

Chapter 3

The Project Management Process and CA

This chapter will explain how CA is put into practice within the project management process and how the results of this are reflected in CD strategies.

Main Points for Chapter 3

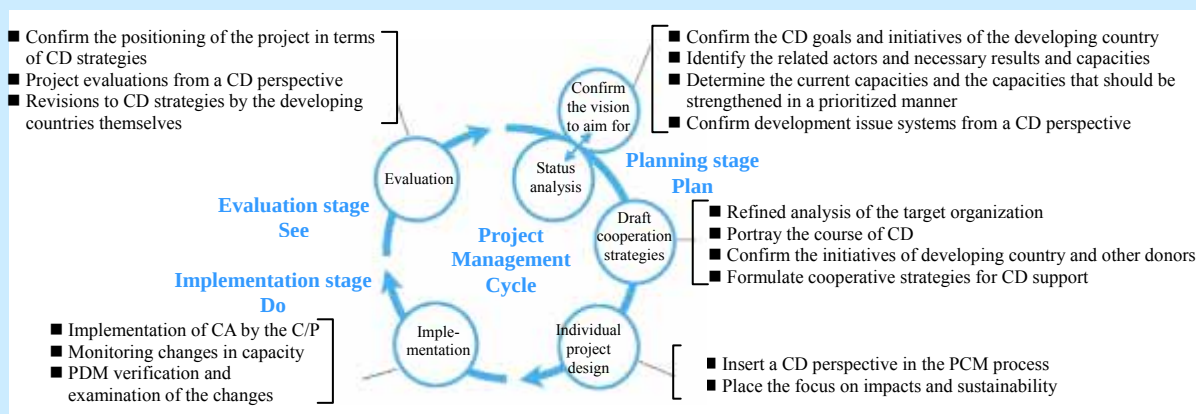
■ CA Perspectives in Project Management: Relationship between the Forest and the Trees

The major focus of CA in the project management process is **providing an overview of development issue strategies looking at the projects (trees) from the program (forest).**

The roles of individual projects (trees) expected to play should be considered within a broader view of programs (forest) for the development issues of developing countries. It is necessary to make overall cooperative strategies and individual project design responsive in an appropriate manner. This is to be done by monitoring the results of CD from individual projects (trees) and assessing the process in which programs (forest) and the environments surrounding development issues are changing.

■ Specific Steps for CA in the Project Management Process

The type of specific basic tasks for CA that should be carried out in project management processes are shown in the figure below.



It is imperative to keep in mind the fact that, in reality, modalities for CA will vary drastically depending on the level of development and capacity status of the target country, as well as the extent to which related information has been accumulated by the concerned parties.

■ Points to Keep in Mind for CA by Project Type

- Assessments of CD support from hub functions
 - What is expected for the hub organization in question within the partner country's policies?
 - Involving the supervisory authority for the hub organization in CA
- Assessments of CD support from communities
 - Is there initiative at the field level for project implementation?
 - What sorts of norms, organizations, and resources exist in the communities?
 - What are the scenario for replicating model projects and its implementation structure?
- Assessments of CD from policies and institutions
 - Strong ownership on the part of the partner country's government is a major premise
 - How far has the support made inroads into policies and institutions?
 - What capacities are involved in the creation of policies and institutions and their implementation?

■ CA and Indicators

- Refer to the technical, core, and enabling environment categories
- Refer to the characteristics of capacity
- Refer to CPI
- Consider the setting of indicators through mutual complementarity between quantitative indicators and qualitative observations

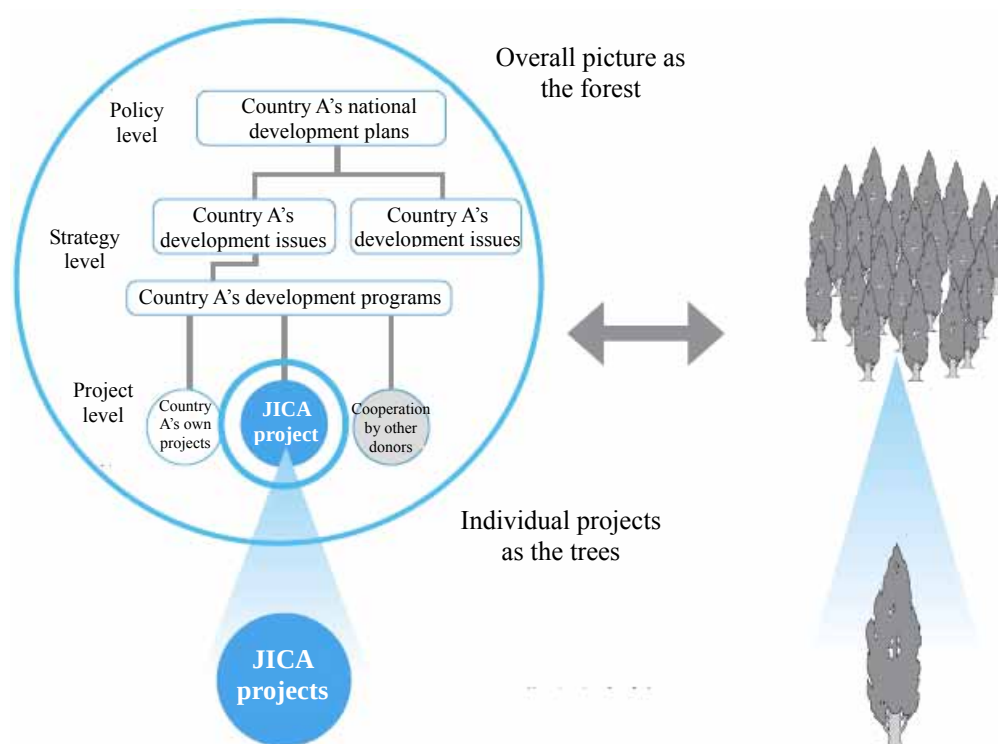
3-1 Project Management Based on the Notion of CD

CA perspectives in
project management:
Relationship between
the forest and the
trees

CA and project
management

Upward spiral
for CD and CA

3-1-1 CA Perspectives in Project Management: Relationship between the Forest and the Trees



Source: Created by the authors

Fig. 3-1 Relationship between the Overall Picture and Individual Projects

Before considering specifically how CD is carried out within the project management process, we will touch on the CA perspective that should constantly be kept in mind throughout the project management process.

Resolving development issues on the basis of a CD philosophy requires mid to long-term efforts. Therefore, for CA the first stage is to consider programs (forest) at the level of development issues for the developing country as the premise, and to examine how individual projects (trees) should be positioned within this at the planning stage. Next, at the implementation stage it is necessary to make overall cooperative strategies and individual project design responsive in an appropriate manner as needed. This is done by monitoring the results of CD from individual projects (trees) and assessing the manner in which the environments surrounding development issues and programs (forest) are changing.

In other words, **providing an overview of development issue strategies, looking down the projects (trees) from the program (forest)** is the central perspective in CA undertaken in the project management process.

3-1-2 CA and Project Management

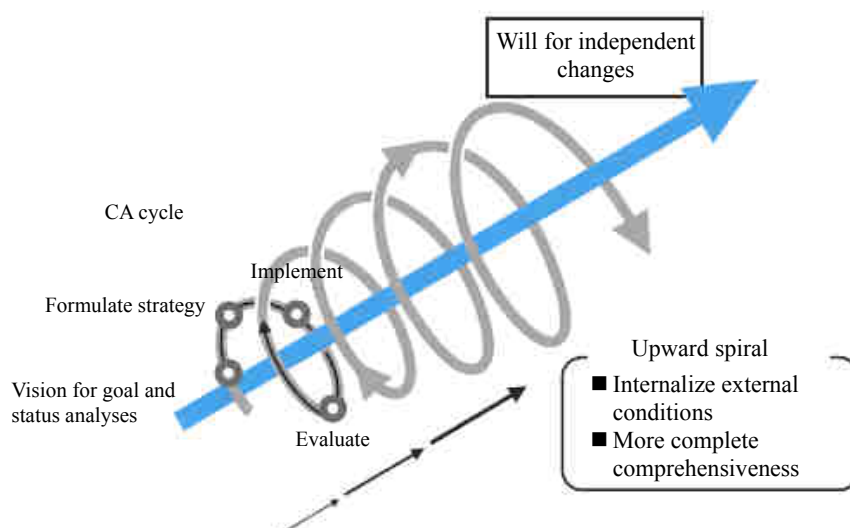
At the project level, its management needs to correspond to the overall program management and its progress, taking into account of facilitating the CD process. The conventional application of PCM should be re-considered over how to enhance CD in its cycle, clarifying a direction for achieving the overall goal (impact). Also, CD is expected to contribute to improving sustainability by considering ownership in its process.

The following points are positive effects that CA could offer for conventional project management.

◆ What CA Offers for Project Management ◆

- ⇒ Clarifies the positioning of JICA projects within the partner country's priority policies
- ⇒ Makes it possible to conduct planning, operational management, and evaluations over a mid to long-term perspective based on the results of CA
- ⇒ Makes it possible to search for a course for achieving the overall goals by complementing the perspectives that spill over from PCM
- ⇒ Makes it possible to consider mechanisms for improving sustainability and incorporating these within project formulation

3-1-3 Upward Spiral for CD and CA



Source: Created by the authors

Fig. 3-2 Upward Spiral for CD

CD is not something that can be completed through a single project management cycle (planning → implementation → evaluation), it is more of a mid to long-term development process.

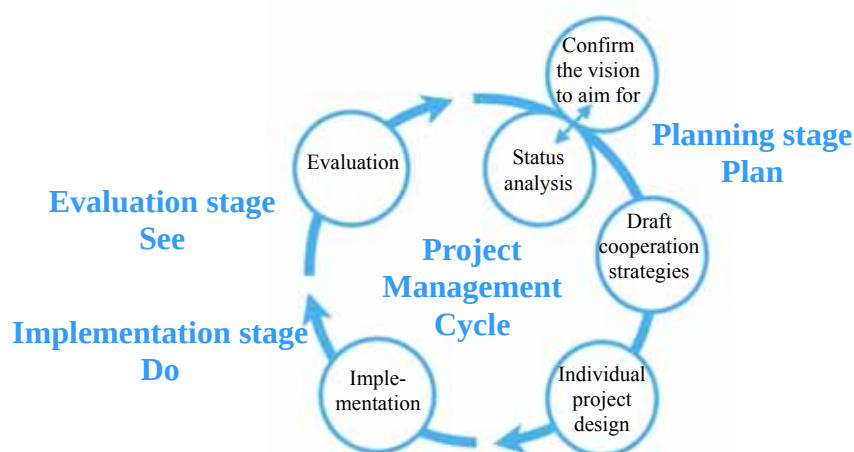
If you consider the project management cycle as a single rotational phase through status analyses for capacity – strategy formulation – implementation – evaluation, then it is envisioned that each time you progress from one phase to the next the targets of the CD strategies enlarge and improvements are made in a step-wise fashion (upward spiral) (refer to Figure 3-2). More specifically, a broad range of stakeholders comes to be involved through approaches for CD. By doing this, conditions that lie outside of the organization targeted for cooperation are gradually internalized, which allows for more comprehensive CD initiatives.

The upward spiral for CD could be said to be premised on the will of the developing country to change and improve. Yet conversely, strategic CD support from external agencies has the potential to bring about the essential change of imbuing the developing country with the will to make proactive changes. Accordingly, looking carefully at these changes is the most important point to keep in mind when carrying out CA in the project process.

3-2 The Project Management Process and CA



3-2-1 Overview of CA in the Project Management Process



Source: Created by the authors

Fig. 3-3 CA Steps in the Project Management Process

Figure 3-3 illustrates an overview for conducting CA by reflecting CD concept in each stage of the project management process. The detailed CA steps for each stage will be described in 3-3.

Whether or not CA will assign an additional task on the current project processes depends on the development level of the targeted country and the current state of its general capacities, as well as the extent to which related information has been accumulated by the division in charge at our overseas offices and headquarters.

Patterns such as the following can be considered for incorporating CA tasks into drafting strategies and formulating projects.

➡ **CA for revisions to project implementation planning and program planning**

Incorporating a CD perspective into surveys by headquarters and overseas offices and mid-term surveys by people like project formulation advisors with regard to initiatives for revisions to individual project implementation planning and program planning.

➡ **CA at the implementation and evaluation stages**

Adding monitoring in the implementation stage and evaluations from the CD perspectives of comprehensiveness and ownership particularly for the perspectives of impacts and sustainability, in the evaluation stage must be kept in mind. It is also necessary to give advice that would lead to revisions to the vision to aim for and strategies. These are not anything special, and the content of status reports should be perceived through an overall program perspective and should be thought of as having been arranged through a CD perspective.

➡ **CA for improving the strategies for existing projects**

It is often difficult to make substantial changes to projects that have been already undertaken, involving the partner country and other donors. In such cases, efforts are made to improve more strategic approach for the projects by gradually strengthening the relationship between projects that are being carried out in the same field and region by using the results of CA.⁸

⁸ Refer to JICA (2007c) p.41

BOX 3-1 Improvement Cycle, or Reform Cycle?



As a management cycle, PDCA (Plan-Do-Check-Action) produces enormous advantages in terms of determining and improving problems in the field, but it is insufficient in environments where drastic reforms are needed for cross-cutting issues .

Therefore, the SPDLI Cycle has been proposed. This aims for Innovation (I) rather than Action (A) by laying out a Strategy (S) before the Plan (P), adding in a Check (C) on management thinking, and through Learning (L) that encourages mobilizing the intellect of those involved.



From the perspective of the overall capacity of the developing country, the SPDLI Cycle perspective—which perceives CD over a long time span and brings about changes in the awareness of those involved and reforms to the developing country’s systems—will be necessary in addition to the PDCA Cycle through individual projects.

Source: Partially quoted from Takahashi (2006)

3-2-2 Independent CA by Developing Countries and JICA’s Involvement



Source: Created by the authors

Fig. 3-4 Strength of JICA’s Involvement in CA

Just as developing countries themselves are those who make efforts for CD, CA is also premised on the fact that it will be conducted under the leadership of the developing countries. But depending on the development stage of the developing country and the state of affairs in said country, efforts are needed to conduct CA through collaboration in a manner that is initially facilitated by the donors at the start of cooperation, and where a CA perspective is incorporated into the other side’s project processes.

The strength of the donors' involvement changes over the mid to long-term. Even in cases where relatively strong involvement is sought at the initial stages, the goal should be for CA to gradually come to be carried out solely by the developing country, with donors expected to work as facilitators (refer to Figure 3-4).

Moreover, as a developing country comes to take initiatives for CA tasks at each of the stages over a single cycle of the project management process, the extent to which JICA is involved in CA tasks will change in the long run. For “Confirmation of the vision to aim for” in Table 3-1, this refers to the task of JICA itself confirming the development strategies of the developing country which have already been formulated.⁹ Afterwards, it is preferred that CA be carried out under the leadership of the developing country to the extent possible by sharing the results of CA.

Table 3-1 Image of the CA Entities in the Project Management Process

	Project management flow	CA's main points	Balance of tasks
During project formulation	Orientation for problem awareness and problem resolution Confirming the vision to aim for Determining the status	- What are the issues of the developing country and what is CD for? - What sorts of capacities should be improved and in whom? - How are the current capacities?	
	Program Drafting cooperation goals/scenarios	- Positioning of JICA's CD support within the overall CD strategies (CD course) of the developing country - Possibility of aid coordination and collaborations with other donors?	
	Project Examining project plans (individual projects)	- Individual project design based on CA scenarios - Broader perspective than the PCM method	
During project implementation	Project implementation CA during project implementation	- Self evaluations and CA by the developing country - Are revisions to the CD scenarios necessary?	
During evaluations	Evaluation CA for project evaluations	- How were contributions made to CD by the developing country? - How should future CD scenarios and CD support be structured?	

* = This starts from determining the status, or in some cases it starts anew from confirming the vision to aim for from the results of determining the status
Source: Created by the authors

3-2-3 CA and Tools

Using the appropriate analysis tools was recommended in conventional project management. For CA as well, it is preferred that a variety of tools be applied in order to ensure the comprehensiveness of CD and to perceive capacity characteristics. The use of a variety of tools for CA is also envisioned for other donor agencies as shown in Table 3-2. The following CA tools are described in Attached Material 1, which readers are encouraged to refer to.

The important thing is not to newly develop and apply one-size-fits-all tools that can equally evaluate every sort of situation. Rather, it is important to selectively use the appropriate tools effectively according to the situation that the developing country is facing, or to combine these tools together.

⁹ When a developing country does not have development strategies, or when these are lacking in part, then JICA's involvement consists of indirect support for conducting CA at the policy and strategy levels which is led by the developing country.

Table 3-2 Examples of Tools for CA

■ Tools for analyzing policies	■ Tools for analyzing status
Policy characteristics analyses, country-specific policy and institution evaluations, policy environment mapping, administrative/public service assessments	Environmental scans, capacity/vulnerability analyses, SWOT analyses, participatory self-analyses by organizations, organizational and institutional capacity assessment-related matrices
■ Tools for drafting strategies	■ General tools
Basic Scorecards (BSC), wants/able analyses	Analyses of concerned parties, risk analyses

Source: Created by the authors

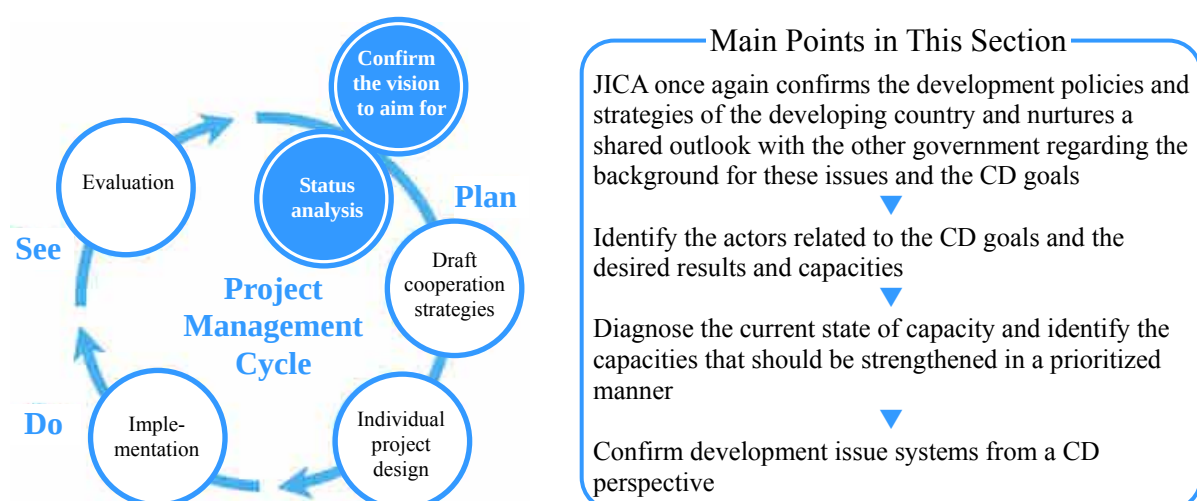
3-3 Specific Steps for CA in the Project Management Process



This section will show the basic steps for how CA should be carried out for project management. In reality, modalities for CA will vary drastically depending on the development level and current state of capacity of the target country, as well as the extent to which related information has been accumulated by the concerned parties.

3-3-1 Confirmation of the Vision to Aim for and Determination of Current Status

CA perspective	Confirm the goals of CD and identify capacities that should be strengthened in a prioritized manner by determining the gap between the current status
----------------	---



Utilizing the Steps and Tools

For the CA here, the goal is to confirm the CD goals while also broadly understanding the environmental elements to achieve those. The strategies of the developing country, concerned parties in sectors, and overall environments are determined by using tools such as policy analyses and analyses of the concerned parties. This is the stage prior to focusing on a specific organization, and a perspective of looking at the problem structure and various elements in a holistic manner is needed for this.

Step 1 Confirm the Development Policies and Strategies

- In forming specific CD support projects, it is essential that the CD supporter (=donor) first understand the development policies and strategies (=vision to aim for) of the country in question at the national level and sector level. The content of mid to long-term development policies and strategies in the applicable sector of the country in question is also determined and confirmed by referring to items such as those in Table 3-3.

Table 3-3 Policy Characteristics Analysis

Regarding (the enactment of) this policy...	
What does the policy do?	What is the nature of the costs of the policy reform, and who bears them?
What is the desired impact of the policy reform; what is it expected to accomplish or facilitate?	What is the degree and complexity of the changes brought about by the new policy—both for the public and the bureaucracy?
Where did the impetus for the policy come from?	What is the duration of the policy change process?
Who decided the policy, how, and why?	What institutions are involved in implementing the policy?
What is the nature of the benefits, and to whom do they accrue?	How administratively intense or technical complex is the new policy (in and of itself, not including the changes that it brings about)?

(Refer to p.85 of Attached Material 1 for details)

Source: Created by referring to Gustafon and Ingle (1992)

- Perceive the orientation for development policies and understand the overall picture for development issues in the form of the CD goals, as well as the state of initiatives by the developing country for these, by confirming the development policies and strategies as shown above.

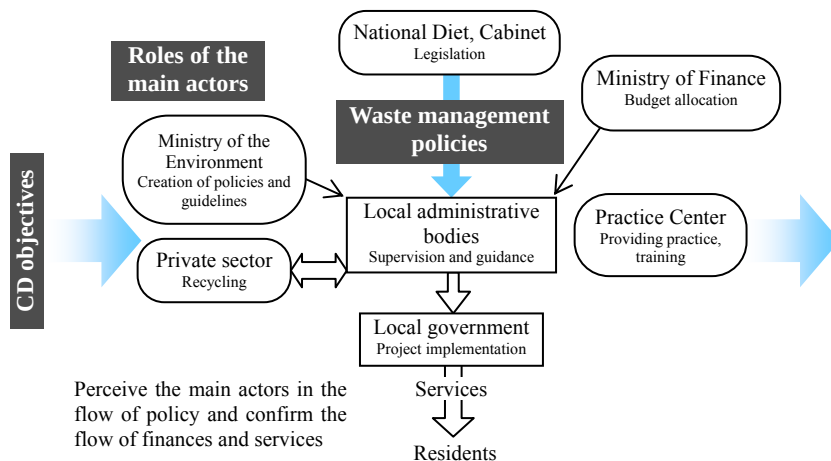
Step 2 Identify the Main Actors and the Required Results and Capacities

- After confirming the development policies and strategies in Step 1, identify the actors that will implement these policies. Broadly identify the roles that are desired of the related actors (stakeholders playing a central role in project implementation) in order to resolve the issues.

Identify what sorts of results are required of the major actors in order to attain the CD goals (resolve the development issues) from the perspectives of the finances and budgets, decision-making, and responsibility for implementation needed to resolve the issues.

Required Results

- ⇒ Entering legally binding force into effect through draft legislation related to waste
- ⇒ Ensuring budgets
- ⇒ Vitalizing organizations and developing infrastructural foundations
- ⇒ Improving the practical capabilities of

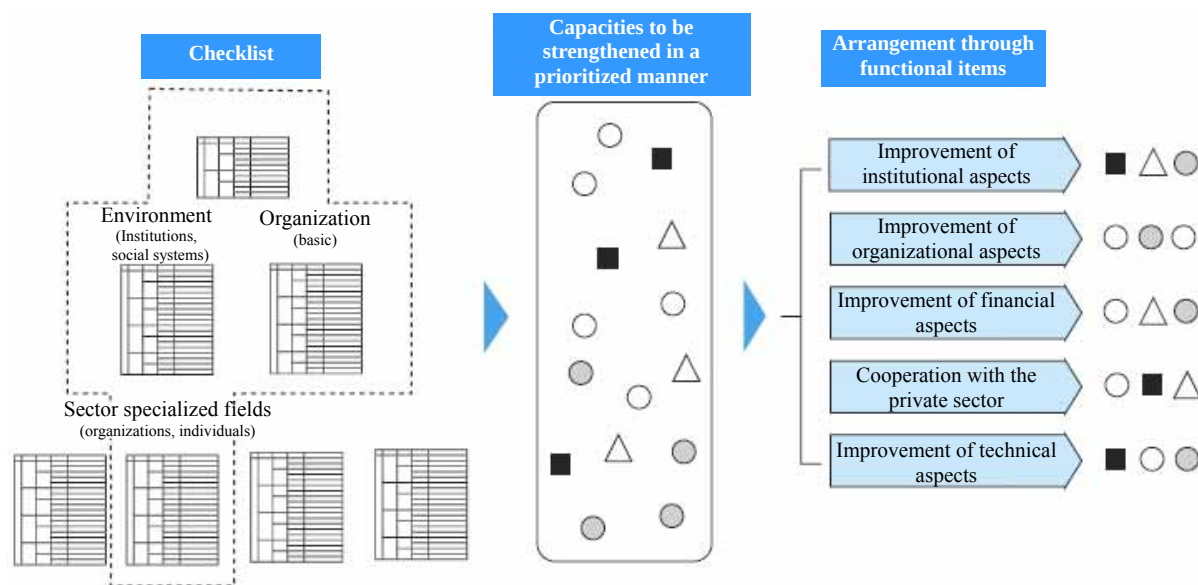


Source: Created by the authors by referring to Crosby (1992)

Fig. 3-5 Analysis of the Actors and the Required Results

Step 3 Determine the Status of Capacity

- The actors arranged for each function in Step 2 should determine how much capability the affiliated institutions have in actuality (=current capacity). At this stage, it is important to conduct assessments jointly with concerned parties from the developing country in the sense of reaffirming one's own capacities. Here, the strengths and weaknesses in the capacity of the actors are exhaustively diagnosed and the relations between the actors are analyzed by using a checklist like in Table 3-4. Doing so lets you structurally perceive what is causing the weaknesses in capacity.
- The checklist should cover everything from a level that confirms basic items about the country and sectors in question and basic items about the related organizations, to items related to the general society, economic conditions, and specialized fields for sectors. The weaknesses and issues confirmed through this checklist should be taken down and arranged as functional items, such as institutions and organizations, finances, and technology.
- Rather than having JICA create an exhaustive checklist and impose it on the developing country, it is desirable that both sides first undergo sharing issues. Through this participatory process of making checklists, the potentials of practical use of those lists may increase.
- Moreover, it is also necessary to keep the following points in mind when determining the status.
 - The CD approach will naturally vary depending on factors like the development status of the developing country, which includes the level of economic development and that of poverty, as well as the capabilities of the central government and local administrative bodies. The most important thing is to confirm whether or not the developing country is ready to manage aid project and embark on CD.
 - In cases where the other side is in the midst of planning policy drafts, or cases where development plans are desired in new sectors, it is essential to examine the vision to aim for after conducting an analysis of the current situation.



Source: Created by the authors

Fig. 3-6 Capacities to Be Strengthened in a Prioritized Manner and Arrangement through Functional Items

Table 3-4 General Checklist Items

Field	Major Item	Intermediate Item
General (basic) items	Macroeconomic and social conditions	- Gross domestic product (GDP), per capita GDP, GDP growth rate, area, population, population density, population growth rate, Gini coefficient, urbanization rate, inflation rate - Progress in decentralization, progress in administrative and financial reforms
	Basic information, characteristics of the sector in question	(Example of the agricultural sector) Agricultural workforce/total workforce, exports of agricultural products/total exports, agriculture's proportion of GDP, topography and topographical maps, agricultural population (by gender), GDP growth rate of agricultural sector, land use, average annual rainfall, food self-sufficiency rate...
	Related aid activities	Similar cooperation projects from the past, feedback from similar projects, situation of other donors, situation for past projects in the partner country's government
	Sector issues, indicators	Sector-specific issues, achievement status for the eight goals in the Millennium Development Goals (MDGs)
	Internal security, etc.	General internal security situation, political instability, activities by anti-government groups, major affairs in urban and rural areas from the past
Policies and legal system	System of policies and laws, presence or absence of public funds	- Current and past development policies, overviews of development plans, and goal structures such as national development plans, government ordinances, ministerial ordinances, administrative instructions, guidelines, and presidential ordinances - Presence or absence of international agreements, white papers, and the like, as well as their enactment period and background - Evaluation performance, period, and department in charge for development policies and development plans - Maintenance status, maintenance methods, and period for statistical materials for the sector in question - Systematic overviews of and compliance and enforcement status for related regulations - Enforcement structure for related regulations and performance of the related implementing agencies - Personnel, academic history, practical experience, and human resource development systems (presence or absence of OJT opportunities and training agencies, training performance) for formulating related regulations

Field	Major Item	Intermediate Item
Society		• Transparency and reasonableness of the policy decision process • Presence or absence of and enforcement status for institutions such as subsidies, preferential tax systems, and low interest loans for the related sectors
	Capabilities for drafting financial policies	Budgets, subsidies, revenue, budget formulation procedures and period, and decision makers for the sector in question
	Politics	• Political system and current ruling and opposition party forces • Similarities and differences between campaign promises, and the ruling and opposition parties' manifestos • Period for the next general election and next presidential election, as well as the potential for a change in administration and the impact from this
Society	Public, society	• Level of interest and problem awareness by the public in the applicable problem • General relationships of trust between the government and citizens • Status of responses by the government to things like complaints lodged by residents • Status of women and the socially vulnerable • The roles and size of stakeholders like NGOs and universities • Points to keep in mind for social customs, tolerance for democratic conduct • Handling of issues by the mass media, themes of high interest • Community norms, related organizations
	Private sector	• Capabilities of related manufacturers and consulting firms • Swiftness of companies related to materials procurement and the fairness of their prices
Organization	Quantitative allocation for and capabilities of human resources (in specific technical fields such as final decision makers, C/Ps conducting technology transfers, and private sector human resources)	• Department composition and organization charts, number of employees in each department, employee retention rate, number of technical employees, number of administrative employees, reassignment status for employees • Knowledge, skills, acquired qualifications, training experience, practical experience, contents of manager's training • Behavioral patterns that express awareness and motivation (observation items) • Items that can serve as incentives (observation items)
	Finances	• Fund; Budget management status (maintenance status for budgets, account statements, and account ledgers), handling training income and income from diagnoses (fee structure, bookkeeping regulations, ledger management status) • Drafting budgets and diversifying finances
	Physical and intellectual resources (techniques)	• Physical resources: Equipment, facilities, offices, and their management status • Intellectual resources: Basic materials, past performance, status for creating databases (DB) of technical data
	Project process and project implementation capabilities	• Decision making mechanism • Personnel; Written operating instructions for employees, compensation system, personnel evaluation system, presence or absence of training systems • External affairs: Relation with the central government, relation with supervisory authorities • Plan drafting, project implementation, and monitoring and evaluation capabilities • Project operating methods; Presence or absence of a steering committee system
	Organizational quality	Organizational history, transformation of the organization's mission, clarity and concreteness of its vision, characteristics of the organizational culture, results of development stage analyses
Education and research status in related sectors	Status of occupational training, higher education, and research activities	• Curriculum, number of teachers, number of students, number of facilities • Number of research institutes, number of researchers, track record for research theses, coverage range for research fields • Enhancement of research and educational facilities

Source: Created by the authors by referring to JICA (2005a), JICA (2006b)

Step 4 Determine the Development Issue Structure

- Use the results from Step 2 of analyzing the main actors and Step 3 of determining the status of capacity to systematize the problems for the resolution of issues by the developing country (refer to Figure 3-7 “CD Issue Structural Diagram”).
- In particular, what constitutes the major cause of problems (bottlenecks), mechanisms of deepening problems, and the countermeasures far should be determined from the perspectives of comprehensiveness and CD sustainability.

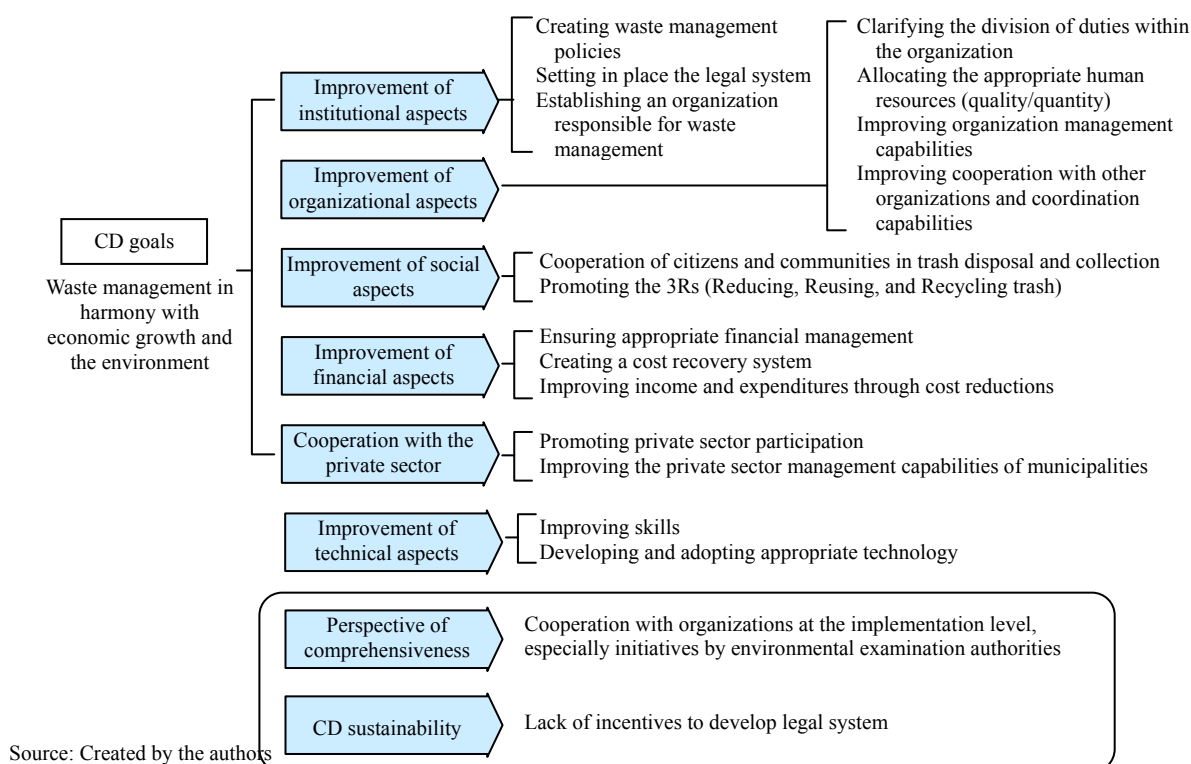


Fig. 3-7 Example of Arranging CD Perspectives in a Development Issue Structural Diagram (CD Issue Structural Diagram)

- When creating the CD issue structure, examine mechanisms for CD sustainability. In addition, examine the broad CD support phase together with the government of the partner country, such as through an analysis of the resource inputs for CD and CD support, as well as by inquiring into the extent to which carrying out long-term CD support is needed.

JICA's Support and Implementation Methods for CA Process

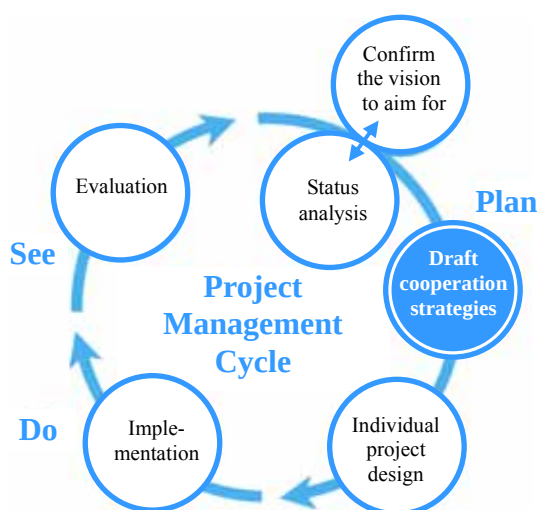
Confirming the vision to aim for is a process wherein JICA mainly understands the policies of the developing country and makes broad assessment of the environment. While this is mainly conducted independently by JICA, the participation of the developing country is encouraged at the stage of status analysis, and the creation of platforms for sharing CA results from joint work is required. Policy advisors, project formulation advisors, and local consultants may mainly work for undertaking CA.

Output

This consists of texts in which the CD goals that were confirmed by the developing country have been reflected (the “Background” section of plans for JICA Country Program and position papers, etc.).

3-3-2 Formulating Cooperation Strategies

CA perspective	Position JICA’s CD support strategy within the overall CD strategies of the developing country
----------------	--



Main Points in This Section

Narrow down the target organization and analyze the organizations and environment



Portray the CD course
(What sorts of capacities must be strengthened and in whom?)



Confirm the initiatives of the developing country and other donors



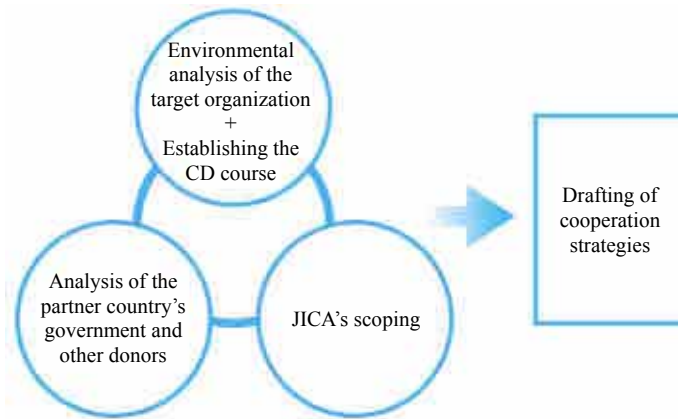
Lay out support policies for each of JICA’s CD support scopes, scenarios, and schemes

Task Items and the Utilization of Tools

In this stage, the target organization that will play a leading role in resolving the issue is narrowed down and the CD course is confirmed in terms of what should be done to resolve the issue by referring to the results of the status analysis from the previous stage.

Specifying JICA’s major roles and mapping within the development strategies of the developing country is carried out while performing broad organizational analyses of the target organization and environmental analyses of its environments.

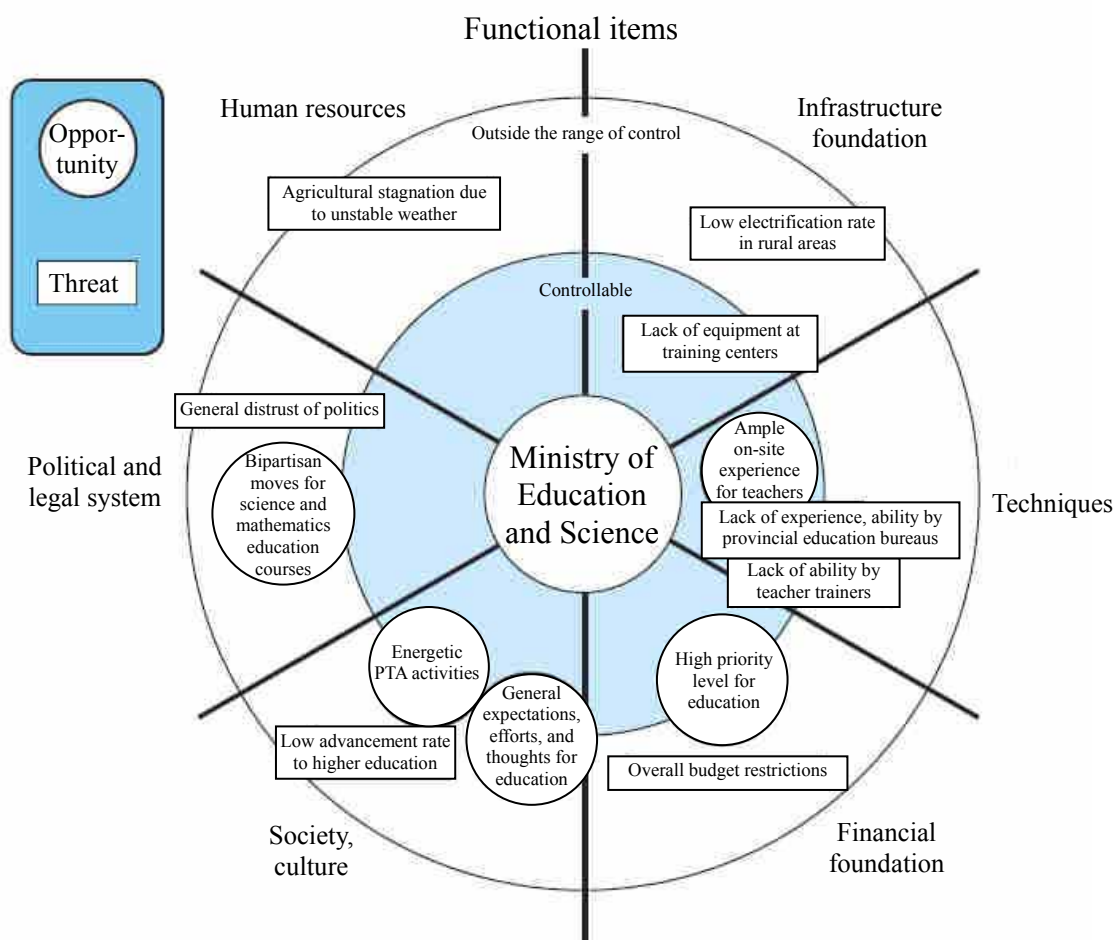
The image is that task items like environmental analyses of the target organization, trend analyses of the partner country’s government and other donors, and JICA scoping are to be carried out concurrently and tie in with the drafting of cooperation strategies.



Source: Created by the authors

Fig. 3-8 Concurrent Tasks for Positioning and Mapping

Task Item 1 Narrowing Down the Target Organization and Organizational Analyses and Environmental Analyses



Source: Created by the authors by referring to MDF (2005)

(Refer to p.92 of Attached Material 1 for details)

Fig. 3-9 Example of an Environmental Scan

- For the CD issue structure, examine what organization can serve as the target organization, and analyze the internal factors and external environments surrounding the organization by referring to the information thus far. Figure 3-9 is an example of conducting a Sector Environmental Scan to determine the current strengths, weaknesses, and environmental factors.
- More detailed analyses of the target organization are conducted as needed through the use of tools like SWOT analyses to determine the organization's internal and external factors. Based on this, an examination of which actors and factors must be worked on is carried out.
- The analyses of internal requirements and external environments also contribute to defining potential risk in formulating strategies and project. By examining internal and external factors related to the organizational environment, its strengths become clear. This is useful in the later steps in which cooperation plans are designed, especially aiming at compensating weaknesses.

Task Item 2 Establishing the CD Course



Source: Created by the authors

Fig. 3-10 Examining the CD Course

The analysis results which have flowed from CD goals → actor analysis → CD issue structure → narrowing down the target organization are re-portrayed as the CD issue resolution story. Even though the target organization is taken as the central focus, various different capacities are strengthened in a manner that incorporates other stakeholders. The course leading to the resolution of the issue through achieving goals is portrayed as the CD course, and it is important to share this vision for solving problems between the developing country and JICA.

In cases where the CD course here cannot be clearly defined, this is possibly due to insufficient analyses in the previous stage, or because there are numerous uncertainties. Since the CD course is the overall picture for solving problems, it is preferred that project planners somehow understand the overall direction to follow.

Task Item 3 Trend Analyses of the Partner Country's Government and Other Donors

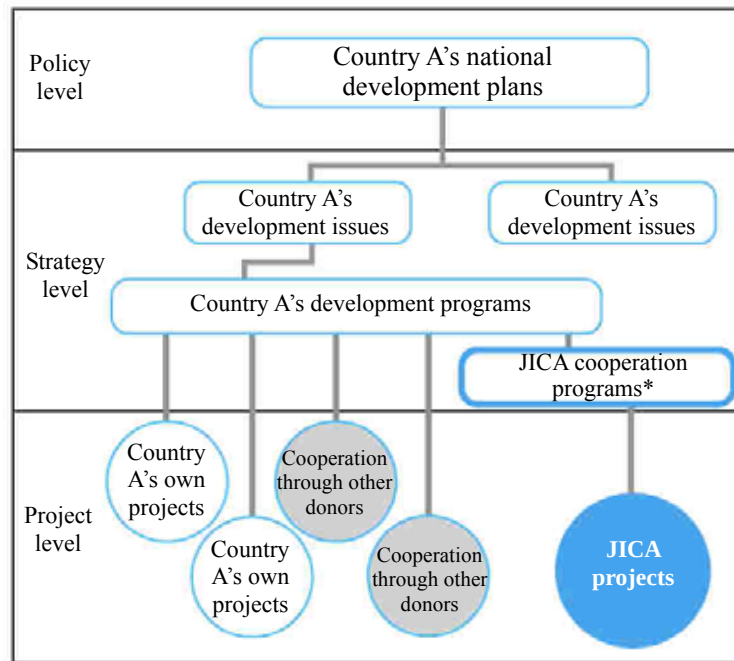
- The possibility of collaborations, coordination, and a division of roles with the partner country's government and other donors is examined. This is explored through participation in donor meetings and sector coordination conferences, as well as approaches for collaboration and coordination with concerned parties by means of direct negotiations and the like.

Task Item 4 Scoping and Mapping of JICA Cooperation

- **The selection of areas which would produce synergistic effects without overlapping with the initiatives of the partner country's government or other donors is performed within the developing country's overall CD strategies (scoping)** to examine cooperation programs by JICA, with reference made to the CA results to date. When doing this, it is necessary to examine a number of options while keeping the following points in mind.

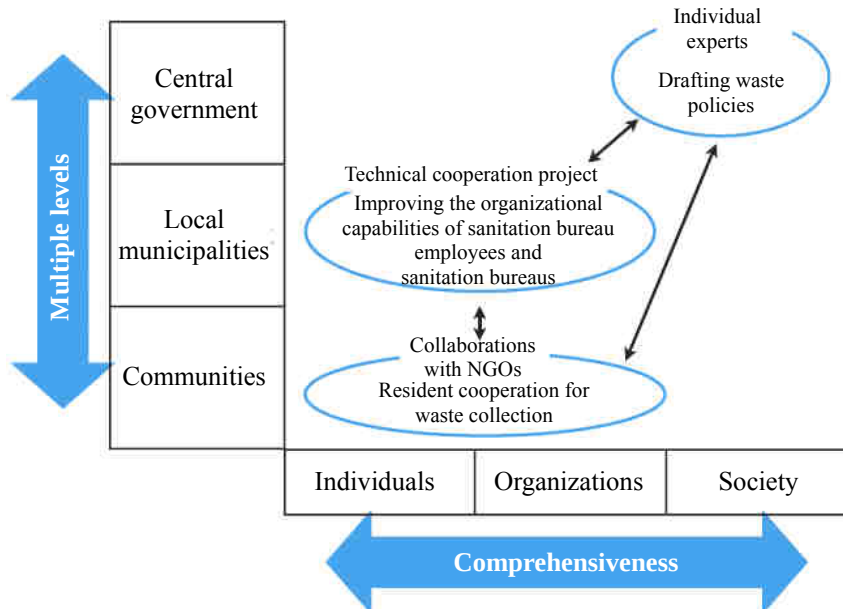
- (1) Have the necessity of broad-ranging stakeholder initiatives that aim for even greater multiplier effects from CD and approaches for institution building been assured, and have CD initiatives been examined from a comprehensive perspective (comprehensiveness)?
- (2) At this point in time, have there been adequate dialogues with the developing country regarding issues like CD goals, CD approaches, and the exit strategy?
- (3) Has a CD story for JICA's scope been developed, such as through what sort of steps should capacity be strengthened within the cooperation strategy?
- (4) After adding on examinations of the possibility of achieving the goals and the amount of inputs (is this the manageable scope?), explore dividing the phases and partitioning programs if necessary.

- Based on these results, things like program plans and position papers are created.



*Refer to p.38 of JICA (2007c) regarding the definition of "JICA cooperation programs"
Source: Created by the authors

Fig. 3-11 Scoping for Cooperation Programs



Source: Created by the authors

Fig. 3-12 Scoping through a Comprehensive Perspective

JICA's Support and Implementation Methods for CA Process

While JICA carries out consensus building with the government of the developing country regarding appropriate application of project schemes within overall national development plans, the developing country is responsible for the CA.

In this stage there are platforms for gathering and examining information like those mentioned below, and this is sometimes carried out in the form of program planning and individual project design.

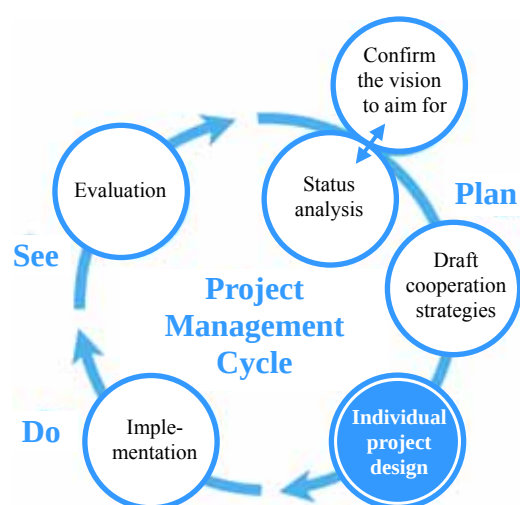
- Donor meetings, sector coordination conferences
- Cooperation preparation surveys (workshops, hearings through checklists, field surveys)
- Workshops by stakeholders
- Surveys by policy advisors, project formulation advisors, and local consultants, etc.

Output

Program plans, position papers

3-3-3 Individual Project Design

CA perspective	Formulate individual projects in line with cooperation strategy scenarios
-----------------------	---



Main Points in This Section

- Be aware of incorporating a CD perspective into the PCM process
- Of the five evaluation items, lay emphasis on impacts and sustainability

Utilizing the Steps and Tools

Project formulation is conducted here by using PCM techniques as tools, as has traditionally been done. In its process, it is critically important to have a perspective of how to integrate the project into the overall development goals of the developing country (=CD story). To put it another way, those who are responsible for formulating a project need to be well aware of the impacts and sustainability (CD sustainability) at the time of planning. To do this, it is necessary to incorporate CD perspectives as follows into the PCM process.

Moreover, whereas PCM techniques generally have an inductive role following the emergence of discrete problems in the field, CA offers the structure itself for the overall whole through the previous steps. In some cases the capacities that act as constraints and indicators for results are made clear through CA, and sometimes entry points for the programs are presented. Within the PCM process, such results are perceived as playing a type of facilitation role. Overlapping both the deductive approach and inductive approach for CA mentioned above in a complementary manner allows for the possibility that the overall plan will be set up successfully.¹⁰

Points to Keep in Mind in the PCM Process

- Confirm what roles **the project is expected to play within the overall picture for resolving the issue** once again and confirm the project's scope through the concerned parties (*validity*).
- Think about the positioning of the project from the perspective of those involved. This includes not only the project C/P, but also **what sort of meaning stakeholders such as policy departments and local people find in the project**. Clarify the division of responsibilities between the respective concerned parties based on this (*internalization of external conditions = comprehensiveness*).
- Confirm **what sort of risk factors there are in project implementation from the reciprocal relationships among actors**, and examine countermeasures.
- Stress is also placed on examinations that proceed from the perspectives of **what sorts of initiatives on the part of the actors project implementation will be tied in with, and how mechanisms for ensuring sustainability can be incorporated to accomplish this**. To put it another way, this is shared as a hypothesis between the concerned parties with regard to the sorts of mechanisms that are being considered as courses that lead up to the overall goals following the implementation of the project (impacts, sustainability).

The following denotes the conventional PCM perspective, the perspective for CA when carrying out the PCM process based on the philosophy of CD, and the perspective of CA for five evaluation items in the ex-ante evaluation stage. In the five evaluation items, “Validity” is evaluated as whether or not it will contribute to achieving the overall strategies for resolving issues. At the same time, whether the course leading to the overall goals following the completion of the project is specific or not is evaluated in the “Impact” item. “Sustainability” can be assessed through evaluating mechanisms for ensuring comprehensiveness and ownership of development projects for lasting effects.

¹⁰ JICA (2005b)

Table 3-5 PCM Perspective and CA Perspective

	PCM Perspective	CA Perspective
Analysis of the concerned parties	Analyze the relationships between stakeholders → identify the target group	Involve various stakeholders in the project. Analyze the actors at three levels. Analyze actors/capacities
Problem analysis	Analyze the logical relationship between cause → effect	Make the problems that came into view from determining the status of CD the central problems. Project thinking → program thinking. Analyze problems from a comprehensive perspective. Analyze actors/capacities (individuals, organizations, institutions/society). Analyze problems by considering the characteristics of capacity. Think through “problems ↔ capabilities for handling issues”
Objectives analysis	Examine the relationship between actual means → objectives for resolving issues	Determine entry points for CD support → create project development scenarios. Examine solutions that aim to improve capacity. Countermeasures that are alert for the driving forces for CD, which are incentives and leadership
Project selection	Select approaches for resolving the issue	Clarify the positioning within the partner country’s priority policies and the potential for collaboration and coordination with other donors. Determine a scope that gives consideration to fostering ownership on the part of the partner company
Risk analysis	Examine prerequisites and external conditions for fulfilling vertical logic	Sort out the risks at the program level
PDM creation	Compose vertical logic. Substantiate activities	Examine internalizing external conditions such as the partner country’s policies/institutions and budgets and working on these from an early stage. Consider the balance between capacity indicators and performance indicators

Source: Created by the authors

Table 3-6 Five Evaluation Items and the CD/CA Perspectives

Five Evaluation Items	CD/CA Perspectives
Validity	- How is the project in question positioned in relation to the overall picture for resolving the issue (=CD story)? (Alignment with priority policies) - From the perspective of the targeted communities, what sort of meaning does the project in question hold and what will it leave behind in the future?
Effectiveness	Can the project results and activities be flexibly revised according to institutional and social changes?
Efficiency	- Are ownership and incentives on the partner’s side promoted in order to realize results? - To what extent has the utilization of existing local resources and networking between the concerned parties been carried out in order to produce results?
Impact	Have examinations of initiatives and scenarios (institutionalization, etc.) aimed at achieving the overall goal, and examinations of internalizing external conditions, been carried out?
Sustainability	Have the initiatives on the partner’s side after the cooperation ends (policies, budgets, implementation structure) been clarified, and have examinations of internalizing the external conditions been carried out?
<Points to Keep in Mind>	Confirm whether mechanisms for securing sustainability are being created in light of the comprehensive frameworks for the issue in question. In particular, internalizing external conditions is an issue in conventional PCM. Assessments that include these perspectives are essential.

Source: Created by the authors

JICA's Support and Implementation Methods for CA Process

PCM workshops and PDM creation are carried out by the government of the developing country and joint evaluation teams.

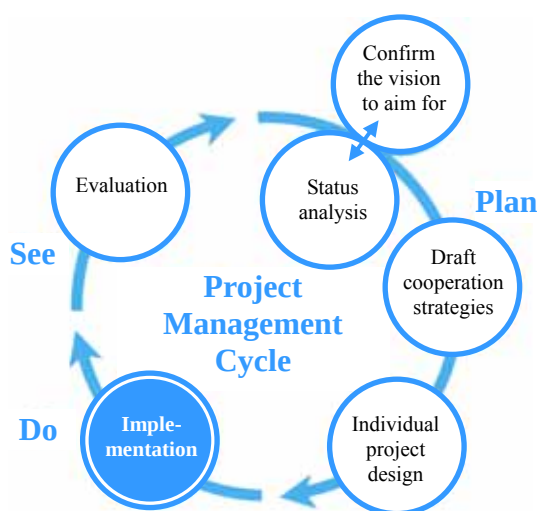
- Preparatory survey, preliminary survey at the individual project level (workshops, interviews with checklists, field surveys)
- Workshops through stakeholders
- Surveys by policy advisors and project formulation advisors, as well as surveys through the use of on-site consultants, etc.

Output

PDM, project documents, organizational charts for project implementation, provisional activity plans, S/W (development surveys), terms of reference for consultant

3-3-4 CA During Project Implementation

CA perspective	Understand one's own capacity and create activity strategies
-----------------------	--



Main Points in This Section

CA by the C/P itself in its own organizations, affiliated institutions, and institutions and society

- Determine one's own capacities and confirm what is needed.
- Determine the positioning of one's own activities, and lay out specific strategies and plans.

⇒ CA serves as the first step for CD (improving independence)

Monitoring

- Change (deepen) the capacities of the C/P itself
- Change (expand) the capacities of the comprehensive actors related to the C/P

+

- Change the progress of project activities
- Change the positioning of the project from the external environment (→ internalize external conditions)

⇒ Assess PDM as a tentative hypothesis and examine changes

Utilizing the Steps and Tools

There are time limitations for the procedures and management processes at the preparatory stage in the project formulation. At this stage, planning of CD within the project design may be understood as tentative, and it is more realistic to conduct detailed CA during the actual project implementation, as in many cases the government officials in charge of the project are assigned after the implementation stage has been reached. In reality, instilling awareness in the central players in project activities is not necessarily something that can be adequately done in the short time span of the project formulation stage. Even more so for the local administration and community development sector, it is even conceivable that this will potentially have the opposite effect unless the norms and characteristics of the organizations found in said region are well understood, and the inputted resources and activities are planned based on these.

Therefore in the process of the project implementation, the concerned parties from the developing country conduct CA themselves at its initial stage while obtaining instructions or advice from JICA experts. By doing so, said parties understand the baseline for their own needs and capacities and independently create activity strategies. The C/P, which is the central player in the activities, and the concerned parties lay emphasis on the fact that the central players conduct CA independently. By doing so, they can be positioned as the first step of an endogenous CD process.

Step 1 CA by the C/P Itself (Through the Creation of Detailed Activity Plans)

- The C/P conducts analyses of the concerned parties and organizational analyses to reexamine the positioning that the project has been placed in from the perspective of the organization's specific weaknesses and threats in the external environment.
- The C/P conducts diagnoses of its own technical capacity and core capacity to confirm their baselines. Diagnoses are also performed on the environments surrounding the organization, and examinations are also made on how these environments can be worked on. In doing so, it is preferable that it be possible to visualize the changes later on by referring to things like the spider map shown in Figure 3-14 (refer to BOX 3-3).
- It is necessary to analyze the levels of core capacity, technical capacity, and enabling environment through such tools as SWOT analyses to identify weakness at present (refer to p.96 of Attached Material 1 regarding SWOT analyses).

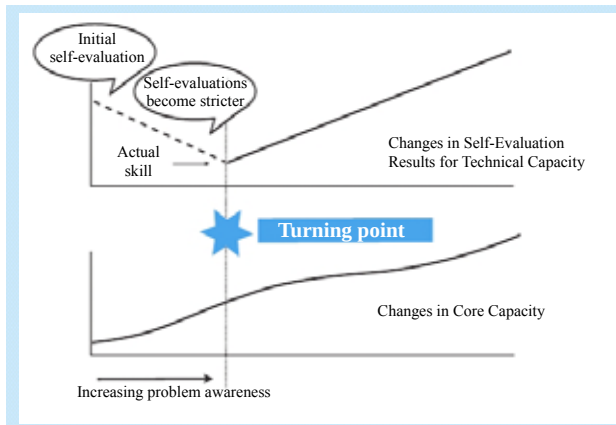
Step 2 Monitoring and Feedback for the Strategy

As project activities are implemented, it is necessary to perform monitoring on **how capacity is changing (the deepening of capacity)**. Here, the capacities of the actors targeted for activities are compared to the baseline assessed in the project formulation stage to determine how far they have risen. It is essential to measure how much the technical capacities of the partner have improved through technical cooperation.

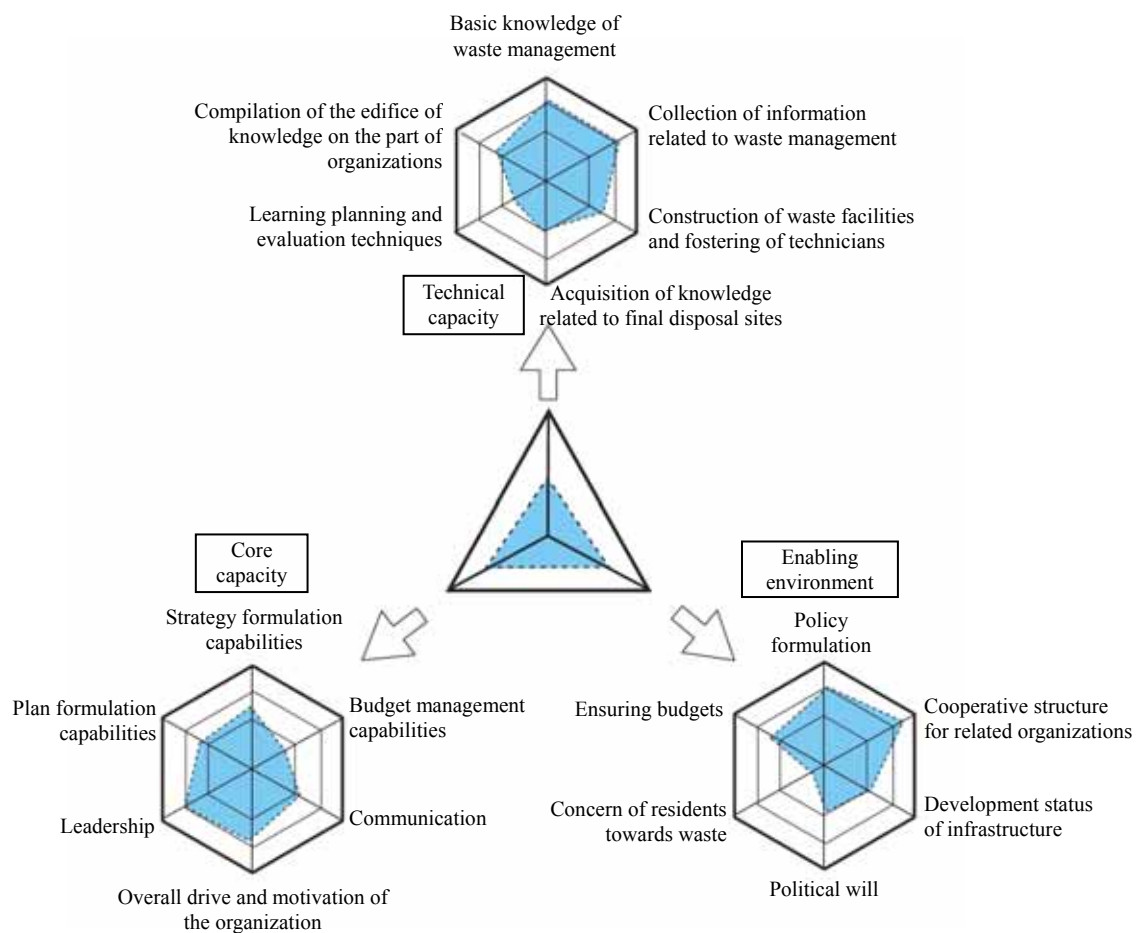
BOX 3-2 Points to Keep in Mind for Self Evaluations – Key Effects



The figure below illustrates the sorts of self-evaluations given by individuals in learning processes such as routine work and training. It is understood that in most cases evaluations of oneself become stricter in the first half of the learning processes, and so the evaluation results decline. It is believed that capabilities related to the core capacity of “increasing problem awareness” improve dramatically in this process. This ties in with true improvements in capacity by the fact that the desire to learn increases and the setting of goals is made clear. Since taking a look at oneself leads to improving capacity, it could be called a “mirror” effect.



As this shows, to determine how capacity on the partner's side has risen, it is necessary to perform assessments by laying emphasis on both technical capacity and the core capacity that leads to results.



Source: Created by the authors

Fig. 3-13 Example of Visualizing Capacity

Conversely, it is essential to examine broadening in the sense of how the activities of said project contribute to not only the C/P, but also **the extent to which they contribute to improving the capacities of other related stakeholders**. In other words, this refers to analyzing how the related actors perceived in the project design stage have come to think about the project's significance as it progresses, as well as what sorts of action they are taking for this and whether they are fulfilling their roles. Furthermore, moves in which the related actors capitalize on their individual roles while creating networks for jointly handling issues should serve as benchmarks for determining the **broadening of capacity** according to need.

To measure the aforementioned deepening and broadening of capacity, it is best to visualize this as in Figure 3-13 and share the changes in the C/P's technical skills (technical capacity), management (core) capacity, and the organization's enabling environment among the concerned parties to promote their own awareness. Specific methods for visualization are described in 3-5-4 and BOX 3-3.

In doing so, it is necessary to confirm not only the status of the individual items, but also whether a balance has been struck between technical capacity, core capacity, and the enabling environment. However, as was mentioned in 2-4-1, these three elements can be thought of as having completely different growth speeds. Therefore, it is important to flexibly change which element's capacity to focus on through the monitoring period.

- Movements in the driving force behind CD are observed for development issues as a whole. This includes not only changes in the capacity of the concerned parties through direct approaches, but also indirect multiplier effects like showing signs of changing to a course that is good for applying stimulus to affiliated institutions other than the C/P through the implementation of the project.
- Rather than simply achieving the project goals by referring to these effects, how such activities tie in with mid to long-term CD should be reaffirmed and the activities and approaches that will be required in the future should be reassessed.

JICA's Support and Implementation Methods for CA Process

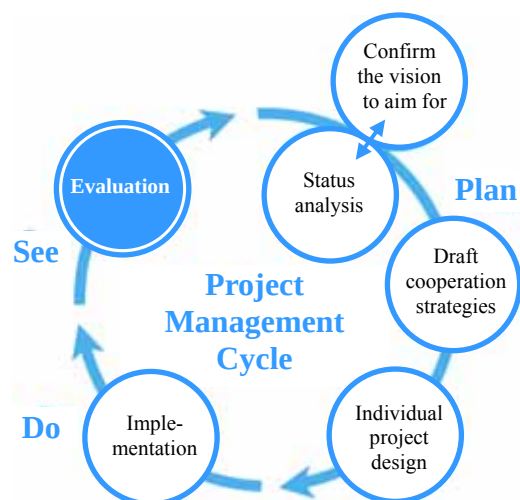
- CA for activities (surveys, workshops) and activities for creating detailed action plans
- Project administrative management, monitoring
- Holding joint coordinating committees
- Administrative instruction surveys, mid-term evaluations

Output

Revised PDM, detailed action plans, mid-term evaluation reports

3-3-5 CA in Project Evaluations

CA perspective	Examine the mid to long-term initiatives and scenarios of the developing country itself and future CD support
-----------------------	---



Main Points in This Section

Confirm the (change in the) positioning of the project (program) within the CD strategies as a whole

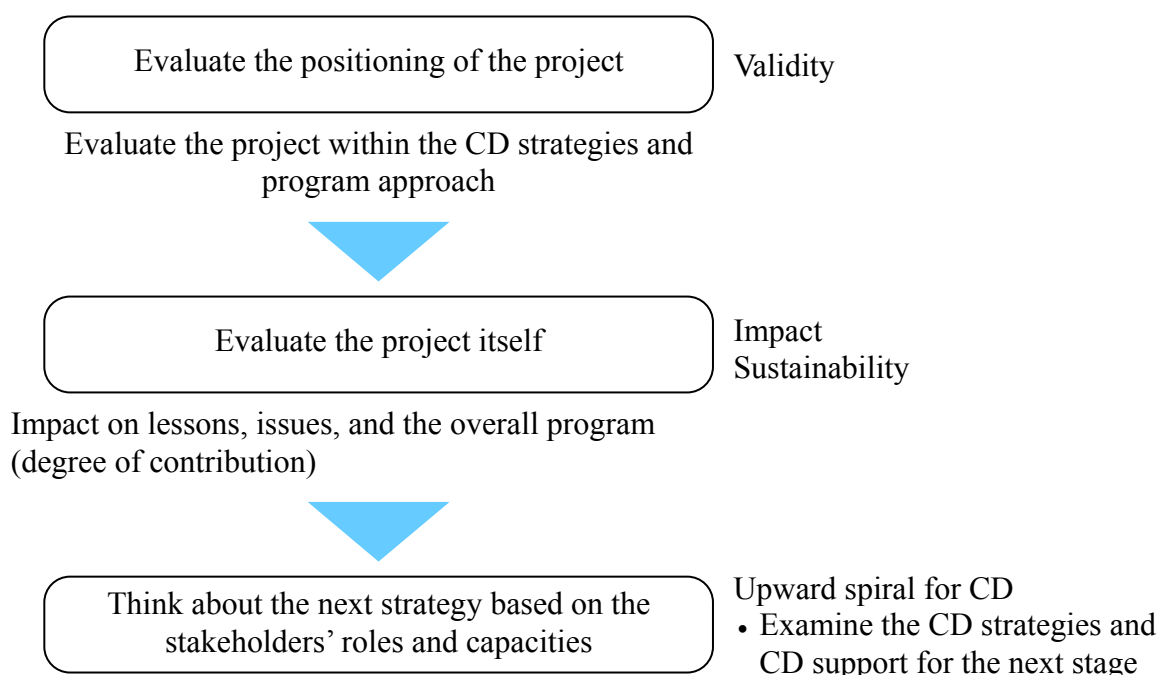
Project evaluations from a CD perspective

- Evaluate the project itself (PCM evaluation)
- Evaluate the project's contributions and suggestions for the CD strategies as a whole
- Evaluate the significance of project initiatives from the individual perspectives of comprehensive actors

Revise CD strategies through the developing country itself

- Validate the vision to aim for once again
- Plan individual initiatives for the actors
→ Revise CD support strategies for donors

Utilizing the Steps and Tools



Source: Created by the authors

Fig. 3-14 Main Point of Evaluations

The main point of project evaluations from a CD perspective is to **view the project through the overall CD framework of the developing country** while still being a project level evaluation. To put it another way, this means not only thinking about the project's scope, but also evaluating how JICA's CD support can effectively contribute to formulating the next CD strategies. The modalities for evaluations through a CD perspective consist of not only questioning the merits and demerits of JICA projects, but also recognizing the extent to which feedback can be provided to the long-term initiatives of the partner country based on the awareness that JICA is involved as a part of such initiatives.

Even if the project goals have been achieved there will be less effective unless these initiatives can be integrated into the overall CD process of the partner country. Conversely, even if the achievement of project goals has been insufficient, the project can be said effective as long as some efforts for CD are ensured within national, regional and local development planning.

Step 1 Confirm the Positioning of the Project in the CD Strategies

- In this stage, confirmation is made on whether or not the positioning has changed within the development strategies of the partner's country and the CD support scenarios envisioned during the CA at the project formulation stage. Confirmation is also made on whether the CD scenarios themselves of the country have changed due to various factors (*once again changing the perception from the forest to the trees*).

Step 2 Evaluate the Project and Evaluate the Involvement of the CD Supporters

<Evaluate the Project>

Evaluations are conducted through the five items to measure the progress of CD (*how are the trees growing?*).

For examinations of validity at the program level, and with regard to impacts and sustainability, which are essentially considered items that are to be given a full-scale evaluation through the ex-post evaluations, these must be evaluated by taking into consideration the role that the project has played within the CD story and its future potential (*what have changes in the trees brought about for the forest?*).

It is also important to change perceptions of the meaning of said project from not only the perspective of those implementing the project, but also the perspectives of its various stakeholders. Such stakeholders include those drafting policies and local residents who are involved in the project.

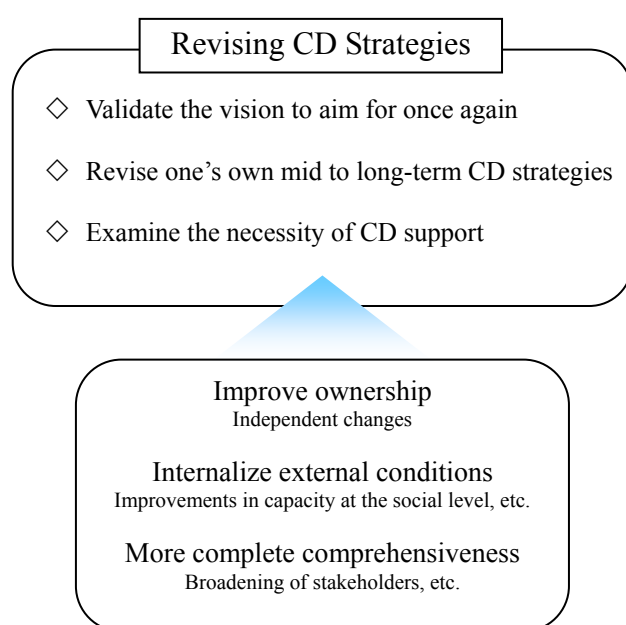
<Evaluate the Involvement of the CD Supporters>

Conversely, the question of whether JICA's role as a facilitator was appropriate based on the principle of CD support should be evaluated. The positive and negative effects in the CD support process should be discussed by the concerned parties to acquire lessons.

Step 3 Examine the CD Strategies and CD Support for the Next Stage

The evaluation results from Steps 1 and 2 are used to produce evaluation results for designing CD strategies and CD support strategies, and to examine how the mid to long-term initiatives of the developing country itself should be structured in the future.

Specifically, at this point in time confirmation is made on whether there have been changes in the vision to aim for. Based on this, for the CD story the stakeholders that should be involved in the next stage are discovered and an examination is conducted on what sorts of capacities should be focused on and in whom.



Source: Created by the authors

Moreover, examinations of the pros and cons and the content of future CD support by JICA are conducted, and so are reexaminations of modalities for CD supporters.

It goes without saying that efforts for the success of the project should be made. But over and above this, emphasis should be placed on getting the concerned parties to take note of questions such as: What sorts of capacities in which actors should be worked on by taking the opportunity presented by the JICA project? How should mechanisms for increasing ownership be implanted? Doing so, and also emphasizing facilitating the will for independent development, serves as aid management that reflects the concept of CD.

Fig. 3-15 Applying Evaluation Results

JICA's Support and Implementation Methods for CA Process

- Evaluations at project completion, program evaluations + joint coordinating committees
- Additional surveys and the like through policy advisors and project formulation advisors

Output

Evaluation at completion reports, plans relating to next stage strategies

3-4 Points to Keep in Mind for CA by Project Type

Assessments of
CD support
from the hub's
functions

Assessments of
CD support
from
communities

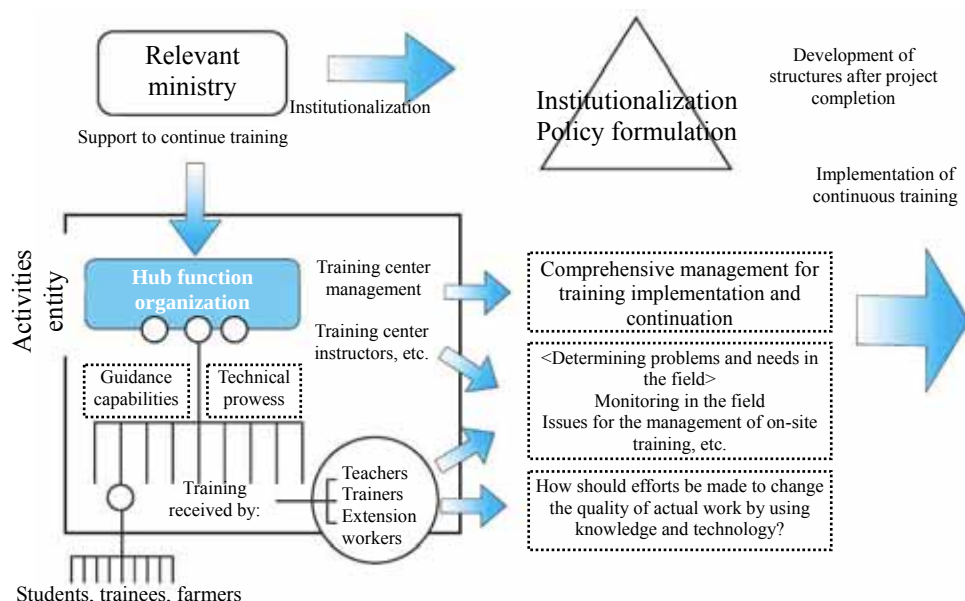
Assessments of
CD from
policies and
institutions

In Chapter 2 we considered the characteristics of capacity from the relationship between capacity and output from activities, but in actual projects the relationship between capacity and output varies significantly depending on the sector or the project type. Because of this, the main points in the CA process and the main points for the type of CD involvement through the use of the results of CA also vary.

Here we will indicate the three basic project types and consider points to keep in mind for CA implementation for each of these.

The three types of CD support projects each have their own characteristics in terms of the aimed for performance and capacities that are worked on. But specifying the points to keep in mind for CA that are shared by the three types would demonstrate the need to assess the **technical foundation (=technical capacity)** of the targeted organization, its **managerial foundation (=core capacity)**, and the **policy and institutional foundations and financial foundations (=enabling environment)** that prescribe the capacities of said organization. It is also necessary to think about policies for improving overall capacities by having these foundations mutually complement one another.

3-4-1 Assessments of CD Support from Hub Functions



Source: Created by the authors

Fig. 3-16 CD Support from Hub Functions

The most common pattern for JICA technical cooperation projects is to implement hub activities like those of central occupational training centers and agricultural extension centers. This oftentimes includes conducting training for instructors and extension workers (training of trainers) and creating curriculums and teaching materials. This is a scenario in which better occupational training and extension work comes to be carried out in the field by means of training.

Points to Keep in Mind for CA Implementation

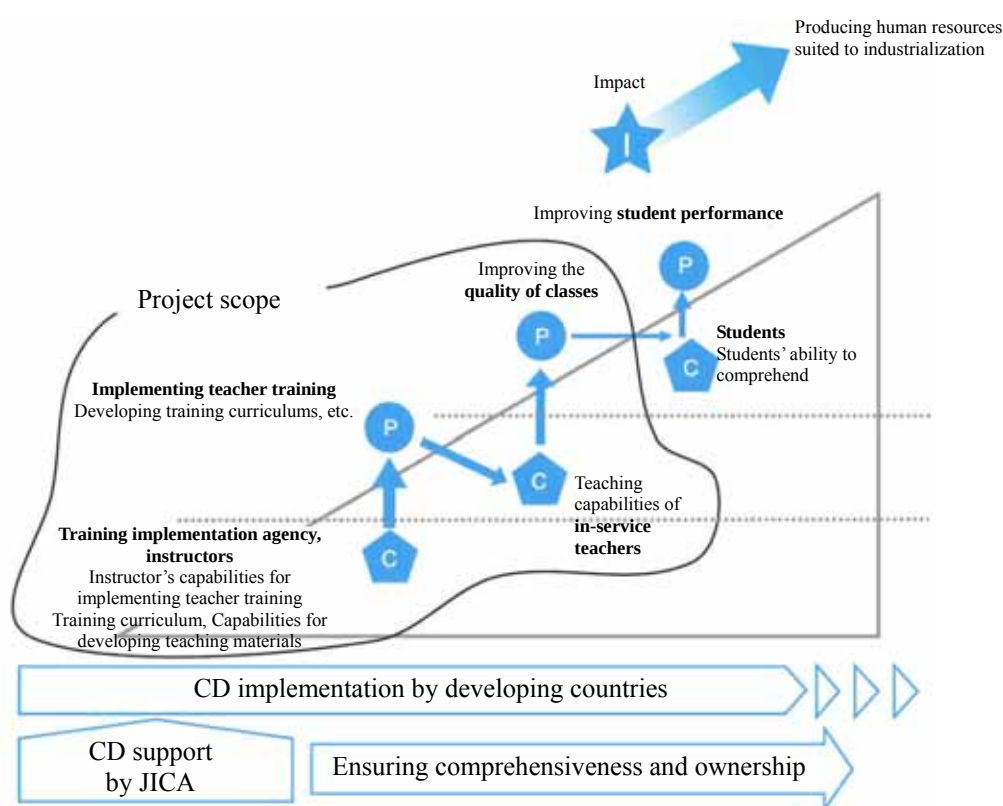
- It is necessary to begin by clarifying **how the hub organization in question is situated within the policies of the partner country** (for example, industrial policies and employment policies in the case of an occupational training center). In conjunction with this, it is also necessary to continuously assess how much trust the said organization has gained within the surrounding community and among the ultimate recipients.
- The staff members of the occupational training center, which is the hub organization, serve as the C/P themselves. Not only do they have **technical capabilities (=technical capacity)** for carrying out occupational training, but they also have **comprehensive management capabilities (=core capacity)** for thinking about what is needed to continue to implement training. These capabilities also consider the implementation structures, budgets, management, and backup from ministries that will be needed in order to carry on with training following project completion. **Both of these aspects should be continuously assessed from the project formulation stage until up through the implementation stage.** Which agencies and departments on the partner's side should be worked on is clarified based on the results from this.
- It is essential to collect and respond to information for resolving issues at the bottommost level. This includes structures for monitoring the results of teaching in the field by trainers who have undergone training, the managerial issues required for implementing training and extension work at the field level, or determining the future needs for a diverse array of actors.
- It is important to not only convey CA results **to the supervisory ministry of the hub organization**, but to **involve it in the CA tasks themselves**. It is important that the higher ranked organization share the significance of the ongoing project which may have influence on employment policies and economic policies. Assessing whether or not the structure is one where the development of systems can be independently performed so that training operations can be carried out autonomously in the future is also vital.

Table 3-7 What Sorts of Capacities In Whom? (Example of Strengthening Hub Functions)

← Comprehensiveness →			
	Individual	Organization	Society (Including policies and institutions)
Multi-layeredness	Central government (macro)	Ministry of education officials • Ensuring budgets, capabilities for building institutions • Capabilities for perceiving problems at the front lines of education and with teacher training agencies	Ministry of education departments • Capabilities for consensus building among concerned parties for institutionalizing teacher training • Capabilities for institutional proposals
	Teacher training agency School facility (mezzo)	Instructors • Technical guidance capabilities • Capabilities for creating instruction manuals Teachers • Guidance capabilities • Personality that gains the trust of students, aspiration, and industriousness	Teacher training agency • Management capabilities for training agencies School (principle) • Capabilities for promoting the holding of evaluations for teacher's instruction abilities and a feedback structure
	Students (micro)	Students • Capabilities for affirming one's own values • Will to continue independent learning	Community • Complementary institutions enabling commuting to school through complementary organizations • Support for PTA activities

Major Actors for Activities
 Targeted by approaches other than for the activities entity

Source: Created by the authors by referring to JICA (2007)

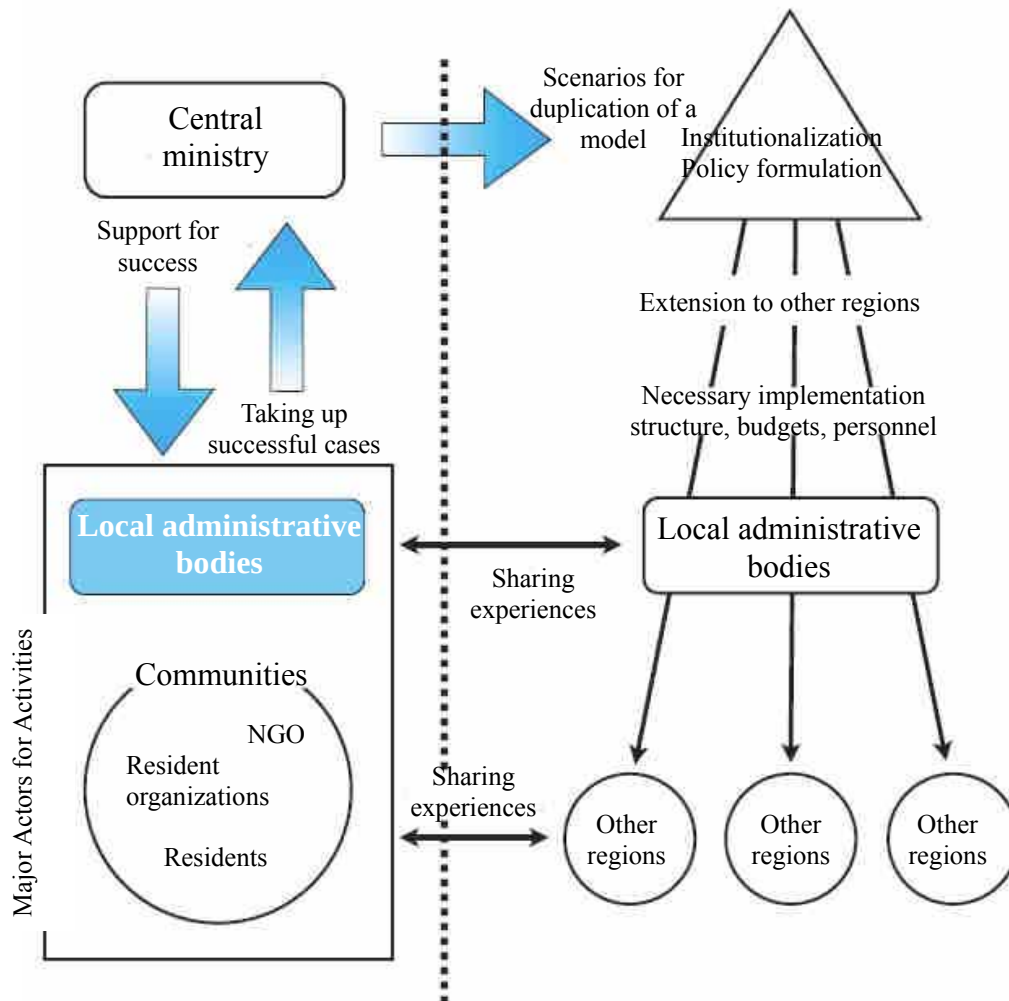


Source: Created by the authors by referring to JICA (2007b)

Fig. 3-17 Case Example of CP for Hub Functions
(Example of Training for In-Service Teachers)

For in-service teacher training projects, experts give technical guidance to instructors at agencies that conduct training. As a result, the capacity of the instructors and the implementing agency are strengthened, which in turn raises the quality of the teacher training itself. Conducting better teacher training raises the capacity of in-service teachers to conduct classes and improves the quality of the classes. This is a scenario in which doing this contributes to improving the capacity and performance of the students.

3-4-2 Assessments of CD Support from Communities



Source: Created by the authors

Fig. 3-18 CD Support from Communities

This type is exemplified by regional rural development projects. When it comes to pilot projects, the typical pattern is that they promote rural development in regional areas jointly through local administration, residents, and non-governmental organizations (NGOs). The results of this are then formed into policies and institutionalized by the central government that serve as rural development models, and are then extended to other regions.

Points to Keep in Mind for CA Implementation

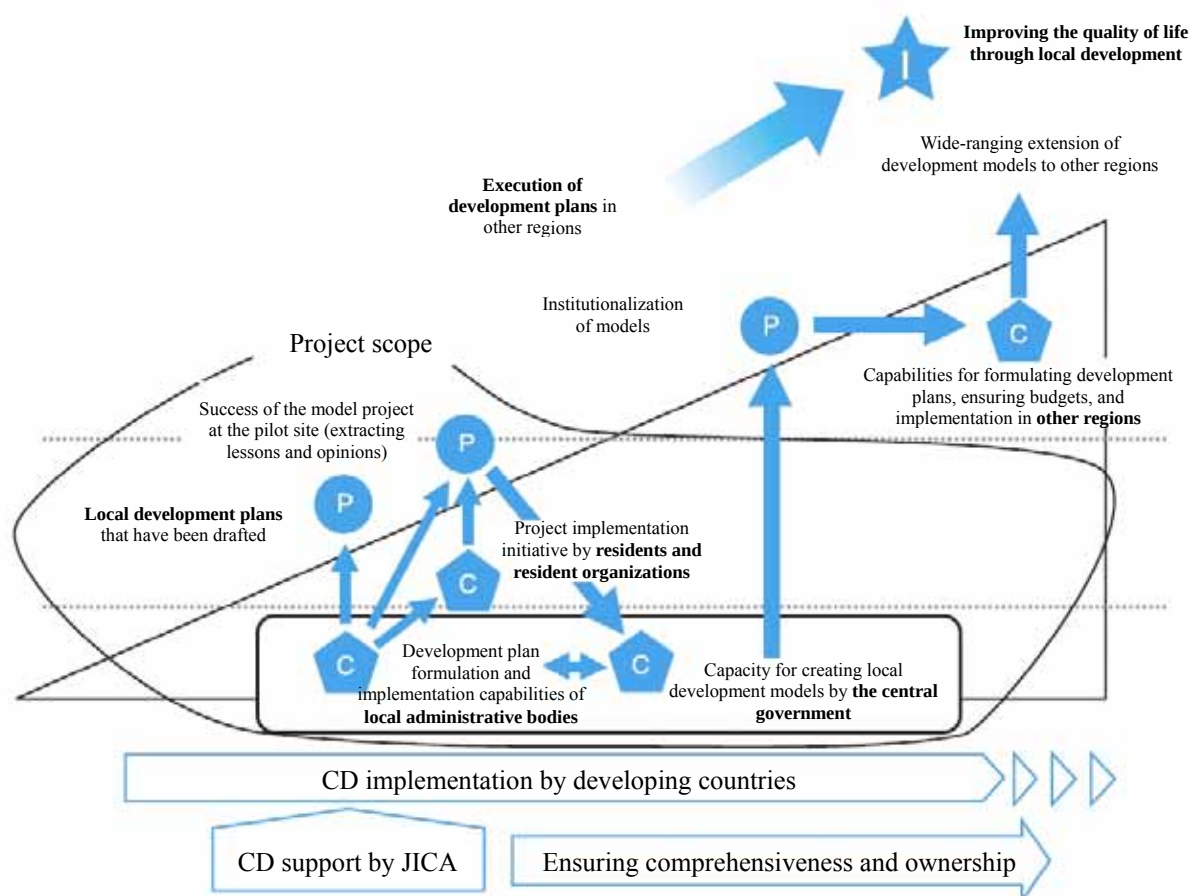
- While JICA's project is generally formulated based on a request from a central ministry, it is actually carried out at the local level. As such, it should be confirmed **whether the local administration and community that will implement the pilot project have firm initiative with regard to the project**. It is necessary to facilitate their understanding of significance of the project.
- When the actual target of cooperation is a local administrative body, it is closer to local people. Thus it can be more effective to have a collaborative relationship with their community, local organizations and NGOs. To do so, there is a need for assessments of **what sorts of norms, organizations, and resources exist in the community as a whole**.
- It is necessary to reflect the model project over the system or policies and to replicate it in other regions. To do this, the central ministry must share not only outcomes of the models, but also the process by which they were achieved, and any problems in the actual implementation of the project. It is necessary to assess the capabilities of the central ministry in going through all these, and also explore whether the relationships between central ministry and local administrative bodies are effective to expand the model project. By doing so, **realistic scenarios for model extension** should be prepared, owing to which **resources such as the implementation structure, budget, and personnel that will be needed in the future** will come under consideration.
- It is necessary to **constantly confirm the roles of model projects within the CD strategies and programs of the developing country as a whole**. **Whether or not there have been changes in the policy and institutional environment, as well as whether the initial tentative hypothesis for the model is valid or not** must also be verified. For this reason, the aim is to broadly share the roles and results of the pilot project through joint reviews with and the mutual participation of not only concerned parties in the developing country, but also other donors working in the same sector.

Table 3-8 What Sorts of Capacities In Whom? (Example of Community Development)

Comprehensiveness			
Actor	Individual	Organization	Society (Including policies and institutions)
Multi-layeredness ↑ ↓	Central government (macro) - Central ministry officials - Capabilities for determining regional problems - Capabilities for resolving actual issues	Central government departments, affiliated institutions - Capabilities for carrying out stable budget acquisition and budget allocation - Capabilities for approaching related organizations, higher ranked organizations, and policy formulators	Government - Capabilities for policy formulation and execution - Capabilities for budget allocation
	Local municipalities (mezzo) - Local municipality employees - Initiative to try to resolve their own problems - Capabilities for drafting development plans that involve communities	Local municipality departments - Capabilities for making trial runs with development models and establishing them - Capabilities for approaching the central government	
	Community (micro) - Local residents, NGO employees - Capabilities for recognizing their own problems - Will to implement solutions	Resident organizations, NGOs - Capabilities for raising opinions in administrative bodies - Capabilities for gathering residents together	Local society, communities - Regional norms - New moves to revise conventions and accept reforms

Major Actors for Activities
 Targeted by approaches other than for the activities entity

Source: Created by the authors

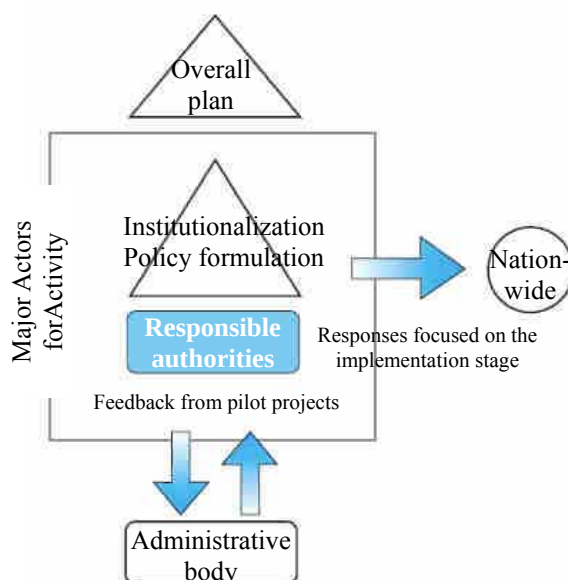


Source: Created by the authors

Fig. 3-19 Case Example of CPI for Communities (Example of Community Development)

With this type, local administrative bodies that promote community development serve as the direct cooperation partners (C/P). For this reason, local administrative officials support the capacity to create development plans while sympathizing with the needs of the residents. Consequently, this results in local development plans being formulated, while at the same time it leads to improvements in the capacity of the residents who are involved in community development in cooperation with the local administration. Models for community development are formed in this way. At the same time, it is important that the central government acquires the capacity to replicate model projects and extend them to other regions. This is done by having the central government stay in continuous communication with the local administration during the implementation period for said models in the local region.

3-4-3 Assessments of CD from Policies and Institutions



Source: Created by the authors

Fig. 3-20 CD Support from Policies and Institutions

This type of cooperation is characterized by the fact that it attempts to start by first creating institutions and policies, rather than first strengthening individuals and organizations to gradually improving institutions. Specifically, it starts from dispatching policy advisor-type experts to policy departments, conducting surveys to collect the information needed to create new policies and institutions, and technical cooperation projects designed to conduct joint examinations between Japan and the partner country.

Points to Keep in Mind for CA Implementation

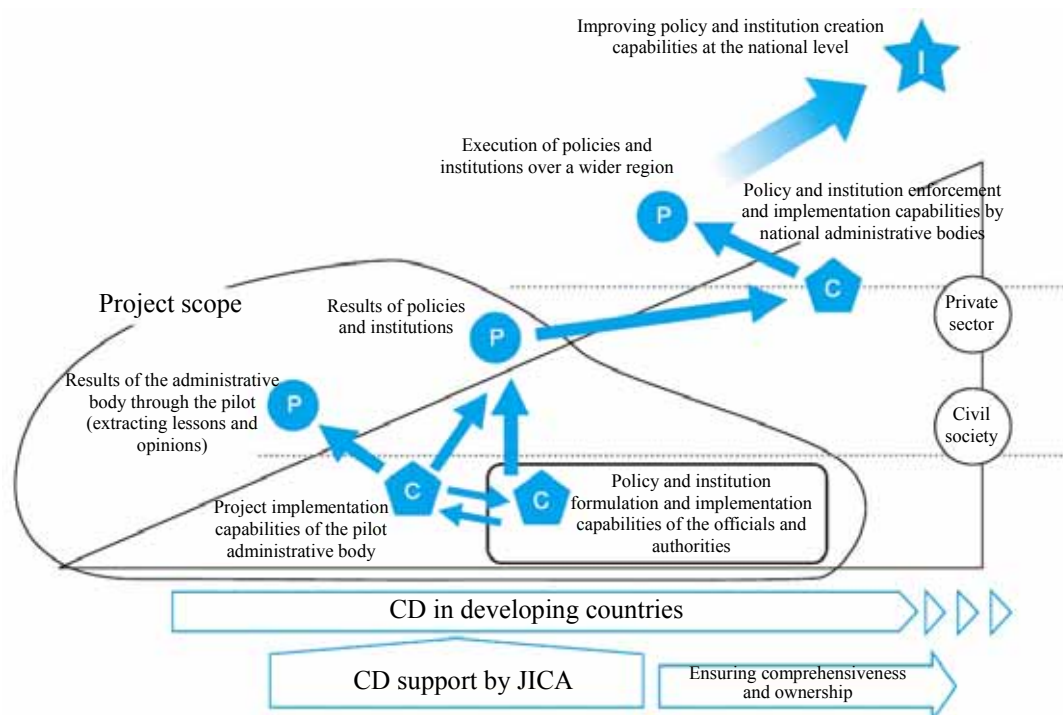
- This is support that pertains to the bedrock of nation building, which consists of creating policies and institutions at the national level. In light of this fact, **stronger ownership on the part of the partner country's government and responsible authorities serves as a major premise when implementing any project.** The ownership of the other side should be prudently assessed, and a posture of joint thinking, rather than imposition, should be sought while using Japan's experiences as the basis for this.
- It is important to make the **scope of support** clear in terms of how far the cooperation project's goals extend. Is it just to policy proposals? The adoption of proposals? The execution of the adopted policies? Does it go as far as resolving problems in the execution? Or does it also include parts of the extension work?
- How are the institutions and policies that have been developed into a legal system to be executed and implemented? When doing this, various types of CA will be needed that target the implementation structure, ensuring budgets, local agencies and the private sector, and civil society.
- It is necessary to assess the **capacities of various actors involved in the implementation stage to consider the two pillars of institutions and implementation.** This includes: What are the current problems in the field? What are the problems that are likely to occur when carrying out the project within the policy and institutional framework of the partner country? What steps are needed in order to resolve these problems?
- Since the capabilities of the human resources and organizations which make up policies and institutions are expected to be strengthened, CA is required for the candidate individuals and organizations.

Table 3-9 What Sorts of Capacities In Whom?
(Example of Strengthening Policies and Institutions)

		Comprehensiveness		
Multi-layeredness	Actor	Individual	Organization	Society
	Policy level (macro)	Ministry officials • Capabilities for recognizing problems in reality and feeling the need for policies and institutions • Capabilities for drafting policies and institutions	Responsible departments at central ministry, affiliated institutions • Capabilities for carrying out stable budget acquisition and budget allocation • Capabilities for approaching related organizations, higher ranked organizations, and policy formulators	Government • Strong ownership for taking action that recognizes the need for policies and institutions
	Authorities (mezzo)	Personnel at other agencies • Ability to learn from models	Other agencies (sector authorities, etc.) • Capabilities for enforcing institutions and policies	
		Personnel at the authority • Capabilities for understanding and acting on the need for policies and institutions • Capabilities for focusing on the execution stage and learning from the pilot project	Authorities • Capabilities for enforcing institutions and policies • Structure development, ensuring of budgets, and enforcement capabilities for enforcing institutions and policies	
	Administrative body (mezzo) Pilot	Municipality, local field agency personnel • Capabilities for understanding the significance of policies and institutions and carrying out projects • Capabilities for accurately determining current problems and giving feedback	Municipalities, local field agencies • Implementation capabilities for producing results through policies and institutions	Civil society and the private sector • Need to raise awareness on participatory development

Major Actors for Activities
 Targeted by approaches other than for the activities entity

Source: Created by the authors



Source: Created by the authors

Fig. 3-21 Case Example of CPI for Institutions and Policies
(Example of Improving Policy Capabilities)

This type of cooperation first starts by aiming to strengthen the capacities of agencies (mainly the central government) that formulate policies and institutions and of the officials of these agencies. For developing institutions, in some instances pilot projects are implemented in order to implement on a trial basis. These are expected to lead to improvements in the capacity of the agencies that implement the pilot projects, while simultaneously providing feedback on the results and lessons from said pilot project. Then this contributes to building more effective institutions. This forms a scenario in which once the policies and institutions have been formed, the capacities of the agencies that will enforce and implement these policies and institutions in the future are improved to raise the implementation effectiveness of said policies and institutions.

3-5 CA and Indicators

Refer to the
technical, core,
and enabling
environment
categories

Refer to the
characteristics
of capacity

Refer to CPI

Setting indicators
through mutual
complementarity between
quantitative indicators
and qualitative
observations

This section will think about how CD indicators should be considered by referring to the points explained thus far. This is designed to look at cross-sectoral issues, and does not present specific indicators that can be immediately applied for individual projects. It is important to clarify the CD stance in terms of improving the situation by developing the capabilities for handling issues (capacity) of the developing countries themselves. It is also vital to take an approach that perceives raising capacity as an important result of cooperation, and to continue to consider how appropriate CD indicators should be discussed among the concerned parties. Moreover, since the indicators are set in conjunction with the social and economic background to the project in question, there is no validity in applying any specific indicators created by various agencies. It is not the goal of the description here to indicate specific, uniform indicators, but rather indicators that should be used as reference in thinking about future individual cases.

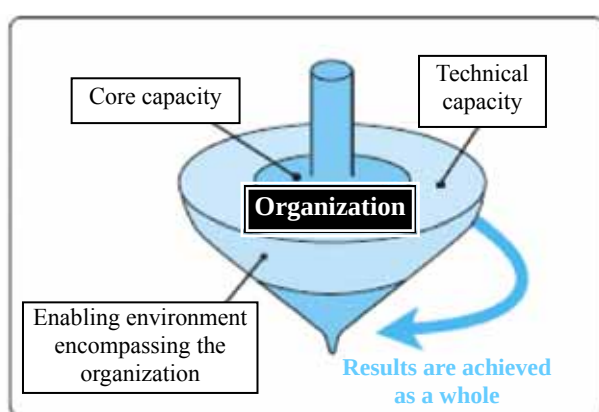
When thinking about CD indicators, referring to the description to this point should offer the following perspectives.

◆ Perspectives for Considering CD Indicators ◆

- ⇒ Refer to the technical, core, and enabling environment categories
- ⇒ Refer to the characteristics of capacity
- ⇒ Refer to CPI
- ⇒ Consider the setting of indicators through mutual complementarity between quantitative indicators and qualitative observations

3-5-1 Refer to the Technical, Core, and Enabling Environment Categories

One of the perspectives for understanding capacity is to focus on the core capacity (=core area for capabilities for resolving issues by the target organization and individuals) needed to enable technical capacity. Placing the focus on the target organization and analyzing and arranging indicators for technical capacity, core capacity, and the enabling environment makes it possible to set indicators that perceive the three levels of individuals, organizations, and institutions and society from a comprehensive perspective.



Source: Created by the authors

With regard to the setting of indicators in PDM as well, the level of appropriateness of the project design can be noted by taking a look at matters such as: Has a well-balanced focus on these three been achieved? Have the indicators been set with a bias toward technical capacity? Are attempts made to recognize the enabling environment and internalize external conditions? Table 3-10 considers indicators involved in capacity that place the focus on the organization.

Fig. 3-22 Technical Capacity, Core Capacity, and the Enabling Environment
- With the organization as the base point -

Table 3-10 Perspective of Setting Indicators that Places Focus on the Organization

	What changes are known?	Options for measurement methods
Technical capacity	C/Ps' knowledge and skills (Including other agencies) Knowledge within the organization, presence or absence of information sharing systems and their quality	[Quantitative/qualitative] Hearings with the actual people and concerned parties Presentations by the C/P Observations by concerned parties Self-evaluations Project and organization records
Core capacity	Organization's conduct and way of thinking (Speed and efficiency of decision-making process, degree of implementing decisions, etc.) Organization's various systems (Incentive system, personnel, management institutions, etc.)	[Qualitative] Project and organization records Group interviews Observations by concerned parties Self-evaluations
Enabling environment	Institutional environment, human resources, physical resources, social capital	[Qualitative/quantitative] Literature, materials, and information on the organization
Performance	Emergence of results through the organizational efforts (Supported afforestation activities by farmers, project planning and implementation performance by the organization as a whole, recipients' satisfaction, etc.)	[Quantitative/qualitative] Project records Evaluations by the concerned parties (observers) Interview with the actual people and concerned parties

Source: Created by the authors

3-5-2 Refer to the Characteristics of Capacity

Some of the individuals' work attitude or disposition such as motivation, commitment, creativity and awareness toward problems, which are invisible in nature, are difficult to assess in terms of capacities by quantitative indicators. In such cases, it would be better to closely observe the individuals to obtain some sort of quantitative evaluation, according to nature of the capacities which are to be measured, rather than to make quick judgements at glance.

3-5-3 Refer to CPI

The reason that setting indicators (for capacity) is difficult in CD is because changes in capacity do not connect up to changes in performance right away. Even if capacity has developed and is about to contribute to future performance, this still may not appear as visible results in the present. In such cases, the degree of the progress in CPI, if the model is well understood among the concerned parties, may be taken as a measure to should be understood among the concerned parties, even if it does not appear in the form of visible results. By doing so, changes in capacity should be seen as assurances for future changes in performance.

As this shows, a strategy for CPI is first shared among the concerned parties, and it is likely that even for minor changes in performance these will be adopted as indicators in the form of assurances for future results.

There have been case examples of irrigated agriculture used in the section of CPI model where the participation rate of farmers in irrigation association meetings was used as an indicator leading to future improvements in the quality of irrigation association activities. This sort of indicator may be applicable to other projects working on CD.

3-5-4 Setting Indictors through Mutual Complementarity between Quantitative Indicators and Qualitative Observations

The quantitative approach is to make comparison between numerical indicators assigned before project implementation and the outcomes. For instance, by setting an increase in the number of occupational trainees as an indicator to be achieved, it may potentially indicate that efficiency in training couse have been improved, fulfilling demand for increasing human resources through training.

In addition, quantitative approaches also have the following characteristics.

- Surveys can be carried out in a short time period if hypotheses are set
- With a certain level of training in terms of avoiding biases, setting of quantitative indicators can be performed by anyone to some extent.

However, the risk of applying quantitative approaches is that issues related to qualities other than the quantified elements may be eliminated. For this reason, the qualitative approach described next is necessary.

On the other hand, there are two ways of handling qualitative approaches (these are also referred to as qualitative study methods). The first is to convert qualitative content to quantitative indicators and use these, and the other is to handle qualitative content (text data)

as it is. The former of these is a method of quantifying things that cannot inherently be accomplished with numbers through the use of an ordinal scale, such as by expressing satisfaction/dissatisfaction and like/dislike for things like favorability evaluations on a five stage evaluation. The latter of these is a method of using text data based on information like statements by informants through interview records and the observer's records as is and adding in a certain amount of analysis.

In addition, qualitative approaches also have the following characteristics.

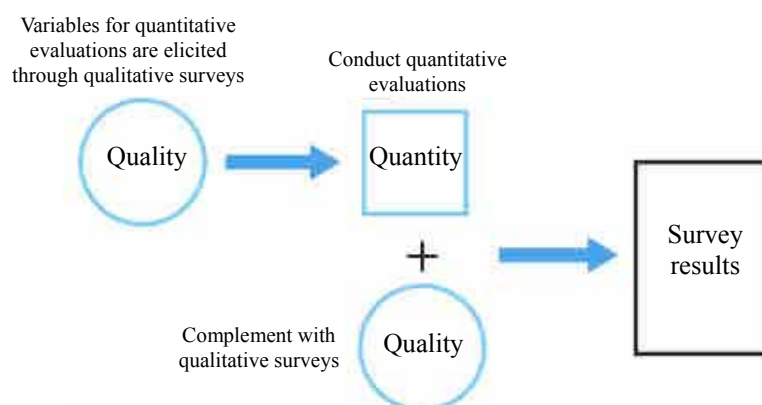
- They require a certain degree of close observation of the target, and take time.
- Trained surveyors are required, and the abilities of the surveyors have an enormous impact on the quality of the survey results.

Table 3-11 is a compilation of these points.

Table 3-11 Comparison of Quantitative and Qualitative Approaches

	Quantitative	Qualitative
Basic approach	Hypothesis verification	Hypothesis creation
Connection with the target	Cases where the quality of the target is already known	Cases where knowledge of the target's quality is insufficient
Surveyor	Requires a certain degree of knowledge	Trained surveyors are required, and the quality of the surveyors has an enormous impact on the quality of the survey results
Time required	A snapshot for understanding the situation at that point in time is fine as long as it can be measured	Surveys and participant observation with some degree of closeness to those targeted are required

Source: Created by the authors



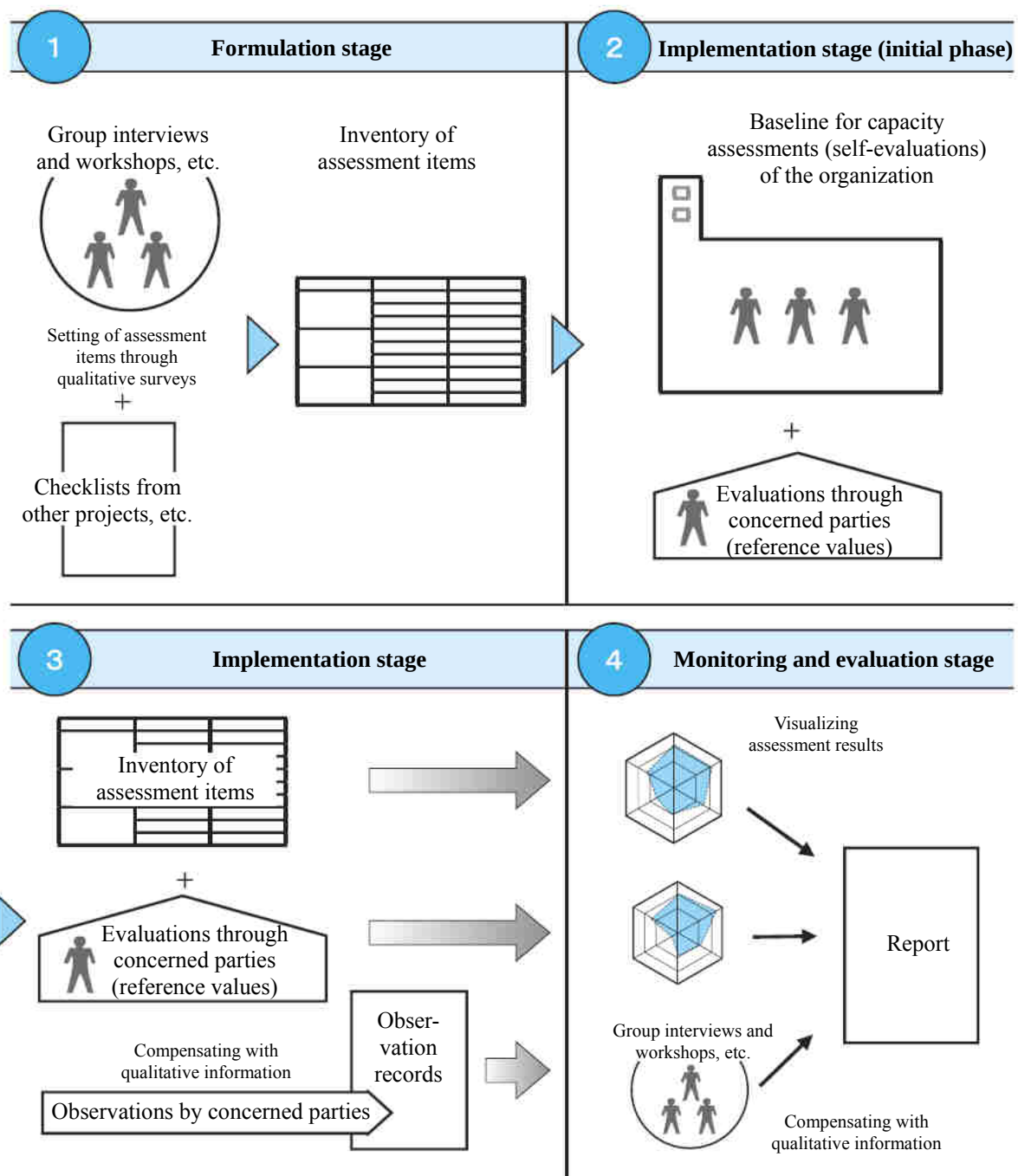
Source: Created by the authors

Fig. 3-23 Process of Mutual Complementarity between Quality and Quantity

When the characteristics of the target are not clear, then first grasping an overview of the target through the qualitative approach enables you to set practical indicators for the targets. This is a method of conducting qualitative tasks such as interviews with specific targets and then considering quantitative indicators based on their results. Moreover, conducting additional qualitative surveys as needed while undertaking monitoring through quantitative indicators in this manner makes it possible to improve the indicators and complement the results of quantitative observations. As this shows, **it is possible to perceive and evaluate the existence of and changes in the capacity of the CD target from a more multifaceted viewpoint by using quantitative and qualitative data in a mutually complementary manner.**

An example of the project management tasks from CD support project formulation and establishment through to its implementation and evaluation is shown as a summary of the explanation thus far (Figure 3-24).

- (1) Analysis of the C/P and organizations are conducted via interviews in the project formulation stage and immediately after the start of the project. Which capacities are required and in whom they are required are listed up and an inventory for assessment items is created by referring to the results of this. This is done by referencing checklists for other similar projects and holding workshops by the concerned parties.
- (2) CA for self-evaluations are conducted based on the inventory from (1), and these are used as the baseline. In addition to these, CA is also conducted for objective evaluations by the concerned parties. The CA results from these two are arranged into tables separately.
- (3) In the implementation stage, monitoring is carried out by using this inventory. What is more, periodic observation records (journals) are created to note down changes in the capacity of the targeted C/P to complement qualitative information.
- (4) For the monitoring and evaluations, the quantitative information from the assessment results based in the inventory is visualized (BOX 3-3 Hexagon Spider Web Diagram, etc.) and summarized. Moreover, qualitative information is also included in the observation records as reference. On top of this, group interviews are conducted on the target group and concerned parties, opinions are exchanged over the quantitative results, and the monitoring (or evaluations) is summarized.



Source: Created by the authors

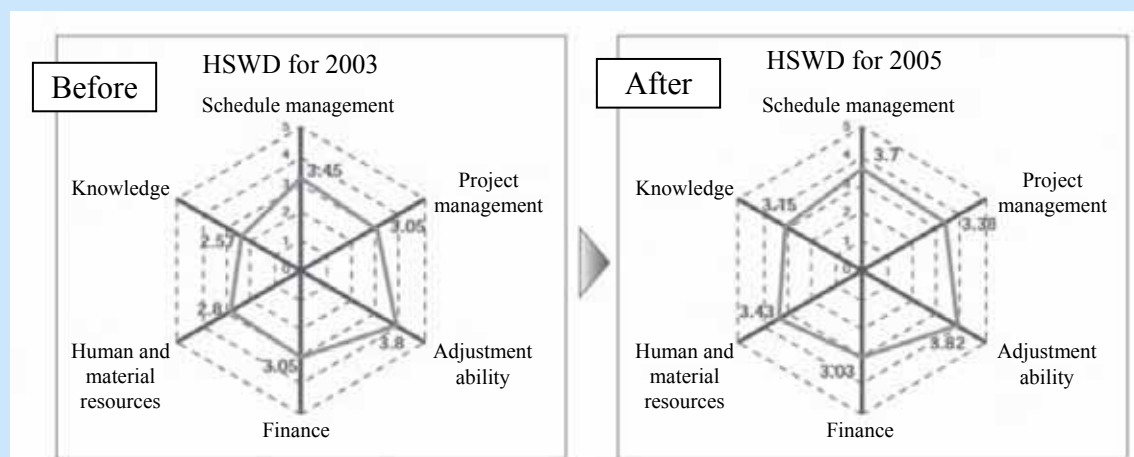
Fig. 3-24 Example of the Process for Monitoring and Evaluation for Setting Indicators

BOX 3-3 Example of Visualizing Capacity Hexagon Spider Web Diagram (HSWD), etc.



The following diagram is an example of a Hexagon Spider Web Diagram (HSWD) that was used in the Project for Strengthening District Health Services in the Morogoro Region, Tanzania. In this project an attempt was made to set indicators together with the C/P for management abilities, which formed the foundation of the project and were considered qualitative and difficult to catch sight of.

Aside from this, the same project had the goal of creating visible outcomes through working group tasks by the C/P which served as a means for effective transmission, extension, and strengthening the confidence and motivation of the C/P. Owing to this, the costs borne by the other side expanded for project completion, and so a burden of cost sharing was sought. Because the C/P acquired techniques for visualizing changes in its own capacity improvements, ownership took root in the concerned parties, and the resolute stance of having the Japanese side reduce the cost burden of the project was broken through.



Source: Referred to JICA (2008)