

ODA Evaluation Guidelines

7th Edition

(tentative translation)

QDA Evaluation Division

Minister's Secretariat

Ministry of Foreign Affairs of Japan

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Introduction

The Ministry of Foreign Affairs of Japan (hereafter; MOFA) conducts policy and program level evaluations (third party evaluations) every year in order to enhance its transparency and accountability as well as to improve Japan's Official Development Assistance (ODA).

The first edition of the ODA Evaluation Guidelines was compiled in 2003, based on the national and international theories in evaluations, as an indicator of MOFA ODA evaluation. This current seventh edition of the guidelines is being published after six times of revisions, incorporating the Ministry's experience in the evaluation of ODA and the latest practices in this field.

The principle revisions for this edition include the changes of evaluation standards by redefining three conventional ODA evaluation criteria (relevance of policies, effectiveness of results, and appropriateness of processes) as evaluation criteria from the aspect of development as well as introducing evaluation criteria from the aspect of diplomacy as another pillar of evaluation.

Furthermore, this version illustrates in detail the duties of third party evaluation teams composed of one evaluation chief, one advisor, and a few consultants (entrusted external parties), in order to clarify their specific roles as well as desirable involvement with stakeholders related to the target of evaluation.

In these guidelines, Chapter 1 "Basic Concepts of Evaluation" briefly presents the concept of evaluation as a whole, and Chapter 2 "ODA Evaluations in MOFA" outlines the evaluation of MOFA as well as its institutional mechanism.

Chapter 3 "Implementation of ODA Evaluations" explains the actual method and flow of the implementation of evaluations. We would recommend to refer mainly to Chapter 3 to those who use these guidelines as instructions on actual conduct of ODA evaluations on the policy level.

It is expected that main readers of these guidelines to be ODA evaluators, those in charge of various ODA activities, ODA researchers, etc., however, these guidelines are also created to be of benefit to the general public who are interested in ODA evaluation. For these reasons, care is taken in making these guidelines both easy to understand and useful in practice.

Be that as it may, ODA evaluations will continue to be conducted in order to improve Japan's ODA, and we sincerely hope that this publication will make a contribution to that end.

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ODA Evaluation Division
Minister's Secretariat, MOFA

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Chapter 1 Basic Concepts of Evaluation

This chapter defines evaluation in the field of development assistance and explains the basic concepts of which such as goals, standards and methods.

1.1 The Definition and Types of Evaluation

(1)Definition of evaluation

Opinions vary regarding the definition of evaluation, but the OECD-DAC (Organization for Economic Co-operation and Development, Development Assistance Committee) defines evaluation as "*the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results.*" As such, the term of "evaluation" shall mean a comprehensive and detailed assessment, which is usually conducted by setting particular item to be clarified (evaluation questions) prior to conducting the evaluation.

(2)Types of evaluation

As you can see in the definition above, there are various types of evaluation, which are categorized respectively according to their characteristics. They are categorized mainly by timing, evaluator, object, function, etc. (See BOX 1)

BOX 1 Types of evaluation	
Timing	<ul style="list-style-type: none">● Ex-ante evaluation Evaluation conducted before the implementation of development assistance● Mid-term evaluation Evaluation conducted in the middle stages of development assistance.● Ex-post evaluation Evaluation conducted after the completion of development assistance.
Evaluator	<ul style="list-style-type: none">● Internal evaluation Evaluation conducted by donors, development assistance experts, or entities / individuals who report to operation unit of the development assistance implementation agencies.● External evaluation Evaluations conducted by entities / individuals who are not the donors / agencies.● Independent evaluation Evaluation conducted by an individual / organization not constrained in any way by those in charge of planning and implementation of the development assistance project being evaluated.● Self-evaluation

	<p>Evaluation conducted by those working in the planning and implementation of the project.</p> <ul style="list-style-type: none"> ● Joint evaluation A collaborative evaluation with participation of a number of organizations and / or those working on the project. ● Participatory evaluation A method of evaluation in which representatives of stakeholders (including beneficiaries) and aid organizations jointly plan, implement, and interpret the results of evaluations.
Object	<ul style="list-style-type: none"> ● Thematic evaluation Evaluation of a specific thematic priority that cuts across countries, regions, and sectors. ● Country program evaluation / country policy evaluation Evaluation of a number of assistance by donors or agencies in a recipient country as well as the background of that assistance strategy. ● Sector program evaluation Evaluation of a collection of projects in a specific sector across a number of countries or within one country that contribute to specific development goals. ● Cluster evaluation Evaluation of a series of activities, projects, and / or programs. ● Program evaluation Evaluation of a series of assistance activities organized to achieve development goals on global, regional, national and sectoral basis. ● Project evaluation Evaluation of individual projects designed to achieve specific goals within a program and, often in a wider sense, with limited resources and implementation period.
Function	<ul style="list-style-type: none"> ● Formative evaluation Evaluation conducted to improve performance. Most of these evaluations are conducted while projects or programs are being implemented. ● Process evaluation Evaluation of the internal dynamics of implementing agencies, their policy instruments, systems for providing service, management practices, and the linkages between these. ● Summative evaluation Evaluation conducted at the end of an assistance project to determine how much of the anticipated outcomes have been achieved. Summative evaluations aim to provide information regarding the value of the program. ● Meta-evaluation Evaluation conducted to aggregate findings from a series of evaluations. The term may also refer to an evaluation that assesses the performance of the evaluator or the quality of the evaluation itself.

(3) Evaluation and similar concepts

Evaluation is often confused with similar concepts such as audit, review, or monitoring. However, evaluation is a process that comprehensively assesses an object in detail, and can be differentiated from monitoring, which continuously measures a set indicator or reviews overall performance. However, evaluation includes conduct of detailed analysis by utilizing data accumulated through monitoring, and these two activities are complementary to each other.

Even though auditors can be differentiated from evaluators in the aspect that auditors are to determine the compliance, there may be a case in which it is difficult to distinguish them from each other since auditors also analyze the process and/or the outcome of specific projects in the same manner as evaluation.

As such, there are some unclear notions regarding "evaluation"; therefore, this set of guidelines defines "evaluation" as comprehensive and detailed assessment of Official Development Assistance (ODA).

BOX2 Concepts similar to evaluation

- **Monitoring**

A continuous function which deals with systematic collection of data on specific indicators in order to provide information on the progress of implementation, degree of achievement, and the management of funds to stakeholders and relevant staffs at operation unit of implementing agencies .

- **Review**

Periodic or need basis assessment of performance of development assistance.

- **Audit**

An independent and objective procedure that is designed to improve certain operations of organization or to add further value (to the organization). It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to assess and improve the effectiveness of risk management control and governance processes.

*There are other similar concepts such as assessment, etc.

1.2 Goal of Evaluation

In general, evaluation is considered to have two goals: "**management**", which refers to bringing lessons learned into the further improvement of development assistance, and "**accountability**".

When evaluations were first introduced in the United States, the goal was set to be of use for Congress to ensure the accountability of the government's administrative systems; however, as questions rose against the governmental activities due to the budget deficits, etc, management of government activities was added to the objectives.

Furthermore, in the view of DAC on development assistance, management and accountability are regarded as two main goals of evaluation, and, accordingly, the following purposes were stated in the “Principles for Evaluation of Development Assistance”, published in 1991.

- ◆ Improve future assistance policy, programmes, and projects through feedback of lessons learned
- ◆ Provide a basis for accountability, including the provision of information to the public

In addition, DAC recognizes providing necessary and accurate information to policy makers and implementing agencies as well as to promote communication between practitioners of development process as important roles of evaluation. Please note that the term “accountability” in this document refers to responsibility of a government to bring about results/effectiveness of development to the public rather than financial or legal accountability.

1.3 Standards for Evaluation

Evaluation is made based on an assessment of planning, implementation, and result, and requires clear standards for the methods. OECD-DAC released in 1991 a set of main evaluation items, of which five items: relevance, effectiveness, efficiency, impacts, and sustainability have been widely used since then. These standards can be used selectively, not necessary as a set, depending on the goal of evaluation. There are also other standards that may be used for evaluation.

BOX3 DAC's Five Evaluation Criteria

- **Relevance**

The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

- **Effectiveness**

The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.

- **Efficiency**

A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

- **Impacts**

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

- **Sustainability**

The continuation of benefits from a development intervention after major development assistance has been completed.

1.4 Methods of Analysis and Collection of Information

Evaluation is conducted by collecting and analyzing information, and there are various methods used as outlined below. Each of these methods has its own strengths and weaknesses; therefore, it is important to conduct an accurate collection and analysis of information as much as possible by combining numerous methods.

(1) Methods of collecting information

A) Interview

Depending on the purpose, interviews of individuals, groups, key informants, etc. are conducted. The method of which are categorized as follows according to the strictures of questions;

●Structured interview

Conducted by following specific set of questions, in a similar manner to questionnaire

●Semi-structured interview

Conducted by following general framework of the items with extra/detailed questions asked when needed

●Unstructured interview

Conducted in open-ended style with questions made on the clear understanding of the objectives

B) Focus group discussion

A method of extracting useful information through a group discussion with around ten relevant persons on specific themes.

C) Direct observation

A method that directly observes persons, objects, actions, and phenomena. It can be implemented rather easily, although the results may vary, depending heavily on interpretation of each observer.

D) Literature search

A method that collects information from existing statistics and reports. Although this is a low cost and efficient way of researching, there may be an issue on the credibility of results.

E) Base-line study

This is an analysis of the current situations, which is conducted prior to the implementation of development assistance, with which assessment of progress reports and comparisons are made.

F) Surveys

Collection of comments from a wide range of direct beneficiaries and/or policy makers.

(2) Methods of Analysis

A) Risk analysis

Analysis or assessment on the possible causes to influence/affect the achievement of assistance goals (called hypothesis in log frame). It is a process that 1) assesses in detail the possibilities that negative results may occur to the people's life, health, property, or to the environment, 2) collects information relating to the possibility of such negative outcome as much as possible, and 3) quantify the possibility and possible impact of such suspected risks.

B) Case study

Method of developing principles of general characteristics of a specific group by clarifying such characteristics by interviews and observations, as well as by accumulation of similar cases.

C) Cost-benefit analysis

A method of determining the appropriateness of the implementation of a project, etc by comparing the monetary value, which is estimated on the presumption of social costs and benefits which may be brought by the implementation of the project.

D) Cost-effectiveness analysis

A method of comparing social costs and benefits of the project implementation not necessarily estimated by monetary value.

E) Input-output analysis

It is also called analysis of other sectors. It is a method of analysis created by Leontief aiming to the empirical application of the general equilibrium theory. It calls for equilibrium output of an industrial sector where the final demand of the offering is produced by dividing economic system into final sectors such as industrial sectors, which produces non-joint production of finance/service, household expenses etc.

F) Analysis using econometric model

A method of analyzing the financial effects of ODA by using an econometric model. The econometric model is “a formula made based on the statistics of mutual independence of each phenomenon by applying actual statistic data to the economic model ”.

G) Impact evaluation

An evaluation approach to measure in detail the changes to the society bought by the project implementation and policies. It is a comparison of the actual situation after the implementation and the hypothetical situation without the implementation of the projects.

Chapter 2 ODA Evaluation by MOFA

This chapter provides an overview of the past efforts made by MOFA in ODA evaluation as well as explanations of the implementation system, objectives, and types of ODA evaluation.

2.1 Background

(1) Introduction of ODA evaluation

Japan implemented its first ODA evaluation when the former Overseas Economic Cooperation Fund conducted an ex-post evaluation in 1975. Later, the ODA evaluation system was established by MOFA and JICA, following the implementation of ex-post evaluation by MOFA in 1981 and another one by JICA in the following year.

In 1981, MOFA established the Economic Cooperation Evaluation Committee, which was chaired by the Director-General for the Economic Cooperation Bureau, and started conducting ex-post evaluations on individual projects. Initially evaluations were implemented to "make Japan's economic cooperation more effective." Hence, the main objective of evaluation was to assist the management of individual projects. The focus on the management of programs was the reflection of influences from the opinion of OECD-DAC as well as the practice of the United States, which initially introduced the evaluation system.

Evaluations were mainly conducted 1) by MOFA dispatched survey teams (MOFA and JICA staffs), 2) through Japanese embassies abroad, 3) by JICA, or 4) by entrusting to private sector organizations. In addition, information was collected for these assessments mainly on infiltrations of the outcome into the local populations, degree of appreciation by the recipient countries, and the degree of achievement of the goals.

(2) Expansion of ODA evaluation

A) Expansion of objectives

In the 1980s, along with the expansion of ODA in a series of ODA mid-term goals, ODA drew increasing attention to Japanese citizens. As such, ODA evaluation started to receive more attention as a mean to pursue accountability of the Japanese government regarding ODA. Therefore, MOFA, since the 1990s, has listed fulfilment of accountability as one of the major objectives of evaluations, along with improvement of ODA management.

B) Enhancement of functions

In the 1990s, reflecting the expansion of evaluation objectives, the functions of evaluation also expanded. While, conventionally, the focus was made on feedbacks of the results of evaluation, which were to be utilized for formation and implementation of ODA plans, evaluations gradually gained a need to extend their functions to explain the effect of ODA to the public for the purpose of

accountability. Therefore, evaluation has become a bridge between the public and government agencies as a mean to provide information to the citizens regarding government activities. MOFA has published the evaluation results on its website since 1997, and currently all the evaluation reports and annual reports are available online.

C) Diversification of time periods for implementation of evaluation

As more and more consideration was made on the importance of the role of evaluation reflecting the expansion of its objectives and functions, there was more demand for conducting ex-ante evaluation and mid-term evaluation on plans and implementation progress of development assistance. This is believed to be a result that reflects a strong perspective that effective ODA can be achieved by managing each step of the development assistance, such as development of plan, implementation, and realization of outcome, in a consistent manner.

In 2000 and 2001, two reports, "Report on Reform of Japan's ODA Evaluation System" and "ODA Evaluation Study Group Report", were submitted to the Foreign Minister by the ODA Evaluation Reviewing Panel, which was established as a private advisory body for the Director-General of the Economic Cooperation Bureau at the time. Their recommendations included that "a system should be established for consistent evaluation in each steps of ex-ante, mid-term, and ex-post." The ODA Charter, which was revised in August 2003, also states that the government "will carry out (...) consecutive evaluations at all stages, i.e. ex-ante, mid-term, and ex-post."

D) Expansion of objectives

From the late 1980s to the early 1990s, the main donors were "fatigued from assistance" by decreasing ODA due to their own financial issues. Arguments were made on the significance and results of past performance of ODA, and suggestions were made to review the practice of ODA implementation in order to make ODA more efficient and effective.

As such, new forms of development assistance were introduced for further promotion of ODA including; a comprehensive approach and strategy beyond the framework of each project such as sector-wide approach, Comprehensive Development framework (CDF) and Poverty Reduction Strategies (PRS), etc. These systems incorporated the idea of managing government activities, such as New Public Management, by adopting management mechanisms including planning, monitoring, and evaluation of comprehensive assistance strategy.

Also in Japan, development of country assistance plan (policy) is progressing, further to strengthening activities on country and sector based assistance. Accordingly, the scope of evaluation objects expanded from individual projects to include sectoral, country level, and thematic assistance plans, as reflected in the new ODA Charter, stating that the government will conduct "evaluation in each level, i.e. policy, program, and project." Hence, MOFA and

implementing agencies conduct evaluations in collaboration in the policy, program and project levels.

BOX 4 Level of evaluation

- **Policy level evaluation**

Evaluation of a collection of activities (programs and/or projects) pursuing the realization of Japanese basic policies (such as ODA Charter, the Medium-Term Policy on ODA, Country Assistance Program / Policy, etc.).

- **Program level evaluation**

Evaluation of a collection of a number of various activities such as projects, which share common objectives

- **Project level evaluation**

Evaluation of individual economic assistance projects

E) Diversification of evaluators

Conventionally, MOFA's ODA evaluations were conducted internally by MOFA and JICA. However, after 2000, as the reform of ODA became more full-fledged, external third party evaluations gained more attention in order to ensure the transparency and efficiency of ODA. The report for the Second Council on ODA Reform, which was submitted in 2002, and the report of the Advisory Board on the Reform of MOFA, which was made for "Conference for change" held aiming a reform of MOFA, included recommendations on expansion of evaluations, especially focusing on third party evaluations, evaluations made by recipient country/agencies as well as joint evaluations conducted with other donors.

Currently, MOFA implements ODA evaluations mainly by third party evaluation as well as evaluations conducted by recipient country/agencies and joint evaluations conducted with other donors, etc. A third party evaluation is evaluation conducted by an external third party. An evaluation by recipient country/organization is conducted through entrusted government officials, universities, or research institutes in the recipient country in order to incorporate a perspective of the recipient country. Joint evaluations are conducted by MOFA together with external agencies such as other donors, international organizations, NGOs, etc. As such, ODA evaluation is implemented by MOFA through various evaluators.

2.2 Implementation system

(1) Roles of MOFA and JICA

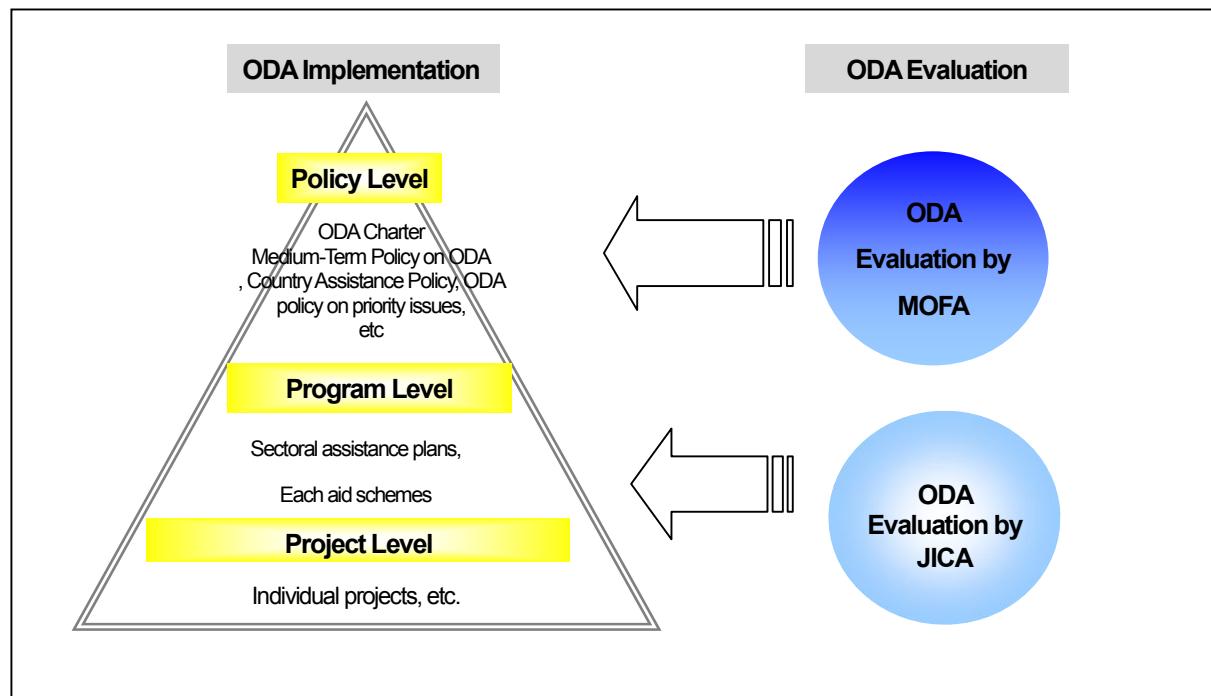
Japan's ODA evaluations are primarily implemented by MOFA and JICA. In order to perform evaluation efficiently, MOFA and JICA distinguish their objectives of evaluation and have their own different roles.

MOFA implements evaluations on policy/program levels since it is responsible for planning/developing of ODA policy. On the other hand, JICA, which implements each ODA project, focuses on project level evaluations, while it also conducts some thematic evaluations.

Policy level evaluations by MOFA are conducted on basic ODA policies such as the Medium-Term Policy on ODA, Country Assistance Policies, and ODA policy on priority issues. Program level evaluations are conducted by comprehensively analyzing a collection of several projects under the same objectives, following the MOFA ODA evaluation items. In contrast, JICA conducts its evaluation on each project implementation in more specific and precise manners.

In addition, since "Basic Law on Reforming Government Ministries of 1998" added MOFA a responsibility to coordinate overall government activities on ODA. ODA Evaluation Division at Minister's secretariat (hereafter; ODA Evaluation Division) of MOFA holds Inter-Ministerial Liaison Meeting on ODA Evaluation every year in order to share information on evaluation tools, international trends, etc. Furthermore, the Division also publishes "Annual Report on Japan's ODA" to the public every year, which is an accumulation of the result of ODA evaluations conducted by each Ministry.

Figure 1 Evaluation scope and system of implementation



(2) MOFA's ODA evaluation and policy evaluation

There are two types of MOFA's evaluations on economic assistance: "ODA Evaluation", which is conducted following the Order for Organization of MOFA, and "policy evaluation", which is conducted based on Policy Evaluation Act. Each one of them is based on respective ground with different implementation system, procedure, etc.

A) ODA Evaluation based on Order for the Organization of MOFA

Conventionally, the International Cooperation Bureau was in charge of ODA evaluations based on the Order for the Organization of MOFA; however, in FY 2011, ODA Evaluation Division was established in the Minister's Secretariat with the class of which is higher than the International Cooperation Bureau, in order to maintain the independency of implementation of evaluations. ODA Evaluation can be divided in three following categories;

(i) Third party evaluation

Implementation of third party evaluations (evaluations conducted by a party independent from both donors and recipients of assistance), which is the principle form of current ODA evaluation, used to be entrusted to external advisors or consultants by requesting the "External Advisory Meeting on ODA Evaluation", which consisted primarily of external academics, from October 2003 to March 2010. In FY2011, however, MOFA introduced open tendering system, in which consulting companies participating in the bidding will submit proposals in addition to composing an evaluation team, which includes experts (evaluation chiefs and advisors). The winning bidder will conduct the evaluation

(Reference) Recent evaluation projects

- ◆ Country assistance evaluation:
Japan's ODA policy to Egypt (FY 2010), India (FY 2009) and Turkey (FY 2008), etc.
- ◆ Priority issue evaluation:
Japan's Assistance to Africa through TICAD process (FY2007), etc.
- ◆ Scheme Evaluation:
Grant Aid for Fisheries (FY2010), Training and Dialog Program (FY2010), etc.
- ◆ Sector Evaluation:
Japan's Cooperation in the Education (Vocational Training) Sector in Senegal (FY2010)

(ii) Partner Country-led Evaluations

Having evaluations conducted by the receiving sides of assistance, i.e. by partner country governments and organizations, not only secures the transparency and fairness of Japan's ODA evaluation, but also promotes understanding of Japan's ODA to citizens of recipient countries, in addition to enhancing their capabilities of evaluation. The evaluators of these evaluations will be

government officials and agencies of the recipient country, consultants, think tanks, academic institutions, or NGOs with professional competence in the field.

(Reference) Recent evaluation projects:

Japan's ODA to the education sector in Mozambique (FY2011)

Japan's ODA in the water sector in Senegal (FY 2010)

(iii) Joint evaluations

MOFA also conducts joint evaluations with external organizations such as other donor countries/international organizations, recipient countries, NGOs, etc when considered appropriate. In some cases, in addition to experts, MOFA officials or officials from other external organizations may also participate as evaluators. Generally, evaluators hire a consultant specialized in gathering and analyzing information as a member of evaluation team. However, in some cases, consultants conduct evaluation directly by themselves.

In addition to improving management and maintaining accountability of ODA, joint evaluations with recipient countries are significant in supporting the ownerships of the recipient countries as well as strengthening partnerships with them. Further, more and more attention has been paid in recent years to the importance of implementing joint evaluations with several donors in order to have better understanding of a range of development assistance implemented by various donors. Japan has accumulated such implementations since FY2002. In 1997, joint evaluation of MOFA and NGOs was launched as "Mutual Learning and Joint Evaluation by NGOs and MOFA". Initially, the goal was set for mutual understanding by conducting a joint evaluation; however, based on the success in such concept, currently the main purpose is set to strengthening the coordination between the two parties.

(Reference) Recent evaluation cases

◆ Joint evaluation with partner countries:

Transport Infrastructure Sector in Vietnam (FY2005)

◆ Joint evaluations with other donors or international agencies:

Health and Education Sector in Morocco (with UNICEF) (FY2004)

◆ Joint evaluation with NGOs:

Education Sector in Laos (FY2008)

B) Policy Evaluation based on Policy Evaluations Act

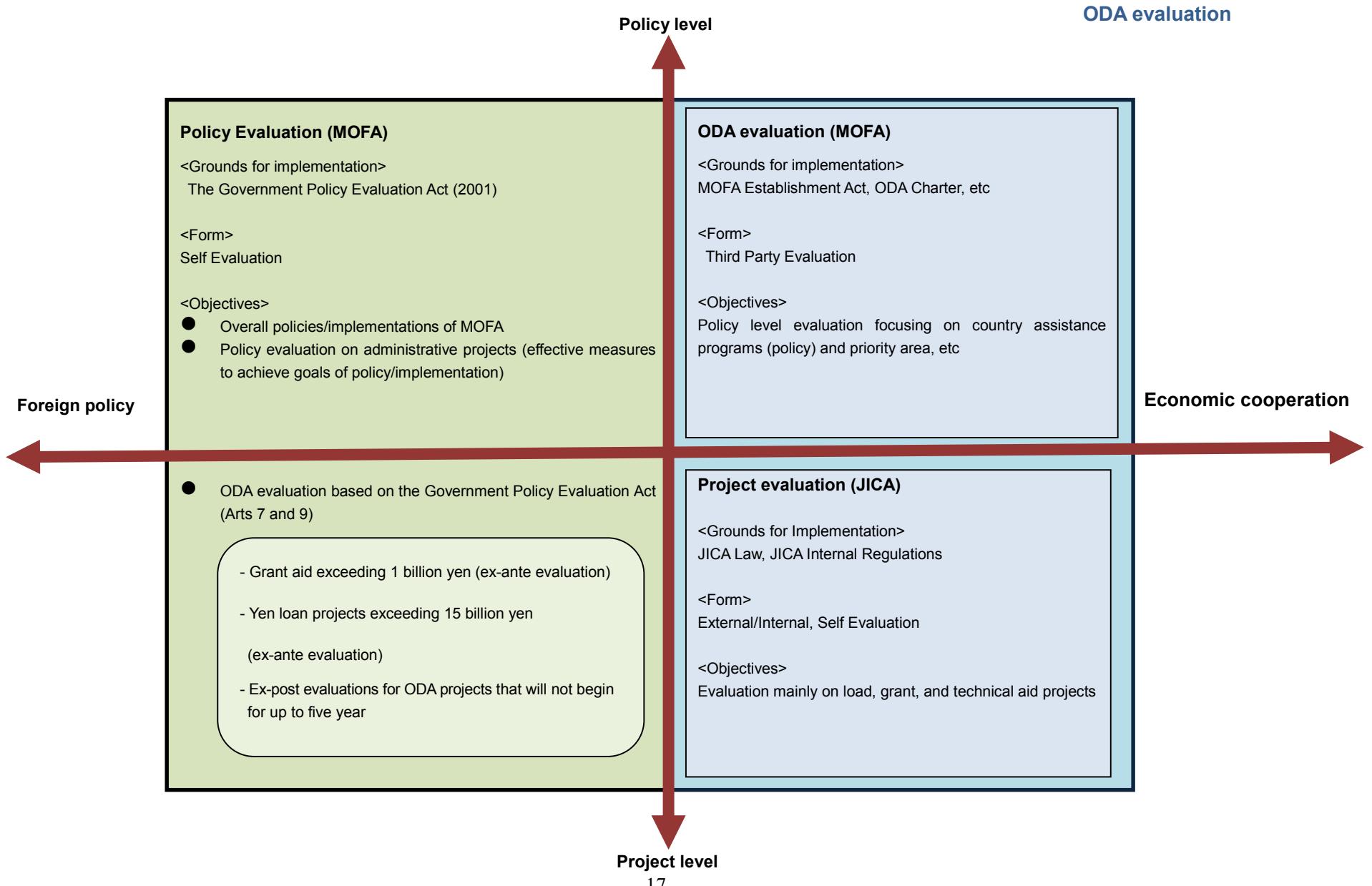
The Government Policy Evaluations Act (hereafter: Policy Evaluation Act) was adopted in June 2001 and put into effect in April 2002. The objectives were to "promote the objective and strict implementation of policy evaluation by setting fundamental principles, etc. regarding policy evaluation conducted by governmental organizations; reflect those outcome to the policy making in appropriate manner; publish the information regarding evaluation of policies to the public;

promote efficient and effective government functions; and fulfil the accountability to citizens regarding actions taken by the government"

The Policy Evaluations Act sets the primary objectives of evaluation as management and accountability, regulating evaluation by the responsible governmental organization as well as reflecting the result of these evaluations to the policy making in an appropriate manner, in the aspect of efficiency and effectiveness in order to gain well understanding in the outcome of their own policies. The targets of these evaluations are policies, implementations, and projects; among which, MOFA implements policy evaluations on diplomatic policies such as overall economic assistance policy in addition to ex-ante evaluations on general grant aid that exceed the 1 billion yen donation limit for exchange and yen loans that exceed the 1.5 billion yen limit, and ex-post evaluations are conducted for ODA projects that have not been completed after five and ten years.

Figure 2 Policy evaluation and ODA evaluation by MOFA

Policy Evaluation (since 2003)	ODA Evaluation (since 1981)
<u>Division in charge</u>	
Examination/Policy Evaluation Division, Minister's Secretariat	ODA Evaluation Division, Minister's Secretariat
<u>Grounds for implementation</u>	
The Government Policy Evaluations Act (2001)	MOFA Establishment Act, ODA Charter, etc
<u>Subject of evaluation</u>	
<u>Evaluation on policies and projects implemented by MOFA</u> Including following economic assistance areas: <ul style="list-style-type: none"> • Overall policy on economic assistance • Ex-ante evaluation on general grant aid projects with E/N credit limits exceeding 1 billion yen and ODA loan projects with E/N credit limits exceeding 15 billion yen • Ex-post evaluation on ODA projects not implemented at the point of 2005 and planned to complete at the end of 2010 	<u>Evaluation of policy and program levels of Japan's ODA implementation.</u> The following are the details; <ul style="list-style-type: none"> • Country assistance evaluation • Priority theme evaluation • Aid modalities evaluation • Others (Sectoral evaluation, Joint evaluation, evaluation through international organizations, etc.) <p>*JICA implements evaluation on each project level</p>
<u>Standards of evaluation</u>	
Needs, effectiveness, and efficiency of the policy as well as other necessary aspects of the implementation policy	"Relevance of policy", "effectiveness of the results" and "appropriateness of process" based on the five OECD-DAC evaluation criteria.
<u>Evaluator</u>	
Self-evaluation	Third party (external)



2.3 Objectives and Functions

(1) Objectives

As mentioned above, ODA evaluations have been conducted in order to ensure the government's effective and efficient ODA implementation as well as to provide information regarding ODA to citizens who fund these activities through taxes. As such, MOFA has set following two objectives for ODA evaluation;

- Improvement of the management of ODA**

Work towards the improvement of quality of and support for the management of ODA by examining ODA activities and feeding lessons learned back to ODA policy making and implementation processes.

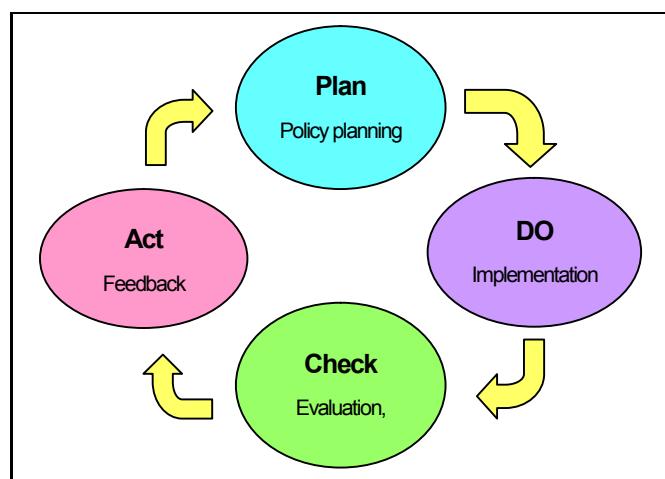
- Fulfilment of accountability**

By publishing evaluation results, fulfil government's accountability in addition to promoting the participation and understanding of citizens regarding ODA by improving the transparency.

(2) Functions

An ODA evaluation is conducted in accordance with the implementation system of MOFA in order to achieve above mentioned goals. With a purpose of improving management of ODA, a feedback function is essential for providing beneficial information for ODA policy making and implementation in the future. In addition, from the viewpoint of accountability to the citizens, there is a need to provide accurate information to citizens in a clear way. In order to respond to these demands, MOFA publicizes these evaluations on its website in addition to providing feedback on evaluation results to relevant MOFA officials responsible for the policies/projects, implementation agencies, and embassies abroad.

Figure 3 Functions of ODA evaluation (PDCA cycle)



Forms of evaluations are categorized into ex-ante, mid-term, and ex-post evaluations in chronological order. Other than project level evaluations, the concept of this categorization also applies to the policy/programme level evaluations. However, since ODA policies either continue or are revised in reality (excluding cases in which partner countries no longer receive ODA), it is difficult to classify ODA evaluations on policy level in the chronological order. For instance, while there is a need to implement an evaluation prior to the end of ongoing plans or the time frame of principles in order to provide with beneficial input for developing the next country assistance project/plans or principles, it is not appropriate to classify such assessment as one of ex-ante, mid-term, or ex-post evaluations.

The following explains the classification of evaluation in chronological order, even though it does not apply to policy level ODA evaluations;

A) Ex-ante stage

Evaluations conducted in the ex-ante stage (during policy planning stages) are called ex-ante evaluations. As mentioned above, ex-ante evaluations carry two aspects; providing information on selections made by policy-makers, and to provide necessary materials to set clear goals and indicators for achieving them.

B) Mid-term stage

In case mid-term evaluations are conducted during implementation of ODA, they are conducted in order to provide information for improving ODA by assessing the appropriateness, efficiency, and degree of achievement of the goals at the mid-term stage. Since the outcome of ODA may be realized years after the project is implemented, understanding in the situation of implementation will be the focus of evaluation at mid-term stage, rather than the long-term effects of ODA. In addition, monitoring may be conducted periodically during implementation of ODA in order to measure indicators which had been set at the planning stage

C) Ex-post stage

Ex-post evaluations are conducted after the ODA has been completed. Ex-post evaluations have functions to provide recommendations and beneficial information to be utilized in future ODA by examining the objectives, processes, degrees of achievement of the goals, and effectiveness of ODA with a general viewpoint.

D) Feedback

The results of evaluations are fed back to the ODA policy makers and implementation agencies in both Japan and the recipient countries.

At MOFA, in order to evaluate the basic policy of ODA, recommendations and lessons learned are reflected in revisions and planning of the ODA Charter, ODA Mid-Term Review, Country Assistance Policies, etc. and are also utilized for ODA policy making and implementations at the

International Cooperation Bureau and Japanese embassies abroad. In addition, since JICA mainly conducts project level evaluations, feedback of lessons learned from similar projects implemented in the past is provided for the project planning stages.

E) Publication

The result of an ODA evaluation is published to the citizens for fulfilment of government's accountability. The contents of ODA evaluation result include the objectives, processes of implementation, effects, etc., which may be utilized by the citizens to gain better understanding in the content of ODA. MOFA creates and publishes reports for each evaluation as well as an annual report (Annual Report on Japan's ODA Evaluation), which is a summary of these reports. These are made available on the website of MOFA.

2.4 Types of evaluation

MOFA classifies ODA evaluations into two: (1) policy level evaluation and (2) program level evaluation.

Policy level evaluations (country policy and priority issue evaluations) assess a collection of various projects and programs, and are implemented with a common purpose of realizing Japan's basic policies on economic cooperation.

Program level evaluations (sector evaluations and scheme evaluations) assess a collection of various projects, etc. which share common objectives.

Please note that JICA conducts project level evaluations on individual projects.

(1) Policy level evaluation

A) Country assistance evaluation

Country assistance evaluations assess general assistance policies for individual countries. Conventionally, these evaluations were conducted in major recipient countries of which the Government had country assistance plans, aiming to contribute to planning and revising country assistance programs. However, starting in FY2011, since the country assistance evaluation started to be made for all ODA recipient countries, MOFA has selected the objects of evaluations based on the comprehensive consideration made on the necessity to implement such evaluation, reflecting the increase in the importance of the objects in Japan's diplomatic policy, etc.

Assessments are conducted mainly on the progress of implementation of the ongoing assistance policy in order to gain lessons to improve future planning of assistance policies. Country assistance evaluations are conducted primarily by external third parties.

B) Priority issue evaluation

Priority issue evaluations assess initiatives presented in the ODA Charter as priority issues, or at international conferences, such as summits, by Japan. For example, reduction of poverty, Gender And Development (GAD) initiatives, and peace building can be the objects of evaluations.

Assessment on priority issue evaluation aims to clarify the outcome of the past activities (comprehensive evaluation) in addition to gain lessons to reflect on the future implementation and planning of Japanese assistance policies. Priority evaluations are conducted by third party evaluators; however, it is also possible to conduct jointly with other donors, NGO, etc.

(2) Program level evaluation

A) Sector evaluations

Sector evaluations assess a collection of ODA activities in each sector in a specific country. If there is sector based development plan for areas such as medical care, health, infrastructure, these will be the objects for evaluation; if there is no such plan, overall ODA activities in a particular sector will be assessed.

These evaluations are mainly conducted by third party evaluations; however, it is also possible to conduct joint evaluations with other donors, NGO, etc.

B) Scheme evaluations

In principle, scheme evaluations are conducted focusing on a particular scheme in order to gain lessons for further improvement/revisions of such assistance scheme(i.e. grant aid for grassroots and human security, grant aid for Japan's NGO projects, grant aid for culture, etc.).

Chapter 3 Implementation of ODA Evaluations

This chapter illustrates the procedures for implementation of MOFA's ODA evaluation according to its form

3. 1 Workflow of duties

MOFA's ODA evaluation is generally conducted in the following process;

■ Planning:

MOFA creates annual ODA evaluation plan by selecting the object countries, issues, sectors, and aid schemes, in addition to the types of evaluation (third party, joint evaluation, etc.). Furthermore, this plan will be reported to the Meeting on Appropriate ODA held by International Cooperation Bureau.

■ Implementation:

Implementation of evaluation varies according to the type of evaluation; therefore the details will be explained in later in following categories: (1) third party evaluation, (2) joint evaluation, and (3) evaluation by the recipient country/organization.

■ Feedback:

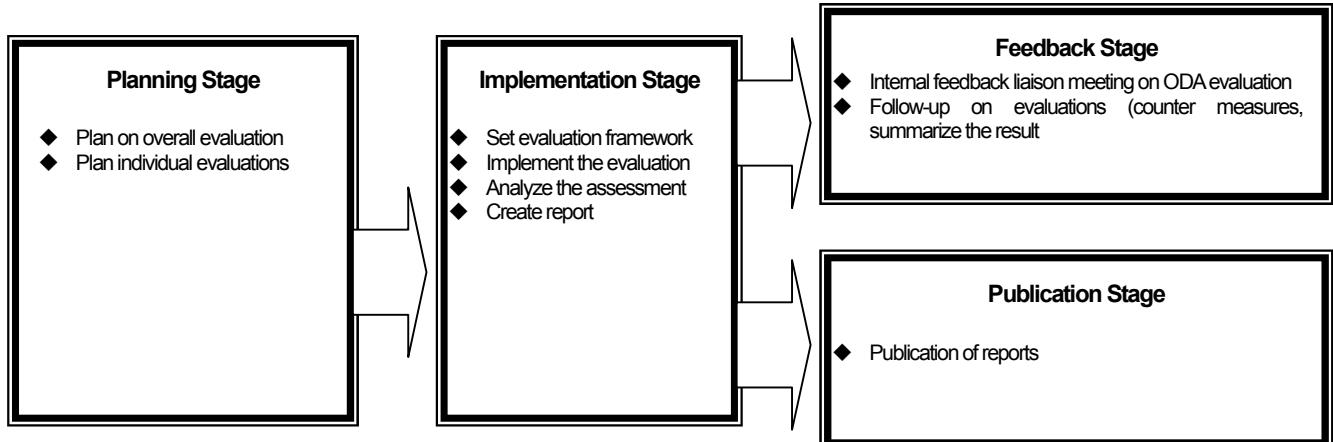
Evaluation results are brought to ODA policy makers and implementing entities both in Japan and the recipient countries as feedbacks. Specifically, ODA Evaluation Division, which belongs to the Minister's Secretariat, hosts an internal feedback liaison meeting on ODA Evaluation in order to report the evaluation results and develop a counter measures of International Cooperation Bureau

Conditions of follow-back effort are listed in annual reports, as well as on the MOFA website: www.mofa.go.jp/mofaj/gaiko/ODA/shiryo/hyouka.html. In addition, evaluation reports are made available to the relevant officials of the recipient countries through the Japanese embassies overseas.

■ Publication:

Evaluation results and follow-up measures are made available to the public through MOFA's website in addition to annual reports, which are also sent to legislators, experts, NGOs, universities and libraries, etc.

Figure4 Workflow of Third Party Evaluations, etc.



(1) Third party evaluations

Implementation of third party evaluations is entrusted respectively to external third parties, which are selected by the general competitive bidding system. The entrusted evaluation team carry out the duties from planning of ODA evaluation survey to creation of report, having consultation with the ODA Evaluation Division. Details of the schedules and work procedures are as outlined as below;

A) Development of evaluation implementation plan (April)

ODA Evaluation Division, in order to announce information for general competitive bidding, creates a tentative implementation plan of evaluation by consulting with related divisions and departments within MOFA. The tentative plan sets drafted basic contents such as the goal and the objects of evaluation, work process, implementation schedule, etc.

B) Selection of evaluation team (April - May)

Each consulting firms, upon participating in the general competitive bidding process, needs to present a project proposal in addition to forming an evaluation team, which shall be consist of one evaluation chief (an expert or one having experience in the field) and one advisor (an expert in the region, field, or bilateral relationship between Japan and the selected country). The evaluation chief is to be in charge of supervising the evaluation report as a whole, while the advisor will need to provide advice to the evaluation team as an expert of the evaluation objects.

Prior to the implementation of evaluation, ODA Evaluation Division holds a joint meeting with representatives of each team (primarily for the leaders of consultants) and explains general important items in order to ensure the uniformity in quality of each evaluation. Furthermore, the Division also monitors the progress of evaluation reports in a timely manner as a project entruster. Representatives of the evaluation teams are requested to ensure good communication with other

team members as well as to communicate with ODA Division compiling the opinions from the entire team.

C) Planning evaluation design (June to July)

The selected evaluation teams (one evaluation chief, one advisor, a few assisting consultants) develop evaluation designs, which includes objectives, scopes, methods, work schedules, etc. Upon completion, the first consultation meeting will be held with relevant MOFA and JICA officials. The meeting will be an opportunity to confirm the details of evaluation designs with the relevant parties as well as to modify the designs, if necessary, by further understanding the evaluation needs.

D) Implementation of evaluation study (June to December)

Based on the evaluation designs, the evaluation teams conduct research in both Japan and overseas (MOFA official will accompany the field survey abroad as an observer). The periods of the field study in recipient countries or other relevant countries shall be decided by consulting with ODA Evaluation Division. The second consultation meeting shall be held prior to the field study in overseas in order to share the schedules, objectives, etc of the evaluation among relevant parties.

Please note that for requests for information on and appointments for interviews with MOFA, JICA or the government agencies in the selected country shall be arranged through the ODA Evaluation Division.

E) Hold meeting for reporting the field assessment (October to December)

Following to implementation of field study abroad, the evaluation teams hold the third consultation meeting with participation of MOFA, JICA and other related entities, in order to share the results of survey and the plan of report drafting.

F) Draw up draft report (December to January of the following year)

The evaluation teams draw up reports by analyzing collected information and summarizing the results of their work.

G) Hold final consultation meeting/completion of report (January in the following year to February)

At the point when completing the final draft of reports, the evaluation teams hold a final consultation meeting with participation of MOFA, JICA and other related entities in order to invite comments for the drafted reports. Considering the comments made by the relevant entities, the evaluation teams finalize the content of a report followed by the final confirmation by ODA Evaluation Division. Please note that copyright of the report will belong to MOFA.

(2) Joint Evaluation

A) Joint evaluation with recipient country

It is conducted upon agreement with a recipient country. In principle, evaluators of each side consist of MOFA, relevant officials of the recipient country, and consultants from the both countries; however, there is a case in which the evaluation is conducted solely by consultants selected by the both countries.

B) Joint evaluations with other donors/international organizations

It is conducted upon agreement with other donors or international organizations. The evaluation procedure is the same as the above.

C) Joint evaluations with NGOs

It is conducted upon agreement with NGOs. The third party joint evaluation by NGOs and experts is conducted including the representatives of NGO, following the procedure outlined in (1).

(3) Partner Country-led Evaluation

In principle, evaluators, objectives, etc are decided by consultations with the Japanese embassy and a recipient country. The embassy is responsible for concluding contracts with evaluators, following up the progress of evaluation, etc. When the final report is completed, the embassy organizes a local meeting on reporting evaluation results as follow-up by inviting relevant officials from the ODA Task Force and from the government of recipient country, etc.

3.2 Implementation Methods for Evaluation

This section introduces basic methods for evaluation used by ODA third party evaluations of MOFA, which was mentioned in 3.1(1) above.

In addition to evaluation from the aspect of development, which has been the core principle of the ODA evaluations of MOFA, evaluation from the aspect of diplomacy has been added as a new criteria introduced recently by the ODA Evaluation Division.

(1) Main Evaluation Criteria

A) Evaluation from the aspect of development

Currently there is no internationally or nationally uniformed method of conducting policy and program levels evaluations; nor are established standards.

MOFA, for implementing third party evaluations, has set out its original evaluation standards based on the five evaluation criteria established by OECD-DAC in 1991. Among others, “relevance of policies”, “effectiveness of results”, and “appropriateness of processes” are to be examined.

Following (2) and there after refer to the interpretations of these three criteria according to each evaluation form. Please note that evaluations conducted by MOFA by itself based on the Policy Evaluation Act are implemented in accordance with the “Basic Plans on Policy Evaluation” including the aspects of needs, effectiveness, and efficiency, etc.

BOX5 Three evaluation criteria adopted by MOFA

•Relevance of Policies

Examination will be made on the relevance of policies or programs of the evaluation objects to the Japan's higher ODA policies and the needs in the partner country.

•Effectiveness of Results

Examination will be made to assess whether or not the original goals have been achieved. Since Japan's ODA policies or programs rarely set out the measurable goals, it is often conducted as compilations the details of outputs or outcomes.

•Appropriateness of Processes

Examination will be made to assess whether or not the appropriate process has been taken in order to ensure the relevance or effectiveness of policy/program

B) Evaluation from the aspect of diplomacy

It is difficult to maintain or further develop ODA without understanding and support of Japanese citizens, who support it by paying taxes. Since Japan has been experiencing economic and financial difficulties, it has become particularly important to measure how much contributions has been made by ODA towards Japan's national interest (from the aspect of diplomacy), not only towards the development in recipient countries (from the aspect of development). “ODA Review Final Report (hereafter: ODA Review)”, which was presented by MOFA in June 2010, clearly states that ODA is one of Japan's diplomatic tool, which pursues international common interest. Against this background, the ODA Evaluation Division introduced a concept of evaluation in diplomacy in the sixth edition of these Guidelines on trial basis.

In this current seventh edition, the above mentioned concept is referred to as evaluation from the aspect of diplomacy as one of the principle evaluation scopes of ODA evaluation. However, considering the difficulty in measuring effects to the national interest objectively by third parties, this evaluation shall be qualitative analysis (writing), mainly of interview surveys with relevant parties in both Japan and overseas, not based on quantitative analysis (counting).

BOX6 Criteria on evaluation from the aspect of diplomacy (example)

(From "Research on ODA evaluation (measures/systems) in policy level" in FY2010)

Evaluation in diplomacy	Specific evaluation items
Diplomatic importance	<ul style="list-style-type: none"> • Importance of diplomatic relations with country concerned • Importance of the country concerned in light of philosophy of Japan's foreign affairs (International peace and prosperity) • Importance of assistance in bilateral relations analyzed above
Diplomatic impact (contribution to Japan's benefit)	<ul style="list-style-type: none"> • Effects on bilateral diplomatic relations • Ripple effects on deepening the bilateral economic relations • Ripple effects on promotion of friendly relations, and improvement of favourable impression of Japan • Effects on sharing of opinion and support for Japan's position at international meetings, etc. • Ripple effects on regional stability and sustainable development, etc.

BOX7 Steps for evaluating diplomatic goals

(from "Evaluation on Grant Aid for Fisheries" in FY2011)

Evaluation Step	Indicator	Evaluation Method	Position of Evaluation
Step 1 Does the Japan side share the diplomatic goals down to the field level?	Degree of understanding/ action toward Japan's diplomatic goals by JICA and embassy	Interview survey with JICA and embassy of Japan in the recipient country	Appropriateness of process toward diplomatic goals
Step 2 Is the recipient country aware of Japan's policy and the diplomatic goals?	Degree of understanding of Japan's diplomatic goals by the recipient country	Interview survey with government agency of the recipient country	
Step 3 Is the recipient country showing positive reaction?	Degree of cooperative action with Japan's diplomatic goals by the recipient country	Evaluation of supporting behaviour of the recipient country in the international arena	Effectiveness of scheme toward diplomatic goals

(2) County Assistance Evaluations

A) Planning of evaluation design

First, an evaluation team will develop an evaluation design which includes (i) the objectives, (ii) scopes, (iii) methods, (iv) work schedule, etc. In this process, the team may have necessary consultations with ODA Evaluation Division. It is also required to acquire and refer to information and comments from MOFA, JICA, and other related parties by holding consultation meetings, etc.

(i) Objectives

MOFA's main objectives of evaluations are to improve the management of ODA and to maintain accountability. In country assistance evaluations in particular, the objectives are to promote understanding of local citizens regarding Japan's ODA and to reflect the results in Japan's foreign and development policy. In addition, when evaluations are conducted in alignment with review/revision cycles of Country Assistance Policies and principles, they will be used as reference.

(ii) Scopes

Policy objectives will be sorted systematically in order to set boundaries for the scope of evaluation. When conducting an evaluation on Country Assistance Policy, a systematic chart, which simply outlines the scopes, will be created. In general, since it is difficult to put every detail into one chart because of the large volume of projects, it is ideal to describe individual projects as much as possible by referencing to the project development plans, etc.

In case where the objective country is not in the scope of Country Assistance Policies, the systematic chart is created based on the ODA policy toward the selected country and the priority areas.

In addition, while all ODA activities can be the objects of evaluation for country assistance evaluations, the scope shall be narrowed by setting an evaluation time period. Generally, when evaluating Country Assistance Policies, the time period is set from the time when the plan or policy was developed to the right before the evaluation.

Also, assistance provided through international agencies may be the objects of evaluation when considered appropriate (however, this is limited to assistance of which the usage of funds can be identified such as the Japan Fund, excluding funds allocated to regular budgets of international organizations and contributions).

(iii) Method

This section clarifies the evaluation method for analyzing and assessing Country Assistance Policy evaluation. Determinations on method of evaluation shall be made considering evaluation framework, which simplifies viewpoint, standard, where information will be collected from, etc.

Currently there is no internationally or domestically established method; MOFA conducts evaluations comprehensively in aspects of planning, process, and outcome. In this method, the evaluation is made based on the analysis on each evaluation aspect, which is set for each evaluation criteria. In principle, the standards of evaluation are set on the relevance for policy, appropriateness for process, and effectiveness for the result. However, standards are not limited to these, and additional appropriate standards can be set depending on the condition.

Furthermore, it is important not to just strictly follow the rules (policies) of evaluation based on what is written in the Country Assistance Policies or principles, but to verify in detail what have

been achieved (nor have not achieved) in the general ODA policies, which are reflected in those principles, and what led to such results.

◆Relevance of policies

Relevance assess Japan's ODA on 1) consistency with partner country's needs, 2) consistency with priority in Japan's policies (whether it is still relevant after planning to time of evaluation), 3) consistency with international priority issues, 4) balancing policy with other donors, and 5) Japan's competitive advantage. Regarding 1) and 2), evaluation will be made on the objects listed in a systematic chart by assessing whether the policy in question was set considering Japan's priority policies and international development challenges.

◆Effectiveness of results

Effectiveness of results measures the degree of which the original goals have been achieved by assessing in detail the outcome, looking at the flow from input to output. In particular, evaluation items are set to assess 1) proportion of Japan's performance in the development budget of the recipient country (input), 2) degree of achievement of the original set goals, 3) the balance of input and the degree of achievement of the original set goals, etc. As such, evaluation on effectiveness requires indicators to assess the performance in each level: input, output, and outcome. However, since such indicators are not set by Japanese assistance policy, there is a need to set them at the designing stage by incorporating the relevant information. Furthermore, there needs to be inputs from other donors, international organizations, selected recipient country, NGOs, and other relevant entities when understanding the effectiveness of Japanese assistance. Therefore, the outcome of the development is the consequence of various factors.

◆Appropriateness of processes

Appropriateness of process assess whether a certain process has been adopted in order to ensure the effectiveness of results and relevance of policy. Specifically, assessments are made on 1) whether efforts or approaches have been made to specific items listed in the Country Assistance Policy, 2) whether effort have been made (policy meetings, sector meetings, etc.) to continuously understand the needs of the recipient country, 3) whether an implementation system for the local ODA task force and that of MOFA have been organized, 4) whether there has been a process to periodically monitor the conditions of implementation of policy, and 5) whether efforts have been made to coordinate with other donors, international agencies, etc.

B) Implementation of evaluation survey

The evaluation team will conduct surveys both domestically and abroad in order to collect necessary information for the evaluation design, especially for making evaluations. Considering the limits to time and budget, the information shall be gathered domestically as much as possible, and specify the information which can be gathered only in the location overseas (i.e., interviews with relevant parties of the Government in the selected country, collection of local statistics, etc.).

While there are various methods for collecting and analyzing data such as literature reviews, research of examples, baseline studies, etc., it is effective to conduct triangulation method, which is a combination of various methods to obtain information with high credibility.

Regarding field studies, it is important to create a questionnaire listing necessary questions for evaluation and send it beforehand (through embassy) to relevant parties in the selected country prior to the field study for effective implementation.

C) Analysis of information

At this stage, evaluation is made based on the analysis of information collected in domestic and overseas field studies following the evaluation framework. In case quantitative objectives are set and there is abundant data, it is possible to conduct quantitative analysis such as cost effectiveness analysis, econometric analysis, etc; however, for most cases, since Japan's Country Assistance Policies carry qualitative goals in many cases, qualitative analysis is made accordingly.

Based on the results led from the above mentioned analysis, evaluation shall be made on good practices for effective/efficient implementation in order to promote such examples. Furthermore, recommendation shall be made if there is a point to improve or reform by listing specific recommendations along with necessary information.

D) Drawing up report

The evaluation team draws up a report containing the details gained by above mentioned procedure. In addition to a Japanese version, a foreign language version (summary) will be made in order to feed the information back to the selected countries and to share information with other donors and international organization. Furthermore, summaries for publishing on MOFA website will be also created. ODA Evaluation Division publishes the entire reports, summaries, and foreign language versions on its website.

The evaluation team will draw up a draft report and will request comments to the relevant entities in order to avoid misjudgement of the facts, etc. In general, a consultation is held with participation of relevant MOFA and JICA officials to discuss the contents of draft reports. Further, in principle, ODA Evaluation Division makes requests for written comments to the Japanese embassy in the country of evaluation and compiles those comments as a coordinator.

In case where an agreement cannot be made between the evaluation teams and other relevant parties because of their differences in opinion, it is reasonable that the evaluation team, which is responsible for writing the report, makes a final decision, considering the benefit of a third party evaluation. However, in order to have practical feedbacks on the policies and implementations, it is important to make an objective and well-balanced evaluation report, reflecting the opinions of MOFA and JICA, which are the receivers of the report, up to some level.

The report consists of summary and full text versions, which must contain implementing policy, summary of scopes, results of evaluation, and recommendations. It is important to make summaries in the aspect of accountability since an evaluation report tends to be of a large volume

including reference material, data, etc. For details of the report format such as font, cover, and contexts, the evaluation team is requested to carefully refer to “Handbook on creating ODA Evaluation Report”, published by MOFA by highlighting such information,

(3) Priority Issue Evaluations

Following is the guideline on planning evaluation design for priority issue evaluations.
(For implementation of evaluation survey, information analyses, and drawing up the report, please follow the manner of country assistance evaluation written in above)

(i) Objectives

The evaluation aims to understand the implementing situation of priority issues of Japan's diplomatic and development policies, to make references for policy making and review of sector program initiatives, as well as to promote understanding of Japanese citizens in the activities and effort of Japan regarding the specific priority issues.

(ii) Scopes

Policy objectives will be sorted systematically in order to set boundaries for the scope of objects of evaluation. When the ODA Charter or priority issues for Medium-Term Policy on ODA are scopes of evaluation, a figure shall be created in order to illustrate systematic chart of objectives by referring to ODA Charter, Medium-Term Policy on ODA, or the details of sector program initiatives when appropriate.

Furthermore, the scopes may be set on multilateral assistance through international organization when considered necessary (however, this is limited to assistance of which the usage of funds can be identified such as the Japan Fund, excluding funds allocated to regular budgets of international organizations and contributions).

(iii) Method

Evaluation standards shall be set to each evaluation viewpoint in order to make evaluations by analyzing the details according to it; further, in order to conduct more specific assessment, it is effective to analyze a specific country as a case study for more detailed analysis.

◆ Relevance of policies

Relevance of policy assesses 1) the importance in Japan's foreign policy and 2) relevance to efforts and trends of international society/assistance policy. However, in contrast to country assistance evaluation, the priority issues in the objects of the evaluation themselves tend to be listed as ones of the prioritized diplomatic policies/objectives.

◆Effectiveness of results

The specific items to evaluate on this scope are; performance of Japan in the development of the selected country regarding the percentage and degree of effectiveness of such assistance in 1) international society, 2) a specific country, and 3) specific region.

◆Appropriateness of processes

Items for evaluating appropriateness of processes should be as follows; 1) whether efforts and approaches have been taken to specific themes noted in the Medium-Term Policy on ODA, 2) whether a coordination has been made between other donors and international organizations, 3) whether consultations have been made with the recipient country, 4) whether an implementation system has been organized, and 5) whether a process has been taken to periodically report the conditions of implementation of policies. Please note that the focus should be made on the issues, which need to be improved, and good practice to be referenced for other programs regarding the result of evaluations on relevance/ effectiveness.

(4) Sector Evaluations

Following are the guideline on planning of evaluation design for sector evaluations.

(For implementation of evaluation, information analyses, and drawing up the report, please refer to Country Assistance Evaluations).

(i) Objectives

Main objectives of ODA evaluation at MOFA are to improve management of ODA and fulfil accountability. In sector evaluations in particular, the main objectives of evaluation are to make reference for policy/ plan making and revisions in the target sector in the selected country as well as promoting understanding by Japanese citizens regarding the activities and efforts made by Japan for the target policy/plan.

(ii) Scopes

Objectives of plans and policies are sorted systematically in order to set boundaries for the evaluation objects. When there is a sector program plan/policy, a systematic chart shall be created based on the contents in order to illustrate the objectives in simplified manner. In case there is no such plan or policy made for the sector, a chart should be made referring to the Country Assistance Policies or to the relevant area of the assistance policy. Even though it is difficult to insert every piece of information, when there is a large volume of projects, it is ideal to list individual projects as much as possible.

Furthermore, for multilateral assistance and setting time period for evaluation objects, they should be preceded in the same manner as the other types of evaluations.

(iii) Method

Evaluation standard shall be set to each evaluation viewpoint in order to make evaluation by analyzing the degrees of achievements

◆Relevance of policies

Relevance assesses Japanese assistance in 1) consistency to the policy, plan, and needs of the recipient country, 2) compatibility to the Japanese prioritized policies, 3) balance to assistance from the other donors, etc.

◆Effectiveness of results

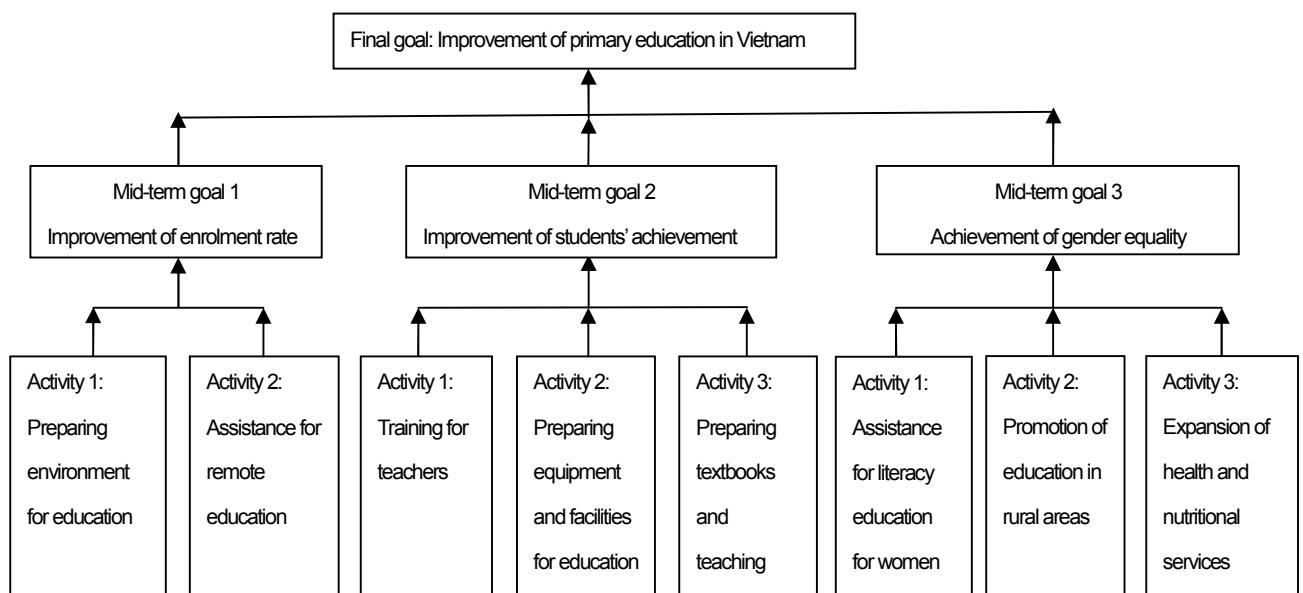
Evaluation is made based on 1) the degree of Japan's development assistance in comparison with other donors in the sector, 2) the degree of achievement of the initial goals, and 3) degree of effectiveness in comparison to the input, etc.

For example, an evaluation can be made based on the amount of input to the education sector in the selected country (input), the capacity of the school which is built with Japan's assistance, i.e. the percentage of the number of accommodation of children either in the country or a specific region (output), and the degree of improvement in school enrolment rate in the country or the region (outcome), etc.

◆Appropriateness of processes

Assessments are made considering; 1) whether enough consultation has been made with recipient country in order to understand the development issue of the specific sector, 2) whether beneficial coordination has been made between sectors, 3) whether coordination and collaboration with other donors and international organizations have been made, 4) whether implementation systems for assistance have been sufficient, and 5) whether there has been a process to periodically grasp the conditions of implementation of policy.

Figure5 Systemized Objectives of Sector Program Evaluations (Example)



(5) Scheme Evaluations

Following are the guideline on planning evaluation design for Scheme Evaluations.

(For implementation of evaluation, information analyses, and drawing up the report, please refer to the procedure listed for Country Assistance Evaluations.)

(i) Objectives

Main objectives are to make reference for the improvement in overall schemes as well as promoting the understanding of Japanese citizens in the activities and efforts made by the Government of Japan. It is effective to set evaluation standards to each evaluation view point, with which the evaluation is made by analyzing the degree of achievement.

(ii) Scopes

A systematic chart of the evaluation objectives is organized in order to set the scope of evaluation objects. A figure will be made on simplified chart of the objectives, reflecting the implementation procedure for aid mobility. Even though the assistance in the modality overall will be objects of evaluation, the scope will be narrowed by setting timelines for evaluation. In principle, the performances in the past three to five years tend to be selected.

(iii) Method

In principle, comprehensive method for evaluation is made on the three basic aspects: policy, process, and results. Since there may be different aspects to be concern depending on the schemes, it is possible to assess in open manner for each of the three aspects. At the same time, it is important to clarify issues of the scheme by considering the external conditions such as possibility and risks, on top of understanding the strength and weakness of the scheme itself.

In addition, it is effective to analyze a specific country as a case study for more detailed analysis.

◆Relevance of policies

Relevance assesses 1) the consistency with development needs of the recipient country, 2) consistency with Japan's priority policies such as ODA Charter and Medium-Term Policy on ODA, and 3) consistency with international development issues.

◆Effectiveness of results

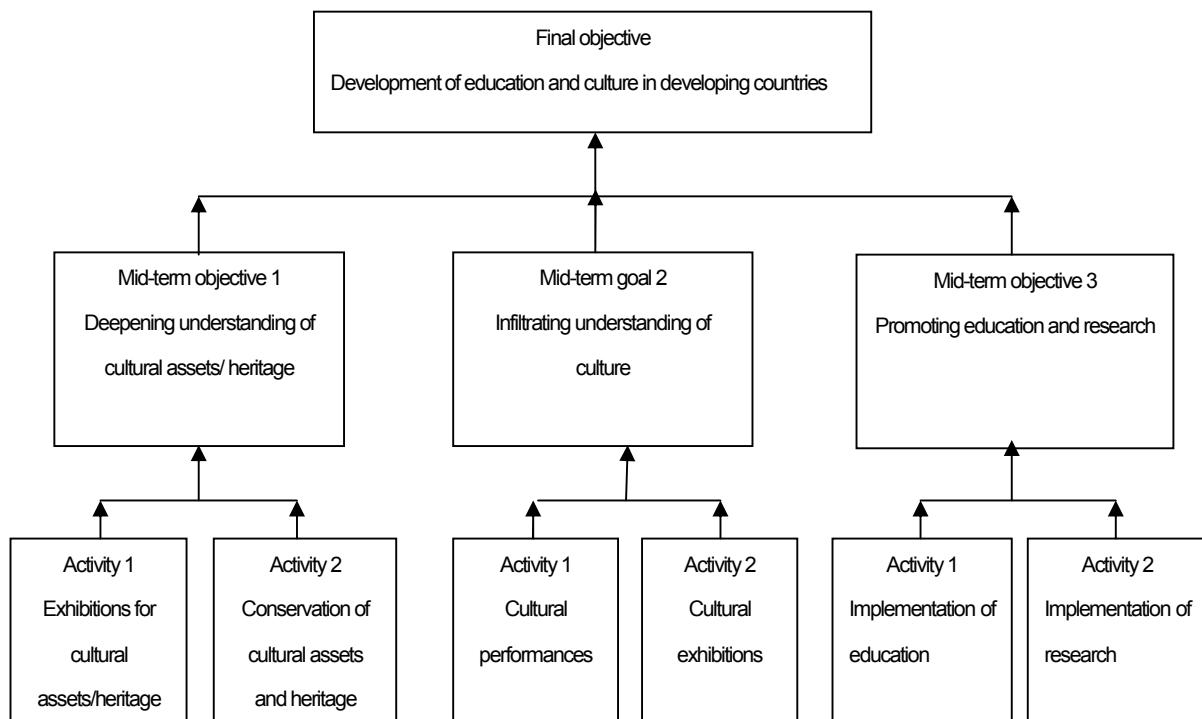
Effectiveness refers to the degree to which the initially objectives have been achieved by measuring the degree of achievement of the target scheme set by the implementation procedure. Since it is difficult to set objectives of schemes in quantitative manner, evaluations are made on the qualitative way in principle.

◆Appropriateness of processes

Appropriateness of process assesses if a procedure has been taken to ensure the relevance of the scheme objectives and effectiveness of the result. Specifically, evaluation is made on 1)

conditions of guidelines for operating aid modalities, 2) implementation system, and 3) progress of implementation of monitoring and follow-up.

Figure6 System of Objectives for Scheme Evaluations (Example)



3.3 Aiming for higher quality evaluations

ODA evaluations have been continued to expand until now. At the same time, various challenges have been pointed out on evaluation such as confusion in the concept, technical challenges, feed-backs of evaluation results, independence of evaluators, ethical issues, etc.

Evaluators and other relevant parties including requesters of evaluation, policy makers, those that are evaluated, etc., need to consider the following points in order to further improve quality of ODA evaluations.

(1) Improving quality of content of evaluations

A) Macro level impacts of development assistance

In order to improve the quality of contents of evaluations, it is important to properly understand the evaluation scopes in order to collect appropriate information on set evaluation items, questions, and indicators. In other words, there is a need to create an appropriate “framework for evaluation”, which is referred to as an evaluation design. It is important to use the most appropriate method for evaluating three evaluation items. In particular, for “effectiveness of the result”, which measures the

impact of development assistance, it is possible to overview the causal relations in project level and micro level by utilizing a hierarchical tree and a logical tree. In addition, when it is difficult to capture the specific causal relations because of the wide spread of the objects to all over the world, it is effective to take a quantitative approach to explain in regression style the relation of the changes in conditions and assistance provided by using quantitative data, as well as the method to explain in details by analyzing one country as a case study.

B) Trial introduction of “Rating” for evaluation from the aspect of development

MOFA, at “Consultation on the ODA Review (June, 2010)” suggested ‘Visibility’ of ODA, recommended to introduce a rating system (classification or grading) on trial basis into the evaluation from the aspect of development. Yet, different from project level evaluations, there has not yet been a satisfactory rating method developed for policy level evaluations because of the wide range of evaluation objects. In addition, there are few cases in which other donors (especially bilateral donors) have introduced a rating system for their policy level evaluations. Therefore, MOFA currently does not pose an obligation to introduce ratings in its ODA evaluations; it is up to the decision of evaluation team to conduct such method or not.

Furthermore, while rating has a merit to make evaluations more “visible”, there is a risk to produce oversimplified result with lack of consideration of individual issues or backgrounds of each evaluation item. Therefore, there is a need to minimize such possible risks by ensuring to provide supplementary explanations on documents constantly, etc. An example of rating standards is listed as Figure 7 for reference. Since it is only one of the examples, there is no requirement for the model, and it is also possible to use other rating standards or no rating standards at all.

C) Knowledge and experience of evaluators

The selection and procurement of evaluation teams shall be conducted with a transparent and open procedure. The evaluation team shall include experts in the evaluation method and expert of specific area, as well as experts of the objective country/region with a careful consideration of gender balance.

Figure7 Example of rating standards for evaluation of development assistance.

[Rating standards for Country Assistance Evaluation of Peru]

Evaluation of Development Assistance		Rating (standards)
Relevance of Policies	[Relevance to development needs in the recipient country] 1. Consistency with the development needs in Peruvian national development plans, social/economic policies, etc.	<ul style="list-style-type: none"> Is Japanese Assistance policy toward Peru consistent with the Peruvian policies such as “Plan Peru 2021”, “National Plan for the Suppression of Poverty (PNSP)”, etc.?
	[Relevance to the priorities of Japan] 2. Consistency with the priorities such as ODA Charter, the Medium-Term Policy on ODA “Enlightened Self- Interest”	<ul style="list-style-type: none"> Is Japanese ODA toward Peru consistent with the ODA Charter (latest edition: 2003), the Medium Term Policy on ODA, ‘Enlightened Self-Interest’, and diplomatic policy on Latin America?
	[Relevance to internationally prioritized issues] 3. Consistency with the internationally prioritized issues	<ul style="list-style-type: none"> Is Japanese Assistance policy toward Peru consistent with the international prioritized responses (at international and regional level)?
	[Strategic selection: consistency and mutual complementation with other donors] 4. Consistency in Japanese assistance policy toward Peru with that of other donors	<ul style="list-style-type: none"> Are there any similarities/differences of Japanese policies from other major donors/international organizations? Is Japanese assistance policy consistent with/complementary to the other donors’ policies?
	[Strategic selection: the comparative superiority of Japan] 5. Consideration of the comparative superiority of Japan in choice of Assistance policy toward Peru	<ul style="list-style-type: none"> Was enough consideration made to comparative superiority/inferiority of Japan in Japanese assistance policy toward Peru? Was enough consideration made to effective use of other donors’ assistance programs in Japanese assistance policy on Peru?
Effectiveness of Results	[Degree of achievement of the goals] 1. Effectiveness of the Japanese policy/implementation of assistance toward Peru for the achievement of assistance goals in Peru	<ul style="list-style-type: none"> How much of contribution have been made and how effective was the each assistance activity on “suppression of poverty, infrastructure development, and environmental programs in Peru”? Influence of each assistance activity on the degree/speed of above mentioned developments (distributed effects) Influence of each activity on the policies/efforts of Peruvian government/other donors Degree of contribution compared to the input of each activity
	[Degree of improvement in the originally set prioritized issues] 2. Effectiveness of Japanese assistance policy/implementation in Peru on the prioritized issues	<ul style="list-style-type: none"> How effective was each assistance activity on the prioritized issues (1. Reduction of poverty/improvement of inequality, 2. Development of social/ economic infrastructure for sustainable development?) Influence of each activity on the degree/speed of above mentioned developments Influence of each activity on the policies/efforts of Peruvian government/other donors Degree of contribution compared to the input of each activity
Appropriateness of Processes	[Effectiveness of the decision making process] 1. Appropriateness/Effectiveness of the decision making process of assistance policy toward Peru	<ul style="list-style-type: none"> Was enough information analysis made by relevant Japanese persons before setting Japanese assistance policy toward Peru? Was enough agreement and understanding made with/among relevant Peruvian persons before setting Japanese assistance policy toward Peru? Was appropriate decision making process followed for setting Japanese assistance policy toward Peru?
	[Effectiveness of the implementation process] 2. Appropriateness/Effectiveness of the implementation process of Japanese assistance policy toward Peru	<ul style="list-style-type: none"> Was the whole process of project implementation clear to both parties? /Are there an information sharing system on the progress of the implantation between two countries? Did the selections/development of the projects affect the initiatives of Peru? What were the measures of project development/implementation with the other donors/local NGOs, and how appropriate were they in the aspect of effective/efficient implementation of Japanese assistance policy? How effective was the plans and benchmarks in comparison to that of other donors/governments, considering the relations of inputs and outputs?

Country Assistance Evaluation of Peru, FY 2011

(2) Ensuring neutrality of evaluation

A) Evaluator's ethics and ideal form of evaluation

From the viewpoint of having a responsibility to act for the benefit of the public, those involved in ODA evaluation must conduct fair and objective evaluations and implement evaluations in an effective and efficient manner with sincerity and practicality. In addition, along with respect for individuals, evaluators have to maintain their independence.

B) Independence of department in charge of evaluations

It is important to improve the objectivity of evaluations by strengthening the system and independence of ODA evaluation. The separation of the ODA Evaluation Division from the ODA Policy Division was stated in the Final Report of “Consultation on ODA Review”. Accordingly, ODA Evaluation Division was transferred to Minister’s Secretariat from International Cooperation Bureau in April 2011.

C) Transparency of ODA evaluation results

In relation to the objective of fulfilling accountability, it is important to take care in explaining evaluation results in the evaluation reports in an understandable way to persons without specialized knowledge. Since the main readers of the evaluation reports are assumed to be tax-paying citizens, use of technical terms, which are only understandable to experts, shall be minimized. It is recommended to make efforts to make the report simple by inserting figures, graphs, photographs, etc.

(3) Evaluations and stakeholders

A) Protection of stakeholders who have cooperated with evaluation activities

Upon the implementation of evaluations, cooperation of stakeholders (including donors and beneficiaries) is essential in order to gain necessary information. When hearing opinions from the stakeholders, it shall be ensured that nothing causes direct disadvantage against them. (“*standard of quality on evaluation*” by OECD evaluation committee, 3.3 “*Consultation with, and protection of stakeholders*”)

B) Hearing of opinions from stakeholders

Upon the submission of draft reports of the third party evaluation at consulting meetings, MOFA, JICA and other stakeholders are able to make comments on such drafts. It is also an opportunity for the evaluators to avoid misunderstandings and lack of knowledge, while, at the same time, to deepen the understandings of the evaluation items. When the evaluators agree to the comments, they shall be incorporated to the draft report.

In case occurs a conflict of opinions among the evaluator and stakeholders in final report, both of the opinions shall be listed if considered significant. (reference 4.3.15 "Hearing of opinions from stakeholders")

While "intervention" of stakeholders to judgement of evaluations should be avoided considering the independency of the evaluators, it is also important for the evaluators to conduct evaluation in a neutral manner by not taking self-righteous manner.

(4) Conducting evaluations that meet policy needs

A) Understanding policy needs

One of the objectives of ODA evaluations is to contribute for the improvement of ODA, and not to conduct evaluation solely for the sake of it. Therefore, when deciding on scopes and priorities of evaluation, it is necessary to understand the needs to reflect to policy by conducting interviews, etc. with relevant officials at related departments prior to conducting evaluation.

B) Recommendations with high possibility for realization considering Feedback of ODA evaluation results.

For the purpose of evaluations to contribute to the improvement of ODA, there is a need to make recommendations, which are concrete and highly possible for its realization, in order to enable the evaluation results to be reflected on the policy. The conditions for high-quality recommendations are as follows.

◆Clarify the “destination” and “objectives” of the recommendation.

There is a need to clarify if the recommendation has been made to the entire organization such as to “the domestic headquarter” or to the “field level” as a response to individual cases. Further, for the “objective” of the recommendation, it needs to be clarified if it is made for “policy/ strategy” or “method/ procedure of assistance”. In fact, there may be a case in which making counter measures to a recommendation becomes difficult because of the poor quality of evaluation report, by simply listing the recommendation without organization. Therefore, it must be clear the “destination” and “the objectives” of recommendation in order to such deficiency.

◆Make recommendation by listing three stages of "evaluation results", "direction of efforts" and "details on efforts and actions".

It is essential to keep recommendations in simple manner by, for example, in three steps in which the details of counter action plan is stated, in addition to referring to the direction of efforts to improve or promote certain conditions by reflecting the evaluation results, which shall be listed as a source of such recommendations. In order to make strong recommendation, there is a need to clarify the causal relations to the evaluation results.

◆Note “degree of priority” of recommendations as much as possible.

By having priority list and clear reasons, it makes it easier to respond to recommendations. To be specific, priority and reasoning should be noted as much as possible such as 1) recommendations that should be implemented ASAP and 2) recommendations that should be implemented in the mid-term, etc.

C) Difference between recommendations and lessons

Recommendation is defined as a suggestion based on the results of the evaluation towards the related organizations or persons regarding the target case. In this case, it is highly recommended to provide the detailed verifications as much as possible in order to clarify who the recommendation is made to, the subjects, details of counter measures, priorities, etc.

On the other hand, a lesson refers to a consideration based on the process of the evaluation and the result of evaluation, which has broader applications. Even though it is not a direct and detailed suggestion like a recommendation, it presents the items which may be useful when planning ODA policies or implementing ODA in the future.

Chapter 4 Feedback and PR of Evaluation Results

This chapter explains how ODA evaluation results are fed back to policymaking and are brought to public information.

4.1 Feedback of ODA evaluation results

MOFA, as mentioned above, implements evaluations primarily in the policy and program levels. The recommendations and lessons that have been brought as outcome are fed back to relevant departments of MOFA, such as International Cooperation Bureau, and JICA. Specifically, a consultation is to be made to set the MOFA's counter policy through "Internal Feedback Liaison Meeting on ODA Evaluation". Furthermore, as mentioned in "ODA Review" of June 2010, MOFA deeply understands the importance of feedbacks, particularly that of ODA evaluation, which is a part of PCDA cycle. Moreover, since 2011, MOFA has published the entire processes of evaluations, including recommendations, counter policies, actual implementations of such policies, etc as a part of "Visibility".

Figure8 Flow of feedback of evaluations in MOFA

March	Completion of Evaluation
April	Publication of evaluation report (MOFA website)
June	Considerations for counter measures regarding recommendations
July-	Follow up
End of Year	Publication of annual evaluation report
July in the following year	Summarization of previous year's follow up efforts
Within the following year	Publication of recommendation, counter measures and conditions of follow-up)

4.2 PR of ODA evaluation results

(1) The importance of PR

As mentioned above, one of the objectives of ODA evaluation is to fulfil "accountability". In addition, the Final Report of the ODA Review (6-4-3, improving accessibility of information on evaluation by "Visibility") states; "All the contents of evaluation report shall be published on the website of MOFA/JICA (promotion of evaluation "Visibility")

By making evaluation results available to the broader public, the accountability can be fulfilled as well as further promoting understanding and participation of the citizens in the ODA activity by improving transparency.

(2) PR procedures

Currently, PR of evaluation reports is preceded in the following manner;

A) Distribution of evaluation reports (hard copies)

Each Evaluation report is distributed to relevant department of MOFA/JICA, Japanese embassies abroad, and experts and NGO who shows interest in the topic. In addition, translated version of English or other foreign languages are made and distributed to Japanese embassies abroad, governments and governmental organizations of recipient countries, and relevant foreign embassies in Japan, etc (around April each year).

Furthermore, MOFA publishes the Annual Report on Japan's ODA Evaluation each year, which includes summaries of evaluations implemented by MOFA in the previous year, summaries of evaluations conducted by JICA, summaries of evaluation results on ODA projects conducted by other Ministries (mainly results for policy level evaluations) in addition to summaries of the situations of implementation of counter policies and follow-ups against the recommendations. For which MOFA makes efforts to conduct widespread PR by distributing annual reports to legislators, specialists, NGOs, universities, and libraries (around December each year).

B) Upload to MOFA website (ODA homepage)

The full texts and summaries of evaluation reports and annual evaluation reports are uploaded on the ODA homepage of the MOFA website
(<http://www.mofa.go.jp/mofaj/gaiko/ODA/shiryo/hyouka.html>).

C) Others

Information on evaluations is listed in the ODA newsletter. In addition, information and annual reports are provided at MOFA events such as Global Festa Japan, etc.

(3) Efforts for “evaluations for easy understanding”

For effective PR of ODA evaluations, it is important to make the information available to wider range of citizens by focusing on "easy understanding." "The Final Report of the ODA Review (6-4-3. Disclosure of information based on “Visibility”)" also states as "Reports shall be made pursuing “easy understanding” to the greatest extent by using simple words, photographs, and charts instead of using technical terms as much as possible."

[Reference] Many relevant organizations create small editions or summary editions besides evaluation reports; for example ADB creates a two-page summary named "Learning Curves" (see figure below for reference).

Learning Curves

Independent Evaluation ADB

Country Assistance Program Evaluation for Viet Nam

This country assistance program evaluation assesses the performance of ADB's country strategies and assistance programs for Viet Nam during 1999–2008, intended to feed into the country partnership strategy (CPS) for 2011–2015.

QUICK LINKS

- [Country Assistance Program Evaluation for Viet Nam](#)
- [www.adb.org/Documents/Evaluation/evalor/cap-rie-2009-20devel.pdf](#)
- [ADB Management Response](#)
- [www.adb.org/Documents/Evaluation/ManagementResponse/CAPEMR-CAP/IE-2009-20.pdf](#)
- [Chair's Summary of the Development Effectiveness Committee \(DEC\)](#)
- [http://www.adb.org/BOU/dec/Chair-Sum-16sep2009.pdf](#)

Key Findings

The overall implementation of the country assistance strategies and programs of ADB in Viet Nam in 1999–2008 is assessed successful, which takes into consideration the assessments of its strategies and the performance of its programs. While alignment, flexibility, replication, and aid coordination were areas of strength in ADB's strategy, improvements are needed in implementation performance, risk management, and stakeholder engagement.

Although ADB assistance has been a small share of the Government's capital expenditure, ADB has contributed substantially in terms of providing concessional funds over the years as a trusted development partner for infrastructure projects. ADB has also strengthened state capacities, safeguards, procedures, and processes to move Viet Nam along the transition path.

Issues for Future Assistance

- Improving Implementation Performance. There is a need to improve the implementation performance of ADB-financed projects, which is below the average performance of ADB's clients.
- Sustainability of Investments. Viet Nam has made a large investment in infrastructure, and for these to continue yielding development results, resources (technical, financial, and institutional) have to be allocated for their continued smooth operation. Otherwise, these large investments will depreciate faster and will need replacement sooner.

Challenging Development Context As hardware (infrastructure) gaps are being addressed, there is increasing need to address software issues, including governance, capacity building, and efficiency of institutions.

Engaging in Governance Issues. Continued engagement in governance issues would complement ADB's investment and reform assistance. This is essential in light of the increasing infrastructure investment and concurrent governance risks.

Expected Evolution in Grants and Highly Concessional Assistance and Evolving ADB Infrastructure Operations. Grants and highly concessional assistance are likely to be reduced in the next CPS period with Viet Nam's attainment of middle-income country status. This may lead to gaps in infrastructure investment unless there is a shift in ADB's investment.

Improving Ownership of Grant-Funded TA Projects. To help improve the effectiveness of TA operations, the role of executing agencies may be gradually increased. There needs to be greater involvement and ownership by the Government during TA identification, design, and implementation.

Recommendations

- Enhance Implementation Performance and Support Unconventional Projects. Implementation by improving implementation capacity assessments. Increase implementation grants and encourage governments to involve implementation units more with ADB and government partners. Holding a critical mass of empowered ADB staff in key sectors at Viet Nam Resident Mission, and continuing official development assistance implementation harmonization efforts.
- Deepening Government Commitment to the Post-Completion Sustainability of Investments by undertaking policy dialogue coordinated with development partners; preparing project business plans that are results-oriented and establishing mechanisms for monitoring and maintenance and tariff collection.
- Increase Engagement in Governance and Public Finance by having a long-term commitment to improving the quality of public administration, extending support for state-owned enterprise reform, strengthening institutional capacity, and developing ways to interact with public finance reforms.
- Expand Support to Private Sector Development by improving legal environment, reducing permitting requirements, and creating a one-stop-concession system to facilitate private sector participation, providing support to facilitate business start-ups, and promoting public-private partnerships.
- Improve Attractiveness of Operations in the Future through Sector/Subsector Selectivity and/or Geographical Selectivity.
- Increase Government Ownership of Grant-Funded TA by strengthening country systems and governance to facilitate prompt discharge of TA administrators.

Feedback

ADB Management Response appreciates and agrees with the overall recommendations of the study. Management emphasized the role of Viet Nam's institutional values and political systems in achieving development success. Management also highlighted the recommendation to step up capacity building particularly at the local level. The Development Effectiveness Committee (DEC) of the Board of Directors also supported the findings and recommendations of the study. DEC noted that there is scope for ADB's contribution to the successful performance. DEC noted that there is scope for further improvement in reducing implementation delays by aligning ADB's systems to the country system, ensuring accountability of ADB-supported projects through a focus on results and outcomes, and improving the way TA governance is conducted. DEC also underscored the importance of capacity development and dynamic reforms in state-owned enterprises.

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Learning Curves are brief, one-page quick reference documents to feed findings and recommendations from evaluations to a broader range of clients.

ADB/Learning Curves (<http://www.adb.org/Evaluation/resources-list.asp?type=15&p=evalor>)

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