

## **List of Annexes**

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## Annex 1. Samples of the Evaluation Formats used by other Donors and International Organizations

### (1) Results Matrix of the World Bank

<b>“Focus Area A”</b>		
Definition of Focus Areas and description of the links between the Focus Area and the Twin goals and how the CPF Objectives contribute to achieve one or several specific Country Development Goals within the Focus Area.		
<b>Statement of CPF Objective</b>		
<b>Intervention Logic</b> How does the indicative WBG program listed in the right-hand column contribute to the CPF Objectives? What were the criteria for selecting the on-going portfolio? What are the criteria for developing the part of portfolio under preparation? Highlights obstacles to be overcome, logical causality, assumptions and risks.		
<b>CPF Objective Indicators</b>	<b>Supplementary Progress Indicators</b>	<b>WBG Program</b>
<i>Indicator* 1</i> Baseline: xx (2014) Target: xx (2020) Indicator 2 Baseline: xx (2020) Target: xx (2020)	<i>Milestone or Indicator 1</i> Baseline: xx (2014) Target: xx (2020) <i>Milestone or Indicator 2</i> Baseline: xx (2020) Target: xx (2020)	List of Bank Group interventions that contribute to CPF Objectives including TFs
*Qualitative Indicators are also acceptable		
<b>CPF Objective</b>		
<b>Intervention Logic</b>		
<b>CPF Objective Indicators</b>	<b>Supplementary Progress Indicators</b>	<b>WBG Program</b>
<b>“Focus Area B”</b>		

(Source) World Bank (2014a).

(2) Results Framework of UNDP

## UNDP results and resources framework for the United Republic of Tanzania, July 2011–June 2015

Resources for July 2011–June 2015: Regular: \$43,050,000 Others: \$59,913,000 Total: \$102,963,000

Programme Component: Poverty Reduction (including achieving the Millennium Development Goals)				
MKUUTA Goal 1.2 Reducing income poverty through promoting inclusive, sustainable and employment-enhancing growth				
MKUZA Goal 1.2 Promote sustainable and equitable pro-poor and broad-based growth				
UNDAP Outcomes	UNDAP Outputs	Indicator, Baseline & Targets	Key Partners	Indicative Resources (in US dollars)
Key national institutions develop/enhance evidence-based pro-poor economic development policies and strategies	Select national policies incorporate strategies for enhancing job-rich dividends and poverty reduction	<i>Indicator:</i> MDAs incorporate sectoral policies consistent with national pro-poor strategies <i>Baseline:</i> tourism policy; agricultural policy; Kilimo Kwanza strategy document; employment policy; trade policy; there is no long-term growth plan; national capacity development plan <i>Target:</i> MDAs incorporate sectoral policies consistent with national pro-poor strategies	Ministry of Finance and Economic Affairs; Planning Commission; Zanzibar Ministry of Finance and Economic Affairs	Regular 4,215,000  Other 800,000
Relevant MDAs, LGAs and non-State actors enhance structures and policies for promoting viable pro-poor business sectors and SMEs	Relevant MDAs, LGAs and private sector collaborate in promoting investment and local economic development	<i>Indicator:</i> LGAs supported in LED plans <i>Baseline:</i> Mapping of LED-related institutions identifying their mandates and functional assignments; analysis of macro policies related to LED <i>Target:</i> Guidelines for private and public investment-targeting prepared and adopted	Attorney General's Chambers; Ministry of Industry Trade and Marketing; local government; Planning Commission; private sector foundation; Zanzibar Business Council; Zanzibar Investment Promotion Authority; Zanzibar Ministry of Tourism, Trade and Industry	Regular 1,810,000  Other 400,000

(Source) Executive Board of the United Nations Development Programme and of the United Nations Population Fund, Executive Board of the United Nations Children's Fund and Executive Board of the World Food Programme (2010).

(3) Results Framework in CDCS of USAID

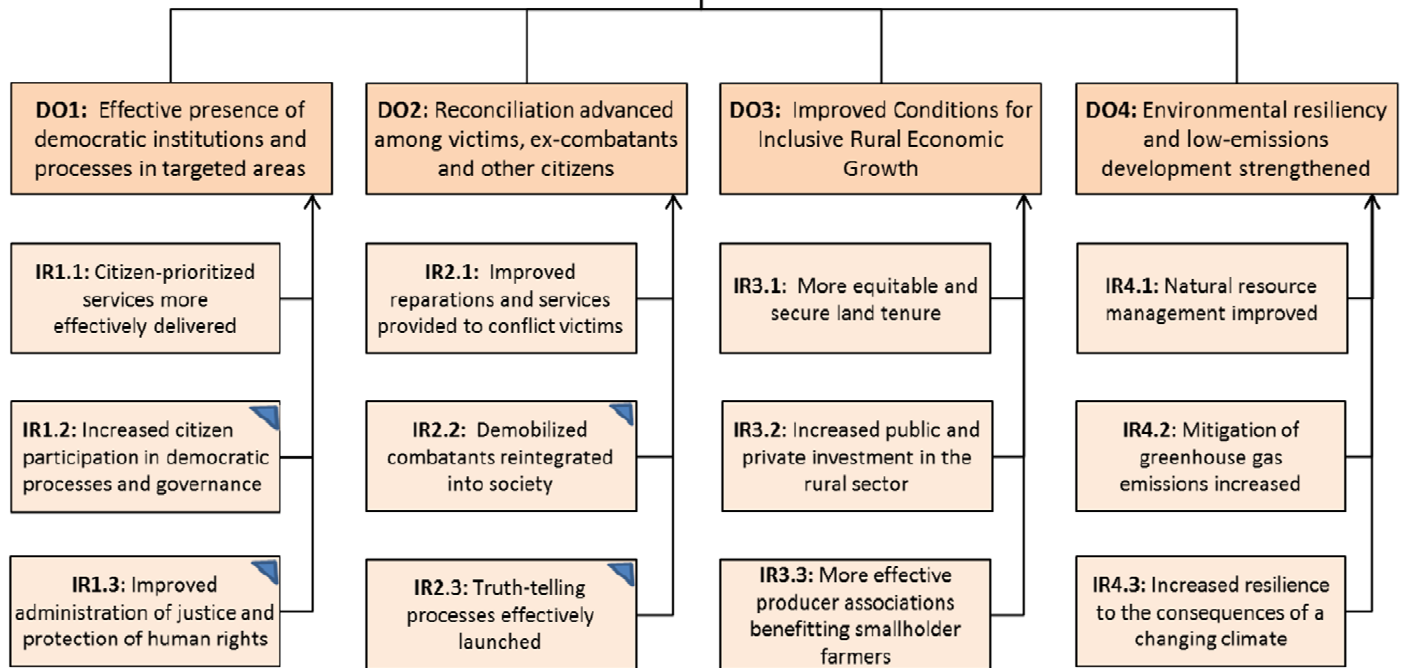


version: 06/10/2014

**Country Development Cooperation Strategy**

**Mission Goal:** Colombia more capable of successfully implementing a sustainable and inclusive\* peace

**Annex A: Results Frameworks: Abbreviated and Full Versions**

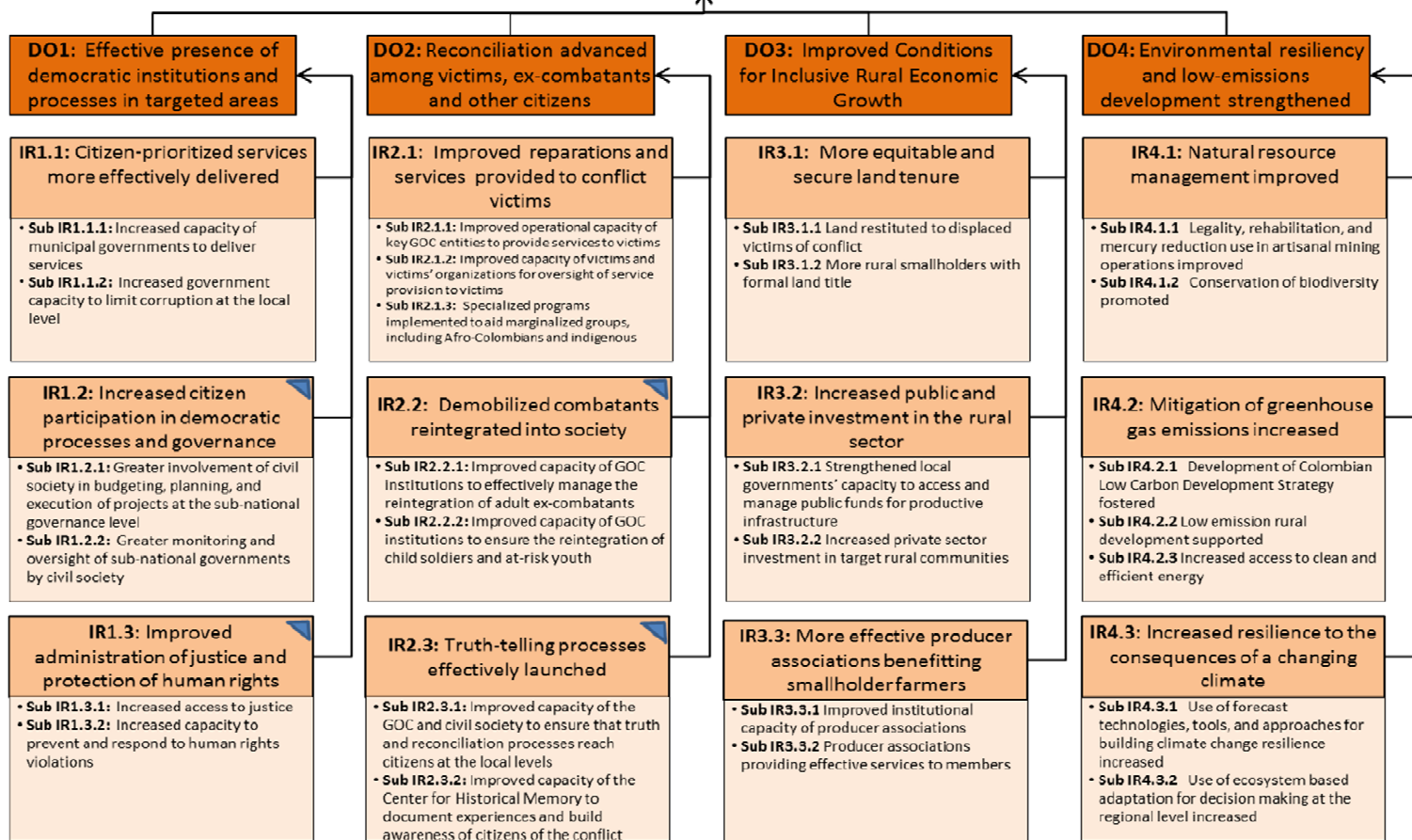


= Intermediate results that will receive less funding or will be discontinued if no peace agreement is signed.

\*Inclusive refers to vulnerable populations such as women, internally displaced persons, LGBTI persons, Afro-Colombians, Indigenous persons, and those with disabilities.



**Mission Goal: Colombia more capable of successfully implementing a sustainable and inclusive\* peace**



▢ = Intermediate results that will receive less funding, or will be discontinued, if no peace agreement is signed

\*Inclusive refers to vulnerable populations such as women, internally displaced persons, LGBTI persons, Afro-Colombians, Indigenous persons, and those with disabilities.

(4) Planning Matrix for Monitoring of UNDP

24 The format in Table 14 primarily applies to programme-level monitoring. UNDP country offices are expected to attach a table with the above information to their CPAP, which is needed to operationalize the country programmes.

Expected Results (Outcomes & Outputs)	Indicators (with Baselines & Indicative Targets) and Other Key Areas to Monitor	M&E Event with Data Collection Methods	Time or Schedule and Frequency	Responsibilities	Means of Verification: Data Source and Type	Resources	Risks
Obtained from development plan and results framework.	From results framework.  Indicators should also capture key priorities such as capacity development and gender.  In addition, other key areas need to be monitored, such as the risks identified in the planning stage as well as other key management needs.	How is data to be obtained?  Example: through a survey, a review or stakeholder meeting, etc.	Level of detail that can be included would depend on the practical needs.  In UNDP, this information can also be captured in the Project Monitoring Schedule Plan from Atlas.	Who is responsible for organizing the data collection and verifying data quality and source?	Systematic source and location where you would find the identified and necessary data such as a national institute or DevInfo.	Estimate of resources required and committed for carrying out planned monitoring activities.	What are the risks and assumptions for carrying out the planned monitoring activities?  How may these affect the planned monitoring events and quality of data?

(Source) UNDP (2011a).

(5) Performance Indicator Reference Sheet and Instructions for Completing Performance Indicator Reference Sheet of UASID

PERFORMANCE INDICATOR REFERENCE SHEET	
<b>AO:</b> Increased Private Sector Led Growth	
<b>Intermediate Result 1.3.2:</b> Increased Fiscal Sustainability in Target Municipalities	
1. The value of own-source revenues in the municipal budget	
<b>Is this indicator used for reporting?</b> No	
DESCRIPTION	
<b>Precise Definition(s):</b> The value of own-source revenues for each target municipality is defined as the amount (or value) of all budget revenues, excluding donor budget support. Non donor budget support includes revenues from the central government, the public sector and the private sector.	
<b>Unit of Measure:</b> Euros	<b>Disaggregated by:</b> 1) Category (property taxes, fees, fines) and 2) target municipality
<b>Rationale:</b> Increases in budget revenues generated by non-donor sources are critical to ensuring that municipalities are able to provide services on a sustainable basis. In particular, the team will track the share of property taxes, which is expected to increase (as opposed to fees and fines).	
PLAN FOR DATA ACQUISITION BY USAID	
<b>Responsible Individual/Office:</b> Jane Doe, EG Office	<b>Data Source:</b> The Ministry of Finance and Economy
<b>Frequency and Timing:</b> Annual	<b>Budget Implications (if relevant):</b> Data available from existing MFE systems and integrated into the project, so costs are low.
<b>Data collection method:</b> Municipalities submit their final budget to the Ministry of Finance and Economy. The implementing partner will obtain the data from the Ministry of Finance and Economy (MFE) central system on an annual basis.	
<b>Method of data acquisition by USAID:</b> The Economy and Sustainability Project will provide the data to USAID through the project's annual report. Annual.	
DATA QUALITY ISSUES	
<b>Data Quality Assessment Procedures:</b> Preliminary data quality issues were assessed during PMP development, dated 1/15/10.	
<b>Key Data Quality Limitations (if any) and Actions Planned to Address Those Limitations.</b> The key data quality issue is to ensure that budgets are consistently and accurately gathered from the municipal level to the Ministry. The project will be training municipalities to ensure that systems and processes exist at the municipal level to accurately report budgets to the Ministry and to ensure understanding of the central system. The implementers will periodically spot check the budget at the municipal level to determine whether the numbers coming from the central system are accurate.	
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING	
<b>Data Analysis Issues:</b> The team expects that property taxes will be the key driver of revenues as opposed to fees and fines. This needs to be analyzed and tracked.	
<b>Data Use:</b> The AO team will review and analyze data just prior to portfolio reviews. Data will be reported during portfolio reviews in the fall.	
OTHER NOTES	
<b>Notes on Baselines/Targets:</b> Baseline should be set just prior to the initiation of project activities. Targets should be set in consultation with the implementer. The Democracy and Governance (DG) team will work with the Economic Growth EG team in some (but not all) target municipalities. When targets are set, the team should consider whether the effect on targets for those municipalities receiving both EG and DG assistance vs. those that are only receiving EG assistance.	
<b>Other Notes:</b> The DG program works only in target municipalities, but these data are reported for all municipalities.	

<b>Instructions for Completing the Performance Indicator Reference Sheet</b>	
<b>Name of Result Measured:</b>	Enter the full name and number (e.g., IR 2.1) of the relevant result.
<b>Name of Indicator:</b>	Enter the full title of the indicator. If this is a foreign assistance standard indicator, include the indicator number.
<b>Is this a PPR indicator?</b>	Enter yes or no, and clarify which reporting years(s).
<b>If yes, link to foreign assistance framework:</b>	Enter the relevant program area, element, sub-element of the standardized program structure from the Director of Foreign Assistance.
DESCRIPTION	
<b>Precise Definition(s):</b>	Define the specific words or elements used in the indicator.
<b>Unit of Measure:</b>	Enter the unit of measure ( <i>number of...</i> , <i>percent of...</i> , or <i>US dollars</i> ). Clarify the minimum or maximum values if needed ( <i>minimum score is 1.0 and maximum score is 5.0</i> ). Clarify if the number is cumulative or specific to the year. Clarify numerator and denominator if applicable.
<b>Disaggregated by:</b>	List any planned ways of disaggregating the data ( <i>male/female, youth/adult, urban/rural, region, etc.</i> ) and justify why useful.
<b>Rationale or Justification for indicator (optional):</b>	Briefly describe <i>why</i> this particular indicator was selected to measure the intended result and <i>how</i> it will be useful for managing performance.
PLAN FOR DATA COLLECTION BY USAID	
<b>Data Source:</b>	Identify the source of data (e.g., DHS survey; ministry data; partner records)
<b>Method of data collection and construction:</b>	Describe the tools and methods for collecting the raw data. Examples include: ledger of patient names, document review, structured interviews, focus group interviews, written survey, direct observation, self-reported information, and so on. If the indicator is constructed, such as an index or an expert panel assessment, describe the procedure for construction. Who collects the raw data and where is it stored before it gets to USAID?
<b>Reporting Frequency:</b>	Describe <i>how often</i> data will be received by USAID and <i>when</i> .
<b>Individual(s) responsible at USAID:</b>	Identify the specific staff member <i>directly responsible</i> for acquiring the data.
DATA QUALITY ISSUES	
<b>Date of Past Data Quality Assessments and reviewer:</b>	Enter the date of previous data quality assessments and the responsible party.
<b>Date of Future Data Quality Assessments (optional):</b>	Enter the planned date for subsequent data quality assessments.
<b>Known Data Limitations:</b>	Enter any major data limitations from summary section of DQA checklist.
TARGETS AND BASELINE	
<b>Baseline timeframe (optional):</b>	State the timeframe (quarter, year, etc.) that will serve as the baseline value for this indicator. If baselines have not been set, identify <i>when</i> and <i>how</i> this will be done. While this information is optional for the PIRS, data tracking tables must identify a baseline timeframe and value. See ADS 203.3.9 for more information on baselines.
<b>Rationale for Targets (optional):</b>	Explain the basis on which targets are set (e.g., identify specific trends to make reasonable projections based on anticipated level of effort and resources). While this information is optional for the PIRS, data tracking tables must include rationales for targets along with target values. See ADS 203.3.9 for more information on targets.
CHANGES TO INDICATOR	
<b>Changes to Indicator:</b>	Document here any changes to indicator, such as a change in the how the data is collected, not changes in the indicator data. Specify (1) the date of the change (2) the change that was made, and (3) the reason for the change.
<b>Other notes (optional):</b>	Use this space as needed.
<b>THIS SHEET LAST UPDATED ON:</b> mm/dd/yy	
To avoid version control problems, type the date of most recent revision or update to this reference sheet.	

(Source) USAID (2010).

## **Annex 2 Proposed Manual for Monitoring and Evaluation of JICA's Cooperation Programs**

### **Proposed Manual for Monitoring and Evaluation of JICA's Cooperation Programs**

#### **■ What is a JICA's Cooperation Program?**

In *the Guideline for Strategic Cooperation Programs*<sup>1</sup>, a JICA's Cooperation Program (Hereinafter referred to as "Cooperation Program") is defined as "a strategic framework (i.e. cooperation purposes and an appropriate cooperation scenario for their achievement) to support the achievement of specific medium-to-long-term higher level development objectives of the partner country." Therefore, Cooperation Programs are different from development programs elaborated by its partner countries. However, in many cases, Cooperation Programs are planned and implemented in line with programs formulated by its partner countries.

The "strategic framework" stated here is meant to satisfy the following elements:

1. There are clear cooperation objectives in line with the development strategies of the partner country and with the assistance strategies of Japanese government.
2. There is an appropriate cooperation scenario to achieve cooperation purposes.
3. There is a plan to ensure optimal use of different assistance schemes when putting a cooperation scenario into effect.

#### **■ Why are Cooperation Programs required to be monitored and evaluated?**

The evaluation of a Cooperation Program is conducted to produce further improvement to the program, to ensure accountability to the public, and to enhance transparency of program implementation. Therefore, an ex-ante evaluation is carried out to confirm the significance of implementing the JICA's Cooperation Program Plan (hereinafter referred to as "Cooperation Program Plan"). An evaluation is conducted at the completion of the program to review the results of the program and extract recommendations for further improvement. Monitoring is implemented to understand the progress status and external conditions of the program, to adjust the course of the program, or revise its contents if necessary.

#### **■ Do all Cooperation Programs need to be monitored or evaluated?**

At present, it is difficult to monitor or evaluate all Cooperation Programs in the same way because the program purposes, the scenarios, and the status of program management vary in each program. Therefore, Cooperation Programs are to be classified by four types according to their ability to be evaluated.

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<sup>1</sup> JICA (2013) *Kyoryoku Purogramu no Senryakusei Kyoka ni kakaru Gaidorain: 2 han* [Guideline for Strategic Cooperation Programs, 2<sup>nd</sup> ed.]



Table A2-1 Monitoring and Evaluation in accordance with the type of Cooperation Program

Classification of Program		Ex-ante evaluation	Monitoring	Evaluation at the program completion
Type 1	Cooperation Program with high evaluability	○	○	○
Type 2	Cooperation Program under a multi-donor framework	○	○ (annual base only)	○ (annual base only)
Type 3	Cooperation Program, or a group of standalone projects, whose strategy is to be strengthened	○	×	×
Type 4	A group of standalone projects that is managed as a Cooperation Program in order to improve efficiency in project management	×	×	×

Type 1 is a Cooperation Program which is considered to be highly evaluable and sufficiently strategic in its design. In other words, it is the most ideal form of Cooperation Program and can be expected to be monitored as a Cooperation Program. Therefore, with a Type 1 program, ex-ante evaluation is to be conducted over the process of preparing the program plan, while annual monitoring is to be performed during the implementation of the program. At the completion of the last sub-component project, the program is to be evaluated.

Type 2 is a Cooperation Program that is not complete as a standalone Cooperation Program but is an integral part of a sector program of the partner country or a Sector Wide Approach (SWAp) framework, thereby aiming to achieve a high-level development goal through collaborative action with the partner country and other donors. Type 2 programs are subject to ex-ante evaluation, which is to be conducted over the process of preparing the Cooperation Program Plan, as well as simple annual monitoring during the implementation of the program. Evaluation at the completion of the Type 2 program may be performed better by sector evaluation in collaboration with the partner country and other donors, instead of evaluating it as a stand-alone program. If such a joint evaluation is difficult to be conducted, a sector review covering all the JICA cooperation projects in the sector may be useful.

A Cooperation Program is classified as Type 3 when it is not sufficiently equipped with the elements that make it evaluable, therefore giving it a low ability to be evaluated, but some improvement of the budget condition, the program period, or the implementing system of the partner country is expected; it can also be classified as Type 3 when it is not sufficiently evaluable but JICA intends to deepen collaboration on a program-basis. For this type of program, there is no need to elaborate upon the Cooperation Program Plan, the conceptual diagram, and the JICA's Cooperation Program tree (hereinafter referred to as "Program tree"). This means that ex-ante

evaluation is not to be conducted. However, it is necessary to enrich the Work Plan by further elaborating the description of the current status of development in the partner country, JICA's cooperation policy towards the partner country, and the contents of the Cooperation Program. Furthermore, simple annual monitoring is carried out to improve its maturity as a Cooperation Program (formative evaluation) by reviewing the Cooperation Program Plan and strengthening its strategy using the evaluability assessment checklist. In principle, a Type 3 program is not subject to evaluation at the completion of the program unless JICA considers it necessary.

A Type 4 program is a group of standalone projects, which cannot strengthen its strategy due to limitations in the budget, the length of the program period, or security issues. Despite these limitations, such a program is managed as a Cooperation Program to improve efficiency by managing standalone projects collectively. This type is classified as an applied case and is differentiated from other types. Instead of conducting monitoring and evaluation (M&E) as a Cooperation Program, JICA is to carry out M&E at the project level.

#### ■ When should monitoring and evaluation be conducted?

Monitoring and evaluation are conducted in the following timeframe, regardless of the type of cooperation programs.

Ex-ante evaluation: At the time of approval of the Cooperation Program Plan

Monitoring: At the time of the Needs Survey annually

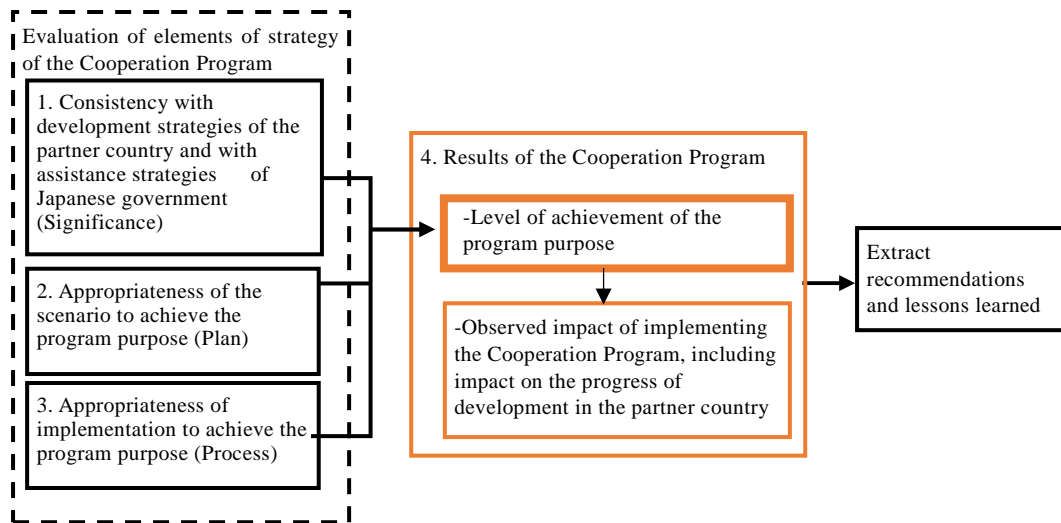
Evaluation at the program completion: At the time when all the sub-component projects are completed.

#### ■ How should a Cooperation Program be evaluated?

The evaluation of a Cooperation Program assesses the results of the program's implementation. In other words, the appropriateness of the Cooperation Program Plan and implementation of the program is reviewed, and the achievement of the program purpose and its impact is confirmed by comparison with the original plan. The progress in the partner country's development is evaluated as part of the expected impacts of the implementation of the Cooperation Program. This logic can be illustrated as follows:



Figure A2-1 Framework of Evaluation (draft)



The evaluation criteria and questions, in line with the evaluation framework described above, are as follows. The weighting of the evaluation questions varies according to the evaluation timing. First, ex-ante evaluation confirms if the scenario in the Cooperation Program Plan is effective and can be achieved feasibly. What should be noted here is that ex-ante evaluation does not require the formulation of evaluation tabulation. Instead, the appropriateness of the scenario is assessed based on the evaluability assessment checklist during the preparation of the Cooperation Plan. In evaluation carried out at the program completion, the effects of the program will be summarized, and the lessons for the next or a similar cooperation program will be extracted.

Table A2-2 Evaluation Criteria and Questions (final draft)

Evaluation criteria	Evaluation questions (higher level)	Evaluation questions (medium level)	Ex-ante evaluation	Evaluation at the program completion
I. Program strategy of the Cooperation Program (significance)	1. Is the program purpose set in alignment 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?	<input type="radio"/>	<input type="radio"/>
		1-2 Is the Cooperation Program consistent with the prioritized development needs of the partner country?	<input type="radio"/>	<input type="radio"/>
		1-3 Is the Cooperation Program consistent with the Japanese aid policy?	<input type="radio"/>	<input type="radio"/>
II. Program strategy of the Cooperation Program (planning)	2. Is the scenario to achieve the program purpose appropriate?	2-1 Is the program purpose clear?	<input type="radio"/>	<input type="radio"/>
		2-2 Can the program purpose be examined based on the data or facts?	<input type="radio"/>	<input type="radio"/>
		2-3 Can the program purpose (its target value) be achieved within a program period?	<input type="radio"/>	<input type="radio"/>
		2-4 Is the logical sequence from each sub-component project to the program purpose clear?	<input type="radio"/>	<input type="radio"/>
		2-5 Was the Cooperation Program structured by considering the endeavors of the partner country, other donors, and international organizations in order to achieve the program purpose effectively?	<input type="radio"/>	<input type="radio"/>
III. Program strategy of the Cooperation Program (process)	3. Were the sub-component projects implemented properly to achieve the program purpose?	3-1 Were the plans (approval and implementation of sub-component projects, budget securement, and others) conducted as planned?	<input type="radio"/>	<input type="radio"/>
		3-2 Was there an integrated system to manage the sub-component projects of the Cooperation Program (an assignment of program manager and others)?	<input type="radio"/>	<input type="radio"/>
		3-3 Was the understanding of the Cooperation Program by related persons adequate?	<input type="radio"/>	<input type="radio"/>
		3-4 Was the monitoring system shared among the related persons? Was the necessary data and information collected	<input type="radio"/>	<input type="radio"/>

		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?		<input type="radio"/>
IV. Program results	4. Was the program purpose achieved?	4-1 To what extent was the program purpose achieved?		<input type="radio"/>
		4-2 What kinds of impact did the implementation of the Cooperation Program generate to achieve the development goal of the partner country?		<input type="radio"/>
		4-3 What other impact was generated by the implementation of the Cooperation Program?		<input type="radio"/>

■ How should a Cooperation Program be monitored?

A Cooperation Programs classified as either Type 1, 2, or 3 will be monitored annually by utilizing the following monitoring criteria. For Type 2 and Type 3, simple monitoring will be conducted by referring to the annual monitoring sheet for JICA’s Cooperation Program (hereinafter referred to as “annual monitoring sheet”).

Table A2-3 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 the 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 the 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 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

■ What kind of tools/formats should be used?

The following tools/formats should be used for ex-ante evaluation, monitoring, and evaluation at the completion stage of the Cooperation Program. The timing of preparation and purpose of the utilization of formats/tools are described in Table A2-4.

- 1) JICA’s Cooperation Program Plan
- 2) Conceptual diagram
- 3) Program tree
- 4) JICA’s Cooperation Program monitoring sheets (for the entire period and for each year) (hereinafter referred to as “Program monitoring sheets”)
- 5) Summary of sub-component projects
- 6) JICA’s Cooperation Program evaluation grid (hereinafter referred to as “Program evaluation grid”)

Table A2-4: 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.	○	○	*1					○	○	○
3	JICA's Cooperation Program tree (※)	The tree diagram, which shows the cause-and-effect relation among the program purpose, the outputs, and each sub-component project.	○		*1		○			○	○	○
4	JICA's Cooperation Program monitoring sheets (※)	4-1 <i>Monitoring sheet for the entire period</i> To describe the program purpose, outputs, baseline data, target value of indicators, means of verification, and responsible department. Update the monitoring sheet by recording the latest data of the 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 with the (※) mark needs to be prepared in foreign languages, too. (Depending on an official language of the partner country, a Spanish or French version will also be prepared, in addition to an English version). A Japanese version can be omitted if it is not necessary.

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

\*2: For Type 3, simple monitoring will be done at the time of revision of a Work Plan, referring to the annual monitoring sheet.

\*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.

## ■ Details of the tools/formats

The detail of each tool and form is as follows.

### 1. JICA's Cooperation Program Plan (draft)

#### What is the JICA's Cooperation Program Plan?

The JICA's Cooperation Program Plan is the document that shows the principle of the program's plan. This document includes information about the name of the Cooperation Program, the period, the objectives (the program purpose and outputs) and the way it will achieve them (the scenario), sub-component projects, the development strategies of the partner country, the relations between the other donors' programs and the Cooperation Program in question, the risks, and the monitoring system, among other things. In the case that a big change has taken place, the Program Plan has to be revised

#### The purpose of the plan

The primary purpose of the Cooperation Program Plan is to serve as a tool for reviewing the program's progress, its path to the achievement of its goals, and the scope of the program, during the implementation and evaluation of the Cooperation Program. The review based on the plan enables coherent program management, including monitoring, and appropriate evaluative judgment.

#### The timing for preparation and use of the plan

The Cooperation Program Plan is prepared at the time of the project formulation. The Plan is used to determine the appropriateness of the plan. It is also used at the time of monitoring and adjusting the course of the program, and to understand the contents of the program at the time of evaluation.

#### Notes for preparing the plan

The Cooperation Program Plan is a tool already used in Cooperation Programs. The description of the form and how to fill it in are shown in *the Guideline for Strategic Cooperation Programs* (second edition). However, this manual adds some explanations as follows:

##### a) Indicators for the program purpose and outputs (tabular form) (Item No.3 of entry example)

When filling it out, the logic of means and ends should be kept in mind, i.e., producing outputs have to lead to the achievement program purpose (See the Figure A2-2). Also, the indicators are entered in the table so as to confirm the appropriateness of each objective and each indicator visually. When program purpose is not achieved by outputs only, and other factors are necessary, it should be determined whether they can be added to the scope of the Cooperation Program. In the case that they cannot be included, they should be indicated as "risk factors" to be monitored during implementation.

##### b) Risk factors (Item No.6 of entry example)

If factors exist that are necessary for achieving the program purpose or program outputs but are not directly controllable by the Cooperation Program, they should be listed as risk factors. (For example: weather conditions such as drought, the collapse of the market price of a crop, and the improvement of distribution systems not targeted by the Cooperation Program.)

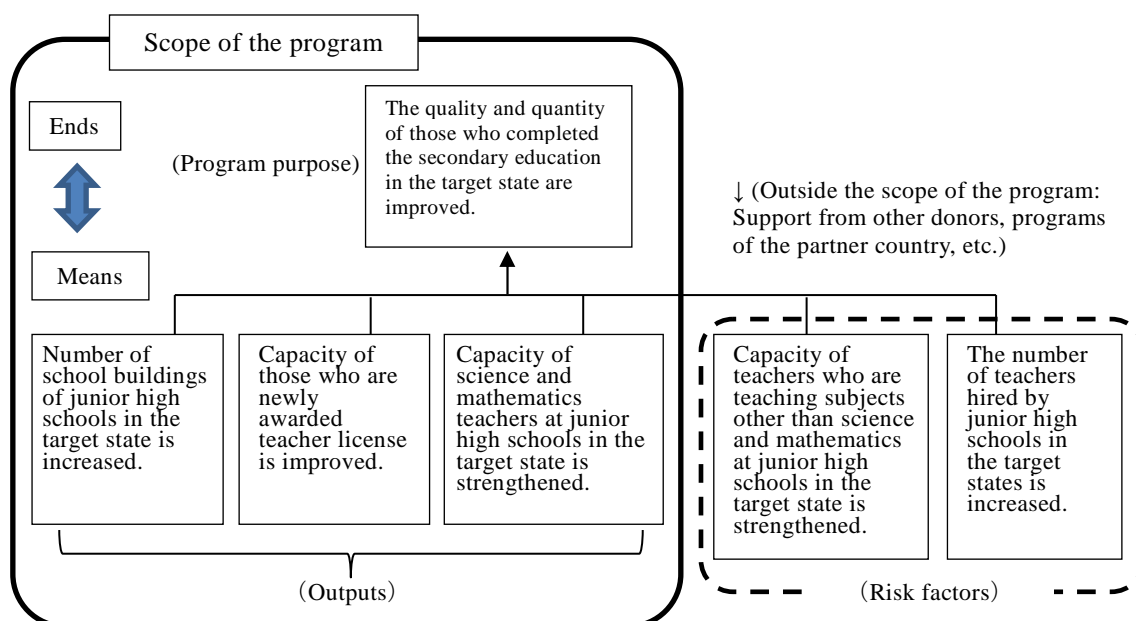
c) Monitoring system (Item No.7 of entry example)

When collecting the latest data for objectively verifiable indicators of the program purpose and outputs (collected once a year), the following details should be included:

- i) Who is responsible for data collection? (eg. organization, department, taskforce, responsible staff, etc.)
- ii) How will the data be collected? (eg. from statistical database, reports, etc.)
- iii) How will the data be recorded in the program monitoring sheets?
- iv) Which offices will be responsible for making any adjustments to the program plan?

It is important for the planners, the management who appraise the plan, the implementers, and the evaluators to share the concept of the program purpose (an objective that should be achieved by the end of the Cooperation Program) and the outputs (intermediate objectives to be attained as a means for the achievement of the program purpose). By doing so, they can set clear and realistic goals that will enable JICA and the partner country to monitor the progress of the Cooperation Program accurately and enhance the evaluability of the Cooperation Program. Other important points to keep in mind are shown in “Instruction on filling out the Cooperation Program Plan,” which appears in the latter half of this manual.

Figure A2-2 Program Purpose, Outputs, and Risk Factors





## 2. Conceptual diagram (draft)

### What is the conceptual diagram?

It is the illustration that makes the essential features of the Program Plan understandable at a glance. It illustrates briefly the name of the Cooperation Program, the objectives (the program purpose and outputs) and its link with each sub-component project, the development strategies of the partner country, and the relations between the other donors' cooperation and the given Cooperation Program, among other things.

### The purpose of the conceptual diagram

It should be used as a tool to share the overview of the Cooperation Program with the Japanese side, the partner country, and other donors.

### The timing for preparation and use of the conceptual diagram

It is prepared at the formulation stage of the Cooperation Program and used throughout the formulation, implementation, and evaluation stages.

### Notes for drawing the conceptual diagram

Although there is no standardized format, it is important to keep in mind the following points:

- The diagrams shows the relationship between the program purpose and outputs, as well as the outputs and sub-component projects in an easily understandable manner.
- The diagram includes other donors' programs that are related to the respective development strategies of the partner country.

In order to share the diagram with the partner country and other donors, foreign language versions (including English, Spanish, and French) should be prepared. The Japanese version may be omitted if it is unnecessary. A conceptual diagram can be substituted by a brief paper for sharing the same content in case it is more effective to do.

## 3. JICA's Cooperation Program tree (draft)

### What is the JICA's Cooperation Program tree?

The JICA's Cooperation Program tree is the diagram that illustrates the relation between the program purpose, the outputs, and the sub-component projects by "means and ends relation" (once A is achieved (means), B will be achieved (ends))." Factors that are out of the Cooperation Program's scope, and some uncontrollable factors that are necessary for the achievement of the outputs, the program purpose, and the higher development goal, are also described in any part of this tree diagram. Moreover, the collaboration between other donors and the Cooperation Program is also illustrated in the tree diagram so that it can be understood how they correlate with each other.

### The purpose of the tree diagram

The purpose of the tree diagram is to elucidate the logic of the path to achieve the outputs, the program purpose, and the higher development goals. It also shows what sorts of important assumptions, other donors' programs, and other Cooperation Programs exist around the Cooperation Program.

### The timing for preparation and use of the tree diagram

It is prepared at the time of the formulation of the Cooperation Program to validate the practicality of the scenario. In the implementation stage, it is used to share the entire picture of the Cooperation Program with the partner country and other stakeholders. In the evaluation stage, it is used to understand the outline of the Cooperation Program.

### Notes for drawing the program tree

The preparation procedures of the program tree are as follows:

- a) Transcribe the "program purpose" stated in the Cooperation Program Plan at the top in the middle of the format and set the "outputs" at one level below.
- b) Consider "whether or not the program purpose will be achieved, if all the outputs are accomplished" (means-ends relation). In case some means are needed other than the "outputs" described and these means can be feasibly included as "outputs," carry this out and expand the scope of the Cooperation Program. If this is not feasible due to realistic limitations, describe them as "important assumptions" on the same level as outputs but not covered or controlled by the Cooperation Program, distinguishing them with a dotted line or different color. Thus, consider whether the "program purpose" is achievable even though these risks exist. In the case that the program purpose is found to be achievable even with these risks, monitor them as risk factors during the implementation stage of the program.
- c) Examine necessary "means" to accomplish each "output" ("ends") and set them in the lower level of "outputs." Validate whether the "outputs" one level above will be accomplished if all the "means" one level below are achieved. If other necessary means to accomplish the outputs exist, consider, as well as b), whether they should be included as a program scope (means) or mentioned as important assumptions.
- d) Consider the necessary "means" to achieve the "means" (outputs) mentioned in c), and determine the sub-component projects that can be regarded as "means." Indicate their objectives, scheme, and project name (tentative name).
- e) If JICA's other Cooperation Programs or support from other donors are related to the Cooperation Program concerned, consider on which part of the tree they should be located based on the means-ends relation, and describe them so as to show that they are out of the

Cooperation Program.

f) Consider what are the superior “goals” of the “program purpose” (if they lead directly to the achievement of the policy objectives of the partner country, or if there need other intermediate objectives) along the means-ends relation and describe them at one level above the “project purpose.”

#### Points to be considered

When the program tree is created, it is important to consider the following points:

- The relation between each two levels is elaborated based on the “means-ends” relationship. Especially, validate whether there are no errors in the relation between the “program purpose” and “outputs.”
- Consider the program purpose first, and identify the necessary “outputs,” “means,” and sub-component projects, not in the opposite way.
- The important assumptions (risk factors), support from other donors, and JICA’s other Cooperation Programs are described in accordance with the “means-ends” relation.
- When the “program purpose,” “outputs,” and “important assumptions” are modified in the preparation process of the program tree, the relevant part of the “Cooperation Program Plan” should also be revised.
- The aforementioned program tree will serve as a basis to describe the objectives, scenario, and risk factors in the “Cooperation Program Plan.” Therefore, written work, in the form of both the program tree and the Cooperation Program Plan, should be conducted concurrently, to validate and reinforce the Plan’s logic.
- If the “means-ends” relation is unclear, collect further information and data, and utilize the advice of resource persons who have expertise in the related area.

In order to share the diagram with the related institutions of partner countries and other donors, foreign language versions (including English, Spanish, and French) should be prepared. The Japanese version may be omitted if it is unnecessary.

#### 4. JICA’s Cooperation Program monitoring sheets (draft)

##### What are the JICA’s Cooperation Program monitoring sheets?

The JICA’s Cooperation Program monitoring sheets are formats to record and accumulate the information periodically, including the achievement status (for the entire program period) of the objectives of the Cooperation Program (program purpose and outputs), the changes in the respective sector of the partner country, the changes in important assumptions and risks, and the responses to and revision of the program plan based on the analysis of these statuses and changes.

##### The purpose of the program monitoring sheets

The program monitoring sheets will be used to improve the Cooperation Program by collecting and

analyzing periodically the achievement status of the objectives and by recording the revision of the program.

#### Notes for preparing the program monitoring sheets

In order to prepare the monitoring sheet for the entire period of the program, transcribe and confirm the program purpose, outputs, indicators, and the baseline and target figures of indicators in the Cooperation Program Plan in the formulation stage. The department responsible for the implementation of the Cooperation Program should record the latest data regarding each indicator once a year. In addition, the progress and challenges of each year should be reviewed using the annual monitoring sheet. With all these matters in mind, consider the necessity of adjusting the course of the program and its countermeasures and enter them on the annual monitoring sheet (Item No.4 of the sheet). These documents are used to understand the management process in the evaluation stage.

#### Points to be considered

The following points should be considered when filling out the program monitoring sheets:

- When supplementary explanation of the indicators is needed, put this in the margin of the monitoring sheet for the entire period of the program. In case of Type 2 and 3, put this information in the margin below the table of indicators in the Cooperation Program Plan.
- The timing for filling out the annual monitoring sheet should allow for the findings to be reflected in the following year's program plan and reduce workload. Right before the needs survey may be a good timing.
- If some target figures of the indicators are filled out in the monitoring sheet for the entire period of the program, like "To be considered during the implementation of the Cooperation Program," set clear indicators as early as possible.

In order to share the monitoring sheets with the related institutions of partner countries and other donors, foreign language versions (including Spanish, and French) should be prepared in addition to Japanese or English version.

#### 5. Summary of sub-component projects (draft)

##### What is the summary of sub-component projects?

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

##### The purpose of the summary of sub-component projects

The summary of sub-component projects will be used to conduct the evaluation efficiently and effectively by setting the evaluation questions without any omission and analyzing them accurately.

### The timing for preparation and use of the summary of sub-component projects

The evaluator elaborates and uses it in the evaluation at the program completion.

### Notes for preparing the summary of sub-component projects

The following points should be considered when preparing the summary:

- The number of the sub-component projects and their scopes might have been changed from the original Cooperation Program Plan as all sub-component projects were not fixed at the beginning of the Cooperation Program. Therefore, it is necessary to confirm the changes in the working papers and the rolling plan.
- The summary should be prepared by carefully checking which projects are truly the sub-components of the Cooperation Program.

## 6. JICA's Cooperation Program evaluation grid (draft)

### What is the JICA's Cooperation Program evaluation grid?

This is the tabulation of the evaluation plan and results at the program completion stage. It consists of the evaluation criteria, the evaluation questions that are used to analyze these criteria, the information sources, and the results of the evaluation. Among this information, the evaluation questions are, in principle, the ones that are stated in Table A2-2.

### The purpose of the program evaluation grid

The program evaluation grid enables the summary of the evaluation study and its data source to be shared with people related to the Cooperation Program before the evaluation study. In addition, it enables users to conduct a coherent study and also allows people to glance through the list of results.

### The timing for preparation and use of the program evaluation grid

The grid should be prepared by the evaluator at the time of evaluation.

### Notes for preparing the program evaluation grid

The following points should be considered when preparing the grid:

- Ensure the specific questions are, in number, neither too many nor too few so as to make a proper judgment regarding the evaluation questions (sub-questions).
- If it is necessary during the field study, add and change specific questions flexibly to ensure the quality of the evaluation.

In order to share the grid with the related institutions of partner country at the time of joint evaluation, foreign language versions (including Spanish and French) should be prepared, in addition to Japanese or English version.

## ■ How to fill out the planning and M&E tools/forms for a Cooperation Program

The tips for preparing the above tools/forms are as follows.

**Instructions on filling out the JICA's Cooperation Program Plan (draft)**

**JICA's Cooperation Program Plan (draft)**

<Date>

<Name of Division>, <Name of Department>, JICA

When you fill out this format, unless explained in **italics** below, please follow the instructions in Attachment 1 to JICA (2013) *Kyoryoku Puroguramu no Senryakusei Kyoka ni kakaru Gaidorain: 2 han* [Guideline for Strategic Cooperation Programs, 2<sup>nd</sup> ed.]. The items shown with ( *\** ) are additions or changes to the above guideline.

1. Basic information

(Omitted)

3. Purpose and outputs

(1) Program purpose

• Please write in a single, concise sentence “the objective that is to be achieved as a result of the implementation of a Cooperation Program by the end of the program period.”

☞ **[Checkpoints: Program purpose]** Please check if the program purpose you wrote meets the following conditions:

- i. Is it consistent with a partner country's policy and Japan's assistance strategy?
- ii. Is it stated concretely? Is it measurable by indicators?
- iii. Is it achievable with the planned inputs by the end of the program period if all outputs in (2) below are produced?
- iv. If a successful delivery of other donors' programs/projects is a prerequisite for the success of the Cooperation Program, is that delivery likely to happen?

(2) Outputs

Output 1:

Output 2:

Output 3:

"Outputs" means intermediate objectives that are to be achieved in order to achieve the program purpose. Please state each output in a single, concise sentence.

☞ **[Checkpoints: Output]** Please check if each output meets the following conditions:

- i. Is it achievable during the program period if projects listed in Section 4. (2) are implemented? Are inputs to the Cooperation Program (eg. projects and other inputs) large enough to produce each output?
- ii. Is it stated concretely? Is it measurable by indicators?
- iii. If a successful delivery of other donors' programs/projects is a prerequisite for producing an output, is that delivery likely to happen?

The table below shows indicators for the program purpose and the outputs ( \* ).

Objectives	Indicators	Baseline	Target
Program purpose: xxxxx			
Output 1: xxxxx			
Output 2: xxxxx			
Output 3: xxxxx			

**Indicator:** In order to measure the level of achievements, please set one or more indicators to the program purpose and outputs respectively.

**[Checkpoints: Target for the program purpose]**  
A target of an indicator for the program purpose must state a target to be achieved at the end of the Cooperation Program.

**[Checkpoints: Indicator]** Please check if the following conditions are met:

- i. Can we conclude that, if the targets of indicators for the program purpose are met, the program purpose is achieved? Likewise, can we conclude that, if the targets of indicators for an output are met, the output is achieved?
- ii. Is each indicator concrete and objective?
- iii. Is it possible to collect the latest data on each indicator annually?
- iv. Is the number of indicators appropriate?

4. Scenario to achieve the program purpose

(1) Description of the scenario to achieve the program purpose

(2) Description of projects which compose the Cooperation Programs

Output 1:  
Output 2:  
Output 3:

**[Checkpoints: Output]** Please describe projects which are needed to produce each output of the Cooperation Program. Here, you must ask yourself, "What sort of projects are needed to produce an output of the Cooperation Program?" instead of asking "What sort of output(s) can be produced by implementing a project?"

(3) Description of programs/projects of the partner country and other donors that affect the program scenario

Please describe how other projects/programs of the partner country, other donors, and JICA are related with the achievement of outputs, program purpose, and overall goal of the Cooperation Program.

(Omitted)



6. Risks (\*)

*Please describe conditions which must be met in order to achieve the program purpose and outputs, but are uncontrollable by the Cooperation Program (eg. weather conditions such as a drought, a collapse of the market price of a crop, or an improved distribution system which is outside the scope of a Cooperation Program).*

7. Monitoring system (\*)

*The Cooperation Program must be monitored annually by collecting and analyzing the latest data on the indicators for the program purpose and outputs. To show how to do this, please describe here the following details: i) Who will be responsible for data collection? (eg. organization, departments, taskforce, responsible staff, etc.), ii) How will the data be collected? (eg. from statistical database, reports, etc.), and iii) How will the data be recorded in the monitoring sheet? and iv) Which offices will be responsible for making any adjustments to the program plan?*

*(The rest of the sheet is omitted.)*

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**Instructions on filling out the JICA's Cooperation Program Monitoring Sheets (draft)**

**Monitoring Sheet for the Entire Period of the JICA's Cooperation Program (draft)**

Name of Country:

Name of Cooperation Program:

Target Area:

Duration: From 20xx to 20xx (total xx years)

**Target area:** Please specify a geographical area where the effects of the Cooperation Program can be observed.

Date:

Ver. No:

**Program purpose, objectively verifiable indicators, baseline, and target:** Please transcribe from the Cooperation Program Plan.

Objectives	Objectively Verifiable Indicators	Means of Verification	Responsible Offices	Baseline (year)	Target (year)	2016	2017	2018	2019	2020	2021	2022	2023
Program Purpose:													
		<b>Means of Verification:</b> Please specify the sources of data, such as the names of databases and reports. Select reliable data which are available annually whatever possible.											
Output 1:													
Output 2:													

**Means of Verification:** Please specify the sources of data, such as the names of databases and reports. Select reliable data which are available annually whatever possible.

**Responsible Offices:** Please specify the names of offices responsible for collecting and analyzing the data.

Please write any additional explanations about the indicators as needed.

- 1
- 2

## Annual Monitoring Sheet for JICA's Cooperation Program (draft)

Date:

Period to be monitored:

Name of office and person in charge of monitoring:

1. What is the status of this year's progress toward the program purpose?

Progressing well.

There is no particular problem.

There is a problem.

→ If you chose "There is a problem," please describe the problem and its causes.

*Choose the most appropriate answer.*

2. What is the status of the partner country's policy in the sector?

There is no change.

There is some sign of change.

There is a change.

→ If you chose "There is a change," please describe the change and its causes.

*Choose the most appropriate answer.*

3. What is the situation with external factors and risks?

There is no substantial change.

There is some sign of change.

There is a substantial change.

→ If you chose "There is a substantial change," please describe the change and its causes.

*Choose the most appropriate answer.*

4. What measures have been taken in light of the above mentioned issues?

Discussed with the partner country government.

Added or suspended a project.

Others.

→ If you chose "Discussed with the partner country government," please describe the outcome of that discussion and how it has been concluded.

→ If you chose "Others," please describe what kind of measures have been taken and why.

*Choose the most appropriate answer.*

5. Has there been any modification of the JICA's Cooperation Program Plan?

Added a project.

Please write here the name of the project, type of scheme, period, project purpose, and other basic information on the project.

Suspended a project.

Please write here the name of project suspended.

*Choose an appropriate answer.*

6. Others

If there are any particular issue to be noted, please write it here.

**Instructions on filling out the Summary of Program Components (draft)**

**Summary of Program Components (draft)**

*Please transcribe the program components below using program documents*

Name of Cooperation Program:

Duration:

	Project name and scheme	Duration	Target area and population	Counterpart organization	Amount (JPY)	Overall goal	Project purpose	Major achievements	Relationship with other projects by JICA and other donors
Output 1: XXX									
1									
2									
3									

**Project name and scheme:**  
Please list projects by output.

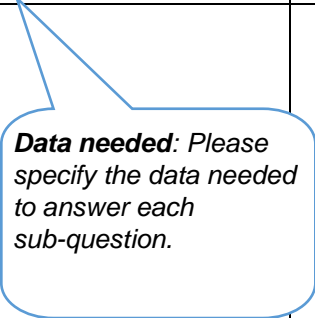
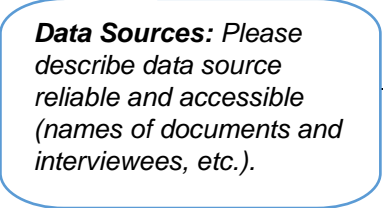
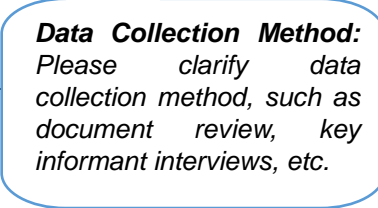
**Major achievements:** Based on the result of reports and interviews, please summarize the progress made on overall goal, project purpose, and outputs to date.

**Relationship with other projects:** If there is any notable collaboration or relationship with other projects, please describe it here.

*(The rest of the sheet is omitted.)*

**Instructions on filling out the JICA's Cooperation Program Evaluation Grid (study plan) (draft)**

**JICA's Cooperation Program Evaluation Grid (study plan) (draft)**

Evaluation questions: main questions	Evaluation questions: sub-questions	Data needed	Data sources	Data collection methods
1. Has the program purpose been stated clearly and is it in alignment with the partner country's development strategy and Japan's assistance strategy?	1-1. Is the Cooperation Program consistent with the partner country's development strategy?	 <p><b>Data needed:</b> Please specify the data needed to answer each sub-question.</p>	 <p><b>Data Sources:</b> Please describe data source reliable and accessible (names of documents and interviewees, etc.).</p>	 <p><b>Data Collection Method:</b> Please clarify data collection method, such as document review, key informant interviews, etc.</p>
	1-2. Is the Cooperation Program consistent with the prioritized development needs of the partner country?			
	2. Are the scenarios to achieve the program purpose appropriate?	2-1. Is the program purpose clearly stated?		

*(The rest of the sheet is omitted.)*

**JICA's Cooperation Program Evaluation Grid (study result) (draft)**

Evaluation questions: main questions	Evaluation questions: sub-questions	Specific questions	Result of study
<p>1. Has the program purpose been stated clearly and is it consistent with the partner country's development strategy and Japan's assistance strategy?</p>	<p>1-1. Is the Cooperation Program consistent with the partner country's development strategy?</p>	<p>1-1-1. What is the program purpose's relationship with the partner country's development strategy?                      1-1-2. Is there consistency between the partner country's development strategy and the Cooperation Program?                      1-1-3. What are the other donors' views on the issues addressed by the Cooperation Program?                      1-1-4. What are the other donors' assistance strategies and programs/projects in the partner country?</p>	<p>1-1-1. xxxxx                      1-1-2. xxxxx                      1-1-3. xxxxx                      1-1-4. xxxxx</p> <div data-bbox="1653 639 2033 847" style="border: 1px solid blue; border-radius: 15px; padding: 5px; margin: 10px auto; width: fit-content;"> <p><b>Result of study:</b> Please summarize the result of study for each specific question. Include data from reliable sources.</p> </div>

*(The rest of the sheet is omitted.)*

**Specific questions:** Questions may be added during the evaluation study if the evaluator finds them necessary to answer to evaluation questions.

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