Process analysis: JICA’s Initiative for Quality Evaluation for Better Results

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1. Takeaway from the Session
2. Links to the 2019 AEW Theme
3. JICA’s ODA Project Evaluation System
4. Motivation for Introducing Process Analysis
5. Overview and Main Characteristics of Process Analysis
6. Case Studies
7. Challenges and Possibilities
8. Takeaway from the session
1. Takeaway from the Session

◆ Participant will learn

1. Background of introducing “Process Analysis”
2. Major characteristics of process analysis
3. Case studies
4. Challenges and future direction for process analysis
2. Links to the Session

◆ Contribution to the Better Results

- Process analysis is an approach to identify
  - Factors for success and/or failure
  - Degree of creativity of, or contribution from, the stakeholders

  Useless lessons for the formation of new projects and its project management

  Better Results
3. JICA’s ODA Project Evaluation System

◆ Purposes of JICA’s Project Evaluation

■ Accountability

Making the evaluation results public in an easy way for a wider range of audiences in a timely manner helps deepen the understanding of project effectiveness and of the responses made to various issues.

■ Learning

Giving feedback on lessons learned from the evaluation results helps in improving current projects, formulating subsequent projects and considering fundamental cooperation strategies.

Lessons from evaluation results
- Improve current projects
- Plan better projects

Ex-Post Evaluation
- Examine the degree of achievement based on indicators

Ex-Ante Evaluation
- Set goals and indicators
- Monitor the project progress

Action
Plan
Check
Do
3. JICA’s ODA Project Evaluation System

◆ Ex-Post Evaluation Framework

■ OECD Five DAC Evaluation Criteria

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevance</td>
<td>Examining the consistency of JICA’s assistance with the needs of the target groups, as well as the policies of recipient government and those of Japan.</td>
</tr>
<tr>
<td>Effectiveness</td>
<td>Measuring the extent to which the project attains its objectives.</td>
</tr>
<tr>
<td>Efficiency</td>
<td>Measuring the outputs in relation to the inputs (in terms of funds/time).</td>
</tr>
<tr>
<td>Impact</td>
<td>Examining positive and negative changes (including direct/indirect as well as expected/unexpected effects).</td>
</tr>
<tr>
<td>Sustainability</td>
<td>Examining whether the project benefits are likely to continue after completion of the project.</td>
</tr>
</tbody>
</table>

■ Rating System

![Rating System Diagram]

- **Relevance**: A, B, C, D
- **Effectiveness / Impact**: A, B, C, D
- **Efficiency**: A, B, C, D
- **Sustainability**: A, B, C, D

2019 Asian Evaluation Week, 2-6 September 2019, Kunming, People’s Republic of China
4. Motivation for Introducing Process Analysis

◆ Strengths and Weaknesses of Conventional Evaluation Methodology

◎ Objectivity and transparency of evaluation
  Application of a unified framework to every evaluation for systematic evaluation

◎ Visualization of the degree of effectiveness
  Utilization of 4 simple grades to show the evaluation results (including pre and post comparison, and degree of achievement)

▲ Factors for success and/or failure
  Reasons why and how any effects have (or have not) happened cannot be deeply understood

▲ Unique context and characteristics of individual projects
  The degree of creativity of, or contribution from, stakeholders is unclear
4. Motivation for Introducing Process Analysis

◆ Purposes of Process Analysis

■ Identify the following elements for better project management:
  ● Process of project achievement
  ● Actions taken by individual stakeholders and the interactions between them to understand their degree of contribution
  ● Awareness of any extra effects and impacts

  ↑ the identification of which has proven difficult to generate from a simple pre and post comparison

◆ Positioning

■ A supplemental approach to enhance learning from an evaluation
5. Overview and Main Characteristics of Process Analysis

Main Methods

Process Analysis on Ex-post Evaluation
- Stems from the concept of "process evaluation"
- Examine retrospectively whether the expected effects had actually been produced and explore which factors caused these effects by focusing on the implementation process

Rapid Ethnography
- Apply an ethnographic approach, one of the field study methods within anthropology
- Deepen the reader’s understanding of the project from inside and polyphonically by reconstructing the project process from the perspectives of the different stakeholders

Global Delivery Initiative (GDI)
- Identify 15 categories of non-technical obstacles and difficulties during implementation that could not be solved using a technical approach (Delivery challenges)
- Identify which delivery challenges occurred within the target project and analyze the solutions in a case study

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## 6. Case Studies

<table>
<thead>
<tr>
<th>Method</th>
<th>Rapid Ethnography</th>
<th>Process Analysis on Ex-post Evaluation</th>
<th>GDI</th>
<th>Rapid Ethnography (Partially)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ex-post Eval</td>
<td>FY2015 External</td>
<td>FY2016 Internal</td>
<td>2023 Internal with succeeding projects (tentative)</td>
<td>FY2017 External</td>
</tr>
<tr>
<td>Pic</td>
<td><img src="image1.png" alt="Image" /></td>
<td><img src="image2.png" alt="Image" /></td>
<td><img src="image3.png" alt="Image" /></td>
<td><img src="image4.png" alt="Image" /></td>
</tr>
<tr>
<td>Type</td>
<td>ODA Loan</td>
<td>Technical Cooperation</td>
<td>Technical Cooperation</td>
<td>Grant Aid Project</td>
</tr>
<tr>
<td>Sector</td>
<td>Transportation (Railway)</td>
<td>Healthcare</td>
<td>Gender</td>
<td>Transportation (Bridge)</td>
</tr>
<tr>
<td>Status</td>
<td>Complete with GDI upload</td>
<td>Complete with GDI upload</td>
<td>Complete with preparation for GDI upload</td>
<td>Complete with GDI upload</td>
</tr>
</tbody>
</table>
6. Case Studies

“Delhi Mass Rapid Transport System Project Phase 2”

- **Background**
  It was known to be a successful project but the factors and the context of this success, as well as the decision-making process, were not clear.

- **New Discoveries**
  1. Other essential factors beyond the first director general’s leadership
  2. DMRC’s full independence
  3. Creative way of relocating existing underground infrastructure
  4. Proactive PR strategy
  5. Long term human resource development
  6. Intangible impacts
6. Case Studies

“Strengthening Management for Health in Nyanza Province”

Background
Reasons why and how the capacities of the health management teams have been sustained even in the face of drastic changes from the devolution of Kenya’s administrative structure were unexplored.

New Discoveries
1. Un-learning and visioning
2. Empowerment
3. Servant-leadership development
4. Ownership cultivation
6. Case Studies

“Project for Construction of Manmunai Bridge”

**Background**

The reasons why and how all of its project components were able to be completed within budget and planned duration, in the face of drastic design changes and unforeseen incidents were unable to be effectively explored.

**New Discoveries**

1. Allocating the right people to the right positions for timely communication
2. Building trust by creating an environment where people can communicate well
6. Case Studies

“Project on Strengthening of Multi-Disciplinary Teams (MDTs) for Protection of Trafficked Persons in Thailand”

Background
Subsequent projects have been planned to expand its reach to other Mekong regions. In order to implement these projects efficiently and with the same effectiveness, potential obstacles and difficulties during project implementation needed to be examined.

Identified delivery challenges and solutions
1. Coordination
   • Harnessing the leadership-driven culture
2. Organization capacity
   • Investing significant time and resources into collaboratively developing guidelines ⇒ clarity on the roles and responsibilities of team members
3. Project design
   • Requires adherence to follow PDM in the field where there is little experience and knowledge
7. Challenges and Possibilities

◆ Challenges

▲ **Limitation on available information**
- Decision-making processes are not often recorded in official documents
- Stakeholders are not able to clearly recollect events at the time of being interviewed which may occur a few years after project completion

▲ **Limitation as a qualitative Evaluation**
- The results of the qualitative analysis are heavily dependent on the skills of the evaluators

◆ Possibilities

◎ **Promote acknowledgment among stakeholders as well as applying to other Project cycles**
- Encourage stakeholders to keep records of the processes
- Encourage them to conduct process analysis during the project implementation → Allow them to make some adjustments and/or review the project design where such actions would be relevant

◎ **Complement with quantitative analysis**
- Possibility of holistic evaluation
8. Takeaway from the Session

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