The method for doing this involves a review of project reports and monitoring information and interviews with concerned personnel. If the project purpose and outputs are understood as they should be (i.e., if it is determined that the descriptions in the logframe are not reflected in the actual project), these items should be reflected in the evaluation questions of the Evaluation Grid. If a field survey must be conducted to clearly identify the initial concepts, list “what are the project purpose and outputs being sought initially” as evaluation questions in the Effectiveness and Efficiency columns of the Evaluation Grid. Then conduct a survey by focusing on interviews with related persons and reviews of materials. Then, based on this, re-verify the project’s effectiveness and efficiency.</p> <p>- In the latter case, there are many cases in which indicators differ, even if they are expressed the same in the project outline. Thus, it is first important to look at the indicators. (In the case at left column, if the indicator for Output 2 refers to the level of technical improvement of farmers, and the indicator for the project purpose points to improvement in crop productivity, they cannot be described as a simple restatement of each other.)</p>	
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3.2	<p>What should be done when the overall goal diverges from the project purpose?</p>	<p>- Look to see whether or not the description of the overall goal properly describes the actual conditions of the project (e.g., do project personnel have a view of the overall goal that</p>	<p>Pgs. 38 - 40 Pg. 192</p>
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		<p>matches the description?) The means of doing this include reviews of project reports and monitoring information as well as interviews with concerned persons. In cases where the content of the overall goal is understood as it should be (i.e., if it is deemed the descriptions in the logframe don't properly reflect the actual conditions), this point should be reflected in the evaluation questions of the Evaluation Grid. In cases where this cannot be confirmed without a field survey, "what should the overall goal be?" should be listed as an evaluation question in the Impact column of the Evaluation Grid. Then a survey should be conducted with a focus on interviews with concerned parties and reviews of materials. Project impact should then be re-verified.</p>	
3.3	<p>How are projects that have two purposes evaluated?</p>	<ul style="list-style-type: none"> <li>- Two cases can be assumed: First, two goals are presented even though they could be expressed as one. Second, a multiple number of projects exist within one program.</li> <li>- In the former case, have a discussion with concerned persons so as to focus on one goal when drawing up the evaluation design. If the goals cannot be boiled down into one, the project must be evaluated as separate, individual projects.</li> <li>- In cases where there are many projects, and it can be assumed that they are brought together under a program, conduct the evaluation by considering the program's goal. For example, if there is an overall program that covers several fields, and there are logframes that focus on each field, verify the performance, implementation process, efficiency, and effectiveness for each logframe; then conduct an evaluation by building a logframe for the overall program that looks into relevance, impact, and sustainability (the project groups are implemented based on the same strategy, so it</li> </ul>	Pgs. 38 - 40

		should be possible for them to share project purposes and overall goals).	
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3.4	How are projects having vague plans or that have diverged from the initially prepared PDM evaluated?	<ul style="list-style-type: none"> <li>- If a project has a vague plan, first try to arrange the project to be evaluated by making full use of the project's logic model and assembling a project framework. When doing this, refer to qualitative information gained through reviews of project documents and related reports, interviews with those concerned, etc.</li> <li>- Based on this, examine evaluation questions, judgment standards, data collection methods, etc., and prepare an Evaluation Grid.</li> <li>- For projects that have vague plans or are not logical, there are cases where it may be difficult to focus on which of the many outcomes is the "project purpose" and which are "indirect effects." This is particularly true of projects where the project itself is the direct result, and where there is no awareness of long-term results. In cases such of these, it becomes impossible to conduct a close evaluation of "Effectiveness" and "Impact" among the Five Evaluation Criteria. Therefore, conduct the evaluation within a feasible scope after deciding to explain these limitations in the Evaluation Report. This kind of evaluation is not meaningless because there is the possibility that concrete recommendations and lessons learned pertaining to problems at the planning stage (e.g., vagueness in the intended results, lack of awareness among project personnel, and management problems) can be extracted.</li> </ul>	Pg. 38 - 40
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4. Indicators			
4.1	What should be done when indicators are insufficient and do not	- If indicators are judged to be insufficient or inappropriate, the evaluation team should consider new indicators and conduct an	Pgs. 41 - 43



	match the project purpose?	<p>evaluation that is in line with these indicators.</p> <p>- In this case, there is a high probability that problems will emerge in project performance which is understood through monitoring. Thus, it can be assumed that the focus of the evaluation will not extend beyond the verification of performance due to time limitations. In this case, it is important to clearly note such limitations in the Evaluation Report using the following kinds of statements: a) a full evaluation could not be conducted on the causal relationship verification, etc., b) as a result, the monitoring framework and mid-term evaluation were insufficient (in the case of terminal evaluations), and c) because the evaluation could not be implemented with inappropriate indicators, it is important to properly scrutinize the relevance of indicators by taking opportunities presented not only in the ex-ante evaluation but also in monitoring.</p>	
4.2	How should the evaluation be conducted when it is deemed that target values are nonexistent or inappropriate?	<p>- The evaluation team can set a reasonable scope of comparison criteria for the evaluation (e.g., average values for the country, international judgment standards, etc.)</p>	Pg. 61
4.3	How can target values be verified as being appropriate?	<p>- When generally classified, most problems with target values verification fall into one of the following three patterns. Please refer to them when conducting evaluations.</p> <ol style="list-style-type: none"> <li>1. Cases where the needs of beneficiaries are listed as the target values without modification. It is important to re-determine whether or not these criteria are appropriate by matching them against the project scale and activities.</li> <li>2. Cases in which it is not clear how the number of targeted people was determined. For</li> </ol>	

		<p>example, if the target value is “200 extension workers will be trained,” there is no mention of why the number 200 is relevant (e.g., what impact will this have on the dissemination system, etc.).</p> <p>3. Cases in which, although “level of satisfaction” and other items are quantified and set as target values, the reasons behind these quantities are unclear. For example, if the target value is “50% of the training participants are satisfied,” the basis for the 50% figure is unclear.</p>	
4.4	Do all indicators have to be seen as quantitative?	<ul style="list-style-type: none"> <li>- As a rule, indicators should be seen as quantitative in order to preserve objectivity. However, in cases where this is difficult, it is possible to conduct an evaluation by indicating qualitative grounds that are acceptable to concerned parties. For example, it is possible to use “acquirement of international qualifications (e.g., ISO9000, etc.)” or “issuance of certificates from an authoritative body.”</li> <li>- The important point is to confirm whether or not the items that are being used as grounds for the evaluation are accepted by concerned parties.</li> </ul>	Pgs. 41 - 43

5. Evaluation method			
5.1	I am unclear on the meaning of the project’s “logic.”	<ul style="list-style-type: none"> <li>- The evaluation verifies whether or not inputs or activities truly lead to the results that were initially intended. Projects determined to have a “high rate of incidence” of this are seen as “logical.” It is important to consider plans that have the highest probability of producing the desired outcomes after giving full consideration to the “important assumptions” of the logframe (in the evaluation and research field, the term “plausible” is often used.)</li> <li>- Although the “if-and-then” approach of the logframe can be used as a reference to confirm</li> </ul>	Pgs. 33- 38

		<p>logicality, it is important to consider the following viewpoints to confirm the relevance of its content:</p> <ol style="list-style-type: none"> <li>1. Refer to the experiences of similar projects.</li> <li>2. Learn which methods are effective for each field (it is necessary to engage experts and consultants to do this.)</li> <li>3. Study the implementation methods of other donors.</li> <li>4. Consider domestic experience in the target field.</li> </ol>	
5.2	How should evaluation results be presented when it appears that the project will not be able to fulfill its purpose?	<ul style="list-style-type: none"> <li>- Describe the grounds for the low chance of achieving the project purpose (results of indicator measurements, etc.), and analyze and explain the factors that hindered progress and led to this situation. The evaluation will gain significance if these are reflected in the recommendations and lessons learned. Because the evaluation is conducted to improve the project, it is important to clearly note the reasons why it has a low rate of achievement.</li> </ul>	Pg. 40
5.3	The project is implementing activities that are not mentioned in the logframe and these activities are producing outputs. How are these outputs evaluated? Are they seen as indirect effects?	<ul style="list-style-type: none"> <li>- The fact that project activities are being carried out means that they are using project input to some extent, and therefore they are not indirect effects.</li> <li>- If these additional activities can be included as a part of the project's activities (and if there are no problems in terms of logic), then conduct the evaluation by including them.</li> <li>- In the event that there is no direct connection between the additional activities and the project purpose and outputs, study the background as to why these activities were added as well as their relevance. For example, if these activities were implemented because of excess input, this leads to questions about the relevance of the input plan and implementation process. Or, if the additional activities are contributing to output</li> </ul>	Pgs. 38 - 40

		production or attainment of the project purpose, they may be evaluated as promoting factors.	
5.4	I do not understand what the viewpoint of the implementation process is and how it is utilized in the evaluation.	<p>- Information on the implementation process includes the status of activity implementation and items that occur at the project site. Therefore, there is a lot of qualitative information on such items as communication between experts and counterparts, the relationship between the project and beneficiaries, and the relationship between JICA Headquarters and the project. Although some of these items may not be understood simply by measuring indicators' target values, they can have an impact on project management.</p> <p>- Information on the implementation process can often be used when analyzing hindering and contributing factors in a project (e.g., identification of "implementation failure.") Thus, when studying each of the Five Evaluation Criteria, look at the correlation between the implementation process-related information and the results of the criteria studies. In cases where some correlation is confirmed (but not enough to demonstrate a causal relationship), conduct interviews and questionnaires to look for a causal relationship at a deeper level.</p>	Pgs. 46- 47
5.5	How are such items as the level of enhanced functions, improved knowledge/skills, and empowerment evaluated?	- Even for items that at first glance appear difficult to measure (function enhancement, improvement in knowledge/technology, empowerment, etc.), it is possible to conduct evaluations by establishing substitute indicators, etc. For example, in the case of function enhancement, concretely consider the function that is to be enhanced. If the aim is to enhance capacity to implement training, it is possible to evaluate the "enhanced ability to implement training" by looking at 1) the implementation process and the appropriateness of its	Pgs. 41 - 43

		<p>sequenced activities including planning and implementation of training, self evaluation, and review of training plans (a number of indicators will be required to measure these items), and 2) whether or not participants in the training and experts who engaged in technology transfer view the training as “appropriate” (detailed indicators to determine how appropriateness is viewed are required.)</p> <p>- In the same way, consider substitute indicators for knowledge/technical improvement and empowerment. Looking at capacity building for human resources, in many cases (except for basic education), it is targeted as a tool where people accomplish some sort of goal, and it is possible to use indicators to measure the exact benefits and positive changes that have occurred. For example, as a result of efforts to enhance knowledge, did people find employment? Or, as a result of efforts toward empowerment, did citizens’ influence on policy increase (e.g., number of policy recommendations, etc.). Or, again as a result of empowerment, did the activities of community youth groups become stimulated (examples of actual activities, etc.).</p> <p>- The following main methods can be used to measure these indicators:</p> <ol style="list-style-type: none"> <li>1. Measurement of capacity building by comparing test scores before and after project implementation.</li> <li>2. Measurement of capacity building by using a rating sheet that was developed prior to the project.</li> <li>3. Comparison of the abilities of people that were targeted by the project and those that were not.</li> <li>4. Examination of qualifications (widely recognized evaluations) obtained to show acquirement of skills.</li> </ol>	
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5.6	When evaluating capacity improvement, etc., how are projects that were not well monitored up to the time of the evaluation evaluated?	<ul style="list-style-type: none"> <li>- If a baseline survey or monitoring up to the time of evaluation have not been implemented, it is impossible to grasp changes using before/after comparisons or regular measurements. Consequently, the evaluation will have little persuasiveness. However, it is possible to make comparisons of changes with people or societies in neighboring regions where the project is not being implemented. If even this cannot be done, conduct surveys using different methods on information sources that are as different as possible (i.e., trilateral verification) and try to raise data objectivity, etc.</li> </ul>	Pgs. 62 - 63 Pgs. 77 - 78
5.7	How are projects that are implemented in collaboration with other donors or projects of the partner country's government that are partially assumed by JICA evaluated?	<ul style="list-style-type: none"> <li>- For projects that are implemented in collaboration with other donors and partner governments, conduct the evaluation by viewing the "project" as a part of a "program."</li> <li>- In this case, although the overall goal of the JICA project is the goal of the "program," in all cases the project purpose is the benefit expected to be expressed through implementation of the JICA "project."</li> <li>- There is a high probability that the activities and goals of projects by other donors and partner governments will become important assumptions of the JICA project. Thus, it is important to engage in communication with these donors/governments about the demarcation of roles and responsibilities. Furthermore, in the interest of sharing program goals, it is desirable to have discussions beginning at the planning stage that include the validity of each side's project strategy.</li> </ul>	Pgs. 43- 44

6. Five Evaluation Criteria			
6.1	Why are the Five Evaluation Criteria necessary?	<ul style="list-style-type: none"> <li>- The Five Evaluation Criteria form the basis for evaluation of the project's value from a comprehensive perspective. While of course it is possible to conduct an evaluation without the</li> </ul>	Pgs. 21 - 22 Pgs. 55- 59

		<p>Five Evaluation Criteria, for JICA, they form the foundation for evaluation (i.e., the minimum level that must be studied) because they cover all of the items needed to make a general evaluation of a development assistance project.</p> <ul style="list-style-type: none"> <li>- For example, even for effective projects whose goal is attained through project implementation from the effectiveness viewpoint, development assistance loses its significance if the outcomes are limited to a certain group of people (not fair distribution: relevance viewpoint). The same is true if a project is effective but has costs that are higher than necessary (efficiency viewpoint) and therefore sustainability cannot be expected. In order to evaluate the validity of public-benefit sector projects (which cannot be measured simply using rate of profitability and profit ratios, as is the case with the private sector), it is important to conduct checks from multiple standpoints.</li> <li>- On the other hand, the priority placed on verification of each of the Five Evaluation Criteria varies according to the type of project and the issues involved. For example, in the case of a small-scale project, it may not be appropriate to conduct a questionnaire survey, which costs money, and therefore other simple verification methods must be employed. Or, if people concerned are aware that efficiency is a primary concern for the project, it may be necessary to conduct a survey that puts more emphasis on the verification of efficiency.</li> </ul>	
6.2	Do all five of the criteria need to be examined even for small projects?	<ul style="list-style-type: none"> <li>- Although there may be some differences in the importance placed on the five criteria, all of them should be examined.</li> <li>- For ex-ante evaluations of small projects, particular attention should be paid to "relevance," and at the very least, the questions "will results be produced?" and "is the project too</li> </ul>	

		<p>expensive?" etc., should be studied in terms of efficiency and effectiveness in order to ensure accountability.</p> <ul style="list-style-type: none"> <li>- The scope of the evaluation and data collection should be conducted appropriately within the budget. In cases in which wide-ranging studies cannot be conducted due to budgetary limitations, review documentation and materials to the maximum extent possible.</li> </ul>	
6.3	Is it sufficient to only discuss matching the relevance with the development plan and aid policy?	<ul style="list-style-type: none"> <li>- No, it is not sufficient. What must not be forgotten is the viewpoint that examines whether the strategy and means for making the project effective against a development issue in the partner country are appropriate. Examples include methods for technical transfer, establishment of activities, and selection of targets and regions.</li> <li>- In ex-ante evaluations, evaluate the relevance of the strategy based on baseline surveys and needs assessments. We need to be always aware that participatory workshops by themselves are not always enough.</li> </ul>	Pg. 56
6.4	When verifying effectiveness, how should the causal relationship with the outputs be viewed?	<ul style="list-style-type: none"> <li>- When looking at the causal relationship between effect and implementation of a technical cooperation project, the most commonly used method is a combination of two elements: 1) comparison of conditions before and after project implementation, and 2) evaluation to determine whether produced items, skills, and services that form the output of the project are being used to fulfill the project purpose or are tied to fulfillment of the project purpose.</li> <li>- In before/after comparisons, baseline data that was collected in the ex-ante evaluation or immediately after project commencement are required. When looking at the connection to the output, if the project purpose is, for example,</li> </ul>	Pgs. 62 - 63 Pg. 188



		<p>“to improve the training capacity of training institutions in the partner country,” study the degree to which skills that were newly acquired through the project (i.e., output) are being utilized, the degree to which the skills are being taught appropriately, etc. It is also possible to verify whether provided equipment and materials (i.e., output) are being used.</p> <ul style="list-style-type: none"> <li>- Furthermore, study to see if the project is being influenced by the important assumptions mentioned in the logframe as well as other assumed external elements.</li> </ul>	
6.5	How should impact be considered to determine whether it is a result of project implementation?	<ul style="list-style-type: none"> <li>- Basically, the same method described above in the case of effectiveness can be used. However, in the case of impact, it is important to bear in mind the fact that impact is the effect that emerges after a certain amount of time has passed following project implementation, and that there may be a large amount of influence by non-project-related uncertainties.</li> <li>- Of the items included under “impact,” the overall goal involves the benefit that reaches the end beneficiaries and that covers a wide range. Because of this, sampling surveys and comparisons with “regions and people that are not targeted by the project” within a feasible scale should be carried out. Although it is difficult to specify these regions and people, to collect baseline data, and to view changes in impact (including before/after comparisons) prior to the project’s implementation, it is possible to make comparisons with people, regions, and organizations that have very similar qualities within a limited range. For example, there was an instance when, in a project to foster science and mathematics teachers, comparisons were performed on students’ science and math test scores and between students who were taught by trained teachers and those that were not. (The test was conducted on a national scale and</li> </ul>	Pg. 62 - 63

		was not part of a project.)	
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6.6	How should the efficiency of technical cooperation be considered?	<p>- “Efficiency” is a viewpoint that considers whether or not invested resources have arrived in a timely manner, whether they were used as cheaply as possible, and whether outcomes were obtained. For example, the judgments that “the necessary materials and equipment were procured as cheaply as possible on-site” and “the number of long-term experts was minimized through the use of as many third-country experts as possible” represent evaluations of efficiency. If possible, cost comparisons with less efficient cases will add persuasiveness.</p> <p>- Within a feasible scale, conduct comparisons with similar projects using cost estimation. For example, estimate the unit cost for each output and look to see if it is within appropriate limits. If it is difficult to estimate unit cost, it is possible to compare general costs using targets of the same scale and projects having similar output. At present, JICA does not have a sufficient store of data to compare efficiency (efficiency of similar projects.) Because of this, there may be cases where it is impossible to conduct an adequate evaluation when costs are calculated (value judgment through comparison). It will thus be important to accumulate these data by expressing costs in tables whenever possible.</p> <p><u>Example: Comparison of input cost</u></p> <p>1. Comparison of costs needed for different strategies within a project:</p> <ul style="list-style-type: none"> <li>- Savings of input costs by inputting local equipment and materials (comparison with overseas procurement.)</li> <li>- Savings of input costs by limiting the number of long-term experts and dispatching</li> </ul>	Pg. 57
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		<p>short-term experts in a timely manner.</p> <p>2. Comparison with projects of the same size and having a similar cooperation content.</p> <ul style="list-style-type: none"> <li>- Comparison of overall investment costs.</li> </ul> <p><u>Input cost for each output/input</u></p> <p><u>(Comparison with similar projects)</u></p> <p>Comparison of cost needed to conduct a training session (1 session), comparison of cost needed to develop new technology, comparison of cost needed to build a simple waterworks facility (1 location), etc.</p> <p><u>Project purpose/investment cost (comparison with similar projects)</u></p> <p>Comparison of cost needed to train one participant so that he/she can find employment within six months after completing training, comparison of cost needed for one household to execute a family plan, etc.</p>	
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7. Role of the Evaluation Grid			
7.1	Why is the Evaluation Grid necessary when the logframe exists?	<ul style="list-style-type: none"> <li>- The logframe is a tool to be used when planning and managing the project. The Evaluation Grid is a tool to be used when evaluating the project.</li> <li>- The Evaluation Grid describes how the evaluation is to be implemented. It therefore covers the evaluation questions, data to be collected, collection methods, evaluation standards, etc. On the other hand, the logframe is a table that provides an overview of the plan for the project to be evaluated; it provides information needed when studying evaluation methods.</li> </ul>	Pg. 82
7.2	I do not understand the connection between the Evaluation Grid and the logframe.	<ul style="list-style-type: none"> <li>- Indicators, target values, and stages for inputting indicators that are noted in the logframe can not always be utilized in the evaluation as they are. Sometimes they are</li> </ul>	Pg. 49-50 Pg. 82

		<p>inappropriate. Therefore, the evaluation team must carefully examine whether these items can be utilized as they are.</p> <ul style="list-style-type: none"> <li>- When examining the evaluation method using the Evaluation Grid, other information that is not included in the logframe is required. For example, when looking at relevancy, information on the development plan, the background behind establishment of the aid strategy, etc., which are not included in the logframe, become necessary.</li> <li>- Also, in the area of “impact,” the need to identify the various elements surrounding the project, which are not listed in the logframe, arises when looking for indirect effects.</li> </ul>	
7.3	How do I keep the necessary data and the survey scope from taking on enormous proportions when preparing the Evaluation grid?	<ul style="list-style-type: none"> <li>- Because time and money for evaluations are ordinarily limited, it is necessary to narrow down the evaluation methods. When doing this, various perspectives should be considered, including 1) what sort of data is absolutely essential to answer the evaluation questions, and 2) is there a high probability that data can be obtained.</li> <li>- When preparing a question sheet based on the Evaluation Grid, bear in mind that the sheet should be practical (e.g., a question sheet of 10 pages is not appropriate.)</li> <li>- However, in order to raise the credibility of the data, it is also important to conduct an evaluation that combines as many methods as possible. For example, when looking at the effects that building a well will have, it is not enough to simply interview a person from the implementing agency; it is also important to collect data from numerous other sources, including users, women’s organizations in a community, and the water association. “Narrowing down” evaluation methods does not mean to select only one method.</li> </ul>	Pg. 82
7.4	Even if I prepare an	- After preparing the Evaluation Grid, prepare a	Pg. 82

	Evaluation Grid, I do not know how to use it.	<p>“study sheet” and “list of documents to be collected” based on the grid and prepare the evaluation.</p> <ul style="list-style-type: none"> <li>- Use the grid to check whether or not collected data is missing while performing the evaluation.</li> </ul> <p>After collecting data, analyze responses for each evaluation question by returning to the evaluation questions in the Evaluation Grid. The results can be compiled into the Evaluation Report.</p>	
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7.5	Why is a PDME not used?	<ul style="list-style-type: none"> <li>- Originally, the PDME was introduced as a tool for verifying possibilities for implementing an evaluation on the target project. However, during this process, an operational error – “redo the project into one that is easier to evaluate” – would occasionally occur, which often caused confusion at the project site.</li> <li>- Because the conventional PDM is a table that provides an overview of a project’s plan, it has the disadvantage of not covering all of the information that is needed for evaluation. That is why it was decided to properly design evaluations by preparing the Evaluation Grid.</li> </ul>	Pg. 82
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8. Partner country

8.1	Is the partner country’s participation in the evaluation necessary?	- Because JICA’s projects are being jointly implemented with the partner country, it is absolutely essential that the evaluation also be jointly implemented with the partner country. All steps – from evaluation design to data collection and analysis and evaluation results – are performed jointly with sufficient discussion.	Pgs. 109- 110
8.2	How should the evaluation proceed if the partner country has its own evaluation method?	- The logic model used by JICA is a general methodology for evaluation. And DAC’s Five Evaluation Criteria are used by many donors and thus do not in themselves represent a special methodology. Because of this, it is assumed that JICA’s logic model has many points in common with the evaluation methods used in	

		<p>JICA's partner countries. However, an agreement should be reached on a common evaluation method after closely examining the evaluation methods of both sides.</p> <p>- Because evaluations always have a purpose, new evaluation standards that are thought to be necessary after comparing purposes can be appropriately employed. It is important to move forward with the evaluation questions and data collection/analysis appropriately by constantly keeping the reason for the evaluation in mind.</p>	
9. Preparation of the Evaluation Report			
9.1	Is it necessary to prepare an English-language version of the report?	<p>- It is essential that an English version of the Evaluation Report be prepared so that the evaluation results can be shared with the partner country and so that the results can be utilized in later projects and cooperation. Although a Minutes of Meetings (M/M ) is prepared at the end of the evaluation, there are many items that are not included in the Minutes. Therefore, an English-language Evaluation Report is prepared as a final step.</p>	Pg. 113
9.2	What points should be kept in mind when the persons in charge check the report?	<p>- Close attention should be paid to insure that the following main items are included in the report.</p> <ol style="list-style-type: none"> <li>1. Is project performance understood exactly?</li> <li>2. Is the causal relationship between the effects and the project verified?</li> <li>3. Are the grounds for evaluation judgments mentioned precisely?</li> <li>4. Are contributing and hindering factors properly analyzed?</li> <li>5. Are the results of verification of the implementation process utilized in the analysis of contributing and hindering factors?</li> <li>6. Are recommendations and lessons learned precisely based on the evaluation results?</li> </ol>	Pg. 113

## **Attached Materials**

- I. What is the Logical Framework?
- II. What is Participatory Evaluation?
- III. What is Performance Measurement?
- IV. List of Reference Documentation

## **Attached Material 1: What is the Logical Framework?<sup>17</sup>**

The “logical framework” (also known as the “logframe”) is literally a logical framework utilized to manage a project (Table 1-1)<sup>18</sup>. Used in the development assistance field by the United States since the latter half of the 1960s as a project plan table, it is currently utilized in the results-based management (RBM) flow as the primary tool for clarifying goals and arranging the indicators needed to measure outcomes.

JICA uses the logframe to formulate and manage technical cooperation projects, which are a means toward solving development issues. Accordingly, it is important to give full consideration to 1) the fact that the logframe is always positioned as a part of a major development issue (see Chart 1-1) and 2) the fact that the logframe should be modified as required in monitoring during project implementation and at the mid-term evaluation. Also, while the logframe shows the content of the project’s composition and the logicity of its plan, it is simply an overview chart. Thus, it is important to bear in mind that it does not explain all items (e.g., project background, detailed activities, the project operation structure, detailed content of technical cooperation, etc.)

The logframe is an “outline table of the project plan” that compiles the project strategy into a four-row by four-column matrix. Specifically, it displays the composite elements of the project (the overall goal, project purpose, outputs, activities, and inputs), constructs the linked relationship between “causes” and “results,” and puts the expected values of the goals and outcomes in the form of indicators prior to the project’s implementation. At the same time, it identifies the “important assumptions” that may have an impact on the project’s success or failure.

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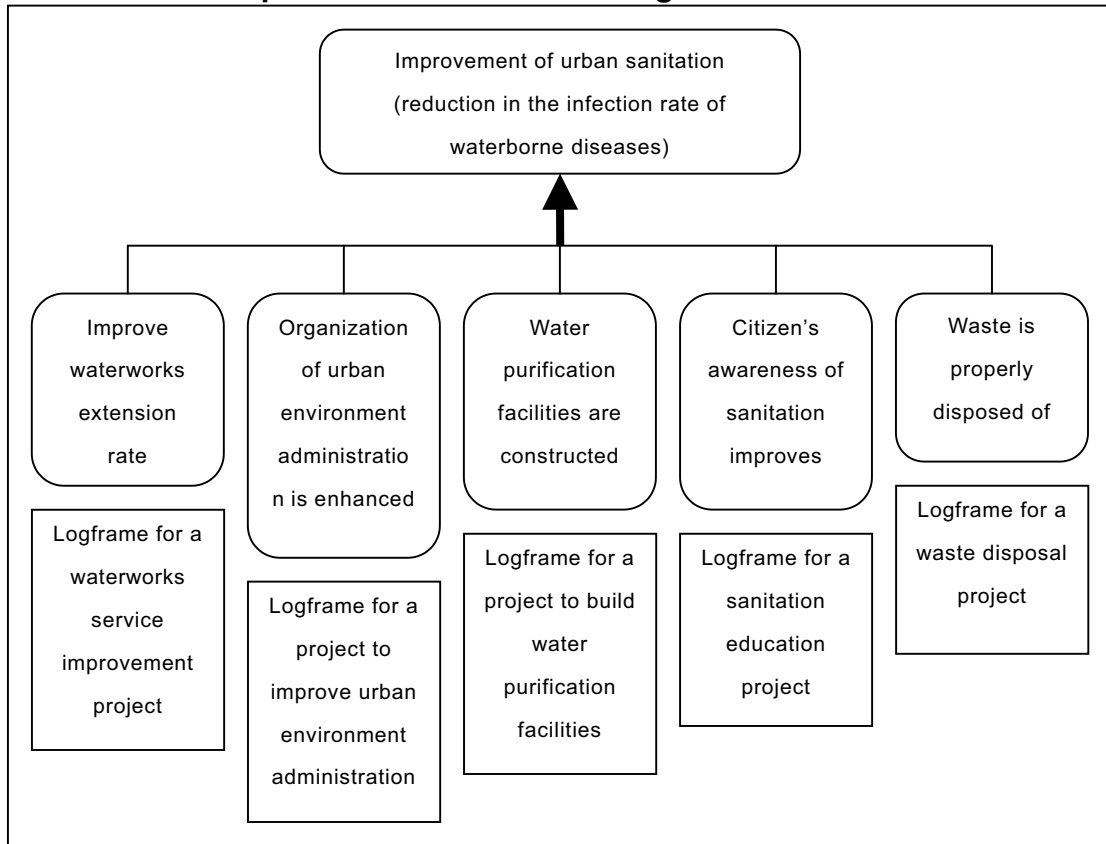
<sup>17</sup> Reference materials:

- NORAD: The Logical Framework Approach (LFA): Handbook for Objective-oriented Project Planning (1990)
- FASID: Project Cycle Management: Management Tool for Development Assistance (2001)

<sup>18</sup> According to the OECD-DAC’s definition, the “logical framework (logframe)” is a “management tool used to improve the design of development interventions.” Specifically, the Project Design Matrix (PDM) used by JICA is a form of the logframe, and in this document all such matrixes are referred to under the general name “logframe” in evaluation theory.



**Chart 1-1: Development Issues and the Logframe**



**Table 1-1: Logical Framework (Logframe)**

<b>Narrative Summary</b>	<b>Objectively Verifiable Indicators</b>	<b>Means of Verification</b>	<b>Important Assumption</b>
<p><b>Overall Goal</b> Indirect, long-term effects; impact on the target society</p>	Indicators and target values to measure achievement toward the overall goal	Information sources for the indicators at left	Conditions required for the project effects to be sustainable
<p><b>Project Purpose</b> Direct effects on the target group and society</p>	Indicators and target values to measure achievement toward the project purpose	Information sources for the indicators at left	External Factor which must be met so that the project can contribute to the overall goal, but at the same time, which is uncertain
<p><b>Outputs</b> Assets and services that are produced through implementation of activities</p>	Indicators and target values to measure achievement toward the outputs	Information sources for the indicators at left	External Factor which must be met so that the project can contribute to the project purpose, but at the same time, which is uncertain
<p><b>Activities</b> Activities to produce the outputs</p>	<p><b>Inputs</b> (By both Japan and the partner country)</p>		<p>External Factor which must be met so that the project can produce outputs, but at the same time, which is uncertain</p> <hr/> <p><b>Preconditions</b> Conditions that must be met before activities begin</p>

**Logical Composition of the Logframe (see Chart 1-2)**

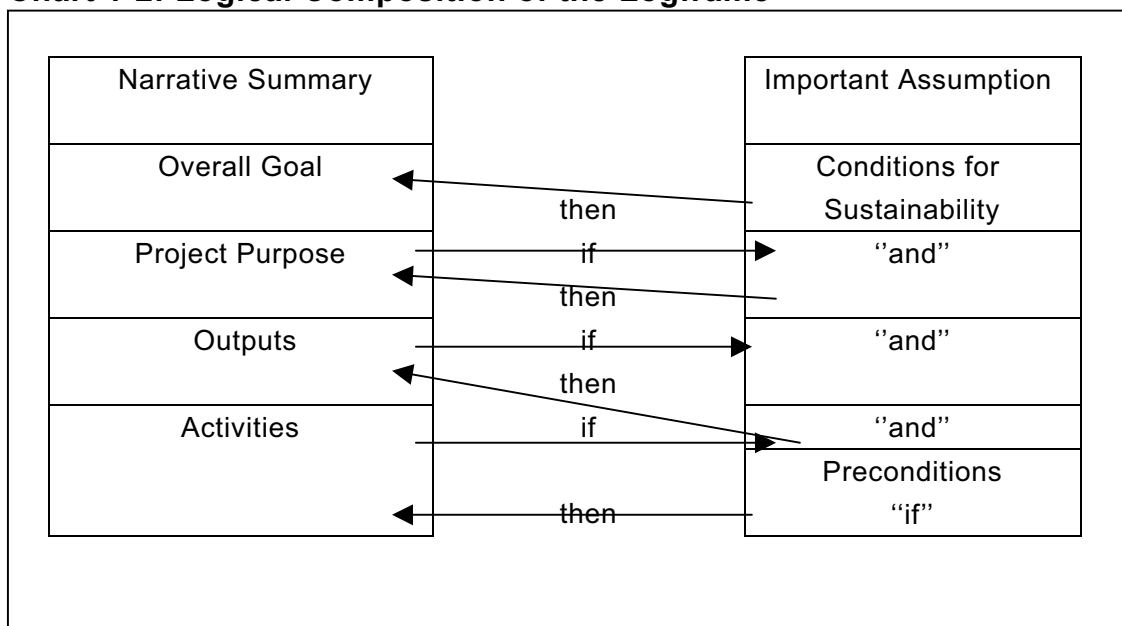
At the center of the logical composition of the logframe is the linked relationship “activities → outputs → project purpose → overall goal.” This is the “logic” of the “if-then” hypothesis; e.g., if an activity takes place, then an output will be achieved; if the output is achieved, then the project purpose will be fulfilled; and if the project

purpose is fulfilled, then it will contribute to the overall goal. The process of building this hypothesis is based on comprehension of the current situation that is gained by looking at cause-and-effect relationships involved in problems facing the target group and its society as well as the causes of these problems (i.e., problem analysis.) The more realistic the hypothesis is, the better the project plan will be. Thus, the following things are important: a) direct connection between the “if” and “then” elements (the more direct, the better), b) controlling various problems through the efforts of the project, and c) effective, low-risk activities. This logic can be utilized to find causal relationships for the project and performance when conducting monitoring and evaluations (see Part II, Chapter 1 of the main text.)

If using the “if-then” logic by itself were enough to produce the expected outputs, there would be no need to take further steps. However, since the if-then logic is the only means of problem-solving for the project, there are a variety of external factors that can have an impact on the project. The logframe identifies these factors in the “Important Assumptions” column and clarifies the linkage between the “activities → outputs → project purpose → overall goal” logic and the “important assumptions.” This involves expressing the overall content of the project plan using an “if-and-then” logic in the following linked relationship: if an activity is implemented, and, on top of this, external conditions that are important but cannot be controlled by the project are met (and), then the outputs can be achieved. (The logic for the “outputs” → “project purpose” → “overall goal” step is the same). The external conditions are an effective tool in planning and formulating the project from the perspectives of “Is it enough to simply implement the content of the project plan?” and “Even if the project is implemented, will external elements hinder the expression of results?”

The important assumptions play an important role as a target of surveys when conducting monitoring or evaluations. The environment surrounding the project is always changing. And in many cases, the important assumptions that were identified during project formulation have an impact that far exceeds what was predicted during project implementation. Here, it is important to review the plan content and confirm new important assumptions through monitoring and the mid-term evaluation. In terminal evaluations and ex-post evaluations, there are times when external conditions are factors that hindered achievement of goals. Thus, the evaluator must study whether or not the existence of these external conditions is being monitored during project implementation. Treating the important assumptions as items that confuse where responsibility in the implementation process lies should be avoided.

**Chart 1-2: Logical Composition of the Logframe**



**Definition of Each Column of the Logframe**

**(1) “Narrative Summary” and “Inputs”**

The narrative summary is comprised of “activities,” “outputs,” “project purpose,” “and” “overall goal,” and includes elements that become the framework of the project plan. A project “inputs” certain resources (people, materials, money, etc.), produces outputs through various “activities,” and works to achieve “objectives.” And one of the characteristics of the logframe is that the “objectives” are perceived on two levels: the “project purpose” and the “overall goal.”

<<Overall goal>>

The “overall goal” is the long-term effect that is expected to be attained through implementation of a project. When planning a project, sufficient study must be devoted to the question of how the overall goal will contribute to a development issue (it is possible that, depending on the project, the development issue itself becomes the overall goal.) JICA perceives the overall goal as “the impact that will be occurring in the target society three to five years after the project is completed.”

<<Project purpose>>

The “project purpose” is the direct effect on the target group (including people and

organizations) and society that is expected to be achieved through project implementation. In the case of technical cooperation, the project purpose is generally achieved at the end of the project.<sup>19</sup> Thus, the level of achievement toward the project purpose is a signpost toward “whether or not the project is producing outputs” and “whether project implementation was meaningful.” In projects that produce outputs but do not express the benefit for the target group, investment of a large amount of resources and implementation of the project itself lose their significance.

#### <<Outputs>>

The “outputs” are assets and services that are produced by the project toward achievement of the “project purpose.” As opposed to the project purpose, which indicates a positive change for beneficiaries, the outputs refer to items that are produced by the project implementers. Looking at a project that focuses on training, for example, the “implementation of training” is an output, while the project purpose is seen as “improvement of the knowledge of trainees,” “application of acquired technology in the workplace,” etc.

#### <<Activities and inputs>>

The “inputs” refer to resources (personnel, materials and equipment, operational expenses, facilities, etc.) needed to produce the “outputs,” and they are listed as the resources of both Japan and the partner country. “Activities” refer to a series of necessary actions taken to produce the “outputs” utilizing the “inputs,” and they are actions implemented by the project team at the project site. Because the logframe is an overview of the project plan, detailed action plans are prepared separately. However, major activities that indicate the project strategy are listed in the logframe.

## **(2) “Objectively verifiable indicators” and “means of verification”**

The “objectively verifiable indicators” that apply to the Outputs, Project Purpose, and Overall Goal columns show the indicators and target values used for specific measurement of the level of achievement of each. The information sources for these indicators are clearly noted in the Means of Verification column. Data that is obtained from the information sources must be highly reliable, obtainable, and not

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<sup>19</sup>There are cases, depending on the project’s content or characteristic, where direct effects are not achieved until a certain amount of time has passed after project completion. In an irrigation project, for example, changes in rice production cannot be achieved until a certain amount of time passes after irrigation facilities are completed.

too expensive to obtain. Based on these conditions, it is important to establish multiple indicators and information sources as necessary in order to obtain the most objective data possible.

The indicators and target values are set based on baseline surveys and other activities at the planning stage. In the ex-ante evaluation, study of the relevance of these indicators, target values, and means for obtaining them is an important part of verification work. The indicators must accurately fit the content of the goals and outputs, and it is important that the means of measuring them be objective and reproducible (i.e., the same types of data can be obtained using the same method, no matter who does the measurement.)

The setting of easy-to-understand indicators raises project transparency and is an essential part of project management. Using the indicators, it is possible to check whether or not the project is being implemented according to the initial plan (i.e., to conduct monitoring.) Depending on the project, it may become necessary to review the initial target values due to various changes in the external environment and project implementation conditions. In line with this, the content of inputs, activities, and other items may also be reformulated.

### **(3) “Important assumptions” and “Preconditions”**

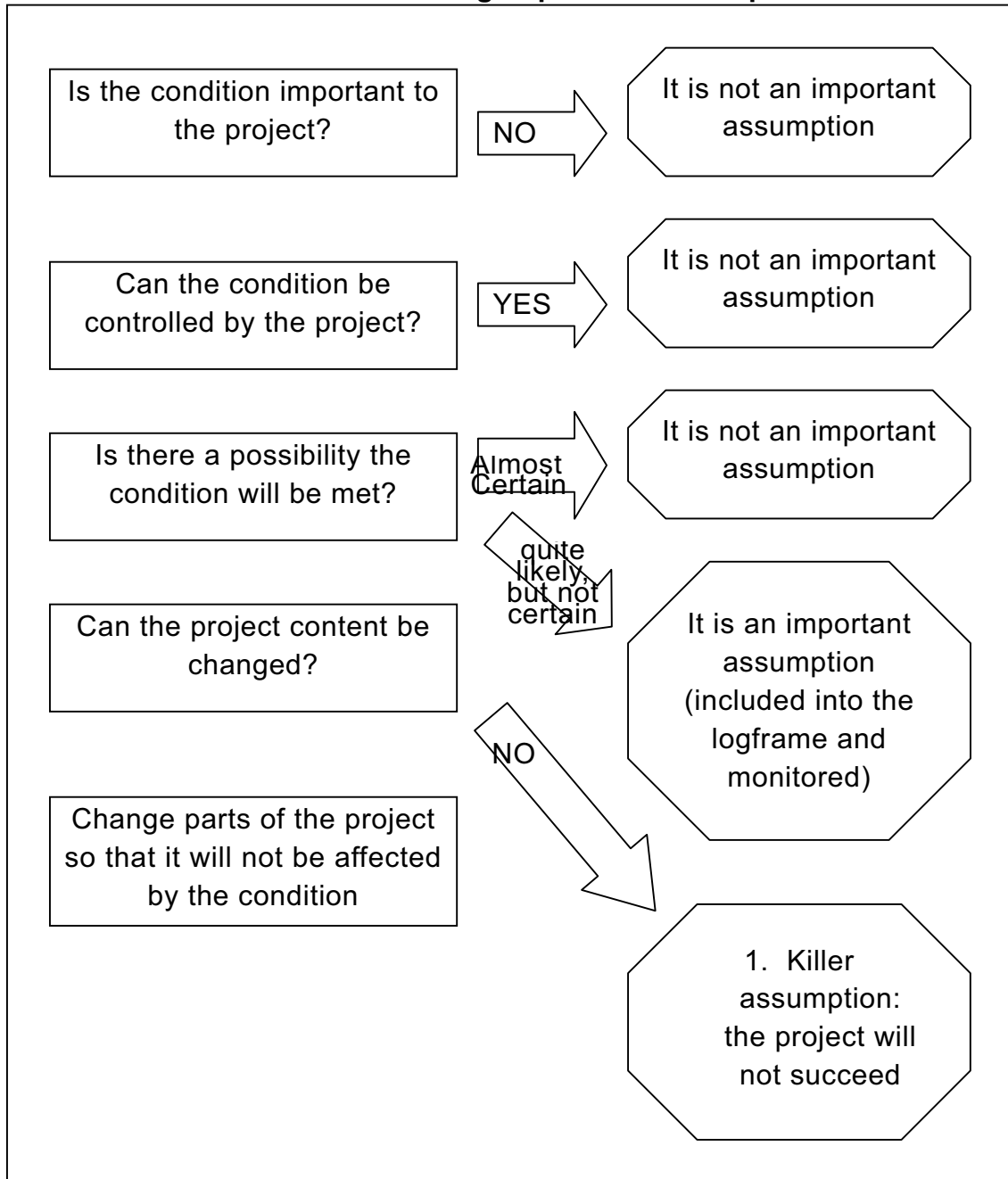
The “important assumptions” refer to external factors that cannot be controlled by the project but which may have an impact on the project’s success or failure. Projects, which are selected using certain standards, represent one way of contributing to solve a development issue. Thus, they do not cover all factors necessary to solve problems. When planning projects, it is important to set goals that have the highest possibility of actually being realized; however, in reality, a variety of external factors that cannot be controlled by the project also affect the project. It is important to set goals and study the relevance of activities by identifying these as “important assumptions” in the logframe at the planning stage. At the same time, it is important to pay strict attention to their impact as an item for monitoring during project implementation.

As is shown in Chart 1-3, in the Important Assumptions column, the important assumptions are identified in terms of the degree of importance to the project, possibilities for the project to control them, and the possibility for the conditions to be met. They are then marked as “conditions met” on the logframe. Also, if possible, the degree to which conditions should be met should be noted in quantitative terms. This will make it easier to grasp changes in the important assumptions and impact on the project during monitoring and evaluation (e.g., “80% of trained teachers stay on the job.”)

Although “important assumptions” are beyond the responsibility of the project, all steps should be taken to avoid intentionally setting them as a means to escape responsibility if the project does not go well. It is important to discuss the important assumptions as part of project planning to determine what activities and goals should be set to make the project more risk-free and effective.

The “preconditions” refer to conditions that must be met prior to the project’s implementation. They refer to conditions that, if met, will allow the commencement of activities (and will not hinder operations once the project is started.)

**Chart 1-3: Method for Determining Important Assumptions**





## **Attached Material II: What is Participatory Evaluation?<sup>20</sup>**

“Participatory evaluation” is a method for evaluation that has attracted considerable attention since the 1970s. It is a means for raising the quality of evaluation results by including the “participation” of major stakeholders of a project in evaluation. The theory and method of this kind of evaluation varies greatly in accordance with the purposes and processes being emphasized in the evaluation.<sup>21</sup> Although the definition of participatory evaluation differs depending on the aid agency, a common philosophy in the development assistance field is that it is 1) evaluation that is conducted jointly by concerned persons, including local residents who are the beneficiaries, and 2) it is evaluation in which a wide range of persons actively participate in all process—from evaluation design to collection and analysis of information and feedback of evaluation results. However, the scope of persons concerned with the project and the degree of participation differs depending on the aid agency and project.

With these characteristics, participatory evaluations differ in terms of methodology from conventional evaluations, in which evaluation experts and certain expert teams conduct investigations. In participatory evaluations, the persons who make value judgments are the stakeholders themselves; the evaluation method (including evaluation standards), the evaluation survey, and drawing out of evaluation results are performed through consensus of all concerned. This linked process leads to capacity building among those concerned and has a positive impact on later operations. Thus, evaluation experts in participatory evaluation discard the traditional role of “assessor.” They instead take on the roles of meeting-caller, opportunity provider, facilitator, catalyst, and supporter. Evaluators work as facilitators that provide lateral support which allows the stakeholders to perform the evaluation.

Participatory evaluations do not function well if it is not until the evaluation stage that “participation” is incorporated. This is because it becomes difficult to gain a shared

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<sup>20</sup> Reference materials:

- Institute for International Cooperation, Japan International Cooperation Agency: Participatory Evaluation and International Cooperation (2001)
- Cousin, J.B. and Whitmore, E.: Framing Participatory Evaluation, Understanding and Practicing Participatory Evaluation, New Direction for Evaluation, American Evaluation Association, Jossey Bass, San Francisco; pp 5 – 23

<sup>21</sup>Examples include “Stakeholder-based Evaluation,” “Democratic Evaluation,” “Utilization-focused Evaluation,” and “Empowerment Evaluation.”

understanding of the significance of participatory evaluation if the stakeholders are not constantly involved throughout the planning and implementation processes as well.

In FY2000, the Institute for International Cooperation issued a report entitled “Basic research on participatory evaluation” that defines and explains participatory evaluation as practiced by JICA in the following way.

### **Participatory evaluation as practiced by JICA**

“Participatory evaluation” is evaluation conducted with the participation of a wide variety of stakeholders (including end beneficiaries) to the greatest extent possible. This participation is included in such activities as preparation of evaluation plans; provision, collection, and analysis of information; and modification of initial project plans. Here, “evaluation” refers not only to evaluations conducted at the end of projects, but also to ex-ante evaluations, monitoring during project implementation, terminal evaluations, and ex-post evaluations.

JICA aims to obtain the following effects by implementing participatory evaluations:

- Enhanced management capacity
- Reinforced ownership
- More effective feedback
- Improved accountability

## **Attached Material III: What is Performance measurement?<sup>22</sup>**

### **(1) Background behind Performance Measurement**

In a word, performance measurement is “the regular measurement of the outcomes and efficiency of public policy and public programs (hereinafter referred to as ‘programs.’)” It is referred to in Japanese with such terminology as *gyoseki kanshi* (performance supervision), *jimu-jigyo hyoka* (operation evaluation), and *jisseki hyoka* (performance evaluation).

The theory behind performance measurement was developed by Harry P. Hatry and Joseph S. Wholey of the Urban Institute, a think-tank on American policy, among others. These men reflected on the fact that, in large-scale program evaluation using the experimental design method,<sup>23</sup> which was employed in US policy evaluation at that time, evaluation results could not be provided within the time frame required by policymakers and on-site project implementers. With this in mind, they added program evaluation with an administrative management aspect that was based on “new public management,” and then researched and developed the framework for performance measurement, which combines easier evaluation and improved administrative action. Performance measurement allows the implementation of evaluations in a timely manner and at low cost, as well as the production of evaluation results that are easy to understand for both taxpayers and project implementing agencies. This leads to better administrative action.

### **(2) Characteristics and benefits of Performance Measurement**

In performance measurement, the outcomes of a program are clearly defined, and the degree to which initial numerical targets have been reached is measured by setting indicators that determine results and numerical targets. These indicators and targets are regularly measured and the result of measurement is reflected in project improvement and decision-making. Management that is based on the logical frameworks introduced by JICA and other aid agencies is also based on the philosophy behind performance measurement.

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<sup>22</sup> Reference materials:

- Hatry, H.P.: Performance Measurement: Getting Results, Urban Institute, Washington D.C. (1999)
- Sasaki, R. and Nishikawa-Sheikh, N.: “Current Development and Prospects of Performance Measurement,” *The Japanese Journal of Evaluation Studies*, Vol. 1, No. 2 (2001); pp. 45 - 52

<sup>23</sup> “Program evaluation” as used here refers to policy evaluation of public policies, public programs, etc.

What performance measurement newly brings to attention is this: measurement that emphasizes benefits and outcomes for beneficiaries and customers (who express the results of program implementation) is added to traditional evaluation measurement which merely focused on inputs (such as expenses) and outputs.<sup>24</sup> Likewise, when looking at efficiency, performance measurement does not look at the relationship between input and output, but rather focuses on outcome. For example, rather than calculating the cost needed to implement one class that helps people give up smoking and then calculating efficiency, performance measurement looks at efficiency by studying the investment cost for each participant in the class who has actually quit smoking. In other words, the efficiency of program implementation must be seen as the relationship with benefit that is expressed through project implementation.

Another characteristic of performance measurement is regular measurement. While checks implemented about once a year are sufficient from the viewpoint of budget management, frequent checks are required to determine whether or not specific administrative actions are succeeding, where the important problems are, and whether or not outcomes are being produced. This is in order to incite stakeholders to take steps toward project improvement. Hence, performance measurement is easy to use when conducting evaluations that only look at changes within the target region, without the “comparative groups” that typify the experimental design method. Furthermore, because it involves regular measurement of indicators from the pre-project to post-project periods, it enables the quick feedback of results.

These characteristics make performance measurement appropriate for projects that provide public services. This is because, in public services, the quality of benefits received by customers and beneficiaries and the efficiency of these benefits must be checked constantly. However, performance measurement is not very suited to the basic research sector or projects that require long-term planning.

### **(3) Limitations and points to remember**

There are three limitations and points to remember with regard to performance measurement. First, because it collects data only from a program’s target region without using comparative groups, it is difficult to verify causal relationships with the program. In other words, the impact of external elements on the program cannot be

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<sup>24</sup> The definitions of the compositional elements of programs (impact, activity, output, and outcome) are the same as those presented in the logic model of the main text (see Part II, Chapter 1.)

ignored. Furthermore, if only the level of outcome achievement is perceived, it is impossible to identify the reasons why this level is achieved, which makes it difficult to draw up strategies to improve the program. It has been pointed out that, in order to make up for this limitation as much as possible, the details surrounding project implementation and explanations of outcome data must be sufficiently provided when conducting performance measurement.

Second, there are cases in which outcomes cannot be directly measured. One, for example, is measurement of reductions in undesirable items, such as reduced crime or drug use. In cases such as these, it is necessary to measure changes in the number of incidents and to develop substitute indicators that can grasp "reduced crime" by identifying trends.

Third, the evaluation information provided by performance measurement constitutes no more than a part of the information used in decision-making, and is not information that can directly affect decision-making processes for budget allocation, personnel, etc. The primary purpose of performance measurement is to "raise questions," not to present countermeasures or solutions.

Although there are various applications of performance management, the evaluation method practiced by the USAID of the United States represents an application that is combined with traditional evaluation methods. USAID has been implementing performance measurement in all of its programs since 1994. At the same time, USAID has been listing extremely successful programs and failed programs, conducting traditional evaluations on these programs, and identifying courses of action by looking for causes through detailed analysis. This is an example of low-cost and easy-to-implement performance measurement being combined with high-cost and detailed evaluations, and it is receiving attention as a way to effectively utilize evaluation budgets.

## Attached Material IV: Bibliography

(\*\* English books and materials are listed here. Please refer to the 'JICA Guideline for Project Evaluation ~Japanese edition~' for Japanese reference books and materials)

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### Evaluation Method of Aid Agencies

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- **JBIC**
  - Ex-Post Evaluation Reports  
(<http://www.jbic.go.jp/english/oec/post/index.php>)
- **DAC**  
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(<http://www.idcj.or.jp/JES/DACyougoshu0214.pdf>)

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