

**Thematic Evaluation:  
Analysis for Enhancing Evaluability  
of JICA's Cooperation Programs  
Final Report**

**January 2015**

**JAPAN INTERNATIONAL COOPERATION AGENCY**

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## Preface

For maximizing the effect of development efforts with finite resources, it is pertinent to formulate programs and projects strategically and effectively. In this context, JICA has promoted the “Program Approach” focusing on collaboration and synergy among independent projects in the specific sector of developing countries under the framework of the “JICA’s Cooperation Programs” (Hereinafter referred to as “Cooperation Programs”). JICA has also conducted evaluations of 11 Cooperation Programs in the past, while utilizing the concept of *contribution*, with which the effects of the Cooperation Programs were indirectly analyzed.

In order to make the Cooperation Programs more strategic, to further enhance their management and to reach out different actors with the information obtained from these Programs, while objectively evaluating their development effects, it is important to improve program planning and design, including the objectives/scenario setting as well as the framework in order to evaluate Cooperation Programs and their outcomes. Taking such context into account, this thematic evaluation was conducted in order to clarify the requirements to formulate the Cooperation Programs which can be duly evaluated, and to present the framework for the monitoring and evaluation of those Cooperation Programs, by focusing particularly on their *evaluability*.

In this study, the analysis was first conducted on the existing program evaluation done by other donors and international organizations, then on the JICA’s Cooperation Program Plans and the evaluation reports on Cooperation Programs prepared by JICA. Based on such analyses, a first version of the “Requirements for Evaluability” of the Cooperation Programs was drafted. The desk- and field-trial followed to test the feasibility and effectiveness of this first version and to seek further improvement. Subsequently, we have proposed the following three outputs; (i) a draft list of requirements for evaluability of the Cooperation Programs, or an evaluability assessment checklist, to be used throughout the stages of formulation, implementation, and evaluation of the Cooperation Programs; (ii) a draft of the evaluation criteria and evaluation questions for the Cooperation Programs; and (iii) a draft of the tools/formats for formulation and evaluation of the Cooperation Programs. Some recommendations were also made with regard to the evaluation framework of the Cooperation Programs. These outputs are expected to be integrated during the revisions of the existing major guidelines referred to in JICA and to be utilized daily by the departments in charge of project and program operations as well as those evaluations, so as to ultimately improve the quality of work done by JICA.

Finally, I would like to express my heartfelt gratitude to all the people who have offered their cooperation and kind support for this study.

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## List of Abbreviations and Acronyms

Abbreviation/ Acronyms	English
ADB	Asian Development Bank
ASDP	Agricultural Sector Development Programme
CDCS	Country Development Cooperation Strategy
CLR	Completion and Learning Review
CPF	Country Partnership Framework
CPD	Country Program Document
DAC	Development Assistance Committee
DANIDA	Danish International Development Agency
DFID	Department for International Development
DO	Development Objective
EBRD	European Bank for Reconstruction and Development
GDP	Gross Domestic Product
ICR	Implementation Completion Report
IDB	Inter-American Development Bank
IDP	Internally Displaced Persons
IEG	Independent Evaluation Group
IFC	International Finance Corporation
ISR	Implementation Status and Results Report
ILO	International Labour Organization
JCAP	JICA Country Analysis Paper
JICA	Japan International Cooperation Agency
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organization
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
PAD	Project Appraisal Document
PDM	Project Design Matrix
PHRD	Policy and Human Resource Development
PLR	Performance and Learning Review
PMM	Planning Matrix for Monitoring
PPAR	Project Performance Assessment Report
PRSP	Poverty Reduction Strategy Paper
SAGCOT	Southern Agricultural Growth Corridor in Tanzania
SCD	Systematic Country Diagnostic
SWAp	Sector-Wide Approach
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
WP	(JICA)Working Papers

# Chapter 1 Outline of the Study

## 1.1 Background and Objectives of the Study

### 1.1.1 Background of the Study

#### (1) Introduction to the program approach

When the “Basic Principles for the Preparation of the Country Cooperation Program” were developed in 1999, Japan International Cooperation Agency (JICA) introduced the concept of the “cooperation program” for the first time, which aimed to maximize the development impact by combining the projects that had been implemented on a project basis independently. In 2001, the Cooperation Program was defined as “a group of related projects directed towards the attainment of specific objectives and targets<sup>1</sup>.” This enabled groupings of related projects under a Cooperation Program, but more strategic program management was needed.

In 2006, among the Cooperation Programs, those that had clarified cooperation objectives and a scenario of being composed of several projects were categorized as “JICA Programs”. This type of program was defined as a “strategic framework (cooperation objectives and scenario) for supporting the achievement of certain medium- and long-term development objectives of the partner countries.” Since then, the implementation of the programs has been promoted as the best modality of project operations for improving development effects, which are currently called the “JICA’s Cooperation Programs” (Hereinafter referred to as “Cooperation Programs”). In addition, the Ministry of Foreign Affairs has announced the policy for promoting the program approach based on the results of the Official Development Assistance (ODA) Review conducted in 2010.

#### (2) Evaluation of JICA’s Cooperation Programs and its challenges

JICA has conducted evaluation surveys of 11 Cooperation Programs on a trial basis since 2005, and there has been a great need for a concrete method to evaluate Cooperation Programs. However, there are some programs in which several projects are gathered just for their similarity and the projects that compose them are not necessarily interrelated. Also, there are programs that do not have a clear significance as programs that aim to produce development effects. Management for these programs, including monitoring and modification, is difficult. And, in terms of the evaluation of programs, challenges for these programs are appropriate design and assured evaluability at the formulation stage. For further improvement of evaluability, programs need to satisfy certain requirements, and a method for satisfying the requirements is needed.

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<sup>1</sup> JICA (2007).

**1.1.2 Objectives of the Study**

This study aims to specify requirements for Cooperation Programs to be satisfied at the formulation stage in terms of enhancing evaluability. According to the Development Assistance Committee of the Organization for Economic Cooperation (OECD/DAC), evaluability is defined as “the extent to which an activity or a program can be evaluated in a reliable and credible fashion.” Based on this definition, the following are the objectives of the study and expected uses of the study result.

<b>Objectives</b>	<ul style="list-style-type: none"> <li>● To examine the requirements for evaluating Cooperation Programs in a more reliable and credible way.</li> <li>● To clarify the requirements for improving evaluability of Cooperation Programs (to be considered at the formulation stage).</li> </ul>
<b>Expected uses of the study results</b>	<ul style="list-style-type: none"> <li>● The study results will be used by the operation-related and evaluation departments at the monitoring and evaluation stages of Cooperation Programs.</li> <li>● The study results will be used for revision of the existing guidelines, such as the Guideline for Enhancing the Strategies of Cooperation Programs.</li> </ul>

**1.2 Direction for the Study**

The following are the points to be considered for the study.

**1: Keep the utilization of study results in mind.**

The results of the study will be used by the operation-related departments and the evaluation department for program formulation, monitoring, and evaluation at completion. They will also be referred to for the revision of the internal guidelines for strengthening strategies of Cooperation Programs. These expected utilizations of the study results need to be kept in mind throughout the study.

**2: Organize the evaluation items and tools by evaluation objective.**

It may be decided on a case-by-case base whether a Cooperation Program should be evaluated in a formative or summative way. This study will examine the requirements for evaluability and evaluation items/tools by evaluation objective and stage.

**3: Promote the smooth introduction of the study results**

The concept of evaluability is often used in two different but complimentary ways. One is evaluability “in principle” and the other is evaluability “in practice”<sup>2</sup>. Also, some donors and

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<sup>2</sup> Davies (2013).

international organizations consider the issues related to evaluability “in principle” to result from program design<sup>3</sup>. Taking these points into account, the study will examine the requirements for evaluability in terms of usability and categorize them by program management stage (stages of formulation, implementation, and evaluation).

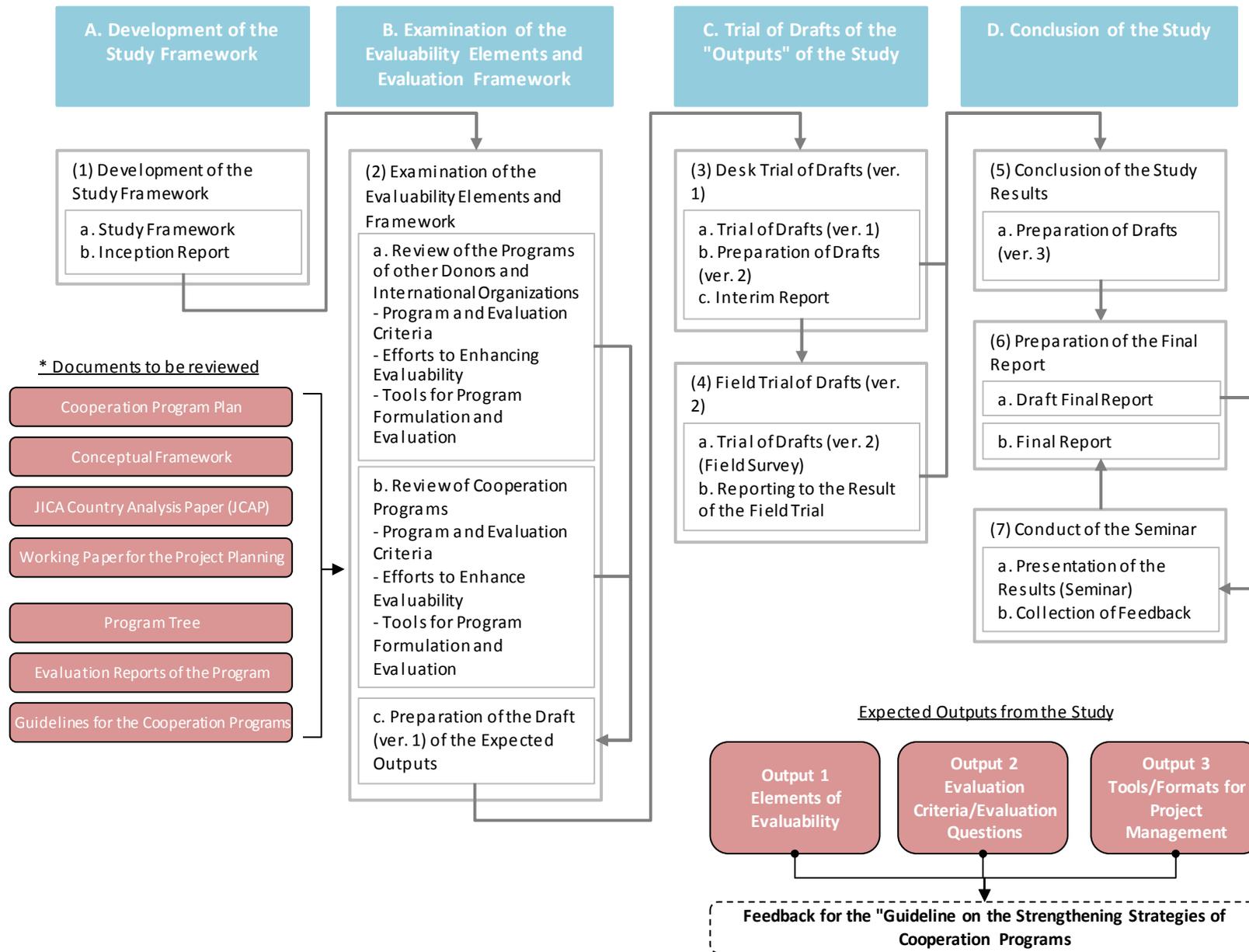
### **1.3 Work Flow and the Schedule of the Study**

The following are the work flow of this study and three expected outputs (Figure 1-1).

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<sup>3</sup> Ibid.

Figure 1-1 Work Flow of the Study and Three Expected Outputs



## **Chapter 2 Results of the Literature Review**

### **2.1 Results of the Review of the Requirements for Evaluability and Evaluation Framework of Other Donors and International Organizations**

#### **2.1.1 Targets and Methods of the Review**

This section reviews the evaluation frameworks, evaluation criteria, and tools/formats of other bilateral donor agencies and international organizations so as to extract ideas for enhancing the evaluability of JICA's Cooperation Programs. The information presented in this section was mainly collected through a review of literature.

This review covers programs such as country assistance programs for targeted countries, which are at a higher level than individual projects. The review considers the fact that the definition of "program" used in the international aid community differs from the definition used for JICA's Cooperation Programs. In the international aid community, the term "program" mainly refers to a policy-level program that is implemented by the government, while a JICA's Cooperation Program is defined as a strategic framework of JICA activities that is designed to support government efforts to achieve its mid- or long-term development objective at the policy level. In other words, these programs are formulated and implemented by following the policy programs of the governments of developing countries.

Furthermore, the review contains information on monitoring and evaluation at the project level if it is relevant to JICA's Cooperation Programs.

#### **(1) Target of the review**

The targets of analysis were the World Bank, United Nations Development Programme (UNDP), The United Kingdom's Department for International Development (DFID), and United States Agency for International Development (USAID). These organizations were chosen because they met the following criteria: i) having the program formulation method, evaluation framework, evaluation questions, and tools which present valuable inputs for this study; and ii) having an evaluation policy that was updated recently.

In addition, the World Bank has the Independent Evaluation Group, which improves the quality of monitoring and evaluation at the Bank. UNDP has a program management system that includes the partner country government. Similarly, DFID has a system for monitoring and evaluating programs that are of reference. USAID has practical guidelines regarding program formation, implementation management, and evaluation. In Section 2.1.2, the results of the review of these organizations will be described in three stages: program formation, operation and management (such as program monitoring and revision), and evaluation.

Furthermore, examples of the mechanisms for improving evaluability will be given in Section 2.1.3. These examples include International Labour Organization (ILO), which has had successful

results in evaluability assessment at the planning stage; the European Bank for Reconstruction and Development (EBRD), which has recently introduced such assessments; the Inter-American Development Bank (IDB), which has proven the effects of using evaluability assessments; and the Asian Development Bank (ADB) for its work in improving the quality of each project itself.

In summary, these organizations were reviewed to draw the following information:

Program evaluation: World Bank, UNDP, DFID, and USAID

Evaluability improvement: ILO, EBRD, IDB, and ADB

**(2) Method of review**

Analyses were performed using existing materials from which reference information pertaining to evaluation frameworks, evaluation questions/criteria, and tools was taken. The information was drawn from the websites, evaluation guidelines, and individual assessment reports of each organization. In addition, in order to verify information from a practical aspect, interviews were held with personnel from the country offices of the above organizations in Tanzania as a part of the field study in September–October 2014.

**2.1.2 Results of the Review**

**(1) Program formation**

a. Program definitions and elements

The definitions and elements of each organization are shown in the table below.

Table 2-1 Program Definitions and Program Planning Elements

Organization	Explanation
World Bank	<ul style="list-style-type: none"> <li>The terms “program” and “project” are both used, with no particular distinction made between the two. According to the World Bank’s glossary, a program consists of multiple interventions, while a project consists of a single intervention.<sup>4</sup></li> <li>There are “projects” consisting of multiple components with common development goals; this resembles JICA’s Cooperation Programs.</li> </ul>
UNDP	<ul style="list-style-type: none"> <li>The terms “program” and “project” are both used, but programs are positioned at a level above multiple projects and below the United National Development Assistance Framework (UNDAF).<sup>5</sup></li> </ul>
DFID	<ul style="list-style-type: none"> <li>In the five-year operational plans for countries receiving assistance, the entire plan is sometimes called a “program,” with the term also used to refer to the components of which it is comprised.</li> <li>A “program” is a portfolio of work consisting of multiple subcomponents, which DFID refers to as “components.” (These components are individual projects with independent funding lines.)<sup>6</sup> The points that should be considered for programs are shown in Box 2-1.<sup>7</sup></li> </ul>
USAID	<ul style="list-style-type: none"> <li>A “program” includes all projects and activities related to a specific development objective</li> </ul>

<sup>4</sup> World Bank (2007).

<sup>5</sup> UNDP (2011a).

<sup>6</sup> From a response from DFID to the Study Team's question (September 2, 2014).

<sup>7</sup> DFID (2014).

	<p>that conforms to a Country Development Cooperation Strategy (CDCS).</p> <ul style="list-style-type: none"> <li>• A “project” is a work conducted to achieve development objectives within a set timeframe and resources. There is a clear correlation between this and the CDCS’s results framework.<sup>8</sup></li> </ul>
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Source: Summarized by the Study Team using information from each organization as a reference.

Box 2-1 Points for consideration in DFID programs	
1.	Does the program deliver a UK government international development policy?
2.	Does the program suit the local context and is it flexibly responding and adapting to changes, opportunities, and citizen feedback?
3.	Is there sufficient understanding of the evidence? (If not, is evidence and learning being developed and shared incrementally?)
4.	Is the program delivering the DFID vision and does it continue to be good value for money?
5.	Are the delivery risks understood, and can such risks be mitigated appropriately through the life of the project?
6.	Are the other organizations working in this area recognized? Is there room for further, more effective collaboration or complementarity?
7.	How is success determined and measured? How is it known that the program is working? Are the beneficiaries being engaged in the monitoring process?
8.	Are the roles and responsibilities in program implementation clear? Are the right skills to provide program leadership and management through the life of the program in place?
9.	Is the program timeframe realistic? (Does it take account of lead-in times and experience of previous projects?)
10.	Have clear conditions been set for partners (organizations)? Are recommendations from annual reviews and performance improvements measures being tracked?

Source: DFID (2014).

b. Availability and content of documents describing program plans

As stated at the beginning of this section, the definition of “program” differs between the international aid community and JICA. In this review, a country strategy or a business plan of other donors that includes multiple project-level components is referred to as a “program.” A document of other donors that encompasses the information to be included in a JICA’s Cooperation Program Plan (hereinafter referred to as “Cooperation Program Plan”) is considered as a “program plan.”

After reviewing the literature from the four organizations on program formation, monitoring/evaluation guidelines, and their country strategies and operational plans, no notations were found regarding the number of projects forming their composition.

Table 2-2 Documents Describing Program Plans

Organization	Document equivalent to program plan	Summary of plan and relationship to partner country development goals	Formats and tools used in program formation
World Bank	Country Partnership	<ul style="list-style-type: none"> <li>• Based on a Systematic Country Diagnostic (SCD), a CPF is prepared every four to six years.</li> </ul>	Results matrix

<sup>8</sup> USAID (2012).

	Framework (CPF)	<ul style="list-style-type: none"> <li>The primary purposes of the CPF are to inform the Board of the Bank of the objectives of the engagements and to coordinate the engagements across World Bank Group institutions. The CPF also has the objective of establishing accountability for engagements.</li> <li>The content of the CPF includes: i) the current situation and development issues of the partner country; ii) the World Bank Group's partnership framework (partner country programs and medium-term strategies, World Bank Group strategies/areas of focus/CPF objectives, and partnership framework engagements); and iii) risk management.<sup>9</sup></li> </ul>	
	Project Appraisal Document (PAD) <sup>10</sup>	<ul style="list-style-type: none"> <li>The PAD shows the project objective, components, planned cost, stakeholders, results framework, monitoring/evaluation plan, availability of baseline information, and classification of safeguards (environmental and social considerations), etc.<sup>11</sup></li> <li>The results framework attached to the PAD includes three indicators: project objectives, intermediate outcomes, and outputs.<sup>12</sup></li> </ul>	Results framework
UNDP	Country Program Document (CPD)	<ul style="list-style-type: none"> <li>The CPD shows UNDP's country program plan.<sup>13</sup></li> <li>It is positioned within the UNDAF, which is the strategic plan framework describing the collective efforts of all UN institutions in their activities in a country.</li> <li>The UNDP generally uses a matrix-style results framework as a tool to show the content of the plan.</li> </ul>	Results framework
DFID	Operational Plan	<ul style="list-style-type: none"> <li>A five-year operational plan for target countries consisting of: i) background of the target country and development progress/issues; ii) DFID's vision for the target country; iii) outcomes and indicators by area of focus; iv) delivery mechanism and resources; v) delivery of value for money; vi) monitoring and evaluation; vii) transparency; and viii) human rights assessment.</li> </ul>	Results framework
	Business Case and Intervention Summary	<ul style="list-style-type: none"> <li>This document states the details of the process and methods used to achieve the outcomes of the programs and projects which are the compositional elements of the operational plan. It aims to provide a consistent approach to the choices and designs of programs and projects.<sup>14</sup></li> </ul>	Logframe
USAID	Country Development Cooperation Strategy (CDCS)	<ul style="list-style-type: none"> <li>Generally, this is a five-year development cooperation strategy for target countries. This document includes the background and issues of the target country, external factors affecting</li> </ul>	Results framework

<sup>9</sup> World Bank (2014a) (2014b).

<sup>10</sup> Reference is made to Project Appraisal Documents here as projects resembling JICA's Cooperation Programs (single projects consisting of multiple interventions) as well as projects consisting of single interventions undergo the same procedures for planning and monitoring evaluations as "projects."

<sup>11</sup> World Bank (2013a).

<sup>12</sup> Cashin (2012).

<sup>13</sup> At the UNDP Tanzania Office, the Country Program is formulated every four years with agreement from the partner country government (Ministry of Finance). Projects are also implemented to roughly correspond with this four-year period (from a meeting with the UNDP Tanzania Office held on October 7, 2014).

<sup>14</sup> DFID (2011).

		development cooperation, consistency with target country development strategies, consistency with US aid policies, development hypothesis, the relationship between development goals and overall goals, the results framework, etc.	
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Source: Prepared by the Study Team using information from each organization as reference.

#### b-1. World Bank

The World Bank’s country aid plans are referred to as CPFs. They were introduced in July 2014 as an alternative to the original Country Assistance Strategy. Based on a Systematic Country Diagnostic (SCD), a CPF is prepared every four to six years. CPF objectives are positioned in between the partner country’s development goals and the outcomes of individual projects. They are defined as being greatly impacted by support from the World Bank Group in terms of the partner country achieving these goals. Due to the impracticality, preparing CPFs jointly with another donor is not recommended. The results matrix attached to a CPF includes a summary of the partner country’s development goals including focus areas, CPF objectives, CPF objective indicators and progress indicators, and the list of World Bank Group engagements relevant for each CPF objective.<sup>15</sup> An example of a results matrix is shown in Appendix 1.

At the individual project level, a Project Appraisal Document (PAD) is prepared to appraise projects. By examining a PAD, confirmation is made regarding the project objectives, components, planned costs, co-financiers, results framework, monitoring/evaluation plan, availability of baseline information, and safeguard category.<sup>16</sup> The results framework also includes the indicators for project objectives, intermediate outcomes, and outputs.<sup>17</sup>

#### b-2. UNDP

The UNDP’s country aid plans are referred to as Country Program Documents (CPDs). The CPDs are positioned within the UNDAF, which describes the collective efforts of all UN institutions in their activities in a country. The UNDP generally uses the results framework as a tool to show the content of the plan. The results framework may be shown in a matrix or tree-style, but the UNDP generally uses the matrix style. The content of this includes the partner country’s development goals, the UNDP assistance framework outcomes, outputs, indicators (both baseline and target), primary partners (relevant organizations of the partner country), and planned costs.

Additionally, in the process of preparing the results framework, a diagram called a “results map” is drafted. This map should be updated throughout the life of the program. Although a results framework is not mandatory for the UNDP, the preparation of an appropriate results framework is expected due to its usefulness for evaluations, especially outcome evaluation.

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<sup>15</sup> World Bank (2014a).

<sup>16</sup> World Bank (2013a).

<sup>17</sup> Cashin (2012).

### b-3. DFID

The DFID’s Operational Plan is formulated based on discussion with the government of a target country so as to reflect the target country government’s development policies, local needs and priorities, and the assistance policies and objectives of the UK government. The strategic priority areas are wealth creation; poverty, hunger and vulnerability; health/HIV; education; water and sanitation; and governance and safety. Goals are set in these areas for each target country.

As a component of the Operational Plan, the Business Case and Intervention Summary is used as an appraisal document that summarizes the program and projects into a plan. This document shows the rationale for choosing the program, project, or approach, and aims to provide a consistent approach to the choices and design of DFID interventions. All interventions of £4 million or more—and those that are politically sensitive or needing technical discussions, regardless of value—must be approved by the Minister for early appraisal. It is a review document that aims to ensure transparency and show cost-effectiveness. Although it is not exactly the same as a JICA’s Cooperation Program Plan, since it also covers a level that is a step higher than the project plan and consists of a portfolio of interventions at a level one step lower than the Operational Plan, its content is close to that of a JICA’s Cooperation Program Plan. For example, in the Business Case and Intervention Summary of the Southern Agricultural Growth Corridor of Tanzania (SAGCOT), the expected results are listed as results of project-level interventions including road construction, new agribusiness investment in the target region, and the establishment of commercial forests.

The results framework used by the DFID is not expressed as a diagram, but instead divides the indicators into four levels.

Table 2-3 Outline of DFID’s Results Framework

Level 1	<p>Progress on key development outcomes in the target country (The indicators include not only those attributable to DFID alone, but also those achieved through collective action of the country and donors.)</p> <ul style="list-style-type: none"> <li>• MDG*1: Eradicate extreme poverty and hunger</li> <li>• MDG2: Achieve universal primary education</li> <li>• MDG3: Promote gender equality and empower women</li> <li>• MDG4: Reduce child mortality</li> <li>• MDG5: Improve maternal health</li> <li>• MDG6: Combat HIV/AIDS, malaria, and other diseases</li> <li>• MDG7: Ensure environmental sustainability</li> </ul>
Level 2	<p>Outputs and intermediate outcomes which can be directly linked to DFID interventions</p> <ul style="list-style-type: none"> <li>• Bilateral program results (Indicators have been set for eight items including: i) wealth creation, ii) poverty/vulnerability/nutrition/hunger, iii) education, iv) malaria, v) reproductive health/maternal and neo-natal health, vi) water and sanitation, vii) humanitarian and emergency response, and viii) governance and security.)</li> <li>• Multilateral program results</li> </ul>
Level 3	<p>Indicators including DFID’s operational effectiveness</p> <ul style="list-style-type: none"> <li>• Portfolio quality (a measure of the extent to which DFID’s interventions are on track to deliver their expected outputs and outcomes),<sup>18</sup> pipeline delivery, monitoring and evaluation, and performance against a structural reform plan (assessing how well DFID</li> </ul>

<sup>18</sup> DFID (n.d.).

	is delivering against its corporate objectives and areas of UK government priority) <sup>19</sup>
Level 4	Indicators of organizational effectiveness <ul style="list-style-type: none"> <li>• Human resources, employment, finance, procurement, estates</li> </ul>

Source: Compiled by the Study Team based on DFID (2013e).

\*MDG: Millennium Development Goal

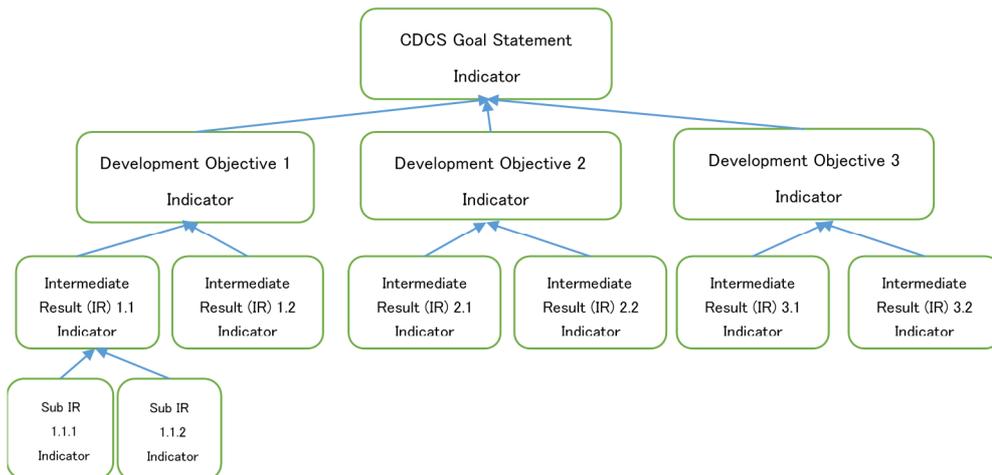
b-4. USAID

USAID formulates a five-year Country Development Cooperation Strategy (CDCS) for target countries. The CDCS goal is the highest-level impact to be achieved by USAID, the target country, and other donors within the CDCS timeframe. , a Development Objective (DO) is to be achieved by USAID together with the target country and other donors. Up to four DOs may be set in one CDCS.

A CDCS appropriates resources for the period of the CDCS. Resources are allocated by the DO. The CDCS is created over a period of four to six months. After discussion between USAID headquarters and the Mission, the CDCS formation team in the Mission drafts the results framework. After consultations with the target country government, a draft CDCS is prepared and submitted to the USAID Regional Bureau. The Regional Bureau then receives comments from other bureaus and offices. The Mission then finalizes the CDCS reflecting these comments and submits it to the Regional Bureau for approval. The approved CDCS is disseminated publicly within two months after approval.<sup>20</sup>

The results framework required for inclusion in the CDCS should organize the causal linkages, including the work of the target country government and other donors, and clearly show the logic behind the DOs. With this, the scenario for goal achievement (development hypothesis) is easy to understand. If intermediate results shown in the figure below are interpreted as JICA projects, DOs would be equivalent to JICA’s Cooperation Programs.

Figure 2-1 USAID Results Framework



Source: USAID (2013a)

<sup>19</sup> Ibid.

<sup>20</sup> USAID (2013a).

## **(2) Program operation and management**

### a. Monitoring systems and monitoring tools/formats

#### a-1. World Bank

For country-level monitoring, a Performance and Learning Review (PLR) is prepared every two years or at the midpoint of a CPF. The purpose of the PLR is to inform the Board and other stakeholders about adjustments or corrections added to the plan. Although it does not report on the level of goal achievement, it does include information on the status of the World Bank Group's portfolio. If the situation has changed greatly since formulating the CPF, the content of the CPF will be updated. Based on the results of the PLR, the period of the CPF may be extended for up to 2 years. The items included in the PLR are the information on main changes in the target country, summary of program implementation, lessons-learned, adjustments to the CPF, and risks to the CPF's program. The documents to be attached to the PLR are: the CPF results matrixes, both updated and original, and the matrix summarizing progress toward CPF objectives.<sup>21</sup>

At the project level, by preparing an Implementation Status and Results Report (ISR) every six months, the project's progress and level of goal achievement are reviewed. If corrections were made to the plan, these changes can also be tracked and recorded. The main items included in the ISR are: the basic project information, project development objectives, name and cost of components, self-ratings (progress toward achievement of project development objectives, overall implementation progress, overall risk rating), and results (progress on project development objectives indicators, intermediate results indicators, data on financial performance, key decisions regarding implementation, restructuring history, and list of related projects).<sup>22</sup>

#### a-2. UNDP

At the time of planning, a Planning Matrix for Monitoring (PMM) is created, with further details added at the implementation stage. The PMM includes outputs and outcomes, indicators, data collection methods, time period and frequency, responsible persons/organizations, data source, resources (costs, including those borne by other donors), and risks (Appendix 1(2)).

#### a-3. DFID

The frequency and methods of monitoring shown in an Operational Plan differ depending on the country. However, items regarding "how," "who," "when," and "what" are planned in detail.

For example, for the Rwanda Operational Plan, DFID program staff follow the results framework to conduct annual reviews of each program, including monitoring of indicators. In October of each year, development partners and the National Institute of Statistics for Rwanda jointly review the progress toward achieving national development objectives of the Common Performance

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<sup>21</sup> World Bank (2014a).

<sup>22</sup> Actual ISRs can be viewed on the World Bank's website (<http://www.worldbank.org/projects/>).

Assessment Framework.<sup>23</sup>

For the Malawi Operational Plan, the progress toward goal achievement is monitored quarterly against the country’s operational plan and results framework. Joint monitoring by the National Statistics Office and relevant ministries is also conducted to strengthen national monitoring and evaluation systems. Furthermore, the Result and Evaluation Team will work closely with DFID program staff to improve DFID’s own internal monitoring and evaluation capabilities.

Plans are reviewed annually, including a review of indicators. Any adjustments will be tracked and attached to the annually updated Operational Plan.

a-4. USAID

A USAID’s results framework shows indicators for each level of results.<sup>24</sup> By monitoring these indicators, the extent of progress toward intermediate results and the causal relationship between intermediate results and DOs can be organized in a manner that is easy to understand.

As a monitoring tool/format, a Performance Indicator Reference Sheet is used. This format is used to compile information on the definition of an indicator, relationship to the results framework or logframe, unit of measure, type of data, data source, data collection method, reporting frequency, known data quality limitations, and responsible individuals. Furthermore, an Indicator Performance Tracking Table is created to form a structure in which records are preserved. This table includes baseline data, time limits, target values and their rationale, and actual values. It is created one time or more per year. (USAID’s Performance Indicator Reference Sheet and Instructions for Completing the Performance Indicator Reference Sheet are as shown in Appendix 1(5).)

b. Program revision procedures

Information regarding program revisions is shown below.

Table 2-4 Frequency and Procedures for Program Revisions

Organization	Frequency	Program revision procedures
World Bank	Not specified	<ul style="list-style-type: none"> <li>At the project level, if any major changes, such as changes in development objectives or safeguard category, are included, approval from the Board of Executive Directors is necessary. All other changes can be made with the approval of the country director.<sup>25</sup></li> </ul>
UNDP	Once per year	<ul style="list-style-type: none"> <li>UNDP portfolio managers conduct reviews on strategic aspects while target country government officials review overall progress and make decisions on changes as needed. Both participate in deciding the framework for monitoring and evaluation during the planning stages.<sup>26</sup></li> </ul>
DFID	Once per six months or year	<ul style="list-style-type: none"> <li>Operational Plans are reviewed annually. If there are revisions in the content of a plan, including indicators, these changes will be tracked and attached to the Operational Plan.</li> <li>For the Business Case and Intervention Summary, if there are changes in the outcomes/impact or major changes in external conditions, such as context, risk, cost-effectiveness, implementation, or policy environment, the Business Case and Intervention Summary will be revised and resubmitted to the presiding minister for approval.<sup>27</sup></li> </ul>
USAID	Once per year	<ul style="list-style-type: none"> <li>Results of the portfolio review<sup>28</sup> and performance monitoring are presented in the annual report. Target values for the following year and later are set.<sup>29</sup> If implementation problems are found as a result of the portfolio review, the</li> </ul>

		project's logical framework and CDCS development hypothesis will be corrected. <sup>30</sup>
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Source: Compiled by the Study Team using information from each organization as reference.

### c. Structures and approaches for ensuring and improving evaluability

The organizations targeted for review have similar types of approach for ensuring and improving evaluability while their methods are various.

#### c-1. World Bank

At the World Bank, the quality of monitoring and evaluation is comprehensively assessed from three aspects: a project's monitoring and evaluation plan, its implementation status, and its usage. This is done through both the Implementation Completion Report (ICR), which is a self-evaluation at the project level created within six months after a project ends, and the third-party ICR review, which is an evaluation performed subsequently by the Independent Evaluation Group (IEG).<sup>31</sup> These actions lead to improving evaluability of future projects.

#### c-2. UNDP

At the beginning of the evaluation process, the UNDP checks if the target project is ready for evaluation. This assessment is performed by the program unit and stakeholders that were involved in the development of the evaluation plan. The program unit and stakeholders also review the results framework, which forms the basis of evaluations. If there were changes in the plan during implementation, the program unit and key stakeholders may revise the results framework to reflect these changes. Furthermore, the results map created during the process of formulating the results framework should be updated throughout the life of the program.

#### c-3. DFID

DFID conducts an evaluability assessment when the project starts and prior to evaluation. Referring to evaluability checklists of other organizations, a checklist has been created to make an assessment from the aspects of project design (no distinction between project and program for the

<sup>23</sup> DFID (2013b), (2013c).

<sup>24</sup> According to an interview with the USAID Tanzania Office, indicators are not set for the CDCS overall goals and development objectives. However, the extent of progress toward development objectives are monitored yearly and factor analysis is conducted (from a meeting held on October 9, 2014).

<sup>25</sup> World Bank (2009).

<sup>26</sup> UNDP (2011a).

<sup>27</sup> DFID (2011).

<sup>28</sup> For the portfolio review, project-level results are reviewed and used as material for data analysis on performance. Additionally, indicators on the development objective level are also subject to review.

<sup>29</sup> USAID (2012b).

<sup>30</sup> According to the USAID Tanzania Office, the CDCS overall goals are linked to the partner country government's policies and thus are not changed. Other sections may be changed at the discretion of each country's office (from a meeting held on October 9, 2014).

<sup>31</sup> World Bank (2013a).

checklist), information availability, and institutional context (real problems and needs) in an effort to improve evaluability. However, although opportunities to introduce checklists are increasing, their usage is not mandatory and is left to the discretion of each project.<sup>32</sup>

Furthermore, as an effort to enhance the availability of information, work is being done to improve the quality of statistical data and its availability in target countries. “Building capacity of partners” has been set as an item in Operational Plans, and efforts to improve the quality of statistical data and its availability while providing support to national statistics bureaus in target countries are described in the plans. For example, in the Tanzania Operational Plan, because economic and population data must be improved, a plan has been formulated to strengthen the national statistics system together with the National Bureau of Statistics and continue data collection and dissemination activities.

#### c-4. USAID

USAID finds it desirable to implement evaluability assessments when evaluating country-level, cross-sectoral, or regional programs, as well as global programs. Specifically, whether evaluation objectives and evaluation questions are relevant and whether related data and information can be collected within the set period of time and resources are to be confirmed. Additionally, since the agreement and cooperation of stakeholders, including target country officials, is necessary, the individuals in charge of conducting the evaluation should gain the cooperation of stakeholders and identify their questions and concerns at the time of planning. Furthermore, the resources necessary for evaluation are to be confirmed, and attention should be given to cost-effectiveness of the evaluation study, as well as the usability of study results and recommendations extracted from such. In the CDCS guidelines, the following important points are given for inclusion in an evaluation plan that generates usable evaluation results: i) clearly stated evaluation needs and purposes including usage, ii) an understanding of the development scenario (hypothesis) for examining evaluation questions, iii) identification of a small number of evidence-based questions, iv) reference to past evaluation studies and research that are useful for the project targeted for evaluation and its evaluation plan, v) selection of appropriate evaluation methods, and vi) gender-sensitive data collection and analysis.

#### d. Challenges in monitoring

The organizations reviewed in this chapter have a system for regular monitoring of programs and projects. However the following issues can be found with regard to monitoring.

##### d-1. Implementation management of projects and programs

- There are no unified guidelines regarding monitoring/evaluation implementation systems and

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<sup>32</sup> DFID (2013c).

using results (World Bank).<sup>33</sup>

- ISR ratings are influenced by the progress of disbursements more than by the level of achievement of results. Monitoring and evaluation (M&E) indicators are not necessarily used. There is a variance in objectivity (World Bank).<sup>34</sup>
- It is difficult to verify whether monitoring results are actually being used. Monitoring results are not made completely public (World Bank).<sup>35</sup>

#### d-2. Partner country monitoring systems

- It is important to examine the monitoring data and the necessary capacity during the planning stages (UNDP).<sup>36</sup>

### (3) Program evaluation

#### a. Purposes and aims of implementing program evaluations

The organizations targeted for review have stipulated the following aims for implementing program evaluation and evaluation as a whole.

##### a-1. World Bank

At the country level, a Completion and Learning Review (CLR) is prepared at the end of the CPF period. The main purpose of the CLR is to extract lessons learned from the CPF implementation and inform the next CPF or strategies worldwide. Additionally, the review will report on implementation of the CPF by the target country government and the performance of the World Bank Group in supporting its implementation. The CLR is subject to validation by the IEG.<sup>37</sup>

At the project level, evaluation has three stages. i) The ICR, which is self-evaluation conducted by the team, is prepared within six months after the end of the project.<sup>38</sup> ii) Subsequently, the ICR review (validation) is conducted by the IEG. iii) Furthermore, 20–25% of completed projects are chosen for a Project Performance Assessment Report (PPAR) by the IEG.<sup>39</sup> The purposes of the ICR are to:<sup>40</sup> i) provide a complete and systematic account of the outcome of the project; ii) compile and share experience gained from the planning and implementation of the program or project; iii) ensure accountability and transparency at the program/project level; iv) provide a means for a

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<sup>33</sup> Cashin (2012).

<sup>34</sup> Ibid.

<sup>35</sup> Ibid.

<sup>36</sup> UNDP (2011a).

<sup>37</sup> World Bank (2014a).

<sup>38</sup> In the case of the World Bank's Tanzania Office's agricultural sector project (donations to ASDP basket fund), the Tanzanian government will create the draft ICR within 6 months before the end of the project. Based on that, the World Bank's Tanzania Office plans to create the final version of the ICR within six months after the end of the project (from a meeting with the World Bank's Tanzania Office held on September 24, 2014).

<sup>39</sup> Cashin (2012).

<sup>40</sup> World Bank (2006).

realistic self-evaluation for the World Bank and borrowers; and v) accumulate data to effectively contribute to the creation of development strategies at the sector, country, and global levels.

#### a-2. UNDP

Program-level evaluations conducted by the UNDP are performed by the Central Evaluation Office and/or local offices. Country program evaluations conducted by the UNDP Evaluation Office assess the achievement of intended development results and UNDP contributions to these results at a country level.<sup>41</sup> Outcome evaluations conducted by project-implementing offices are used to assess the short-term, medium-term, and long-term results<sup>42</sup> of a program or cluster of related UNDP projects.<sup>43</sup>

#### a-3. DFID

Not limited to program evaluation, DFID's policy states that evaluations must: i) play an important role for learning about what works and what does not work through the presentation of evidence; and ii) correct the course of the program to enhance effectiveness and gain learning, as well as to help identify optimal methods for investing resources in more effective areas.<sup>44</sup> The purpose of evaluation of Operational Plans is to assess: the relevance of DFID's strategies to the target country and DFID's own corporate objectives; the choices of aid interventions and their effectiveness; DFID's added value as a development partner; and the impact of the DFID program on poverty.<sup>45</sup> DFID's policy also states that summative evaluation<sup>46</sup> is effective with programs where there are interruptions or changes in the implementation stage. A theory-based evaluation design should be emphasized for such evaluation, the policy says.<sup>47</sup>

#### a-4. USAID

At USAID, not limited to program evaluation, evaluation has two major purposes of "accountability to stakeholders" and "learning for the purpose of improving effectiveness." Evaluations can be conducted at the individual, project, or development objective level. Evaluations with the purpose of accountability are conducted to look at effectiveness, relevance, and efficiency at USAID.<sup>48</sup>

For the evaluation of projects, it is desirable to conduct impact evaluation with at least one project under each DO. External performance evaluations are conducted for large or above-average

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<sup>41</sup> UNDP (2011b).

<sup>42</sup> According to the UNDP Tanzania Office, program evaluations conducted by the local office view the results of a program to be the outcome. Analysis is performed from the aspects of baseline data, indicators, and degree of contribution to the outcomes. Additionally, outcomes are set for each priority area (from a meeting with the UNDP Tanzania Office held on October 7, 2014).

<sup>43</sup> UNDP (2011b).

<sup>44</sup> DFID (2013).

<sup>45</sup> DFID (2010).

<sup>46</sup> Summative evaluation provides information on the effect of a program.

<sup>47</sup> DFID (2013).

<sup>48</sup> USAID (2012a).

projects. For pilot projects or innovative approaches, external impact evaluations are conducted. In all other cases, the DO team plans a separate evaluation.

#### b. Evaluation criteria and formats/tools

All four organizations have adopted the Development Assistance Committee (DAC) evaluation criteria (relevance, effectiveness, efficiency, impact, sustainability) as their evaluation criteria. However, since the DAC's five evaluation criteria were originally proposed for project evaluation, they are not necessarily appropriate for evaluation of country assistance strategies and issue-specific programs. Therefore, these organizations apply the criteria in a flexible manner, depending on the purpose of the evaluation.

##### b-1. World Bank

In the ICR reviews conducted thus far by the IEG, the following has been evaluated and given a rating: i) project outcome (evaluated in terms of relevance, effectiveness, and efficiency); ii) risk to development outcome (evaluated in terms of the sustainability of development effects); iii) Bank performance; iv) borrower performance; v) quality of the ICR; and vi) quality of monitoring and evaluation.

At the country level, the CLR is to be conducted at the end of the CPF, as previously mentioned. However, the CLR evaluation design has not been stipulated yet in the CPF guidance document. This is because the World Bank Group's new Country Engagement Cycle, in which the CPF forms the core, was only recently introduced on July 1, 2014, and detailed information has not yet been made available.<sup>49</sup>

##### b-2. UNDP

The five evaluation criteria are generally applied to evaluations, but the four aspects of effectiveness, efficiency, sustainability, and relevance are used for outcome evaluation.<sup>50</sup> For the Assessment of Development Results, evaluation aspects include UNDP contributions to development results for the target country, their responsiveness and alignment to country challenges and priorities, strategic positioning, and use of comparative advantage.<sup>51</sup>

The tool/format used for monitoring and evaluation is the results framework formulated at the time of planning. However, since this is not mandatory, it is also possible to retroactively prepare the results framework at the time of evaluation. For outcome evaluations, a results framework that clearly shows the indicators for measuring outcomes and their level of achievement is extremely effective.<sup>52</sup>

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<sup>49</sup> World Bank (2014a).

<sup>50</sup> UNDP (2011b).

<sup>51</sup> Ibid.

<sup>52</sup> UNDP (2011c).

### b-3. DFID

When evaluating an Operational Plan, four additional evaluation criteria are added to the original five criteria. Based on the aspects of development strategy, development results, and development processes, these additional four evaluation criteria are: i) coherence, ii) coverage, iii) attribution, and vi) coordination, as shown in Table 2-5.

Additionally, a Results Advisor is often appointed in order to ensure that the evaluation is conducted at a high standard.<sup>53</sup> The role of the advisor is to formulate the evaluation policy, oversee monitoring and evaluation activities, and check the evaluation reports (in terms of data accuracy, coherence to the Operational Plan, etc.) of each project prior to submission to the head office. According to an interview with DFID personnel in Dar es Salaam, Tanzania, there are staff members at local offices with specialized knowledge in various fields, but because they are not necessarily familiar with monitoring and evaluation, it is highly advantageous for a Result Advisor to be stationed at country offices.<sup>54</sup>

Table 2-5 DFID Operational Plan Evaluation Criteria and Evaluation Questions

	Evaluation Criteria	Major Questions
Development Strategy	Relevance	<ul style="list-style-type: none"> <li>● Did DFID undertake the correct analysis and make the right choices in making its regional strategy?</li> </ul>
	Coherence	<ul style="list-style-type: none"> <li>● What other policies and programs influenced DFID's programs and how well did DFID respond?</li> </ul>
Development Results	Effectiveness	<ul style="list-style-type: none"> <li>● What results (outcomes and impacts) did DFID programs achieve?</li> </ul>
	Coverage and Impact	<ul style="list-style-type: none"> <li>● What high level results did DFID programs generate?</li> <li>● What types of groups were targeted or excluded for aid?</li> </ul>
	Sustainability	<ul style="list-style-type: none"> <li>● To what extent are the benefits derived from DFID programs likely to endure?</li> </ul>
	Attribution	<ul style="list-style-type: none"> <li>● To what extent can results be attributed to DFID?</li> </ul>
Development Processes	Efficiency	<ul style="list-style-type: none"> <li>● How efficiently were the inputs transformed into results?</li> <li>● How cost-efficient was it?</li> </ul>
	Coordination	<ul style="list-style-type: none"> <li>● To what extent did DFID harmonize and align its programs with other in-country and regional initiatives?</li> <li>● To what extent did DFID achieve the Paris Declaration and the Accra Commitments in the country?</li> <li>● How good a development partner was DFID?</li> </ul>

Source: Compiled by the Study Team based on DFID (2010).

Furthermore, DFID shows evaluation methods for a program in its Business Case and Intervention Summary depending on the makeup of its contents. For example, Tanzania's SAGCOT program plan states that it will conduct the following types of evaluation: i) implementation of a full impact assessment regarding the impact of investments in road construction; ii) implementation of a program process evaluation for assessing external conditions such as the incorporation of new agricultural methods by farmers through the support of extension services; and iii) implementation

<sup>53</sup> DFID (2013c).

<sup>54</sup> Meeting with the DFID Tanzania Office (October 8, 2014).

of the full impact evaluation on the impact of nutritional aspects in the target region due to DFID assistance. (The program described above is presented because it is an example of a program consisting of multiple interventions following a country operational plan.)

#### b-4. USAID

There are no set evaluation questions for DOs in the CDCS. A CDCS's goal statement, which is the objective at the highest level, is assumed to be achieved collectively by USAID, the target country, and other donors. Thus, the measure of results is not limited to those only derived from USAID inputs.<sup>55</sup> The items that should be addressed by evaluation questions at the DO level are: i) the development scenario and key external conditions; ii) impact of the program; iii) political approach in a specific sector; and iv) the efficiency of the implementation approach. Using this as a reference, the evaluation questions are set at the time of the CDCS formulation. Additionally, the USAID Automated Directives Systems stipulate that evaluation questions should be small in number, relevant to future decisions, and presented together with evidence. Examples of USAID DO-level evaluation questions are shown below.

- To what extent did USAID's agricultural interventions impact women?
- What circumstances positively or negatively affected the degree to which women benefited?
- What are the most significant constraints to the successful implementation of sustainable natural resource management plans?

USAID Malawi's CDCS shows some examples of evaluation questions for a DO-level impact evaluation, assuming that the CDCS involves three sectors. As these examples may be of particular reference when looking at the synergistic effects for the evaluation of JICA's Cooperation Programs, they are listed below:

- Would there be differences in the synergistic effect between DO 1, DO 2, and DO 3 if these programs would have been conducted in the same region or if they were conducted independently?
- When multiple DOs are aimed at the same region, are there constraints in coordination and the generation of effects?

#### c. Challenges in evaluation

Major challenges in evaluation in the reviewed organizations are listed below.

##### c-1. Issues pertaining to the availability of data in developing countries

- Results frameworks do not identify a means of obtaining indicators, and data for a large share of indicators are difficult to obtain. There are many indicators with no baseline data (World

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<sup>55</sup> USAID (2013a).

Bank).<sup>56</sup>

- Data sources are not provided in evaluation reports, making it difficult to determine the validity of the information in many cases (World Bank).<sup>57</sup>
- Weaknesses in developing country data systems affect the availability of data and make it difficult to ensure its quality, as well as to obtain data in the necessary timeframe. Consequently, it is also difficult to develop systems for managing results (DFID).<sup>58</sup>

#### c-2. Issues pertaining to the usage of results of evaluations

- Evaluation results are not used in programming, planning, and decision-making processes of senior management (UNDP).<sup>59</sup>
- Many pilot activities are not evaluated (World Bank).<sup>60</sup>

#### c-3. Issues pertaining to impact evaluations

- Evaluations must be planned at the time of project formation, as for impact evaluations in particular the control group must be followed during the period of the project. Evaluations are also useful for the project design itself. For example, logic and hypotheses are made clear; performance indicators and data collection are also made clear by setting evaluation questions (USAID).
- The frequency of impact evaluations is low due to their high cost and complexity in methods (World Bank).<sup>61</sup>

#### c-4. Issues pertaining to contributing evaluations

- In the past, the Results and Performance Frameworks used by DFID focused on the monitoring and reporting of development objectives on a global scale, in particular, Millennium Development Goals (MDGs). Thus, they were not useful in measuring the contributions of DFID or other specific donors. Therefore, as mentioned previously, DFID made revisions by dividing indicators into four levels for the results framework, making it easier to assess DFID contributions (DFID).<sup>62</sup>

### 2.1.3 Approaches for Improving Evaluability

In this section, a more detailed review will be conducted from the viewpoint of structures and approaches for ensuring and improving the evaluability of programs.

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<sup>56</sup> Cashin (2012).

<sup>57</sup> Ibid.

<sup>58</sup> DFID (n.d.).

<sup>59</sup> UNDP (2010).

<sup>60</sup> Cashin (2012)

<sup>61</sup> Ibid.

<sup>62</sup> DFID (n.d.).

## **(1) Approaches for improving evaluability**

As mentioned in Section 2.1.2., the use of an “evaluability assessment” is an approach to improving evaluability. Evaluability assessments are conducted during project planning or immediately prior to evaluation. Evaluability assessments conducted at the planning stage raise the quality of the plan, which in turn increases its evaluability. Checking of evaluability just before evaluation is used to formulate evaluation plans and to determine whether the evaluation itself will be implemented.

Furthermore, not limited to improving evaluability, these evaluability assessments are also conducted as an approach to increasing the quality of a program or project itself.

IDB and DFID are organizations that check evaluability at the time of project planning (see table below). At IDB, evaluability is checked as a part of quality control during the project approval process. DFID checks evaluability when the monitoring and evaluation framework is formulated at the initial stage of the project. EBRD also emphasizes the necessity of checking evaluability during the planning stage, as making such realizations at the time of evaluation would be too late.<sup>63</sup>

In the following paragraphs, a summary of evaluability assessments will be given, followed by an overview of the different viewpoints of evaluability. Examples of usage will be referenced from various organizations including ILO, which has conducted evaluability assessments during planning, as well as EBRD, which is in the process of introducing their use in recent years. IDB is also verifying the effects of implementing evaluability assessments. Finally, examples from ADB and its efforts to improve the quality of projects will be presented.

## **(2) Summary of evaluability assessments**

Although projects and programs are the central target for evaluability assessments, they also cover sectoral and country strategies and policies. Some assessments are self-evaluations conducted by the unit in charge of the program based on a checklist, while some are commissioned externally.<sup>64</sup> Since IDB’s evaluability assessments are based on deskwork only with each assessment taking about two days, they are done internally by an independent evaluation department. However, many organizations such as DFID and USAID contract this work externally, as it may take from two weeks to six months to complete. In this case, a consultant with expertise in both the subject matter and evaluation checks evaluability while consulting with partner country stakeholders.<sup>65</sup>

The scope of applicability also varies depending on the organization. In contrast to DFID, where assessments are initiated by the persons responsible for the project, IDB assesses evaluability for all projects prior to approval.<sup>66</sup> EBRD also has a minimum level of evaluability as a condition for project approval.<sup>67</sup>

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<sup>63</sup> EBRD (2012).

<sup>64</sup> Davies (2013).

<sup>65</sup> Ibid.

<sup>66</sup> IDB (2014).

<sup>67</sup> EBRD (2012).

Additionally, even if there is no organizational structure for conducting evaluability assessments, they are done on an ad-hoc basis in many cases. For example, when the International Finance Corporation (IFC) introduced a short-term trade finance program as a new product line five years ago, it conducted an evaluability study to determine how the program could be evaluated. As a result, it was concluded that because evaluation would be difficult with existing methods, IFC would look at the entire portfolio of the short-term trade finance program. In addition, the best ways to collect data were also studied.<sup>68</sup>

Table 2-6 Timing and Uses of Evaluability Assessments

	Timing		Uses		
	Planning stage of project	Just before the evaluation	Improving project design	Designing the evaluation	Deciding to evaluate
DFID		○		○	
USAID	○ <sup>1</sup>	○	○	○	○
DANIDA		○		○	○
UNDP		○		○	○
ILO	○	○	○	○	○
IDB	○		○	○	○
IFC	○ <sup>2</sup>			○	
EBRD	○		○		
World Bank	Currently studying implementation				

Notes: ○ = in use ( <sup>1</sup> evaluability assessment used at project planning stage if the project is to include an impact evaluation; <sup>2</sup> conducted on an ad-hoc basis when new schemes are introduced)

Source: Compiled by Survey Team based on Davies (2013) and other documents.

### (3) Evaluability assessment viewpoints

The viewpoints of each organization are characterized by the timing of implementation or the purpose of evaluability assessments. Since ILO and IDB conduct project management based on results-based management, their focus is placed on logical sequence and indicators. EBRD pays particular attention to significant risks that may cause the project design to stop functioning.<sup>69</sup>

Davies organizes the evaluability assessment viewpoints into the 3 categories of: i) project design, ii) information availability, and iii) institutional context. (See table below.)<sup>70</sup>

Table 2-7 Evaluability Assessment Viewpoints of Other Donors and International Organizations

Category	Viewpoint
Project design	<ul style="list-style-type: none"> <li>● Are the long-term impacts and outcomes clearly identified and are the steps for achieving these clearly defined?</li> <li>● Does the project design meet the needs of the target group? Is the intended beneficiary group clearly identified?</li> <li>● Is it possible to achieve the objective within the planned project lifespan?</li> </ul>

<sup>68</sup> Meeting with World Bank IEG (July 16, 2014).

<sup>69</sup> EBRD (2012).

<sup>70</sup> Davies (2013).

	<ul style="list-style-type: none"> <li>● Are there valid indicators?</li> <li>● Have the most important linkages in the causal chain been identified?</li> <li>● Are the roles of the other actors outside the project clearly identified? Have realistic means to monitor these actors been identified?</li> <li>● Is the logic consistent from beginning to end?</li> <li>● If complicated causal relationships affect the project, have the type and extent of the interactions been identified?</li> <li>● If there are differing opinions about project objectives and how they will be achieved, to what extent are those differences? How visible are these differing opinions?</li> </ul>
Information availability	<ul style="list-style-type: none"> <li>● Is a complete set of documents available?</li> <li>● Does baseline data exist?</li> <li>● Are there data on a control group (for impact evaluations)?</li> <li>● Are there data for all the indicators?</li> <li>● Is gender-disaggregated data available?</li> <li>● Are there data from past reviews or evaluations?</li> <li>● Do existing M&amp;E systems have the capacity to deliver?</li> </ul>
Institutional context	<p>Practicalities</p> <ul style="list-style-type: none"> <li>● Are there physical securities risks? Will weather be a constraint? Are staff and key stakeholders available during the period of evaluation?</li> <li>● Are there problems with the time available for evaluation, timing with the schedule of other activities, funding, or securing necessary personnel?</li> <li>● Is there an opportunity for an evaluation to have an influence? Has the project accumulated enough information and lessons learned? Is there value in implementing the evaluation?</li> <li>● Are there other donors, government agencies, or Non-Governmental Organizations (NGOs) that should be or hope to be involved in the evaluation? What forms of coordination are most appropriate?</li> </ul> <p>Demands</p> <ul style="list-style-type: none"> <li>● Who wants the evaluation? Have the primary users of the evaluation results been identified? Will they be involved in planning the evaluation? Will they participate in the evaluation process?</li> <li>● What evaluation questions are of interest and to whom? Are these evaluation questions realistic given the evaluation period and the availability of data?</li> <li>● What sort of evaluation design do stakeholders express interest in? Is this evaluation design realistic given this interest?</li> <li>● What ethical issues exist?</li> <li>● Will stakeholders be ready to accept negative evaluation results?</li> </ul>

Source: Compiled by the Study Team based on Davies (2013), as extracted from a list created from the results of a review of literature on 133 evaluability assessment-related documents by development assistance agencies and other organizations.

#### (4) ILO’s evaluability assessment

In 2007, ILO developed an evaluability assessment tool which it uses for both projects and programs. At the time of planning, it is used to evaluate whether a project’s design allows for outcomes to be evaluated at the end of the project. This tool is also used at the time of evaluation to confirm evaluation feasibility.

There are six elements, as shown in the table below. Element 1 for objectives and outcomes is roughly equivalent to the elements needed for project/program establishment, while most of elements 2–6 apply to design criteria. The “milestones” of element 4 are part of a unique endeavor used to confirm the path toward achieving objectives by deciding a timeframe and allowing for a clear sense of progress toward those objectives.

Table 2-8 Elements of Evaluability Assessment of ILO

	Elements		Criteria questions
1.	Objectives/ Outcomes	Objectives and outcomes are clearly defined.	1) Are the long-term ILO priorities and outcomes clearly identified? 2) Are the proposals and actions toward achieving outcomes through the chosen strategy clearly identified? 3) Have the areas of agreement and disagreement with the constituents' priorities and strategy clearly been defined? 4) Is there consistency with the objectives of international development frameworks such as Poverty Reduction Strategy Paper (PRSP), MDGs, and other integrated development plans? 5) Are there established partnerships with national and international actors and institutions?
2.	Indicators	Indicators are appropriately set.	1) Are indicators specific? 2) Are indicators measurable? 3) Are indicators attainable? 4) Are indicators relevant? 5) Are indicators time-bound? 6) Do indicators have a means of verification?
3.	Baseline	There is a baseline that can be compared to future outputs and outcomes.	1) Are baselines explicitly stated for each indicator? 2) Are baselines specific to the program/project? 3) Do baselines clearly describe the situation prior to the intervention? 4) Will baselines permit comparing and measuring results?
4.	Milestones	There are milestones that allow for a clear sense of progress toward objectives with a set timeline.	1) Do milestones provide clear sense of the timeframe for achievement of results? 2) Do milestones help identify the path toward outputs and outcomes? 3) Do milestones provide a clear sense of progress toward the development goal?
5.	Identification of Risks and Assumptions	Risk and assumptions that may affect the achievement of objectives are clearly defined.	1) Have the principal restrictions to achieving outcomes been identified? 2) Have the risks associated with each strategy option and achieving outcomes been identified? 3) Have methods to mitigate risks been identified?
6.	Monitoring and Evaluation	Monitoring and evaluation methods are clearly identified.	1) Is the results framework (objectives, indicators, baselines, and targets) clearly defined? 2) Has a progress monitoring system been clearly defined? Are appropriate implementation methods for monitoring and evaluation clearly defined? 3) Has a risk monitoring system been clearly defined?

Source: Compiled by Study Team based on ILO (2011).

ILO rates the six items above on a scale from 0 to 4 with the levels as: very good, good, relatively good, poor, and no content. After rating the items, each is weighted (objectives=25%, indicators=25%, baseline=20%, milestones=10% risks and assumptions=15%, M&E=5%) and a score is calculated. Projects are then placed into the categories of: fully evaluable (3.5 points or more), most evaluable (2.5–3.5 points), limited evaluability (1.5–2.5 points) and not evaluable (1.5 points or less). Projects categorized as most evaluable or less will be prompted for improvement.

The fact that this rating itself is largely dependent on the expertise and experience of the user is an issue, thereby calling for a triangulation of results by multiple stakeholders.<sup>71</sup>

**(5) EBRD’s evaluability assessment**

As EBRD does not require the creation of a results framework for project planning, it conducted a study on evaluability assessments in 2012 with the intention of using the assessments to improve project performance. As a result of this study, it was recommended that EBRD incorporate evaluability assessments as a routine process at the project approval stage. It was also suggested that this start with technical cooperation and grants and then progressively expand to other operations.

As a method of implementation, the project implementation unit will use checklists for assessments, the results of which will be submitted to management together with project approval documents.

Table 2-9 Five Elements for EBRD’s Evaluability Assessment

	Elements	Description	Requirements
1.	Results <sup>72</sup>	Results are clearly identified and the possibility of achievement is high.	1) Results are expressed so that anyone reading them can understand them. 2) Their degree of achievement can be evaluated quantitatively or qualitatively. 3) The hierarchy of results is clear. 4) The possibility for achievement is realistically projected. 5) Groups or markets where results appear are identified.
2.	Indicators and Data	There are data that can identify results.	1) There is at least one indicator for each expected result. 2) Indicators are valid. 3) Data exist. 4) Indicators have measureable achievement levels.
3.	Baseline	There is baseline information	1) There is baseline information for each of the expect results areas.
4.	Risk	Risks are identified and mitigation strategies are appropriate.	1) All main risks have been identified. 2) The potential severity of risks and likelihood of occurrence have been identified. “Killer risks” do not exist. 3) The identified risks each have mitigation strategies. 4) A responsible party for risk monitoring has been identified.
5.	Monitoring	Monitoring is appropriately built in.	1) The party responsible for monitoring is clearly identified. 2) Financial resources and personnel with skills for monitoring have been secured. 3) Sources of information required for monitoring have been identified.

Source: Compiled by Study Team based on EBRD (2012).

<sup>71</sup> ILO (2011).

<sup>72</sup> EBRD’s “results” is a broad concept including objectives, financial performance, transition impact, environmental or social impact, additionality, and investment performance.

## **(6) IDB's evaluability assessment**

IDB has already systematically incorporated evaluability assessments for more than 10 years, and it is the only development organization that has reviewed the results of these assessments as quality-at-entry.<sup>73</sup>

IDB has been using a comprehensive development results framework since 2008, and the project design within this must be evaluable ex ante. Evaluability for country strategies must also obtain a certain score.

IDB uses three tools to validate development results: the Development Effect Matrix (DEM), Progress Monitoring Report, and the Project Completion Report. The DEM is a tool used for planning loan projects for developing country governments to evaluate whether a project meets IDB'S required conditions. All projects are rated using this matrix prior to approval by the board of directors.

There are three elements of evaluability, which are scored from 0–10. These requirements are that the program logic is appropriate, the economic evaluation is above the standard, and the monitoring and evaluation plan is appropriate. With long-term efforts, the evaluability scores have been steadily rising. In 2013, all of the projects scored at least 7. Looking at a breakdown of the three elements, monitoring and evaluation rose from 4.0 to 7.7 points compared to 2008; economic evaluation rose from 4.0 to 10 points; and program logic rose from 5.4 to 8.8 points.

It was decided that the DEM will also be fully implemented in the planning phase for projects for the private sector from 2014 onward. Further focusing on results, IDB aims to streamline processes and to create an integrated data management system.<sup>74</sup>

## **(7) ADB's efforts toward improved planning<sup>75</sup>**

In 1995, ADB implemented a logical framework and began using a development results framework in 2004. It has conducted evaluations from the four aspects of: Asia-Pacific development outcomes, outputs and outcomes by sector, operational effectiveness, and organizational effectiveness. Management is performed using the Design and Monitoring Framework, which is a project planning document. Additionally, as quality-at-entry, a consultant reviews the results framework of all projects in progress and all country strategies every two years. The perspectives held at that time are shown as follows.

- Did we do the right things to begin with?
- Were the objectives worthwhile?
- Were the rewards commensurate with the risks?
- Are the underlying development rationale and monitoring framework clearly defined?

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<sup>73</sup> Davies (2013).

<sup>74</sup> IDB (2014).

<sup>75</sup> ADB (2014), ADB (2013), EBRD (2012).

Every year, the percentage of projects receiving a rating of “satisfactory” is calculated. Using 2004–2006 as a baseline, the transition is examined and quality control at the planning stage is monitored. For example, in 2006, 33% of the country partnership strategies’ operational effectiveness was given a rating of “satisfactory.” However, this percentage rose to 100% in 2012.<sup>76</sup>

#### **2.1.4 Observations on the Programs of International Organizations and Other Donors**

In this section, observations will be presented regarding the results of the review conducted in this chapter on program formation, operation and management, and evaluation, as well as the elements for ensuring evaluability of other donors and international organizations.

##### **(1) Program formation**

In the formulation of program plans, the checked points (elements) that were common to all four of the organizations targeted for study were: consistency with the partner country development policies and consistency with assistance policies of the donor country. A results framework is used by the World Bank, UNDP, and USAID to compile an outline of the plans, including the elements mentioned above. The World Bank and UNDP use a matrix style, while USAID uses a tree style, but both are effective in understanding development objectives (equivalent to “program objectives<sup>77</sup>” in JICA’s Cooperation Programs), including the work of partner country governments and other donors logically. The tree-style results framework used by USAID is particularly useful as a reference, as it shows the work of USAID and that of other donors and organizations separately, making it easy to understand the goal achievement scenarios at a glance.

##### **(2) Program operation and management**

All of the organizations (World Bank, UNDP, DFID, and USAID) studied formulate detailed monitoring plans from the program formation stage that include the implementing body, frequency, methods, and target data for monitoring. They have also built systems for periodic revisions. At the time of program planning, a general framework for the monitoring plan is stipulated. The use of this framework at the implementation stage is essential as an element of program implementation.

Furthermore, the progress of the program and achievement level of indicators is revised at least once per year. Although most revisions consist of minor corrections in the plan, results of the revisions are reflected in the plans for the following year and later, with a record of the changes being preserved. In reality, implementation management issues such as indicators set at the planning stage not actually being used or difficulties in validating the usage of monitoring results have been

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<sup>76</sup> ADB (2013).

<sup>77</sup> Program objectives include a program purpose and outputs.

observed. However, the tracking and saving of changes is an important point in understanding the changes and their reasons at the evaluation stage, as well for understanding the level of program progress and achievement. This leads to improved evaluability.

Additionally, the inclusion of the monitoring systems of target country government stakeholders, as is done by UNDP and DFID, is significant for their monitoring systems from a viewpoint of ownership. The reason for this is that it is assumed that if the scale of the cooperation is large (in the case of country-level assistance programs), it is likely that the level of the goals will often be at the same level as the development objectives of the partner country. This is an important point at the evaluation stage in terms of the availability of data on indicators and ensuring the reliability of information.

### **(3) Program evaluation**

It was confirmed that each international organization and donor devised evaluation criteria and items while continuing to incorporate the five DAC evaluation criteria.

All four organizations targeted for the study stipulate the evaluation plan to some degree at the time of project formulation. For example, the World Bank and UNDP conduct evaluations by following the results framework that was formulated at the time of project planning. DFID, in its Business Case and Intervention Summary, describes the plan for evaluation methods. USAID selects development objectives for the evaluation target in CDCS and sets evaluation questions in advance. Setting evaluation methods and criteria questions in advance is advantageous in that logic, hypotheses, performance indicators, and data collection are clearly defined. For impact evaluations in particular, because the control group must be tracked during implementation, the inclusion of evaluation questions in the evaluation plan from the beginning makes it more possible to increase the quality of collected data and the accuracy of the evaluation.

### **(4) Approaches for improving evaluability**

Each organization makes various efforts in order to improve program design and evaluability with many shared perspectives. There are some approaches that involve systematically revising the program design all at once, while some organizations leave the work to the discretion of the responsible persons. The approaches for improving evaluability should consider the balance between objectives (expected results) and efforts/costs. Even if program design improvements are expected by conducting evaluability assessment at the time of planning, the effects will fade quickly if continuous management of the constantly changing situation of the local project site is not subsequently performed. While maintaining viewpoints for improving evaluability, it is necessary to have a management system that allows for revisions of its scenarios throughout the program.

## 2.2 Results of the Review of the Requirements for Evaluability and Evaluation Framework of JICA’s Cooperation Programs

Information that could be used as reference regarding the frameworks, evaluation criteria, and tools of Cooperation Programs was analyzed. With the purpose of providing feedback for various deliverables, existing JICA’ Cooperation Program Plans and program evaluation study reports presented by JICA were the target of a review conducted on program definitions, formation, monitoring, and evaluation.

### 2.2.1 Definitions of JICA’s Cooperation Program

#### (1) Definitions and elements of JICA’s Cooperation Programs

In the Guideline for Enhancing the Strategies of Cooperation Programs (2<sup>nd</sup> Edition), Cooperation Programs are defined as JICA’s strategic frameworks (i.e., cooperation goals and appropriate cooperation scenarios for their achievement) for supporting the achievement of specific medium- to long-term higher-level development objectives in developing countries. Additionally, the following three items are given as strategic elements in the above guideline (Table 2-10).

Table 2-10 Elements of Cooperation Program Strategic Frameworks

	Item	Element
1.	Clearly identified objectives	There are clear cooperation objectives following the development strategies of developing countries and Japanese aid strategies.
2.	Appropriate cooperation scenarios	There are appropriate cooperation scenarios for achieving cooperation goals.
3.	Optimal usage plans for each form of assistance	There are optimal usage plans for each form of assistance when implementing cooperation scenarios. <sup>78</sup>

Source: Prepared by the Study Team based on JICA (2013d).

The above guideline also presents the following as Cooperation Program viewpoints, which are used to validate the relevance of the implementation of projects as Cooperation Programs.

Table 2-11 Viewpoints for Validating Relevance of Cooperation Programs

	Item	Validation viewpoints
1.	a. Importance of development issues b. Level of program purposes	a. Are the development issues priority policy issues for the Government of Japan or extremely important in the partner country’s development planning? b. Is the Cooperation Program’s purpose so challenging that it cannot be achieved without the formation of a program?
2.	a. JICA’s comparative advantage b. Assumptions on structures and systems	a. Has JICA worked on the issue before, and does it have the ability to analyze it? b. Can assumptions be made on the specific structures for gaining a voice with the partner country government and are systems

<sup>78</sup> Technical cooperations, ODA loans, grant aid, and volunteer programs are used strategically based on the circumstances of each country. However, it is not the case that all forms of assistance must be combined. JICA (2013d).

		available for that country to accept this influence?
3.	a. Strong commitment by the partner country b. Insertion into government policies and institutions	a. Has the partner country's strong commitment been confirmed? b. Is there a system in place for inserting the Cooperation Program, or framework aligned with it, into the policies and institutions of the partner country?
4.	a. Organizational position of development issues	a. Is it organizationally positioned as a development issue on which the limited resources of development aid organizations should be concentrated over the medium- to long-term?

Source: Prepared by the Study Team based on JICA (2013d).

In the JICA Guideline for Project Evaluation (2004), JICA was already using terminology on evaluability, and they have continued to incorporate this concept in various forms. In the JICA Guidelines for Project Evaluation (2<sup>nd</sup> Edition), the following are given as the requirements for evaluability.

Table 2-12 Requirements to Secure Evaluability

	Item	Requirements
1.	Securing evaluability of the project itself	Giving concrete shape to the project plan, including inputs, project purpose, and scope. Availability of evidence for assessing development results through monitoring. Identifying relevant stakeholders.
2.	Setting and applying objective and consistent evaluation criteria	

Source: Prepared by the Study Team based on JICA (2014e).

The following items are also given in the guidelines as viewpoints for the formulation of cooperation scenarios.

Table 2-13 Viewpoints for the Formulation of Cooperation Scenarios

	Item	Cooperation scenario formulation viewpoints
1.	Dialogue with partner country	Were scenarios formulated through dialogue with the partner country?
2.	Conformance with coordination frameworks	Were scenarios examined that follow the partner country-led aid coordination framework?
3.	Use of Capacity Development (CD) knowledge and experience	Is the knowledge and experience cultivated through capacity development support being used effectively?
4.	Addressing policies and institutions	Are approaches aiming for the manifestation of higher level development effects being studied by addressing improvements in the partner country's policies and institutions?
5.	JICA's mission	Have the viewpoints of the JICA organizational missions of "human security" and "promoting inclusiveness" been taken into account?
6.	Building partnerships and tie-ups	Has consideration been given to building partnerships and tie-ups with other relevant donors, private companies, and NGOs?
7.	Japanese resources	Is there an awareness of the viewpoint of the relationship to Japanese domestic policies and the effective use of Japanese development resources?
8.	Synergy with JICA's	Are the characteristics and advantages of JICA's various forms of

	characteristics, advantages, and other projects	assistance being exhibited? Is an input/activity plan being formulated that takes the synergy with other projects into account?
9.	MDGs, cross-cutting issues	Are responses to global issues, such as contributing to MDG achievement and approaches to cross-cutting issues such as the environment and gender being taken into account appropriately?
10.	Exit strategy	Is the progress of scenarios that anticipate an exit strategy from the start being considered? (Is the assurance of sustainability being taken into account?)
11.	Risk analysis and measures	Are implementation risk analysis and response measures being studied?

Source: Prepared by the Study Team based on JICA (2013d).

## 2.2.2 Results of the Review of JICA's Cooperation Program Plans

### (1) Summary of target programs

In this section, 26 of the 27 existing Cooperation Program Plans provided by JICA were targeted and reviewed. The title, period, and budget of these Cooperation Programs are as shown in Table 2-14. At the time of formation, the planned period for a program averaged 6.5 years, with the shortest at four years and the longest at 11 years. Additionally, the average budget of the 26 programs was JPY 19.14 billion, with the smallest budget at JPY 720 million and the largest at JPY 212.49 billion. This does not include the four programs for which the budget amount was not noted or the one program that gave a numerical range.

Table2-14 Cooperation Programs Targeted for the Review based on the JICA's Cooperation Program Plans

	Country	Program Title	Period (Fiscal Year)	Duration	Number of projects included in the Cooperation Program Plan					Budget (one hundred million yen)
					Grant	Loan	Technical Cooperation	Others	Total	
1.	Afghanistan	Health System Strengthening Program	2008-2014	7	1	0	9	2	12	19.1
2.	Afghanistan	Agricultural and Rural Development Support Program	2010-2020	11	1	0	18	4	23	292.8 - 446.6
3.	Afghanistan	Kabul Metropolitan Development Program	2010-2020	11	13	9	8	1	31	2,124.9
4.	Indonesia	Program for Transport Environment Development in Jakarta Metropolitan Area	2011-2020	10	0	3	10	4	17	N.A.
5.	Uganda	Northern Uganda Reconstruction Program	2009-2014	6	6	1	5	5	17	125.0
6.	Ethiopia	Improvement of Water Supply Coverage and Capacity Development for Maintenance/Management of Safe Water (approved only by related departments)	2011-2015	5	6	0	10	2	18	80.6
7.	El Salvador	Program for Eastern Region Development	2010-2014	5	2	1	8	6	17	260.5
8.	Ghana	Program for the Improvement of Health Status of People Living in Upper West Region	2005-2009	5	1	0	2	1	4	7.2

9.	Ghana	Program for Promoting Mother and Child Health Services Focusing on Upper West Region	2011-2016	6	3	0	2	2	7	31.3
10.	Cambodia	Program for Human Resource Development for Industry	2012-2021	10	2	0	8	2	12	38.6
11.	Cambodia	Program for Urban Water Environment Improvement	2012-2016	5	4	5	2	0	11	333.1
12.	Colombia	Support to the Victims of Armed Conflict and Their Coexistence and Reconciliation	2008-2013	6	0	0	9	10	19	10.5
13.	Senegal	Programme for Reinforcement of the Health System of Tambacounda Region	2007-2011	5	1	0	6	5	12	16.8
14.	Tajikistan	Transport Infrastructure Program	2013-2017	5	5	0	3	0	8	91.6
15.	Tanzania	Programme for Strengthening Rice Production Capacity	2011-2018	8	2	0	8	2	12	126.2
16.	Nepal	Transportation and Infrastructure Development Program	2013-2018	6	3	0	4	0	7	84.3
17.	Palestine	Improvement of Health	2009-2015	7	1	0	4	4	9	18.0
18.	Palestine	Jericho Regional Development Program	2005-2010	6	0	0	12	0	12	15.0
19.	Bangladesh	Arsenic Contamination Countermeasure Program	2006-2009	4	1	0	6	1	8	N.A.
20.	Bangladesh	Basic Education Improvement Program	2011-2016	6	1	0	2	1	4	31.5
21.	Burkina Faso	Program for Malaria Control	2008-2011	4	1	0	5	0	6	N.A.
22.	Viet Nam	Program on the Development of Small and Medium Enterprises (SMEs) and Supporting Industries (SIs)	2009-2015	7	1	4	23	2	30	197.0
23.	Benin	Maternal and Child Health Program in Benin	2006-2010	5	1	0	7	3	11	15.2
24.	Bolivia	Program for Water Supply in the Poverty Area	2005-2010	6	5	0	5	8	18	N.A.
25.	Morocco	Program for Integrated Development of Errachidia Province	2008-2015	8	1	1	3	2	7	31.6
26.	Lao	Power Development Program	2012-2016	5	1	3	12	0	16	361.2

Source: Prepared by the Study Team based on each Cooperation Program Plans

Note 1: Although there is a possibility that a change has occurred during the implementation period in some of the programs reviewed, the analysis was made based on the above Cooperation Plans since the purpose of this section is to analyze the content of Cooperation Program Plans.

Note 2: In addition to the above 26 Cooperation Program Plans, JICA provided the Study Team with documents of the Program for Strengthening Basic Education in Honduras (Cooperation Program for Teaching in Mathematics in Latin American and Caribbean Countries). However, this Cooperation Program was not targeted for the review since the Cooperation Program Plan was not formulated

Note 3: The technical cooperation includes technical cooperation projects, dispatch of individual experts, development study, training in Japan, third country training, and grassroots technical cooperation projects. Others include grassroots grant aid projects, dispatch of volunteers, and multilateral cooperation.

Additionally, an ex-ante evaluation is conducted when the Cooperation Program Plan is being approved. The items described in the plan including necessity, relevance, purpose/content, effects (effectiveness), external factors/risks, etc. are organized and the appropriateness of the plan and

implementation structure is comprehensively verified.<sup>79</sup>

## **(2) Formulation and evaluability of programs**

Based on the Cooperation Program Plan described above, an analysis is performed on program formation from the perspective of evaluability. This analysis is generally the result of a literature review of the program plan and its appendices. It should be noted that the analysis only focuses on the formation of the plan and that it is performed with a limited amount of information.

### **a. Issues pertaining to elements of the plan**

Elements of the plan are of two types: they are either elements such as Cooperation Program or they pertain to the program design. Although no particular problems were seen with the former, the issues described below were observed with the latter. (See Table 2-15 for details.)

#### **a-1. Ambiguous program purposes set at a level that is too high**

Programs have been observed where the program purpose itself, which shows what the program is aiming to achieve, is not set in a manner that is clear and concrete (Table 2-15 “a”). Therefore, the indicators, which will be described later, become more difficult to define appropriately. Additionally, cases have been seen where even if the program purpose itself has been concretely set, it has been set at too high of a level. This makes program purposes difficult to achieve within the time frame based on the amount of input, period of time, and content of the cooperation for the program. For example, in the Agricultural and Rural Development Support Program in Afghanistan,<sup>80</sup> the program purpose has been set as the “rehabilitation of the key industry of agriculture and the rural development sector.” Indicators for the program are the agricultural share of the gross national product (GDP) and rice production volume. The target values for each indicator were not indicated, as they were scheduled to be set near the time of the mid-term review. Therefore, although the target level was unclear, if it were thought that a Cooperation Program could substantially change the GDP of the agriculture sector, the level set for the program purpose (and the level of the indicators) would likely be too high.

#### **a-2. No causal relationship between the program purpose and outputs**

Cases have been observed where the program purpose does not have a causal relationship (or means/ends relationship) with the outputs. Conventionally, the relationship between the program purpose and outputs is established with the logic that if multiple outputs are all achieved, the program purpose will be achieved. However, for example, there are many cases where the program purpose

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<sup>79</sup> JICA (2013d)

<sup>80</sup> Before this, the phrase “The base will be formed for continued and sustained agriculture and rural development in rural area” was included. This is just a rearrangement of the wording for the targets for the level of the outputs. The portion that states the program objectives is thought to be the latter half of the phrase only, as stated above.

is differentiated from the multiple outputs by changing one phrase, making the multiple outputs and program purpose the same. Thus, in effect, the program purpose has not been set. This decreases evaluability and lowers the efficiency of the evaluation. As an example, the purpose of the Program for Transport Environment Development in the Jakarta Metropolitan Area in Indonesia is to improve the transport environment in the metropolitan area in order to achieve higher economic growth and job creation through the promotion of investment in the area. The five outputs defined for this Cooperation Program are the improvement of plans/systems and capacity enhancement, increased transport volume of mass transit organizations, increased road capacity, increased cargo handling volume at ports, and expansion of airport facilities/capacity. The seven indicators are not categorized according to program purpose or outputs, and they include items such as total railway extension length in kilometers and the increase ratio for the percentage of public transport users. However, the specific content of the program purpose “transport environment” is unclear, and it seems to express the five outputs collectively in a single phrase.

#### a-3. The indicators set are inappropriate or insufficient

Cases have been observed where the indicators are ambiguous and not sufficiently concrete. For example, mere stating “improving capacity of XYZ personnel” does not express the specific area, type of group/people, type of capacity, how it will be measured, or extent to which improvements should be made to determine achievement. As an example, the Northern Uganda Reconstruction Program states its program purpose as the “return of internally displaced persons (IDP) and ensuring their secure and stable lives in their new domiciles.” Of the three indicators, indicator 2 is the “improvement of living environment for IDP,” and indicator 3 is the “revitalization of IDP’s livelihood activities and production activities.”<sup>81</sup> However, because what will be used to measure “improvement” and “revitalization” is not clearly defined, the indicators have not been made sufficiently concrete. There are also cases in which the indicators have been specifically identified, but the target values are not set. If indicators are not set in a concrete manner, monitoring is difficult to implement. Additionally, if target values are not set, it is highly likely that there will be differences in determinations depending on the evaluator. All of these have a negative impact on evaluability.

There are also many programs in which the appropriateness of the indicators cannot be considered because none have been set at all. Of the 26 Cooperation Programs, a total of 13 programs had a portion of the indicators that were not set. Of these 13, five programs did not have indicators set for program purposes, and eight did not have indicators for outputs.

#### a-4. Deviation among target areas

Cases have been observed where despite the fact that the program target area includes all areas of the partner country, the actual activities to produce effects were only conducted in some limited

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<sup>81</sup> In this program plan, indicators have been set for FY 2012 (three years after the program starts).

areas. (See Table 2-15 “e.”) This makes it difficult to anticipate the effects of the program’s purpose. For example, the target area for the Program for Urban Water Environment Improvement in Cambodia is all of Cambodia. The program purpose is stated as, “For the Cambodia Millennium Development Goals aiming to improve urban water supply percentages and sanitation: to increase the urban water supply service percentage of 60% in 1998 to 80% in 2015; to increase access to urban sanitation facilities from 49% in 1998 to 74% in 2015; and to contribute to the achievement of projected post-CDMGs indicators.” In addition to the problem of the program purpose itself containing multiple items, the areas where actual improvements in water supply percentages and access to sanitation facilities are expected are limited to a portion of the cities including Phnom Penh and Siem Reap, which are the target areas for the outputs. This causes a deviation between the target areas of the program purpose and outputs. If it is assumed that the program aims for improvement in all areas of Cambodia, the outputs are insufficient. If it aims for improvement only in the target areas of the outputs, however, then the target areas must be specified as such.

#### a-5. Target sector selection does not attach importance to producing measurable effects

For the target scope of a Cooperation Program, if multiple issues in the same sector are chosen to be handled in a manner that is broad and shallow, it becomes difficult to measure the effects brought about by the Cooperation Program during evaluation. In order to show the effects of the program more clearly, the target scope of the Cooperation Program must be decided after thoroughly examining what specific effects should be produced. For example, for the Health System Strengthening Program in Afghanistan, the program purpose was set as, “Systems related to building efficient health care systems, including the private sector, will be strengthened, thereby allowing the health care administrative organizations of Afghanistan to autonomously propose and implement health care policies to achieve national development strategies.” The scope of this program was set to cover five of the eight programs on the Afghanistan side. These five programs only support the development of human resources and institution building. Therefore, as opposed to concentrating on one program, this scope will likely cause the degree to which effects are produced to be lowered. Additionally, it will become more difficult to measure the contribution of the Cooperation Program to these Afghani programs, in turn causing difficulties from the aspect of evaluability.

There is one common cause among the five problems with elements of the plan that were described above. The definitions and positioning of the program purposes and outputs were not clearly identified. The first step toward improvement for the relevant stakeholders is to share this information and make it clearer.

#### a-6. Analysis of external factors is insufficient

Although external factors cannot be controlled by the program, some cases have been observed where the analysis of these (external) factors essential for achieving program purposes and outputs has been insufficient. (See Table 2-15 “i.”) If elements not included in the scope of the program (e.g. distribution and marketing in programs to improve agricultural productivity) worsen compared to the beginning of the program, even if the program is implemented as planned, it is difficult to achieve

program purposes and outputs. It will also be difficult for the program to link to advancing the development objectives positioned at a higher level. Additionally, even if resources are secured for each constituent project and are implemented as planned, if there are delays in support from other donors in supplementary roles or a change in direction, it will be difficult for the expected synergy to be produced. Furthermore, if there is a major change in directionality of the policies of the partner country during the period of the program, the significance of the program will decrease for that country. There will also be a negative impact on the inputs (funding, human resources, etc.) from the partner country side for the constituent projects, making it more difficult to produce and sustain effects. At the formation stage of a Cooperation Program, a plan must be formulated that is based on thorough data collection/analysis on the current and projected conditions.

For example, for the Maternal and Child Health Program in Benin, the program purpose is the reduction of the maternal and neonatal mortality rate in the southern region of Benin. The indicators are lower maternal mortality rates and neonatal mortality rates. The following three outputs were also given. Outcome 1: Maternal and neonatal care at the Lagune Maternity Hospital is improved. Outcome 2: A system is created by the Ministry of Health for in-hospital training in the field of maternal and child health targeted for medical personnel at the Lagune Maternity Hospital. Outcome 3: Maternal and neonatal care at the municipal health center is improved. However, in regard to hospitals and medical facilities in target regions other than that of the Lagune Maternity Hospital, there was no clear analysis regarding the shortage of medical facilities and capable medical professionals, which had been pointed out as a problem. Thus, the current situation and future projections are unclear.

#### a-7. Monitoring plans are not included in the JICA's Cooperation Program Plan

In addition to inputs and the progress of constituent projects, monitoring of the program purpose's achievement levels is essential to the success of the program. If the data and information that should be collected, the person who will collect and compile the information, the person making determinations, and the timing of these steps are not clearly identified at the start of the program, it becomes more difficult to implement monitoring. Currently, there is a template for the monitoring sheet (hereinafter referred to as "program monitoring sheet"), but it is not mandatory. There were no programs that attached a monitoring sheet to their Cooperation Program Plans. Additionally, 13 of the 26 programs did not clearly state monitoring subjects, methods, or timing on their program plans. Therefore, who will conduct monitoring during implementation and how it will be done, or whether there is a plan to conduct monitoring at all, is unknown.

Table 2-15 Issues Pertaining to the Formation and Evaluability of 26 Cooperation Programs Targeted for Review

	Program Title	Type	a. Program purpose is not specific.	b. No causal relationship between the program purpose and outputs.	c. Program purposes set at a level that is too high.	d. Extent of program purpose achievement is difficult to measure for the Cooperation Program alone.	e. Target area deviates from the objective.	f. Indicators for the program purpose are not set.	g. Indicators for the outputs are not set.	h. Indicators are not appropriately set. <sup>82</sup>	i. Analysis of external factors is insufficient.	j. Multiple items are included in the program purpose.	k. Monitoring plans are not included in the program plan.	Remarks
1.	Agricultural and Rural Development Support Program in Afghanistan	1	•	•	•					•		•	In addition to the program purpose including two purposes, it is unspecific and likely to be a rephrasing of the outputs.	
2.	Improvement of Water Supply Coverage and Capacity Development for Maintenance/ Management of Safe Water in Ethiopia	1		•						•			Some of the indicators for program purpose and outputs are identical (population benefitting from water supply facility development), with both being rephrased from each other. Also, the entire country is the target area for human resource development, but actual effects related to water supply are predicted to be produced in only four regions (regions targeted by water supply facility development).	
3.	Program for the Improvement of Health Status of People Living in Upper West Region in Ghana	1						•	•	•		•	Program purpose is clearly stated, but two of the three indicators are not sufficiently concrete. Additionally, the program purpose is identical to the project objective of the technical cooperation project.	
4.	Program for Promoting Mother and Child Health Services Focusing on Upper West Region in Ghana	1								•			There is a notation of external factors in the program plan. Of the three program purpose indicators, the 3 <sup>rd</sup> indicator (postpartum examination rate) is included in the 1 <sup>st</sup> indicator (prenatal examination coverage rate).	
5.	Program for Human Resource Development for Industry in Cambodia	1								•			Program purpose indicators are not sufficiently concrete. The timing of the monitoring (five years from the start of the program and at completion) and the use of working groups with other donors is clearly stated in the program plan.	

<sup>82</sup> “Indicators are not appropriately set” covers “not sufficiently specific as indicators,” “target values are not set,” and “the year used as the baseline for comparison of target values is several years before the start of the program.”

6.	Improvement of Health in Paraguay	1			•		•			•	•		•	Two provinces are set as the target areas, but outcome 3 covers only one of those provinces. Also, the level of program purpose is likely too high compared to the outputs. Target values are not set for indicators at the outcome level.
7.	Basic Education Improvement Program in Bangladesh	1				•			•		•		•	Program purpose is at the same level as the partner country's development policy objective, but it should be one that is achieved jointly with other donors. Meanwhile, indicators for outputs are not set. Therefore, it is difficult to measure the portion contributed by the Cooperation Program alone.
8.	Program for Malaria Control in Burkina Faso	1								•				The indicator for outcome 3 is not sufficiently concrete, and other indicators do not show target values. Grant aid projects are also being implemented in areas other than those targeted by this program. Depending on the outcome, there is no overlap in the target area.
9.	Maternal and Child Health Program in Benin	1								•	•			Indicators for both program purposes and outputs are not sufficiently concrete. External factors are not clearly identified.
10.	Power Development Program in Lao	1	•					•	•					The program purpose is ambiguous, not specifying what will allow for a "stable and efficient" electricity supply. Indicators for program purposes and outputs are not set. Also, external factors are not clearly identified.
11.	Kabul Metropolitan Development Program in Afghanistan	3	•	•						•			•	Because the program purpose is close to being a rephrasing of outputs (rewording of outputs 1-5), measuring these during monitoring and evaluation is expected to be difficult.
12.	Northern Uganda Reconstruction Program in Uganda	3	•	•						•			•	Program purpose is ambiguous and is a rephrasing of the outputs. Additionally, some indicators (e.g., Indicator 2: improvement of IDP living environment) are ambiguous and not sufficiently concrete as indicators.
13.	Programme for Reinforcement of the Health System of Tambacounda Region in Senegal	3									•		•	Using the project design matrix (PDM) attached to the program plan, the logic regarding objectives and indicators is easy to check. External factors have not been analyzed.
14.	Health System Strengthening Program in Afghanistan	4	•		•			•	•			•	•	Program purpose is not concrete and indicators are not set. Also, since the approach was taken to support only a portion of the five issues (human resources development and institution building) with the complementary relationship with other donors as a precondition, it is difficult to see the contributions of the Cooperation Program alone.
15.	Program for Transport Environment Development in Jakarta Metropolitan Area in	5	•	•						•	•	•		Program purpose is a rephrasing of the outputs. It is unclear whether the indicators set are for program purpose or for outputs. Also, the program is composed of 17 projects, which is quite

	Indonesia													numerous and branching. The linkage between projects and the path to the program purpose is hard to see.
16.	The Program for Eastern Region Development in El Salvador	5							•	•	•			Because the target values for indicators are not set for program purpose or for outputs, the extent of changes aimed for in terms of workforce population and average income is unclear. Composed of 17 projects, which is quite numerous, it is hard to see the linkage from outputs to program purpose.
17.	Program for Urban Water Environment Improvement in Cambodia	5	•						•					Phrases such as “contribute” are used in the program purpose, but the level of contribution the program attempts to achieve is unclear. There are no target values for the indicators for the program purpose and (some of the) outputs. Also, the target area is defined as all of Cambodia, but there is divergence with the areas in which effects can be expected. It is stated that regular monitoring will be conducted using the Urban Water Working Group, which is an assistance coordination framework.
18.	Support to the Victims of Armed Conflict and their Coexistence and Reconciliation in Colombia	5	•						•					The logic linking the program purpose to the outputs is appropriate. However, the wording for the program purpose is difficult to understand, and target values for the indicators for the program purpose and outputs are not set. It is clearly stated that the achievement levels will be monitored through policy discussions between the partner country government and a local ODA task force. A program adjustment meeting will also be conducted once every six months.
19.	Transport Infrastructure Program in Tajikistan	5	•						•	•				Since the baseline for trade volume used for program purpose indicators was from eight years prior to the start of the program, it is questionable whether the contribution of the program can be measured. Outcome indicators are specific, but target values are not set.
20.	Programme for Strengthening Rice Production Capacity in Tanzania	5			•	•							•	Since the program purpose is the “contribution” to partner country development objectives and is set to be achieved together with support from other donors, it is difficult to measure the extent of contribution from the Cooperation Program alone.
21.	Transportation and Infrastructure Development Program in Nepal	5			•				•	•				Program indicators are clearly identified, but they overlap with output indicators. The relationship between outputs and the program purpose is a rephrasing of the same content. Also, the relationship between roads and airports covered by the program is hard to see, and there is a possibility that the sector grouping is the same.
22.	Jericho Regional Development Program in Palestine	5	•	•				•	•		•		•	The program purpose is lacking specificity, and indicators for the program purpose and output levels are not set. The target areas

														of the subprograms match, but the linkage between projects within the subprogram and the scenario from the subprogram to the program purpose is hard to envision.
23.	Arsenic Contamination Countermeasure Program in Bangladesh	5	•	•			•	•					•	The period of the program is short at three years, with the program purpose going no further than institution building. There are no concrete development effects. The difference between the outputs and the program purpose is hard to understand. Since the actual program purpose is ambiguous, the causal relationship between the two is also ambiguous.
24.	Program on the Development of Small and Medium Enterprises (SMEs) and Supporting Industries (SIs) in Viet Nam.	5	•	•				•	•					Since the number of constituent projects is numerous and the schemes branch out in different directions, the relationship between these projects is hard to see. The program purpose itself is ambiguous (i.e., “the supply of management resources (human resources, funding, technology) will be expanded”), and it is also a rephrasing of outputs. Thus, the actual program purpose is unknown.
25.	Program for Water Supply in the Poverty Area in Bolivia	5							•		•		•	In the program plan, program purpose indicators are defined as “concrete outputs.” This terminology is not uniform. Therefore, the specific outputs are unknown.
26.	Program for Integrated Development of Errachidia Province in Morocco	5							•	•	•		•	The program purpose is set at the same level as the partner country’s development policies, and the link between the specific content of each output and the program purpose is unclear. Indicators are not set for outputs, and target values are not set for program purpose indicators.
Total			12	9	3	3	3	5	8	17	12	4	13	

Note: Types are based on the classification of the Cooperation Program purpose described in JICA (2007d). 1: Independent type, 2: Model type, 3: Complementary type, 4: Project-support type (linked project), 5: Subprogram type.

b. Program type and number of constituent projects

Looking at the 26 programs analyzed by their different types, 22 of the 26 were classified as either Type 1 or Type 5 from the five different types described in the JICA Project Management Handbook (1st Edition). There were only a few falling under Type 3 and Type 4, with no Type 2 programs. Table 2-16 shows the programs by type, organized under the issues that were described earlier. Comparing Type 1 to other types, issues “a” (program purpose is not specific) and “b” (no causal relationship between program purpose and outputs) were seen slightly less often, but the difference is not remarkable. Also, the difference between Type 3 (Complementary type) and Type 4 (Project-support type/linked project) is difficult to understand, and the necessity of dividing the two types is described below.

Table 2-16 Issues by Program Type

Type	Number of programs	a. Program purpose is not specific.	b. No causal relationship between the program purpose and outputs.	c. Program purposes set at a level that is too high.	d. Extent of program purpose achievement is difficult to measure for the Cooperation Program alone.	e. Target region deviates from the objective.	f. Indicators for the program purpose are not set.	g. Indicators for the outputs are not set.	h. Indicators are not appropriately set.	i. Analysis of external factors is insufficient.	j. Multiple items are included in the program purpose.	k. Monitoring plans are not included in the program plan.
1	10	2	2	2	1	1	1	3	8	4	1	4
2	0	0	0	0	0	0	0	0	0	0	0	0
3	3	2	2	0	0	0	0	0	2	1	0	3
4	1	1	0	0	1	0	1	1	0	0	1	1
5	12	7	5	1	1	2	3	4	7	7	2	5
Total	26	12	9	3	3	3	5	8	17	12	4	13

Source: Prepared by the Study Team based on Cooperation Program Plans provided by JICA.

Additionally, the number of projects making up each program varies widely from four to 31 per program. Programs were divided into the following categories based on their number of projects and are shown in Table 2-17: 1) up to 10 projects; 2) 11-20 projects; 3) 21-31 projects. Although no conspicuous difference between number of projects can be seen, there are relatively fewer programs with issues critical to the program plan such as “a” and “b” if they fall into category 1) with 10 constituent projects or less. For example, of the 10 programs in the group with 1-10 projects, only one has issue “b” (no causal relationship between program purpose and outputs), representing 10%. In contrast, of the 13 programs in the group with 11-20 projects, 6 programs have the same issue (46.2%), as do 2 of the 3 programs with 21-31 projects (66.7%). Although there are not many cases for analysis, it is thought that as the number of projects becomes larger, it becomes more difficult to accurately grasp the path between the constituent project results and program purpose.

Furthermore, when the 26 target Cooperation Programs were classified by scenario type, no specific trends in evaluability were seen.

Table 2-17 Issues by Number of Projects

Number of constituent projects	Number of programs	a. Program purpose is not specific.	b. No causal relationship between the program purpose and outputs.	c. Program purposes set at a level that is too high.	d. Extent of program purpose achievement is difficult to measure for the Cooperation Program alone.	e. Target region deviates from the objective.	f. Indicators for the program purpose are not set.	g. Indicators for the outputs are not set.	h. Indicators are not appropriately set.	i. Analysis of external factors is insufficient.	j. Multiple items are included in the program purpose.	k. Monitoring plans are not included in the program plan.
1-10	10	3	1	1	1	3	2	4	7	6	0	5
11-20	13	7	6	1	2	0	2	3	9	6	3	6
21-31	3	2	2	1	0	0	1	1	1	0	1	2
Total	26	12	9	3	3	3	5	8	17	12	4	13

Source: Prepared by the Study Team based on Cooperation Program Plans provided by JICA.

#### c. Monitoring plans created during program formation

Of the 26 programs, half of them (13) did not include monitoring plans in their program plans. (See Table 2-15 “k.”) To conduct the monitoring that should be done during the program implementation period, a monitoring plan must be formulated at the time of program formation, not after the program starts. For many current programs and appendices, a monitoring plan (i.e., Who will collect what kind of information when and in what manner? Who will decide when monitoring results will be reflected through corrections to the plan?) was not clearly stated. Conversely, there were also programs that included specific plans regarding the timing and individuals responsible for the monitoring, such as plans to periodically share program achievement levels with the partner country government as part of the annual plan of the JICA overseas office and plans for the project formulation advisors in charge of the related field to also be in charge of monitoring. Some programs also included plans to conduct monitoring within existing frameworks together with other donors in developing countries where aid coordination is more advanced.

#### d. Formats and tools used in program formation

The formats and tools created when forming the 26 programs targeted for analysis are shown in Table 2-18. A program matrix was created for only two of the 26 programs, and there were no programs at all that attached the program monitoring sheet with completed monitoring plans to their programs, as specified by the JICA Guidelines for Strengthening Cooperation Program Strategies (2<sup>nd</sup> Edition). Many (15 of 26) attached illustrations as a Cooperation Program concept diagram. The advantage of using an illustration is that the outline of complicated programs can be presented to

stakeholders in a manner that is easy to understand. Also, no particular knowledge or skills are needed by either the creator or people receiving the explanation. Conversely, this may not clearly express the logic of the scenario, and is thus not suitable for checking its logicity.

Table 2-18 Tools/Formats Created in the 26 Cooperation Programs

	Cooperation Program	Cooperation Program Plan	Program Matrix	Program schedule, rolling plan	Chronology	Monitoring plan	Range of conceptual diagram	Type of program concept diagram	Remarks
1.	Health System Strengthening Program in Afghanistan	○	×	○	○	×	B	C	
2.	Agricultural and Rural Development Support Program in Afghanistan	○	×	×	×	×	N.A.	C	Attachments to the program plan: program concept illustration, rolling plan
3.	Kabul Metropolitan Development Program in Afghanistan	○	×	○	○	×	B	C	Attachments to the program plan: Program concept illustration including chronology
4.	Program for Transport Environment Development in Jakarta Metropolitan Area in Indonesia	○	×	×	×	×	×	×	
5.	Northern Uganda Reconstruction Program in Uganda	○	×	○	×	×	A	B	Attachments to the program plan: Program concept illustration including chronology
6.	Improvement of Water Supply Coverage and Capacity Development for Maintenance/ Management of Safe Water in Ethiopia	○	×	×	○	×	×	×	Attachments to the program plan: Program concept illustration including chronology, location of constituent projects
7.	Program for Eastern Region Development in El Salvador	○	×	○	○	×	B	C	
8.	The Program for the Improvement of Health Status of People Living in Upper West Region in Ghana	○	○	×	○	×	B	B/C	Attachments to the program plan: location of constituent projects
9.	The Program for Promoting Mother and Child Health Services Focusing on the Upper West Region in Ghana	○	×	×	×	×	A	A	
10.	Program for Human Resource Development for Industry in Cambodia	○	×	×	×	×	A	C	Attachment to the program plan: conceptual diagram
11.	Program for Urban Water Environment Improvement in Cambodia	○	×	×	×	×	A	C	Attachment to the program plan: conceptual diagram
12.	Support to the Victims of Armed Conflict and their Coexistence and Reconciliation in Colombia	○	×	○	×	×	A	A	

13.	Programme for Reinforcement of the Health System of Tambacounda Region in Senegal	○	×	○	×	×	A	C	
14.	Transport Infrastructure Program in Tajikistan	○	×	○	×	×	A	A	
15.	Programme for Strengthening Rice Production Capacity in Tanzania	○	×	○	×	×	B	C	
16.	Transportation and Infrastructure Development Program in Nepal	○	×	○	×	×	A	A	
17.	Improvement of Health in Paraguay	○	×	○	×	×	B	C	Attachment to the program plan: location of major constituent projects
18.	Jericho Regional Development Program in Palestine	○	×	○	×	×	A	C	
19.	Arsenic Contamination Countermeasure Program in Bangladesh	○	×	○	×	×	×	×	
20.	Program for Strengthening Basic Education in Bangladesh	○	×	○	×	×	×	×	
21.	Program for Malaria Control in Burkina Faso	○	○	○	×	×	A	C	
22.	Cooperation Program on the Development of Small and Medium Enterprises (SMEs) and Supporting Industries (SIs) in Viet Nam	○	×	○	○	×	A	C	
23.	Maternal and Child Health Program in Benin	○	○	○	×	×	A	C	
24.	Program for Water Supply in the Poverty Area in Bolivia	○	×	×	×	×	×	×	
25.	The Program for Integrated Development of Errachidia Province in Morocco	○	×	○	×	×	A	C	
26.	Power Development Program in Lao	○	×	×	×	×	B	C	

(Note) The number of range and type of conceptual diagram in the above table refer to the following.  
Range: A. Projects that constitute the Cooperation Program only, B. Programs of partner government and other donors included.  
Type: A. JICA's Cooperation Program tree, B. Program matrix, C. Conceptual illustration  
Source: Prepared by the Study Team based on Cooperation Program Plans provided by JICA.

### 2.2.3 Results of the Review of Program Evaluations Conducted in the Past

In this section, a review was conducted of 11 program evaluation studies implemented from 2005 to June 2014. Three of the 11 target programs were evaluated on a trial basis with the purpose of improving evaluation methods. Furthermore, for one of these, the master plan proposed in a development study was artificially treated as a program. In this section, these three programs and the other eight programs are all treated as program evaluations, with a review conducted on (1) implementation status of program management including monitoring, (2) the outline of the program evaluation study, and (3) recommendations for improving evaluation methods.

**(1) Implementation status of program management including monitoring**

Of the 11 program evaluation studies, only the program shown in the table below made any notation of monitoring. In the Program for Support to the Victims of Armed Conflict and their Coexistence and Reconciliation in Colombia, a project formulation advisor in the field of peace building began to manage the program and its projects from the second year after the program was started. With the detailed information collected and organized by this project formulation advisor, constituent project-specific evaluation grids, constituent project-specific secondary evaluation grids, program integration review grids, and a program evaluation matrix were created and used for analysis. The evaluation result, “the composition of the projects was complementary with synergistic effects expected,” was likely brought about through the periodic meetings held with stakeholders and mid-term reviews led by the project formulation advisor.<sup>83</sup> Conversely, the inadequacy of logic pertaining to scenarios and a lack of clear indicators was also pointed out in the evaluation study. Although these are thought to be required elements for the formation and implementation of Cooperation Programs, their creation has been shown to be a difficult issue in reality.

Table 2-19 Programs that Included the Implementation of Monitoring

	Program (period)	Implementation status of monitoring	Evaluation results (excerpted)
1.	Support to the victims of armed conflict and their coexistence and reconciliation in Colombia (2008-2013)	A dispatched project formulation advisor conducted program management. Specifically, he updated the Peace-Building Needs and Impact Assessment (PNA), collected relevant policy data, formed new projects for the program, conducted program PR, held seminars regarding relevant bill recommendations, held study meetings for project course corrections, led regular meetings for Japanese experts working on constituent projects, and conducted mid-term reviews.	<ul style="list-style-type: none"> <li>● In regard to the projects’ strategic aspect, the composition of the projects was complementary, with synergistic effects expected.</li> <li>● In regard to the concept of contribution, some indicators are unclear, and some logic regarding the scenarios for the program purpose is poorly organized. Some aspects of the results based on the concept of contribution were difficult to evaluate comprehensively.</li> </ul>

Source: Prepared by the Study Team.

Apart from the program evaluation study described above, and excluding projects that stated “monitoring system not yet developed” (i.e., Program for Water Supply in the Poverty Area in Bolivia),<sup>84</sup> there was no description in any of the program plans regarding the implementation status of monitoring. As shown in the table below, it was observed that monitoring of programs on the

<sup>83</sup> Before the program was started, an extended-region Planning Researcher had been dispatched to conduct multiple technical cooperation projects that would form this program and its constituent projects.

<sup>84</sup> This program states that a “Program-manager type personnel (overseas senior researcher) will be allocated...and a local consultant will be placed at central ministries and various provincial sanitation bureaus. ...The office will perform this type of overall program coordination, making it a highly cost-efficient system.” However, there is no mention of monitoring.

whole was not sufficiently conducted, and many recommendations were generated related to management systems that include monitoring. In addition, there were many common issues regarding coordination and public relations between management personnel, partner country governments, and other donors. Furthermore, although the current definitions for Cooperation Programs were formulated in 2006, there are no major differences between the issues in programs planned before or after that time. There are also no major differences between the issues depending on program classifications based on their systems of objectives.

Table 2-20 Recommendations and Lessons Learned on Management including Monitoring

	Title (period*1) In order of implementation of program evaluated	Type*2	Recommendations and lessons learned	Monitoring System	Manager	Coordination/PR
1.	Quasi-assessment on the Development Master Plan to Examine Evaluation Methods for Cooperation Programs (2002-2010 for Master Plans in Zambia, 1991-2010 for a Master Plan in the Philippines, and 1991-2000 for a Master Plan in China)	5	<ul style="list-style-type: none"> <li>● Study a monitoring system in advance to make it possible to respond to external factors appropriately and review suitable strategies at the program implementation stage.</li> <li>● Describe the monitoring system in the program plan.</li> <li>● Maintain baseline data usable for monitoring.</li> <li>● Adjust and advance overall efforts toward the improvement of partner country development issues.</li> <li>● Create scenarios through aid coordination.</li> </ul>	○		
2.	Programs for the Education Sector in Malawi and Viet Nam (1999-2006 for Malawi and 2000 - 2006 for Viet Nam)	5	<ul style="list-style-type: none"> <li>● Make program revisions flexibly.</li> <li>● Allocate a program leader. Assign policy advisors as program leader-like personnel.</li> <li>● Strengthen public relations activities toward other donors.</li> </ul>		○	○
3.	Basic Education Sector Program in Honduras (2003-2006)	1	<ul style="list-style-type: none"> <li>● Allocate a manager to oversee the entire program.</li> <li>● Scale up JICA program outcomes with aid coordination.</li> <li>● In order to avoid policy influence, use an implementation structure that takes risk into account.</li> </ul>		○	○
4.	Program for Water Supply in the Poverty Area in Bolivia (2005-2010)	5	<ul style="list-style-type: none"> <li>● Clearly identify the program management tasks and allocate a person to be in charge.</li> <li>● Create a program matrix and program monitoring sheet to implement monitoring once per year.</li> <li>● Allocate a program manager to the partner country side to enhance ownership and sustainability after the program ends.</li> <li>● Allocate a program manager and</li> </ul>	○	○	○

			personnel at the central ministry/local level. The office will manage the overall program.			
5.	Programme for HIV Prevention in Kenya (2005-2010)	1	<ul style="list-style-type: none"> <li>● Allocate a program manager, coordinate communication with the central government, confirm progress and make course corrections for the program, and coordinate with other donors.</li> <li>● Independent budgetary measures for the program are desirable.</li> <li>● Establish a consensus among Japanese stakeholders involved in the program.</li> </ul>		○	○
6.	Program for the Improvement of Health Status of People Living in Upper West Region in Ghana (2005-2009)	1	<ul style="list-style-type: none"> <li>● Strengthen partnerships with other donors and increase the program's contribution level.</li> <li>● Allocate a program manager.</li> <li>● Use the partner country government's periodic reviews as an opportunity for monitoring.</li> <li>● For projects conducted through consultant contracts, ensure that the contracts for consultants can be changed depending on the program's progress.</li> </ul>		○	○
7.	Health Sector Program in Afghanistan (2005-2008)	1	<ul style="list-style-type: none"> <li>● Allocate a program formulation advisor to the JICA overseas office to be in charge of coordination with the partner country government and other donors as well as the discovery/formation of constituent projects.</li> <li>● Regional departments will be the contact point for the JICA headquarters for studying program composition and managing implementation and resources. The thematic departments handling issues will support constituent projects based on expert perspectives.</li> <li>● Create a program support committee and strengthen the support system for the program.</li> </ul>		○	○
8.	Regional Development Program of South Sulawesi in Indonesia (2006-2015)	5	<ul style="list-style-type: none"> <li>● Incorporate the monitoring plan into the overall plan and correct the plan in a flexible manner according to monitoring results during implementation. It is necessary to create a system for monitoring and to allocate a program manager.</li> </ul>	○	○	
9.	Capacity Enhancement Program to Reduce Water Contamination in Mexico (2006-2013)	1	<ul style="list-style-type: none"> <li>● In order to clearly define the extent of contribution, the items in the development strategy (for newly industrializing countries) that are being responded to should be made clear. Set program indicators appropriately and monitor them.</li> </ul>	○		
10.	Arsenic Mitigation	5	<ul style="list-style-type: none"> <li>● Strengthen coordination, information</li> </ul>			○

	Program in Bangladesh (2006-2009)		exchange, and management for the program as a whole.			
11.	Support to the Victims of Armed Conflict and their Coexistence and Reconciliation in Colombia (2008-2013)	5	<ul style="list-style-type: none"> <li>● During the period of the program, share program information with the partner country government and other donors. Promote synergy through partnerships.</li> <li>● The JICA overseas office should monitor changes in target sector information and the external environment.</li> </ul>	○		○

\*1 The target period of the evaluation study was used as the program period for programs that did not create program plans. For the Program for Water Supply in the Poverty Area in Bolivia, only some of the constituent projects in the plan were subject to program evaluation. Therefore, the implementation periods of these target projects were used as the program period.

\*2 Types are based on the classification of the Cooperation Program purpose described in JICA (2007d). 1: Independent type, 2: Model type, 3: Complementary type, 4: Project-support type (linked project), 5: Subprogram type cooperation.

Source: Prepared by the Study Team based on various program evaluation study reports.

## (2) Outline of the program evaluation studies

The same 11 programs described above were reviewed on the implementation status of evaluation studies. As mentioned previously, three of the 11 target programs were evaluated on a trial basis with the purpose of improving program evaluation methods. (See shaded portions of Table 2-21.)

Looking at the evaluation purposes of the 11 programs, all but one of the evaluations were conducted with the aim of improving programs subject to evaluation and extracting lessons learned for the subsequent programs. The single exception mainly focused on the study of evaluation techniques, with the target for evaluation being the master plan of the development surveys, which was made to resemble a program. There were no evaluations that defined their purpose as “accountability.”

For the evaluation criteria, the viewpoints of positioning, strategic aspect, and contribution were used in all of the evaluations. Looking at the evaluation results, it can be determined that the positioning was appropriate in each of the programs subject to evaluation. However, as pointed out by external experts, both the development strategies of partner countries and Japanese assistance policies are written in very general terms, with the programs roughly following these strategies.<sup>85</sup> Six programs, more than half of the 11 programs, did not set appropriate scenarios or objective levels in terms of strategic aspect. Although almost no differences can be seen between program types depending on program purpose classification, there was one program with a result stating: “As a result of the program including multiple subsectors, the level of the program purpose is increased while overall coherence is weakened.” It is thus likely that coherence becomes more difficult to ensure for large-scale programs such as subprogram types and programs with high-level objectives.

<sup>85</sup> JICA (2007e).

There was also an attempt to evaluate contribution, but its determination was judged to be difficult. There was also an evaluation stating that contribution will not be determined, but matters regarding the improvement of contribution will be included in future recommendations. These differences are not due to the program type based on program purpose classifications but were instead caused by the timing of evaluations.

As constraints and points of attention for the implementation of evaluations, about half of the evaluation studies (5) noted that the evaluations were based on estimations because the outputs were still in the process of being produced. The reasons for this are that the programs had just been started or that there were a few programs that were still in progress.

Table 2-21 Timing, Purpose, Evaluation Criteria, and Results Summary of Program Evaluation Studies Conducted in the Past

	Fiscal Year	Program Title	Type *1	Timing of Evaluation/ Program Period*2	Purpose of evaluation*3	Evaluation criteria	Results summary (Major constraints and points of attention for evaluation)
1.	2005	Basic Education Sector Program in Honduras	1	3 <sup>rd</sup> year/N.A.	<ol style="list-style-type: none"> <li>To conduct a program evaluation study on a trial basis. Practical use and improvement of evaluation techniques.</li> <li>To extract recommendations contributing to program improvement and lessons learned that will become a reference for future country-specific and issue-specific approaches.</li> </ol>	Positioning, Strategic aspect (Coherence and Results/Outcomes), Contribution	Centering on the technical cooperation projects that comprise the focus of the constituent projects, work is being done on a portion of the partner country's development plan. The JICA program outputs and outputs of other donors' projects are linked in these areas, thereby continuing to produce an even higher outcome. Meanwhile, in order to increase the level of achievement for the final objective, it is necessary to continue to progress while having a clear view of the importance of other efforts as well. (This program uses formerly used definitions, and the objectives and timing were not clearly set.)
2.	2005	Education Sector Program in Malawi and Viet Nam	5	7 <sup>th</sup> year (for Malawi), 6 <sup>th</sup> year (for Viet Nam)/N.A.	<ol style="list-style-type: none"> <li>To extract recommendations regarding the formation and evaluation of JICA programs based on evaluation results of example programs.</li> <li>To conduct program evaluations on a trial basis and extract recommendations and lessons learned.</li> <li>To improve and strengthen proposed program evaluation techniques.</li> </ol>	Positioning, Strategic aspect (Planning, Results/Outcomes and Process), Contribution	Positioning for Malawi was appropriately set, but in terms of Strategic aspect, the level of the program purpose was increased while overall coherence weakened because the program included multiple subsectors. The purposes of the major constituent projects were roughly achieved, but there have been problems with sustainability. The program purpose is at the same level as the partner country's development objectives, but it was not achieved to a great extent over the medium or long term. (This program uses formerly used definitions, and the partner country development policies that formed the basis of program positioning were set at the time of evaluation. Since the program is still in progress, evaluation focusing on results was difficult.) The positioning for Viet Nam is appropriate and is consistent with the content of the plan. Outputs that work toward the program purpose continue to be produced. The partner country's development issues continue to unfold, which increases the possibilities for contribution. (This program uses formerly used definitions, and the intent of the program has been confirmed through its recognition by stakeholders.)
3.	2006	Regional Development	5	1 <sup>st</sup> year /Ten years	<ol style="list-style-type: none"> <li>To confirm the extent of JICA contributions to the target region's</li> </ol>	Positioning, Strategic aspect (Coherence and	Positioning is appropriate, and in terms of strategy, it aims to achieve objectives in upper level plans. However, the

		Program of South Sulawesi in Indonesia			development outcomes up to the point of the evaluation study. 2. <u>To make recommendations regarding the improvement of cooperation scenarios, target values that should be achieved with future programs, and the evaluation indicators for these.</u>	Results/Outcomes), Contribution	objective of the subprogram is ambiguous and inputs are limited. Contribution can be expected, but it will be limited.
4.	2006	Program for Water Supply in the Poverty Area in Bolivia	5	3 <sup>rd</sup> year /Five years	1. To evaluate the contribution of the JICA program to the resolution of issues. 2. <u>To compile recommendations on strengthening strategic characteristics.</u>	Positioning, Strategic aspect (Planning and Results/Outcomes), Contribution	Positioning is clear, and the program has a high level of strategy. Since program outputs are also being steadily produced, the program as a whole has a high level of contribution to the development issues of its partner country's target sector. (This is a mid-term evaluation that does not place importance on results. The possibility of contribution was validated based on in-progress results.)
5.	2006	Program for the Improvement of Health Status of People Living in Upper West Region in Ghana	1	2 <sup>nd</sup> year /Four years	1. <u>To extract recommendations for the creation, revision, and implementation of a more strategic program.</u>	Positioning, Strategic aspect (Planning, Results/Outcomes, and Process), Contribution	Positioning is appropriate. In terms of strategic characteristics, it did not go through a formation process guaranteeing a causal relationship, and there are gaps in composition logic leading up to the achievement of program purposes. It is necessary to reconsider the links between projects and strategies for scaling up. (The production of effects is in progress, and the concept of contribution is included in future recommendations.)
6.	2006	Health Sector Program in Afghanistan	1	2 <sup>nd</sup> year /Three years	1. To review the cooperation to the present point and extract lessons learned and precautions that will contribute to future cooperation. 2. <u>To make recommendations on the shape of future programs (plans, scenarios) taking new projects into consideration.</u>	Positioning, Strategic aspect (Coherence, Progress and Results/Outcomes), Contribution	Positioning is appropriate. However, clearly defined scenarios were not set, making coherence to strategy insufficient. Contribution is projected for future sustainability in the health sector, with conditions attached. (The production of effects is in progress, making it difficult to verify progress that included quantitative data. Due to the security situation, data collection was limited.)
7.	2007	Arsenic Mitigation Program in Bangladesh	5	3 <sup>rd</sup> year /Three years	1. To confirm the program's extent of contribution to the development objectives of the cooperation. 2. <u>To further strengthen the strategic characteristics of the program and to study future cooperation policies.</u>	Positioning, Strategic Aspect (Planning, and Results/Outcomes), Contribution	Positioning is appropriate. In terms of strategic aspect, coherence has been maintained since the start. Scenarios are appropriate, with scale-up occurring due to the linkage between constituent projects. Program outputs continue to be given, and contributions continue to be produced.
8.	2007	Capacity Enhancement Program to Reduce Water Contamination in	1	3 <sup>rd</sup> year /Seven years	1. To conduct an evaluation on positioning, strategic characteristics, and (projected) contribution. 2. <u>To make recommendations regarding program revisions.</u>	Positioning, Strategic aspect (Coherence and Results/Outcomes), Contribution	Positioning in the base development plan is appropriate, but the coordination of this plan with other related policies is somewhat difficult. In terms of strategy, the program is theoretically cohesive, but the target regions vary depending on outputs. Outputs of projects currently being implemented

		Mexico					are being steadily produced. (Since there are only a few constituent projects currently being implemented, evaluation was based on projections.)
9.	2008	Programme for HIV Prevention in Kenya	1	4 <sup>th</sup> year /Five years	1. <u>To extract recommendations for strategically strengthening the program.</u>	Positioning, Strategic aspect (Planning, Results/Outcomes and Process, Contribution	Positioning is appropriate, but in terms of strategy, it is necessary to reconsider the composition of the program, the linkage between projects, and scale-up. Constituent projects are progressing smoothly. (The production of effects is in progress, and the concept of contribution is included in future recommendations.)
10.	2009	Trial Quasi-assessment on the Development Master Plan to Examine Evaluation Methods for Cooperation Programs in Zambia, the Philippines, and China	5	8 <sup>th</sup> year for Zambia/ N.A. 18 <sup>th</sup> year for Philippines/ N.A. 18 <sup>th</sup> year for China/N.A.	1. To study evaluation techniques for Cooperation Programs.	Positioning, Strategic aspect (Planning, Results/Outcomes and Process), Contribution	Positioning for Zambia is clearly defined. Strategies were created toward achieving objectives based on initial conditions. As a result, some results have been shown in achieving objectives. Conversely, the planned level was not reached as of the time of evaluation, but there was some contribution. The purpose for the Philippines continues to be achieved, but the project grouping aiming for a synergistic effect was not implemented. Chinese development issues continue to unfold. It is surmised that one cause of this may be the improvement in infrastructure conditions included in JICA projects. For the program overall, it is important to improve the verifiability of effects through items that should be considered when strategies are formulated.
11.	2013	Support to the Victims of Armed Conflict and their Coexistence and Reconciliation in Colombia	1	6 <sup>th</sup> year /Six years	1. <u>To study the necessity of future Cooperation Programs and their directionality to encourage sustainability and have greater effects with few inputs.</u>	Positioning, Strategic aspect (Planning, Results/Outcomes and Process), Contribution	Positioning is appropriate. In terms of strategic aspect, project composition is complementary, and a synergistic effect can be expected. The implementation process is also effective. A base for the support model has been formed, and contribution was made to the advancement of reconciliation and coexistence. It may have been possible for the program plan to be more refined in terms of scenarios and indicators. This aspect made the evaluation of contribution more difficult.

\*1 Types are based on the classification of the Cooperation Program purpose described in JICA (2007d). 1: Independent type, 2: Model type, 3: Complementary type, 4: Project-support type (linked project), 5: Subprogram type.

\*2 Two programs marked "N.A." for Program Period, evaluation was conducted for a group of projects implemented before the Cooperation Program Plan was drafted. For one other program (No. 10), a group of projects presented in the master plan of the development study was selected for a program and evaluated.

\*3 In the evaluation purposes, the shaded portions are related to improving program evaluation techniques, while the encircled portions are related to improving the programs targeted for evaluation.

Source: Prepared by the Study Team based on various program evaluation study reports.

The tools and formats used in evaluation studies for the 11 programs above are shown in Table 2-22. It is known that various tools and formats are used depending on the program, but those common to multiple evaluation studies can be broadly divided into grids necessary for a portion of evaluation design, chronological tables and results/performance tables for organizing program outputs, constituent project summary tables, and program concept diagrams/systematic diagrams that are helpful in organizing and understanding target programs. It is not known from the evaluation reports which of these tools and formats were created (or used) from the time of project formation. However, program concept diagrams and systematic diagrams that are created for many programs can be created with the data available at the time of program formation. This is likely to promote the understanding and organization of the program among stakeholders at the time of program formation.

Table 2-22 Tools and Formats Used in Evaluation Studies Conducted in the Past

	FY	Program	Program Type	Tools and formats used for evaluation	
					Tools and formats that can be created at the time of program formation
1.	2005	Basic Education Sector Program in Honduras	1	<ul style="list-style-type: none"> <li>● Evaluation grid</li> <li>● Chronological table (partner country development plan)</li> <li>● Progress confirmation matrix of partner country development strategy</li> </ul>	<ul style="list-style-type: none"> <li>● Concept diagram up to contribution</li> <li>● JICA program component chart</li> <li>● JICA program association chart (times series)</li> </ul>
2.	2005	Programs for the Education Sector in Malawi and Viet Nam	5	<ul style="list-style-type: none"> <li>● Evaluation grid</li> <li>● Chronological table (project history)</li> </ul>	<ul style="list-style-type: none"> <li>● Objectives tree (including program positioning)</li> <li>● Constituent project outline table</li> <li>● Program component chart</li> <li>● Constituent project-specific positioning matrix of partner country development strategy</li> </ul>
3.	2006	Regional Development Program of South Sulawesi in Indonesia	5	<ul style="list-style-type: none"> <li>● Japanese assistance results (chronological table format)</li> <li>● Assistance results of other donors</li> <li>● Positioning chart of assistance from other donors</li> <li>● Chronological table of program formulation history</li> </ul>	<ul style="list-style-type: none"> <li>● Program logic analysis</li> <li>● Layout diagram of implemented projects</li> <li>● Program concept diagram</li> <li>● Program schematic design chart</li> <li>● Subprogram-specific objective tree</li> <li>● Partner country policy and program relationship chart</li> </ul>
4.	2006	Program for Drinking Water Supply in the Areas with Poverty in Bolivia	5	<ul style="list-style-type: none"> <li>● Chronological table (partner country development plan)</li> <li>● Chronological table (program constituent projects)</li> <li>● Objective achievement level analysis chart</li> </ul>	<ul style="list-style-type: none"> <li>● Program formation process chart</li> <li>● Concept diagram up to contribution</li> </ul>
5.	2006	Program for the Improvement of Health Status of People Living in Upper West Region in Ghana	1	<ul style="list-style-type: none"> <li>● Evaluation grid</li> <li>● Map of assistance in target regions (matrix)</li> <li>● Chronological program table</li> </ul>	<ul style="list-style-type: none"> <li>● Program design matrix</li> <li>● Program concept chart</li> <li>● Relationship concept diagram for major development strategies</li> </ul>
6.	2006	Health Sector Program in Afghanistan	1	<ul style="list-style-type: none"> <li>● Chronological assistance results table</li> </ul>	<ul style="list-style-type: none"> <li>● Tree diagram (partner country development issues and approaches)</li> <li>● Concept diagram up to contribution</li> </ul>
7.	2007	Arsenic Mitigation Program in	5	<ul style="list-style-type: none"> <li>● Table for comparing plan and results by program elements</li> </ul>	<ul style="list-style-type: none"> <li>● Objectives system chart (including program positioning)</li> </ul>

		Bangladesh			<ul style="list-style-type: none"> <li>● Concept diagram</li> <li>● Program outline table</li> </ul>
8.	2007	Capacity Enhancement Program to Reduce Water Contamination in Mexico	1	<ul style="list-style-type: none"> <li>● Constituent project purposes and outputs table</li> </ul>	<ul style="list-style-type: none"> <li>● Concept diagram</li> <li>● Systematic chart on development strategy and issues</li> <li>● Objectives system outline table</li> </ul>
9.	2008	Programme for HIV Prevention in Kenya	1	<ul style="list-style-type: none"> <li>● Evaluation grid</li> </ul>	<ul style="list-style-type: none"> <li>● Program design matrix</li> <li>● Program concept diagram</li> <li>● Partner country target sector objectives tree (including JICA program positioning)</li> <li>● Systematic chart for each constituent project</li> <li>● Relationship diagram for program and each constituent project</li> <li>● Relationship diagram for major development strategies</li> </ul>
10.	2009	Trial Quasi-assessment on the Development Master Plan to Examine Evaluation Methods for Cooperation Programs in Zambia, the Philippines, and China	5	<ul style="list-style-type: none"> <li>● Evaluation grid</li> <li>● Related project plan/results table</li> <li>● Theory of change chart (evaluation logic frame for contribution, changes in plans and results and their cause)</li> <li>● Target and non-target region comparison (with-without comparison)</li> <li>● Contribution analysis table</li> <li>● Chronological table (related projects)</li> </ul>	<ul style="list-style-type: none"> <li>● Master plan overall perspective</li> </ul>
11.	2013	Support to the Victims of Armed Conflict and their Coexistence and Reconciliation in Colombia	1	<ul style="list-style-type: none"> <li>● Program timetable</li> <li>● Evaluation grid by constituent program</li> <li>● Secondary evaluation grid by constituent program</li> <li>● Overall program evaluation grid</li> </ul>	<ul style="list-style-type: none"> <li>● Constituent project chart</li> </ul>

Note: Types are based on the Cooperation Program purpose classification described in JICA (2007d). 1: Independent type, 2: Model type, 3: Complementary type, 4: Project-support type (linked project), 5: Subprogram type.

Source: Prepared by the Study Team based on various program evaluation study reports.

#### (4) Recommendations for improving evaluation methods

Through the 11 evaluation studies, the following points regarding evaluation methods were extracted as improvement recommendations and lessons learned. The proposed content can be divided into the categories of purpose, timing, and methods for evaluation. There are no specific trends that depend on program classifications based on the system of program purposes.

From the evaluation on the Colombian Program for Support to the Victims of Armed Conflict and their Coexistence and Reconciliation in 2013, feedback on evaluation methods was extracted. This feedback stated that in cases where the level of program maturity is developing, more importance should be given to an evaluation that improves the project (formative evaluation<sup>86</sup>) than an evaluation that

<sup>86</sup> A formative evaluation provides useful information for maximizing efficiency and improving the program. It

summarizes results (summative evaluation).

This was also pointed out during the general analysis of the country-specific project evaluation conducted prior to this series of program evaluations in 2005.<sup>87</sup> It was thus discovered that this is an issue common to the projects, regardless of their levels.

Table 2-23 Evaluation Issues and Recommendations Identified in Past Program Evaluations

	Program * in program implementation order	Type	Recommendations and lessons learned on implementing evaluations	Purpose	Timing	Methods
1.	Trial Quasi-assessment on the Development Master Plan to Examine Evaluation Methods for Cooperation Programs in Zambia, the Philippines, and China	5	<ul style="list-style-type: none"> <li>● It is difficult to look at the contribution of a single organization to the progress of the partner country's development issues. In terms of external factors, the possibilities for collecting data become a condition.</li> <li>● The synergistic and ripple effects of long-term and wide-ranging programs are to be looked at, but quantitative analysis is difficult due to difficulties in developing data.</li> <li>● Collecting data for ex-post evaluation after a long period of time has passed is difficult in terms of both quantity and quality. Evaluating positioning and strategic aspect using existing documents is difficult.</li> <li>● When the program's level of maturity is still at the development stage, it is more important to place focus on evaluations for improving projects (formative evaluation) than evaluations that summarize results (summative evaluation).</li> </ul>		○	○
2.	Programs for the Education Sector in Malawi and Viet Nam	5	<ul style="list-style-type: none"> <li>● Depending on the timing of the evaluation, the use purpose and focus of the evaluation will change.</li> </ul>	○	○	
3.	Basic Education Sector Program in Honduras	1	<ul style="list-style-type: none"> <li>● The purpose of the evaluation should be clearly defined (e.g., where results will be used).</li> <li>● The timing of the evaluation should be decided to correspond with the use purposes of the evaluation results.</li> <li>● Attention should be paid to factors other than JICA cooperation regarding the path leading to contributions to partner country development objectives.</li> </ul>	○	○	○
4.	Programme for HIV Prevention in Kenya	1	<ul style="list-style-type: none"> <li>● The timing of the implementation should be before the mid-term evaluation of the technical cooperation projects. Through the use of inventive survey methods, one idea is to conduct the program evaluation and the technical cooperation project mid-term evaluations simultaneously.</li> </ul>		○	
5.	Program for the Improvement of Health Status of People Living in Upper West Region in Ghana	1	<ul style="list-style-type: none"> <li>● Implement the evaluation with time to spare so that the results of the program evaluation can be reflected in the technical cooperation project's PDM.</li> <li>● Use partner country human resources to have a good grasp of the issues and conduct the study efficiently.</li> </ul>		○	○
6.	Health Sector Program in Afghanistan	1	<ul style="list-style-type: none"> <li>● If implementing a quantitative evaluation, the program evaluation should be implemented to coincide with the timing of the project's mid-term evaluation or termination evaluation.</li> <li>● Ex-ante type evaluation surveys are also meaningful in</li> </ul>	○	○	

provides information that will serve as feedback during the life of the program.

<sup>87</sup> JICA (2005).

			program formation.			
7.	Capacity Enhancement Program to Reduce Water Contamination in Mexico	1	<ul style="list-style-type: none"> <li>● For newly industrializing economies, donors are not involved in development plans, and the contribution provided by donors has always been low. It is difficult to evaluate the contributions of programs provided together with other donors and programs conducted by Japan alone.</li> </ul>			○
8.	Support to the victims of armed conflict and their coexistence and reconciliation in Colombia	5	<ul style="list-style-type: none"> <li>● In cases where the level of program maturity is still developing, more importance should be placed on evaluations that improve the project (formative evaluation) than evaluations that summarize the results (summative evaluation).</li> <li>● Evaluations should be conducted based on the characteristics of the target program field (i.e., criteria items, analysis).</li> <li>● The items to be verified in terms of program positioning and strategic aspect will change with changes in the external environment.</li> </ul>			○

Note: Types are based on the classification the Cooperation Program purpose described in JICA (2007d). 1: Independent type, 2: Model type, 3: Complementary type, 4: Project-support type (linked project), 5: Subprogram type.

Source: Prepared by the Study Team based on various program evaluation study reports.

## Chapter 3 Summary and Recommendations

### 3.1 Setting the Depth and Width of Monitoring and Evaluation, depending on the “Degree of Evaluability” of a JICA’s Cooperation Program

The result of the desk and field trials affirmed the effectiveness of draft version 2 of the evaluability assessment checklist, the evaluation questions, and the planning and monitoring and evaluation (M&E) formats/tools for Cooperation Programs. Among them, the evaluability assessment checklist is particularly useful in formulating a new Cooperation Program and in refining an ongoing one.

This report proposes that the depth and width of M&E of a Cooperation Program is to be decided depending on the degree of its evaluability. By doing so, the design of the program will become more strategic. In other words, it is not recommended that the uniform M&E rule be applied to all cooperation programs in different degrees of evaluability.

#### 3.1.1 Classification of JICA’s Cooperation Programs

Based on the degree of evaluability, Cooperation Programs are classified into four types:

##### (1) Type 1: JICA’s Cooperation Program with high evaluability

A Cooperation Program that meets most requirements in the evaluation checklist (Tables 3-3, 3-4 and 3-5) is considered to be highly evaluable. Such an effort is sufficiently strategic in design; therefore, it is possible to be monitored as a Cooperation Program. In other words, it is the most ideal form of Cooperation Program. It can be subject to “summative evaluation,” which assesses the degree of achievement of the program purpose.

In this report, “summative evaluation” means “summarizing the result of the program” by assessing the extent to which development objectives have been achieved as they were assumed in the plan for a Cooperation Program. Both quantitative and qualitative indicators and targets are used in summative evaluation. Contrarily, “formative evaluation” is applied to monitor external conditions to make managerial judgments. In other words, formative evaluation is an evaluation “to refine a program,” and is considered as a part of the management process<sup>88</sup>.

At present, only a few Cooperation Programs are classified as Type 1. However, the following programs can be upgraded to Type 1 in the near future: a program which was enlarged as a result of adding components; a prioritized program in medium-term or regional budget planning; and a program in which the achievement of goals is objectively verifiable as an impact of the program.

With a Type-1 program, an ex-ante evaluation is to be conducted over the process of preparing a

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<sup>88</sup> JICA (2010b) p. S-4, S-5.

program plan, a conceptual diagram, and a JICA's Cooperation Program tree (hereinafter referred to as "Program tree"). During the implementation of a program, annual monitoring is to be performed. At the end of the last sub-component project, a program is to be evaluated. This evaluation may be able to serve as an ex-post evaluation of sub-components if it can assess the degree of achievement of the outcome or impact-level goals of such a program. This point will be proposed in detail in Section 3.3.

**(2) Type 2: JICA's Cooperation Program positioned under a multi-donor framework (low evaluability as a cooperation program)**

A Cooperation Program of this type is an integral part of a sector program of the partner country or a Sector-Wide Approach (SWAp) framework; therefore, it aims to achieve a high-level development goal through collaborative action with the partner country and other donors. This type of program sometimes lacks a direct causal relationship between its sub-components; consequently, it has lower evaluability than Type 1 programs. However, in practice, Type 2 programs are also a favorable form of Cooperation Program.

Meanwhile, even if a Cooperation Program is embedded in a larger framework of development issues in the partner country, it may have a clear program purpose as a cooperation program, as well as a strategic scenario to follow. In such a case, JICA may choose to monitor a Type 2 program in the same manner as a Type 1 program. However, before deciding to do so, it is recommended that the feasibility of such monitoring using the checklist for the evaluability assessment be confirmed.

Type 2 programs are subject to ex-ante evaluation, which is to be conducted over the process of preparing a program plan, a conceptual diagram, and a program tree. But the result of Type 2 programs may be better assessed by sector evaluation in collaboration with the partner countries and other donors, instead of evaluating them as standalone programs. This is because it is difficult for the evaluator to extract and evaluate the development effect that is brought exclusively by a Cooperation Program. In such a case, it is important for JICA to focus on the degree of achievement of the indicators that are closely related to a Cooperation Program among other indicators. Moreover, when JICA participates in a joint sector review or evaluation, it is important to set up a team of the ODA Task Force, Japanese embassy, JICA country office, including a program manager and staff in charge of the sector, and technical support from JICA headquarters, such as dispatching a study mission.

**(3) Type 3: JICA's Cooperation Program, or a group of standalone projects, that aims to improve their strategy as a Cooperation Program (low evaluability but some potential for improving it).**

A Cooperation Program is classified as Type 3 when it is not sufficiently equipped with the requirements for evaluability. Thus, it has low evaluability, but JICA intends to develop the predictability of the program or further deepen collaboration on a program basis. Some of them are no more than groups of standalone projects.

For this type of program, simple monitoring will be conducted and what is important is to put more emphasis on the evaluation to improve its maturity as a Cooperation Program (formative

evaluation) by reviewing its program plan and strengthening the strategy by using the evaluability assessment checklist. In principle, a Type 3 program is not subject to ex-ante evaluation and assessment at the end of the program unless JICA considers it necessary. Instead, the strategy of a Type 3 program can be improved by further elaborating the description of the program in a working paper (WP), particularly the current status of development in the partner country and challenges to be tackled by the program, as well as JICA's cooperation policy toward the partner country.

**(4) Type 4: A group of standalone projects that is managed as a JICA's Cooperation Program in order to improve efficiency in project management (low evaluability and a limited potential for improving evaluability).**

This type of program is classified as neither Type 1, 2, nor 3. In many cases, a Type 4 program is a group of standalone projects that cannot strengthen its strategy, due to limitations in budget, the length of the program period, or security. Despite these limitations, such a program is managed as a Cooperation Program, so as to improve efficiency by collectively managing standalone projects.

At present, in the rolling plans attached to the Country Assistance Policies of the Japanese government, many projects that aim to support partner countries' efforts to achieve their development goals are grouped as Cooperation Programs. Most of these Cooperation Programs are, at present, classified as Type 4.

A Type 4 program is a germinal form of the Cooperation Program. Therefore, with this type of program, instead of conducting M&E as a program, JICA should conduct monitoring and evaluation at the project level.

**(5) Summary of the classification of JICA's Cooperation Programs**

Classification of Cooperation Programs is shown in Table 3-1. In practice, precise classification is difficult between Type 1 and Type 2 programs because they often have common characteristics. For example, some programs have high evaluability, despite their being embedded in a sector program of the partner country. In such cases, based on a common understanding between JICA departments on how to manage the programs and improve their strategy, JICA needs to judge the types of Cooperation Programs to which they are to be classified and the sort of M&E that is to be applied to them.

Also, during the program life, there may be various changes in conditions under which the program is being operated. As a result, the positioning, size, or institutional setting of the Cooperation Program may need to be adjusted, and such an adjustment may lead to the reclassification of the Cooperation Program and a change in the M&E plan.

Table 3-1 Classification of Cooperation Programs and Choice of Monitoring and Evaluation According to the Program Types

Types of Cooperation Programs	Type 1: Having high evaluability and a clearly measurable program purpose	Type 2: Being positioned under a multi-donor framework	Type 3: Aiming to improve strategy as a Cooperation Program	Type 4: A group of standalone projects
Evaluability	<ul style="list-style-type: none"> <li>- High. It is possible to conduct a summative evaluation, which assesses the level of achievement of a program purpose as a result of the program</li> </ul>	<ul style="list-style-type: none"> <li>- Low as the program itself. However, a sector evaluation with the partner country and other donors is greatly needed</li> </ul>	<ul style="list-style-type: none"> <li>- Low, but some items in the evaluability assessment checklist may be improved in the future</li> </ul>	<ul style="list-style-type: none"> <li>-Low</li> </ul>
Examples of the programs	<ul style="list-style-type: none"> <li>- Is formerly a Type 2 program but was chosen by JICA departments to be managed as a Type 1 program, assuming it will improve effectiveness in management</li> <li>- Is a program which includes a large-scale project as a result of merging smaller projects as a part of appropriatization of the project size</li> <li>- Is a program which is given priority in input allocation and, therefore, has a degree of predictability under the mid-term or regional budget planning and management</li> <li>- Is managed as a stand-alone program</li> </ul>	<ul style="list-style-type: none"> <li>- Is clearly positioned under a larger framework, such as a sector development plan and a PRSP</li> <li>- Is a program which is given priority in input allocation and, therefore, has a degree of predictability under the mid-term or regional budget planning and management</li> <li>- Is aiming to achieve a high-level development goal under a multi-donor framework</li> </ul>	<ul style="list-style-type: none"> <li>- Is a group of standalone projects</li> <li>- Has potential for improving its evaluability as a program</li> <li>- Is a program which is expected to be given priority in input allocation and, therefore, has a degree of predictability under mid-term or regional budget planning and management</li> </ul>	<ul style="list-style-type: none"> <li>- Is a group of stand-alone projects</li> <li>- Is a germinal form of a Cooperation Program</li> </ul>
Evaluation	<ul style="list-style-type: none"> <li>- Is subject to ex-ante evaluation over the course of preparing the program plan</li> <li>- Is subject to summative evaluation at the completion of the program</li> </ul>	<ul style="list-style-type: none"> <li>- Is subject to ex-ante evaluation over the course of preparing the program plan</li> <li>- In principle, evaluation is not to be conducted at the end of the program. Instead, a sector or joint evaluation with the partner country and other donors is to be conducted</li> </ul>	<ul style="list-style-type: none"> <li>- The program plan is not be prepared and, therefore, it is not subject to ex-ante evaluation. However, WP will be updated or elaborated reflecting the result of annual monitoring, which is structured according to the evaluability assessment checklist.</li> <li>- Once the program has developed its</li> </ul>	<ul style="list-style-type: none"> <li>- The program plan is not be prepared; therefore, it is not subject to ex-ante evaluation. In principle, evaluation is not to be conducted at the end of program</li> </ul>

			<p>evaluability to a certain level, the program plan is to be experimentally prepared and ex-ante evaluation is to be conducted. If the program has developed its evaluability high enough to be classified to Type 1 or 2, it will be subject to evaluation at the completion of the program</p>	
Monitoring	- Is subject to annual monitoring	<ul style="list-style-type: none"> <li>- Annual monitoring will be conducted.</li> <li>- Joint monitoring with the partner country or other donors will be conducted</li> </ul>	- When WP and others are updated, a simplified annual monitoring is to be conducted with the program based on the evaluability assessment checklist. This exercise is expected to improve the evaluability of the program, and corresponds to formative evaluation	-Is not subject to monitoring
Others	- Ex-post evaluation of each project, or sub-components, in the program is not mandatory, as the outcomes of the program are to be assessed by evaluation at the completion of the program.	/	/	/

Source: Prepared by the Study Team.

Meanwhile, *the Guideline for Strengthening the Strategy of Cooperation Programs (the 2<sup>nd</sup> version)* describes the five scenario patterns found in the objective trees of Cooperation Programs. The five scenario patterns are one of classifications of Cooperation Programs, but this study proposes not to use the five scenario patterns to define them. This is because some Cooperation Programs do not have a scenario applicable to any of the five, but they still meet the requirements for being Cooperation Programs.

### **3.1.2 Proposed Monitoring and Evaluation according to the Classification of JICA's Cooperation Program Types**

This study proposes to conduct ex-ante evaluations and/or evaluations at the end of the program, as well as annual monitoring, according to the classification of Cooperation Program types.

Ex-ante evaluation is to be conducted with Type 1 and Type 2 programs. The ex-ante evaluation form is not to be prepared, but the program design is to be “evaluated” over the course of preparing the Cooperation Program Plan. That is, using the questions on “the strategy of program (significance)” and “the strategy of program (planning)” in the evaluation questions in Table 3-7, the relevance of the program is to be assessed. Once the program plan is authorized by JICA management, an ex-ante evaluation is assumed to be completed. The planning and M&E formats are explained in Section 3.2.3.

Annual monitoring is applied to Type 1, Type 2, and Type 3 programs. The purpose of annual monitoring is to periodically monitor the progress of a Cooperation Program and changes in external conditions, as well as to improve the Cooperation Programs.

For the sake of efficiency and effectiveness, an appropriate institutional setting for M&E is in great need.

Table 3-2: Proposed Monitoring and Evaluation according to the Classification of Cooperation Programs

	Ex-ante evaluation (over the course of preparing the program plan)	Annual monitoring	Evaluation at the completion of the program
Applied to	Type 1 and Type 2 programs	Type 1, Type 2, and Type 3 programs	Type 1 program (Type 2 program*)
Purpose	-To assess the significance of implementing the program, as well as the relevance of the program plan	-To assess the progress of the program and improve it	-To assess the result of the program and draw recommendations and lessons learned -To share information widely on the program, particularly the effects of the program on development of the partner country
Method	-No particular evaluation will be conducted. Instead, by preparing the program plan using the evaluability assessment checklist, the program is being 'evaluated.' Also, the plan includes some items' equivalent with a part of the evaluation questions.	-By collecting and analyzing information using the JICA's Cooperation Program monitoring sheet -Simplified monitoring is applied to Type 3 programs	-By collecting and analyzing information using the evaluation questions
Timing	-Over the course of preparing the program plan	-At the time of needs survey for the next year or when updating WP	-At the time of completing all projects or sub-components in the program
What to be assessed	-Strategy of program (significance) -Strategy of program (plan)	-Progress of the program towards the program purpose -Policy changes in a sector in question in the partner country -Changes in external factors or risks	-Strategy of program (significance) -Strategy of program (plan) -Strategy of program (process) -Result of program (objectives)

\*In principle, Type 2 programs are not subject to evaluation at the completion of the program. Instead, Type 2 programs are to be evaluated by a joint evaluation or sector review with the partner country and other donors.

Source: Prepared by the Study Team.

## **3.2 Proposed Evaluability Assessment Checklist, Evaluation Criteria, and Formats and Tools**

### **3.2.1 Evaluability Assessment Checklist (final draft)**

#### **(1) Idea of utilization of the evaluability assessment checklist**

As stated in 3.1, regarding the evaluability assessment checklist (final draft) proposed below, the higher the level of satisfaction of these elements, the more possible it is to evaluate the effects of the development generated by the intervention of a Cooperation Program objectively and quantitatively at its completion. The purpose of utilizing the evaluability assessment checklist can be classified into following four groups:

1) Designing a new Cooperation Program

In order to design a new Cooperation Program with high evaluability.

2) Examining the evaluability of Cooperation Programs (classification of types)

In order to examine the evaluability of an ongoing Cooperation Program and classify them by four types described above.

3) Improving an ongoing Cooperation Program and its strategy by enhancing the evaluability

In order to improve an ongoing Cooperation Program (Type 2 or 3) and its strategy by enhancing the evaluability

4) Checking evaluability prior to evaluation

In order to check evaluability of a Cooperation Program prior to evaluation at the completion

Meanwhile, regarding the criteria described in “Aspects for formulation of a Cooperation Program” and “Elaboration of a cooperation scenario” in JICA (2013) *Kyoryoku Puroguramu no Senryakusei Kyoka ni kakaru Gaidorain: 2 han* [Guideline for Strategic Cooperation Programs, 2<sup>nd</sup> ed.], the partial review is proposed by utilizing this evaluability assessment checklist.

#### **(2) Evaluability assessment checklist (final draft)**

The evaluability assessment checklist (final draft) is proposed as below. The legend of the check column is as follows:

✓ : Satisfy the requirements

— : Withhold the judgment

△ : Need to improve the evaluability

N/A: Not applicable

Table 3-3: [Checklist for the Evaluability Assessment] Category I: The Requirements for a Cooperation Program (final draft)

Criteria	Requirements	Points to be confirmed	Check
Consistency with policy	Selected development issues are important in the development plan of the partner country. 【Positioning】	I-1 To confirm if the Cooperation Program is positioned clearly in the development policy, such as within the sector development plan of the partner country, by the following aspects: 1. Consistency with the development policy/plan 2. Timing of formulation of the development policy/plan and its period of validity 3. Consistency with the target area and group 4. Whether it is possible to explain clearly the positioning and role of the Cooperation Program in the development policy/plan, which is shown in any kinds of documents or in written form	
	Selected development issues are positioned as important issues in the Japanese government's policy. 【Consistency with direction of Japanese cooperation】	I-2 The Cooperation Program is 1. consistent with the important area of the Country Assistance Plan of the Ministry of Foreign Affairs. 2. consistent with "cooperation scenario" of the JICA Country Analysis Paper (JCAP).	
	Strong commitment of the partner country's government is confirmed. 【Clear sharing of the cooperation scenario with partner country】	I-3 The Cooperation Program has a scenario elaborated upon through the dialogue with the related persons of the partner country. The scenario, the contents of the Cooperation Program Plan, the implementing body and the program period is announced in written form and is understood by the partner country (the cooperation scenario is not elaborated by donor-driven manner).	
	There is a framework, such as an aid coordination or an endeavor to work on the policy or system, in itself, of the partner country. 【Aid coordination】	I-4 The positioning and the role of the Cooperation Program in question within a framework of aid coordination, such as SWAp or PRSP, that is driven by the partner country is clearly explained in the Cooperation Program Plan or in WP.	
Strategy	Higher development effect can be expected by integrated manner as a Cooperation Program, than by independent project management of the projects implementation. 【Level of program purpose】	I-5 The objectives of the Cooperation Program are set at a higher level (outcome-impact level) by the implementation of several projects in an integrated manner.	
	Desirable situation to be achieved in the future is clearly indicated. 【Clearly indicated scenario by JICA's Cooperation Program tree, etc.】 【Positioning or roles of each sub-	I-6 The scenario of the Cooperation Program is clearly indicated in JCAP/ Cooperation Program Plan/WP and others, and visualized in the Program tree and others.	
		I-7 The positioning and role of each sub-component project is organized well in JCAP/	

	<b>component project】</b>	Cooperation Program Plan/WP so that they can be explained clearly.	
	The Cooperation Program period is appropriate and the exit strategy or the rolling strategy for the next phase is clear. <b>【Period of the Cooperation Program】</b>	I-8 Sufficient period necessary for the Cooperation Program to achieve its objective is set (It is not assumed that the program period is too short to achieve its objective); the rolling strategy for the next phase is clear.	
	The various risks are examined. <b>【Risk management (important assumption, internal factor)】</b>	I-9 The anticipated risks are identified in the cooperation scenario indicated by JCAP/ Cooperation Program Plan/WP/Program tree and others, and the estimated phases when these risks might be realized is made clear.	
Implementation management plan as a Cooperation Program	How to implement the Cooperation Program is concretely stated in the Cooperation Program Plan. <b>【Implementing system in JICA】</b>	I-10 The implementing system to monitor the achievement status of the outputs and program purpose in an integrated manner and also the process to share them is established among those who are concerned with the program on the JICA side (The headquarters, the overseas office, the consultants, the contractors, the experts and others). These implementing bodies and the monitoring method, period and frequency are made clear in written form and are shared among related personnel.	
	<b>【Implementing system in partner country or related donors】</b>	I-11 The implementing system to monitor the achievement status of outputs and program purpose in an integrated manner and also to share them is established with the related persons in the partner country and the projects. And these implementing bodies and the monitoring method, period and frequency are made clear in written form and shared among related personnel.	
	<b>【Implementing system of partner country / coordination institutions】</b>	I-12 In the various counterpart institutions of the sub-component projects of the Cooperation Program, the focal points (coordination bodies) and personnel are organized so that they can manage the progress of projects in an integrated manner.	

Table 3-4: [Evaluability assessment checklist] Category II: The Requirements regarding the Design of a Cooperation Program (final draft)

Criteria	Requirements	Point to be confirmed	Check
Program purpose of the Cooperation Program	The objective level is appropriate.	II-1. The program purpose can be achieved within the period and its target area.	
		II-2. The cause-effect relationship between the program purpose and its sub-component project is clear in JCAP/Cooperation Program Plan /WP/Program tree and others.	
		II-3. In case the Cooperation Program is positioned as a part of a framework of the partner country's sector development plan, the program purpose is not the same as the final objective of sector development plan, but the lower level (towards the issue or the strategy) to achieve the sector objective.	
		II-4. Purpose and outputs of the Cooperation Program are in cause-effect relation. (The	

		program purpose is not paraphrasing the outputs.)	
The logic to reach the program purpose	The scenario to achieve the program purpose is appropriate.	II-5. The scenario that each sub-component project reaches regarding the program purposes is logical and concrete. Implementation of sub-component project enables the program objectives to be achieved.	
		II-6. If the Cooperation Program is composed of several sub-sector or sub-issues' small programs (sub-programs), the objective of the sub-programs and the program purpose of the original program have a direct cause-effect relationship.	
		II-7. If the sub-component project is expected to produce synergy effects, then the strategy to effectively achieve the program purpose is concretely indicated in the Cooperation Program Plan, WP and others.	
		II-8. The Cooperation Program is regarded as a strategy to respond to the specific issue of the partner country's sector program.	
		II-9. The monitoring system to identify the restriction for the cooperation or the risks which might hinder the achievement of the program purpose is embedded in the Cooperation Program Plan and its result is stated on the JICA's Cooperation Program monitoring sheet.	
		II-10. The realistic exit and rolling strategies for the next phase are envisaged and stated in JCAP/ Cooperation Program Plan/WP and others. (the sustainability of the effect of the program purpose is given consideration)	
		II-11. In case the division of roles and the effects of collaboration with other donors is obviously assumed, these division and effects are described clearly in JCAP/ Cooperation Program Plan/WP and others, and these partner donors also understand them.	
	The path to contribute to achieve the development goal of the partner country by the Cooperation Program is clear.	II-12. The path to contribute to achieve the development goal of the partner country by the Cooperation Program is concretely described in JCAP/Cooperation Program Plan/WP/Program tree and others.	
The indicator to show the achievement level of the Cooperation Program	The proper indicators are established, considering the objectives of the Cooperation Program.	II-13. The indicators of the objectives of the Cooperation Program are effective to show the degree of achievement of its objectives.	
		II-14. The indicators of the outputs can measure the outputs' achievement of the Cooperation Program.	
		II-15. Data for the indicators are likely to be obtained and are measurable.	
		II-16. The realistic indicators achievable within the Cooperation Program period are set.	
	The degree of achievement of the development goal of the partner country (or strategic objective at lower level), supported by the Cooperation Program, can be figured out.	II-17. The measures of the degree of achievement of the development goal of the partner country, to which the Cooperation Program tries to contribute, is indicated concretely in JCAP/Cooperation Program Plan/WP and others.	

Table 3-5: [Evaluability Assessment Checklist] Category III: The Requirements for the Implementation of a Cooperation Program (final draft)

Assessment timing	Requirements	Points to be confirmed	Check
Implementation of the Cooperation Program	Managed as a Cooperation Program.	III-1. The periodical monitoring is implemented and its results are reported to the Cooperation Program manager.	
		III-2. The related documents (the approval documents of JCAP/Cooperation Program Plan/WP and others, and all their annex documents and others) are properly filed from the time of the program formulation. It would be even better if the information before preparing the Cooperation Program Plan or of the formulation process, such as logic analysis at the time of the formulation of the Cooperation Program Plan or the background information of the program, are recorded in a written format.	
		III-3. In the event that the drastic change or the addition of the core sub-component project is identified, and the orientation of the Cooperation Program has changed, the concerned parts of JCAP/Cooperation Program Plan/WP and others, including the program purpose, the scenario, the indicators and others, must be revised.	
	The information of the Cooperation Program is shared.	III-4. After starting the Cooperation Program, the information regarding it is shared, in a written format, with the actors, such as related institutions in the partner country or other donors.	

Table 3-6: [Evaluability Assessment Checklist] Category IV: The Requirements for Evaluation of a Cooperation Program (final draft)

Assessment timing	Requirements	Points to be confirmed	Check
Utilization of evaluation results	The purpose of evaluating the Cooperation Program is clear, and the occasion to utilize its results is clear.	IV-1. The purpose of evaluating the points for which the Cooperation Program is assessed (the dissemination of the results, the examination of the development effects, the accountability, the recommendation to improve it, the extract of lessons, the enhancement of its strategy and others), and the concrete use of the results of evaluation (the modification of JCAP/Cooperation Program Plan/WP and others, the publication of the JICA annual evaluation report, the dissemination of the results at the international conference and others) are clear.	
		IV-2. The concerned parties of the Cooperation Program are ready to accept the negative evaluation results.	
	Data collection is possible.	IV-3. The data necessary for the evaluation is possible to be collected, in fact.	

### **3.2.2 Criteria of Monitoring and Evaluation (final draft)**

As stated in Section 3.1.1, the monitoring and evaluation should be conducted according to the type of Cooperation Program classification.

#### **(1) Evaluation criteria and questions (final draft)**

Except the Type 3 and 4 program, with low evaluability, ex-ante evaluation should be conducted (elaboration and approval of the Cooperation Program Plan and other planning-related documents). The evaluation of the Type 1 program, which has high evaluability, can be conducted as a summative evaluation, i.e. reviewing the result of the program. It should be the only case the evaluation is conducted at the program completion. However, in case of Type 2, even though the evaluability is not as high as a stand-alone program, the joint evaluation with other donors or a sector review should substitute for its independent evaluation. The evaluation questions (final draft) in Table 3-7 should be expected to be used when the program is complete. The ex-ante evaluation should be substituted for the examination of the satisfaction of the related questions, within a possible range of facts to be confirmed, on the process of the elaboration of the Cooperation Program Plan. At the time of ex-ante evaluation, among the evaluation criteria, the significance of the implementation of evaluation and its plan will be assessed. At the time of completion, the process and the result of the program will be evaluated, in addition to the criteria of ex-ante evaluation. “Manual for Monitoring and Evaluation of Cooperation Programs (final draft),” including the evaluation criteria and questions, is shown in Annex 2.

Table 3-7: Evaluation Criteria and Questions (final draft)

Evaluation criteria	Evaluation questions (main questions)	Evaluation questions (sub-questions)	Ex-ante evaluation	Evaluation at the program completion
I. Program strategy (significance)	1. Is the program purpose aligned with the development policy or plan and the Japanese aid policy?	1-1 Is the Cooperation Program consistent with the development policy and plan of the partner country?	○	○
		1-2 Is the Cooperation Program consistent with the prioritized development needs of the partner country?	○	○
		1-3 Is the Cooperation Program consistent with the Japanese aid policy?	○	○
II. Program strategy (planning)	2. Is the scenario to achieve the program purpose appropriate?	2-1 Is the program purpose clear?	○	○
		2-2 Can the program purpose be examined based on the data or facts?	○	○
		2-3 Can the program purpose (its target value) be achieved within a program period?	○	○
		2-4 Is the logical sequence from the each sub-component project to the program purpose clear?	○	○
		2-5 Was the Cooperation Program structured by considering the endeavors of the partner country, other donors and international organizations in order to effectively achieve the program purpose?	○	○
III. Program strategy (process)	3. Were the sub-component projects implemented properly to achieve the program purpose?	3-1 Was the plan (approval and implementation of sub-component projects, budget securement, and others) conducted as planned?	/	○
		3-2 Was there an integrated system to manage the sub-component projects of the Cooperation Program (an assignment of program manager and others)?	/	○
		3-3 Was the understanding of the Cooperation Program by the related persons adequately?	/	○
		3-4 Was the monitoring system shared among the related persons? Was the necessary data and information collected and accumulated?	/	○
		3-5 Were other program management activities (collaboration and coordination with the partner country and other donors, risk management, revision of the program, and others) conducted properly?	/	○
IV. Program results	4. Was the program purpose achieved?	4-1 To what extent was the program purpose achieved?	/	○
		4-2 What kinds of impact did the implementation of the Cooperation Program generate to achieve the development goal of the partner country?	/	○
		4-3 What other impact was generated by the implementation of the Cooperation Program?	/	○

Source: Prepared by the Study Team.

## (2) Monitoring criteria (final draft)

The Cooperation Programs that are classified either as Type 1, 2 or 3 will be monitored annually by utilizing the following criteria: For monitoring, there are two kinds of sheets; one is annual monitoring sheet for JICA's Cooperation Program (hereinafter referred to as "annual monitoring sheet") and the other is monitoring sheet for the entire program period for JICA's Cooperation Program (hereinafter referred to as "monitoring sheet for the entire program period"). For Type 2, only the annual monitoring sheet will be utilized; for Type 3, simpler monitoring will be conducted, referring to the annual monitoring sheet.

Table 3-8: Monitoring Criteria (final draft)

Monitoring criteria	What to do	Applicable Cooperation Program
Achievement status of program purpose	-Confirm the achievement status based on the numerical data or objective facts. -In case that the indicators are not established at the time of planning of the program, set them at an early stage.	1
Achievement status of program outputs	-Confirm the achievement status based on the numerical data or objective facts. -If the indicators are not established at the time of planning of the program, set them at an early stage.	1
Progress status to achieve the program purpose	-Evaluate the progress status incrementally. If the indicator data cannot be collected, assess and judge the status qualitatively by the related information. -In case that some problems are found, record them and their reasons.	1, 2 and 3*
Policy change in the respective sector of the partner country	-Confirm the condition of change. In case some changes are found, record them and their reasons.	1, 2 and 3*
Change in external factors and risks	-Confirm the condition of change. If big changes are found, record them and their reasons.	1, 2 and 3*

Source: Prepared by the Study Team.

### 3.2.3 Formats and Tools for Planning, Monitoring and Evaluation of JICA's Cooperation Programs (final draft)

#### (1) Basic idea of the formats/tools

The basic idea of the formats and tools is as follows:

- 1) Refining the number of common formats and tools  
Reduce the number of formats/tools as much as possible so that the common formats and tools will be utilized for sure.
- 2) Consistent utilization of tools through the process of program management cycle  
Utilize the usable formats/tools consistently throughout the process of formulation, monitoring and evaluation of the program so that the evaluability, efficiency and

effectiveness of the program management can be elevated.

3) Simple tools to be utilized easily

The formats and tools should be so simple that they can be used easily without any special training by the related persons in practice.

4) Consideration of the psychological resistance to the matrix and logic tree

Pay attention to the related individuals who have psychological resistance to the matrix and logic tree.

5) Attention to the limitation of the conceptual illustration

The conceptual diagram has an advantage that the concept can be shared easily. On the other hand, it also has a limitation, in that it is difficult to check the inappropriateness of the scenario to achieve the objective. It is important to take into consideration these points and examine how to solve its defect.

Based on the basic idea mentioned above, the literature review, desk trial study and on-site trial study were performed. As a consequence of these studies, the following six kinds of formats and tools are proposed, according to the different types of Cooperation Programs as stated in 3.1. Among them, the Cooperation Program, to which all kinds of formats/tools are applicable, is only Type 1.

1) JICA's Cooperation Program Plan

2) Conceptual diagram

3) Program tree

4) Monitoring sheet (annual and for the entire period)

5) Summary of sub-component projects

6) JICA's Cooperation Program evaluation grid (hereinafter referred to as "program evaluation grid")

**(2) Formats and tools according to the type of JICA's Cooperation Program, its timing of elaboration and purpose of utilization**

The timing of elaboration and the purpose of the utilization of formats/tools are described in Table 3-9.

Table 3-9: The Timing of Elaboration and Purpose of the Tools and Formats

	Tools and formats	Summary	Type of program				Timing of elaboration			Purpose of utilization		
			1	2	3	4	F	I	E	F	I	E
1	JICA's Cooperation Program Plan	The format partially corrected some items of the existing formats. If a drastic change may happen during the program implementation, the program plan needs to be revised	○	○	*1		○			○	○	○
2	Conceptual diagram (※)	The illustration, which concisely shows the outline of the program, such as a relation among the program purpose, the outputs and the sub-component projects, and also the relationship of the program with the policy of the partner country, and the cooperation by other donors, and others	○	○	*1					○	○	○
3	JICA's Cooperation Program tree (※)	The tree diagram, which shows the cause-and-effect relation among the program purpose, outputs and each sub-component project	○		*1		○			○	○	○
4	JICA's Cooperation Program monitoring sheets (※)	4-1 <i>Monitoring sheet for the entire period of the program</i> To describe the program purpose, outputs, baseline data and target value of indicators, means of verification and responsible department. Update the monitoring sheet by recording the latest data of indicators once a year	○				○	○			○	○
		4-2 <i>Annual monitoring sheet</i> To describe the monitoring result by each criteria once a year	○	○	*2			○			○	○
5	Summary of sub-component projects	Tabulation, which summarizes the sub-component projects. Summarize concisely the project purpose, overall goal, outputs, period, and progress of activities	○							○		○
6	JICA's Cooperation Program evaluation grid (※)	To state the evaluation criteria, questions and others. Its format is similar to the evaluation grid for project evaluation	○	*3						○		○

F: Formulation I: Implementation E: Evaluation

The format denoted by (※) needs to be prepared in a foreign language, too (depending on an official language of the partner country, a Spanish or French version will also be prepared in addition to an English or Japanese version). A Japanese version can be omitted if it is not necessary.

\*1: For Type 3, there is no need to elaborate upon the Cooperation Program Plan, conceptual diagram and Program tree. However, it is necessary to enrich the description of WP.

\*2: For Type 3, simple monitoring will be done at the time of revision of WP, referring to the annual monitoring format.

\*3: For Type 2, evaluation at program completion by a standalone Cooperation Program will not be conducted. However, if the joint evaluation with a partner country or other donors will not be implemented, it is expected that JICA will implement the sector review by itself.

The formats and tools to be used for each type are as follows;

**Type 1:**

At the time of the program formulation, i) Cooperation Program Plan, ii) conceptual diagram, iii) program tree and iv) monitoring sheet (for the entire period) will be elaborated. The formats and tools of i)~iii) will be used, at any time, during the implementation and at the time of evaluation at program completion. Moreover, during the implementation of the Cooperation Program, the program manager or the responsible department of the Cooperation Program in question will annually collect and complete the updated data of each indicator and examine the necessity of correction of the direction of the Cooperation Program Plan. Through this process, in case the drastic change might occur (for example, the revision of the program purpose, outputs and their indicators and others), the Cooperation Program Plan in question must be revised accordingly. At the time of evaluation, the summary of sub-component projects and the evaluation grid of Cooperation Program will be prepared, and the evaluation will be conducted utilizing the Cooperation Program Plan and other formats and tools. The conceptual diagram is used as a tool to share the outline of the Cooperation Program, not only with Japanese-related personnel, but also with the partner country's government or other related donors. So, it should be prepared also in foreign language (in addition to Japanese or English version, Spanish or French version will also be produced, according to the language used in that area) (According to the partner country's culture, the brief English outline will be prepared instead of the conceptual diagram)

**Type 2:**

In some countries where the aid coordination is actively promoted, the Cooperation Program is positioned under the bigger framework of the partner country, such as a sector-level program and others. So, the evaluation, as a stand-alone Cooperation Program, is not expected. The monitoring is also assumed to be done at the sector and project levels. Therefore, for Type 2, it is requested to prepare i) Cooperation Program Plan, ii) conceptual diagram and iv) monitoring Sheet (only annual monitoring sheet). In Type 2, the evaluation is not expected to be conducted, in principle, as a stand-alone Cooperation Program; therefore, the summary of sub-component projects and a program evaluation grid will not be prepared. Moreover, the program tree will not be prepared as a JICA-independent program. However, it is important that the program tree, beyond the framework of the Cooperation Program, of the sector program will be produced, jointly with the partner country's government or the other related donors or international organizations. The positioning of the Cooperation Program under the sector program and the relation with the support by other donors should also be made clear.

Meanwhile, regarding Type 2, the annual monitoring sheet can be substituted for the partially improved WP, which is currently prepared by JICA, from the point of view of the efficiency of tasks. However, because WP was not originally designed as a management tool, the following points need to be acknowledged:

- 1) Because the area covered by WP is different from that of the program, the utilization of WP cannot overlook all of the program scope (for example, some projects that were already completed would not appear in WP).
- 2) Even though WP has an advantage to understand, at a glance, the project name, scheme, period of implementation and approximate budget, it is not intended to be used as a common tool of objective management. Thus, it is necessary to refer the other related documents in order to comprehend the project objectives and progress status.

### **Type 3:**

At the time of the formulation of the Cooperation Program, i) Cooperation Program Plan, ii) conceptual diagram and iii) program tree are not required for type 3. However, it is important to more completely describe the current status or issues and the responsive policy of development issues, mainly in the outline of the Cooperation Program in WP. Moreover, during the implementation of the Cooperation Program, the responsible departments of the JICA will conduct simple monitoring at the time of WP renewal, referring to the annual monitoring sheet.

### **Type 4:**

For Type 4, the monitoring and evaluation will not be conducted as a Cooperation Program. Therefore, the formats and tools for the program mentioned are not required. Only the monitoring and the evaluation for an independent project will be conducted.

## **(3) Formats/ tools**

The formats and tools are as follows. The details are shown in Annex 2.

### 1) JICA's Cooperation Program Plan

The Cooperation Program Plan is the document to show the principle of the program plan. This document includes the information regarding the name of the Cooperation Program, period, objectives (program purpose and its outputs) and its scenario to achieve them, each sub-component project, the policy of the partner country, relation between the other donors' cooperation and the Cooperation Program in question, risks, monitoring system and others. Especially if a big change has taken place, the Cooperation Program Plan has to be revised.

### 2) Conceptual diagram

It is the illustration which makes the essential feature of the Cooperation Program Plan understood at a glance. It illustrates briefly the name of Cooperation Program, objectives (program purpose and its outputs) and its link with each sub-component project, policy of the partner country, relation between the other donors' cooperation and the Cooperation Program in question, and others.

### 3) JICA's Cooperation Program tree

The Program tree is the diagram which illustrates the relation between the program purpose, the outputs and sub-component projects by “means and ends relation” (once A is achieved [means], B will be achieved [ends]). Some uncontrollable factors, which are necessary for the achievement of outputs, program purpose and also the superior development goal, and the factors that are out of scope of the Cooperation Program are also described in any part of this tree diagram, making a clear distinction within the program objectives and the components covered by the program. Moreover, the related cooperation by other donors and other Cooperation Programs are also illustrated in this tree diagram so that the way in which they correlate with other components can be understood.

### 4) JICA's Cooperation Program monitoring sheet

The monitoring sheet is the format to record and accumulate the information periodically in the achievement status (for the entire program period) of the objectives of Cooperation Program (program purpose and outputs), the changes in the respective sector of the partner country, the changes of the important assumption and risks, and the responses and revision of the program plan, based on the analysis of these status and changes.

### 5) Summary of sub-component projects

This is the tabulation at a glance to summarize the outline of sub-component projects at program evaluation after the completion of the Cooperation Program.

### 6) JICA's Cooperation Program evaluation grid

This is the tabulation of the survey plan and the survey result to show the evaluation criteria, the evaluation question to analyze these criteria, the relation between the survey points, the information resources and the survey results. Among this information, the evaluation questions are, in principle, the ones that are stated in Table 3-7.

## 3.3 Recommendations

The following points are recommended so that the results of this study will be utilized.

### **Recommendation 1: Utilize the evaluability assessment checklist for JICA's Cooperation Programs**

This study reviewed the evaluability of the programs of the JICA and other donors and international organizations, as well as the mechanisms for improving the evaluability of their programs. The requirements for evaluability are grouped into two; one is the elements that affect success and failure of evaluation (“evaluability in practice”) and the other is the elements to make a

program valuable (“evaluability in principle”), regardless of its being evaluated or not.

Improving evaluability in practice and in principle will help to strengthen the strategy of the design and implementation of Cooperation Programs. Therefore, it is essential to recognize that the improvement of evaluability is fundamental to program planning, implementation, and evaluation.

In sum, this study proposes to utilize the evaluability assessment checklist to strengthen the strategic aspects of Cooperation Programs. To do so, the evaluability assessment checklist should be referred to during the planning of a Cooperation Program as well as during the monitoring and evaluation of an on-going program. This will help identify points for improvement, and by addressing them, JICA will be able to strengthen the evaluability and strategy of the Cooperation Program.

### **Recommendation 2: Select the method of program evaluation according to the level of evaluability**

In order to overcome the limitation of the concept of “contribution,” which has been used uniformly with Cooperation Programs, this study proposes to select the depth and width of program evaluation according to the degree of evaluability.

A Cooperation Program with high evaluability (Type 1) has a clearly defined objective as a program and also a scenario to follow. Therefore, it is possible to summarize the result of the Cooperation Program (summative evaluation) through evaluation at the completion of the program. Also, such a program can be monitored annually to manage its progress towards the program purpose.

A Cooperation Program with low evaluability (Type 3 and Type 4) should not, in principle, be subject to evaluation at the completion of the program. This is because such a program has limited potential for utilizing the result of evaluation. Thus, its progress should be assessed by the simplified annual monitoring only. By monitoring the progress periodically and adjusting the program design and institutional setting for program implementation, such a Cooperation Program is expected to gradually improve its strategies.

A Type 2 Cooperation Program is not subject to a solo evaluation at the completion of the program. However, it is important to assess what has been achieved by the Cooperation Program in a joint evaluation or sector review with the partner country and other donors.

Ex-ante evaluation is applicable to both Type 1 and Type 2 Cooperation Programs, regardless of their levels of evaluability. Its method is to assess, as clearly as possible, the significance of implementing the Cooperation Program, as well as the relevance of program design over the course of preparing the program plan.

### **Recommendation 3: Define the objectives of program evaluation**

In the past evaluation of Cooperation Programs, the objectives of evaluation were limited to improving the Cooperation Programs in question and to drawing lessons learned for new Cooperation Programs; none of them listed were accountable to the public as an objective of evaluation. However, being accountable to the public is an important objective of evaluation, as

much so as improving the Cooperation Program in question. Moreover, considering that Cooperation Programs aim to support the partner countries in tackling development challenges, and such programs must be aligned with the actions of the partner countries and other donors, the importance of publicizing the current status and result of Cooperation Programs is becoming more and more significant.

Defining the objectives of evaluation will lead to utilization of the result of evaluation. Therefore, it is important to clarify the objectives of monitoring and evaluation, and to show how their result is to be utilized. In order to be accountable to the public, it is important to assess objectively and quantitatively to what extent a Cooperation Program has contributed to development in the partner country. It is not sufficient to verify “the plausibility of causality” between the progress towards a development goal and the outcome of the Cooperation Program based on the concept of “contribution,” as has been done previously.

**Recommendation 4: Review the concept of “contribution” used in the evaluation of JICA’s Cooperation Programs and make clear a difference between “formative evaluation” and “summative evaluation”**

In the current guideline, the evaluation of Cooperation Programs is to verify “the plausibility of causality” between the progress toward a development goal and the outcome of the Cooperation Program based on the concept of “contribution.” However, in practice, it is difficult to verify “the plausibility of causality.” On the other hand, in the case of a program with high evaluability, summative evaluation of the “result” of program management is possible. Therefore, this type of a Cooperation Program is fit for an evaluation method that assesses the result, as well as the relevance of design and appropriateness of implementation.

This evaluation method has two advantages. First, it concretely shows the degree of achievement of a program purpose, instead of leaving them vague, by using indicators. Second, this method can assess the “strategy” of a Cooperation Program because its evaluation questions include elements of strategy. This evaluation method can directly draw recommendations and lessons learned that can be utilized in strengthening the strategy of Cooperation Programs in the future.

In addition, it is important to use “formative evaluation” and “summative evaluation” properly, depending on the degree of maturity of a Cooperation Program or its level of evaluability. A Cooperation Program with high evaluability is fit for summative evaluation, but a Cooperation Program with lower evaluability is fit for formative evaluation, which can be done through ex-ante evaluation by using a part of the evaluation questions and annual monitoring. In particular, a Type 3 program is expected to improve its strategy through formative evaluation.

**Recommendation 5: Link the evaluation of a JICA’s Cooperation Program to the evaluation of projects and sub-components composing the JICA’s Cooperation Program**

With regard to Type 1 Cooperation Programs, evaluation at the completion of the program can be regarded as ex-post evaluation of projects or sub-components composing the Cooperation

Program. However, such program evaluation must be able to satisfy the objectives of the ex-post evaluation of projects, including securing accountability to the public and improving the projects in question and future projects. Therefore, the following points are recommended.

First, with regard to technical cooperation projects, grant aid, and ODA loans, which are currently targets of ex-post evaluation, the achievement of a project objective and the overall goal at the end of the project must be recorded in the project completion report so that it can be referenced in the evaluation of a Cooperation Program, which is composed with these projects.

Second, if such components have faced a significant problem over the course of their implementation or if they have clearly failed to achieve project objective and overall goal, ex-post evaluation of such components is recommended to conduct apart from evaluation of a Cooperation Program.

### **Recommendation 6: Build a common understanding among JICA staff of the JICA's Cooperation Program approach, and build the implementation system of Cooperation Programs**

The desk review and field trial in this study revealed that there was a difference among JICA staff in the level of understanding of what Cooperation Programs are. In order to improve the effectiveness of Cooperation Programs, it is indispensable to deepen understanding among JICA staff on the purpose of introducing the Cooperation Program approach and the effective way of managing Cooperation Programs.

At the same time, to promote the Cooperation Program approach, a cross-sectional implementation system is in need. Setting up such a system requires a certain level of investment, such as assigning program managers and offering them tailor-made pre-departure training. Without these measures, the effectiveness of Cooperation Programs might be difficult to be raised. To foster common understanding on the Cooperation Program approach, it is effective to broadly share the best practices of producing outputs effectively within JICA by adopting the Cooperation Program approach.

### **Recommendation 7: Accept the option of not formulating a JICA's Cooperation Program**

The study proposes that some groups of projects, which are not in the situation to have a scenario to achieve a program purpose, can be left without being forced to formulate a Cooperation Program.

As stated in 3.1.1 (4), some Cooperation Programs are obliged to be managed on a project basis, due to their limitation in budget, project period, security, and other factors. Even in such cases, the links among projects within a Cooperation Program can be strengthened over the course of planning and implementation. Loosely grouping but managing projects as stand-alone entities is far better than imposing the unnecessary burden of managing them as a Cooperation Program. Choosing not to form a Cooperation Program would not cause any specific inconvenience in such cases.

In order to identify those that are appropriate for being managed as a Cooperation Program, it

is necessary to check each Cooperation Program to determine whether it has something attainable, only by having a strategic nature, and by being managed as a Cooperation Program. As the four types of Cooperation Programs show, if a group of projects does not meet such a condition, it does not benefit from collective management and it may not be given an option of to form a Cooperation Program.