Third Party Evaluation in Fiscal 2005
The Ministry of Foreign Affairs of Japan

Evaluation of Japan's Grant Assistance for Grassroots Human Security Projects (GGP Scheme)

-Summary-

Preface

This is a summary of the evaluation study of Japan's Grant Assistance for Grassroots Human Security Projects (hereinafter referred to as the GGP scheme) carried out by the External Advisory Meeting on Official Development Assistance (ODA) Evaluation, which is an informal advisory body of the Director-General of the Economic Cooperation Bureau of the Ministry of Foreign Affairs. Under the request of the Economic Cooperation Bureau of the MOFA, the External Advisory Meeting on ODA Evaluation was commissioned to carry out the evaluation study, which included determining the evaluation methodology, preparing reports, and providing feedback to the relevant bureaus of the MOFA. Among the External Advisory Meeting members, Mr. Teruo Kawakami, CPA, of Office Asahi was appointed as the Chief of this evaluation study.

The GGP Scheme was first established in 1989 as an aid modality for quickly responding to local needs. The annual budget allocated by the Government of Japan for the GGP scheme gradually increased until it finally peaked in fiscal 2003 at 15 billion yen. While the GGP scheme has built its reputation as an aid modality that promptly responds to grassroots needs in developing countries and has broadly been recognized as the scheme which facilitates 'visibility in assistance by the Government of Japan, the GGP scheme has taken on an additional dimension of 'human security' in order to address the emerging needs of countries such as Afghanistan and Iraq that are in post conflict stages and are promoting peace building processes. This new modification has allowed the GGP scheme to diversify its application and to address the emerging needs in the arena of developmental assistance.

This was the first evaluation study carried out since fiscal 2000 and 2001, where the last evaluation studies were implemented in four Latin American countries (2000) and three Southeast Asian countries (2001). Unlike the past endeavours, the scope of this evaluation study encompassed all grassroots human security projects (hereinafter referred to as GGP) implemented worldwide in the last three years (from fiscal 2002 to fiscal 2004). In addition, the main focus of the evaluation study cantered on how the basic principle of 'human security' was reflected in the principles as well as the operations of the GGP scheme itself. As a new initiative, a questionnaire survey was conducted during this study targeting all the Japanese Overseas Diplomatic Missions (JODM) implementing projects under this scheme. The evaluation analysis was done in a holistic and crosscutting manner in order to extract useful recommendations for a more effective and efficient operation of this aid modality.

Enormous contributions were made by Professor Izumi Ono of National Graduate Institute for Policy Studies

(GRIPS) and Senior Research Fellow Katsuya Mochizuki of the Inter-disciplinary Studies Center of the Institute of Developing Economies (IDE) as advisors of this evaluation. Likewise, valuable comments, inputs, and cooperation were received not just from the JODMs who participated in the questionnaire survey, but also from the various stakeholders in Ghana and Nigeria where the Evaluation Study Team conducted field studies: the Japanese Embassies of Ghana and Nigeria, JICA and other related agencies, implementing agencies of the GGP projects in Ghana and Nigeria, officers in charge of small grant programs in other donor agencies and NGOs. We would like to take this opportunity to express our sincere gratitude to those who were involved in this study.

The Aid Planning Division of the Economic Cooperation Bureau of the MOFA was in charge of coordination of this evaluation. All other supportive work was carried out by Global Link Management Inc.under commission of the MOFA.

Finally, we should add that the opinions and views presented in this report do not reflect those of the Government of Japan or any other organizations.

March 2006

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This abstract provides an overview of the report on 'the Evaluation of Japan's Grant Assistance for Grassroots Human Security Projects (GGP Scheme)'.

1. Background and Objectives of the Evaluation Study

This evaluation study, which was designed in line with the 'ODA Evaluation Guidelines' of the Aid Planning Division of the Economic Cooperation Bureau, MOFA, was carried out from August 2005 to February 2006. The objectives of the evaluation study were two-fold; first, to contribute to an effective and efficient operation of the projects implemented under Japan's GGP scheme by drawing recommendations and lessons learned from the evaluation; and second, to ensure accountability by releasing the results of the evaluation to the public. Furthermore, it is important to highlight that this is the first evaluation study of this scheme to be carried out after the promulgation of the new ODA Charter in 2003, which added 'human security' as one of its basic policies. In recognition of the increasing importance of this principle within Japanese ODA, the evaluation study placed its main focus on how the perspectives of human security has been reflected in to the GGP scheme's basic principles and its operations. Finally, the evaluation study provides recommendations to guide future directions of this scheme based on the evaluation results.

2. Scope and Framework

Every project implemented under the GGP scheme within the last three years (from fiscal2002 to 2004) was included in the scope of this study. The GGP scheme itself was evaluated in light of the three evaluation criteria; namely 1) relevance of the scheme's 'purposes', 2) effectiveness of the scheme's 'outcomes', and 3) appropriateness of the scheme's 'processes' (refer to Appendix I for the Evaluation Matrix). Prior to the evaluation study, an objective diagram of the GGP scheme, reflecting the new human security emphasis, was formulated to fulfil the requirements under the 'ODA Evaluation Guidelines.' This has been attached as Appendix II of this abstract.

3. Methodology

The evaluation study is comprised of the components of literature review, a questionnaire survey, interview with stakeholders, and field surveys in two case study countries: Ghana and Nigeria. The subjects of the questionnaire survey were 131 JODMs and the duration of the survey was November to December 2005.

4. Findings
a) Relevance of the scheme's 'purposes'
   The evaluation study found that the basic principles of the GGP as defined in the operating guidelines of the GGP scheme, as well as the policy document, 'Japan's Grant Assistance for Grassroots Human Security Projects – Strengthen Assistance for Human Security-' (the Grant Aid Division of the Economic Cooperation Bureau, MOFA, April 2003), are in line with the principles and the priority areas of assistance specified under the new ODA Charter.   Moreover, the evaluation study concluded that the 'human security' perspective is adequately reflected in the GGP scheme. Since fiscal 2003, the GGP scheme has put its priority on those sectors that address human security and basic human needs (BHN).   Subsequently, the grassroots projects that strongly address human security issues have been able to receive grants of more than fifty million yen (grant ceiling for each project is one hundred million yen).   Furthermore, with regards to 'peace building,' an emerging priority area for Japanese ODA as defined under the new ODA Charter, additions were made in the GGP scheme's guidelines so that projects that serve this purpose may be actively pursued. Such developments represent the GGP scheme's consistency with the overall ODA policy of the Government of Japan.

   The GGP scheme was renamed after the promulgation of the new ODA Charter in 2003 from its original name of Grant Assistance for Grassroots Projects (GGP), in reflection of the added emphasis on 'human security' issues.   However, it is reasonable to conclude that the scheme already entailed this focus prior to this modification due to the following reasons: 1) since its establishment, the GGP scheme has been supporting projects which benefit the people directly at the grassroots level, 2) the interventions addressing the BHN, which has been one of the basic principles of the scheme, is a fundamental component of human security while it protects and empowers people's lives, livelihoods and dignity from poverty and lack of basic social services. In other words, the present further emphasizes on the concept of "human security". Furthermore, it is meaningful that by expanding the criteria for grant recipients, the scheme makes it possible to respond to various needs that is one of the objectives of the scheme..

b) Effectiveness of 'results'
   On the other hand, despite the transitions in the basic principles of the GGP especially after 2003, no remarkable changes were marked in implementing the scheme.   Within the GGP scheme's portfolio, 95% of the projects implemented in the last three years address BHN issues, and only 5% of the projects address the areas which has been strengthened in view of human security, such as emergency humanitarian relief, aid for consolidation of peace and rehabilitation efforts, as well as HIV/AIDS and other infectious diseases. However, it should be highlighted that the proportion of these BHN projects targeting post-conflict countries is on the rise in addition to the fact that projects with the objectives of "peace-building and reconstruction" have increased since 2002.   Thus it may be deduced that the basic principle of the GGP scheme promoting 'human security,' as indicated in the policy document 'Japan's Grant Assistance for Grassroots Human

Security Projects – Strengthen Assistance for Human Security'(the Grant Aid Division of the Economic Cooperation Bureau, Ministry of Foreign Affairs of Japan, April 2003), is being gradually mainstreamed in its operations.

In addition, this evaluation study assessed the effectiveness of the results by examining the degree to which projects under the GGP scheme are designed and implemented in line with the three comparative advantages that characterize the scheme; 1) direct support to the people at the grassroots level, 2) flexible response to various needs of the grassroots level, and 3) prompt response to the needs. As for the first comparative advantage, 'support projects which directly benefit people at the grassroots level,' through examining all 53 projects implemented in the last three years in the two case study countries: Ghana and Nigeria, it became clear that the GGP scheme indeed supports projects which directly benefit people at the grassroots level. With regards to the second comparative advantage, 'flexible response to various needs from the grassroots level,' it was observed that the projects implemented in the Middle Eastern and African countries, focused not only on BHN matters, but also on a range of human security issues in response to the various needs of local communities such as the removal of inhumane land mines, promotion of policy dialogue for peace process, repatriation of refugees and rehabilitation of discharged soldiers. Thus, this served as evidence for the GGP scheme's flexibility in responding to various local needs. Finally, with reference to the third comparative advantage mentioned above, 'prompt response to the local needs promptly,' it was concluded that almost all of the 53 projects in the two case study countries took less than one year for the whole application process. However, a revision in the application procedure for GGP projects was introduced in 2003 where it is now required that all new projects need to be assessed and approved at MOFA Headquarters. Ramification of such administrative changes on the promptness of the operation is unclear at this point due to limitation of the scope of the study.

c) Appropriateness of the scheme's implementation 'processes'

While four officials/staffs on average are in charge of the GGP scheme in each JODM, most of them are committed to other tasks on their job descriptions. Although many JODMs hire local staffs and/or economic cooperation assistants to assist the GGP officials, their TOR is limited due to the rules and regulations of the JODMs, for example, local staffs are not allowed to go on field trips. There are big differences among JODMs on how to operate the scheme. While JODMs in Asia are comparatively in a better position in terms of the number of officials in charge, JODMs in Africa faces severe sitation. In addition, it has been observed that the GGP officials in Africa are in charge of 2.5 countries on average, which more than doubles the operational workload. Although JODMs in post-conflict countries or in the process of peace building are given priority in terms of the allocation of GGP local staffs and assistants, there appears to be no remarkable differences from other JODMs as the number of the officials are limited to one. Considering the political and socio-cultural environment and competency of human resources, many JODMs have opted to apply a set of unique criteria for the selection process of the GGP scheme. While one-quarter of all JODMs in the world have revised their project selection criteria after 2003, JODMs that prioritise

projects that 'strengthen assistance for BHN' continue to exceed those that prioritize projects that contribute to 'peace building and rehabilitation efforts'.

Through the evaluation study, it was discovered that only 10% of the total GGP project proposals submitted to respective JODMs received field visits to their project sites prior to project approval, since proposals are already short-listed through careful screening. There are significant differences among regions in the frequency of visiting project sites. In fact, only a few field visits have been conducted in the Middle Eastern region, including such countries as Afghanistan and Iraq. In addition, in the Middle Eastern region, it has been noted that projects that address human security issues are on the rise in terms of project numbers and total grant allocation, nevertheless, the JODMs reported of no distinguished treatments in the application process between human security projects and non-human security projects.

Although not a few JODMs promote coordination with local NGO networks and other donors in order to formulate good projects jointly, only about half of the JODMs have actually formulated joint projects with them. This is because of 1) a lack of human resources in charge of coordination with other partner organizations, and 2) a lack of information sharing with such partners. While building trust with implementing agencies who have high competencies is anticipated for the JODMs, it has been pointed out that projects formulated through coordination with other agencies may jeopardize the flexibility and promptness which are the advantageous aspects of the GGP scheme. Furthermore some concerns were raised that such coordinated efforts may compromise the overall visibility of Japanese presence in assistance, which goes against one of the initial objectives of providing support to GGP projects.

In order to implement monitoring on-going projects and follow-up, the majority of JODMs rely on mid-term and final reports submitted by recipient agencies. It is also common that GGP officials utilize the occasion of handover ceremonies and field trips to nearby areas as opportunities to visit project sites of GGP. Field visits to project sites are mainly conducted by economic cooperation assistants, but there are some JODMs that request JICA staff, including experts to visit project sites when they visit the nearby areas. Only five JODMs have hired local consulting agencies, or NGOs, or made arrangements with the government organizations, other donor agencies, or international organizations to conduct monitoring visits on their behalf. It is pointed out that the number of the experts with a background in natural disaster/conflict affected areas should be enlarged, and that the system of economic cooperation assistants be improved. . The overall situation is expected to improve with the increased budget allocation in 2005 to JODMs for monitoring and follow-up of the GGP projects.

5. Recommendations

5-1 Maintain efficiency through simplified selection process

(1) *Decide on the number of projects to be implemented per JODM based on the existing GGP management structure.*

It could be an effective way to determine the number of projects to be implemented per JODM in advance, considering the period to be consumed for approval and the existing number of GGP related staff, without reducing the quality. This could be a measure against the shortage of the staff in GGP operations.

(2) Practice pre-application screening process

To practice pre-application screening process would be another option to increase the efficiency of the project selection process.   By explaining the objectives of the GGP scheme to potential recipient agencies before they apply, and sending the application forms only to those agencies whose activities meet the standard and criteria of the GGP scheme, proposals irrelevant to the scheme's objectives and standards may be excluded in advance.

5-2 Underlining capacity of grant recipients

(1) Collect information from other NGOs and donors on the capacity of grant recipients

Collecting information on grant recipients in advance that submitted their applications is vital to assess their capacity in implementing projects. Therefore it is important to visit their offices to identify their management structure. It is also an effective way to gather such information from other NGOs and donors in charge of small grant programs, regarding the recipients' past performance.

(2) Create and utilize database on grant recipients

JODMs need to create database with the information collected under (1) above and utilize it. Some data that may be included in the database are: 1) whether organizations have received grant from the scheme in the past, 2) whether organizations have received grant from other schemes, 3) projects in the past and their outcomes, and 4) evaluation from other NGOs and donor agencies stationed in a certain country.

(3) Ensuring the managing capacity of the grant recipients

While it is improtant to reflect grass-roots needs and to ensure the fairness of the selection process, NGOs with good performance in the past with high managing capacity may be prioritised to receive the grant.   In the cases of countries with good local governance, recommendation from local government authorities could be valued.   In order to evaluate the reliability of candidate NGOs, records of past activities and financial reports could be submitted with the application forms.   In addition, lists of past projects and records of their impacts for people in project sites could be useful.   Another option is to check whether candidate NGOs belong to intermediary NGOs.   In case the decision is made that the recommendations from local authorities

are valued, recommendation letters from the organizations in charge of applicable sectors could be submitted with the application forms.

5-3 Utilize local ODA Task Force for efficient project implementation process
(1)Utilize ODA Task Force for project formulation

For those countries where ODA Task Forces are actively operating, it is recommended to utilize these taskforce meetings to gather advice of the Japanese ODA related personnel with knowledge and experience on project finding and formulation activities. Under the current scheme, JODMs have no authority to establish a local project selection committee or to conduct the selection process by themselves. In this regard, it is a reasonable alternative to utilize the ODA taskforces as the venue for project selection. On the other hand, for these countries where operations of ODA Task Forces are limited, it is recommended that JODMs utilize JICA experts, project formulation advisors   study members for   grant assistance at the stage of project formulation and selection.

(2) Utilize existing human resources to grasp needs of the grassroots level and to monitor and follow up projects

The operation of the GGP scheme could be made more efficient by utilizing existing local resources who have been working closely with local communities. For instance, in the case of the education sector in Ghana, JOCVs and JICA experts contribute to the overall effective operation of the GGP scheme in monitoring and follow-up. Also in Nigeria, it has been reported that JICA experts play an active role in bridging the embassy staff responsible for GGP scheme with potential grant recipient NGOs.

5-4 Provide maximum positive impacts of the Japanese ODA through the GGP scheme
(1) Increase support for overhead cost

In 'Human Security Now" a report that UN Commission on Human Security submitted to UN Secretary General in May 2003, needs for protecting and empowering individuals are emphasized as critical challenges of ensuring human security. Since the overhead costs earmarked under the GGP scheme are contributed to enough by capacity building and empowerment of local communities and individuals, expansion of such support through increase in the overhead costs is recommended.   In the two case study countries, only limited overhead costs have been provided, so no good practices have been observed or reported. This should be noted and evaluated in the future evaluation study of the GGP scheme.

(2) Positive supports for 'added value projects'

In 'Japan's Grant Assistance for Grassroots Human Security Projects – Strengthen Assistance for Human Security-'(the Grant Aid Division of the Economic Cooperation Bureau, MOFA, April 2003), the Ministry committed to support added-value projects, or projects that have a specific regional focus encompassing

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activities in various sectors. Support for such added-value projects is expected to further promote human security, and therefore it is recommended that the extent that GGP scheme provides support to added-value projects will be included as one evaluation perspective for future evaluations of the scheme.

(3) Flexible project finding and formulation processes that takes into consideration the existing coordination structure among various Japanese ODA schemes

While the operational environment surrounding the GGP scheme (such as availability of Japanese ODA related human resources and/or activities of other donor agencies) differs in each country, the scheme is required to respond to various local needs in a flexible manner. Collected information and data on the two case study countries show that it is important to coordinate the GGP projects with other Japanese ODA schemes in addition to cooperating with other donor agencies. For example, in the case of Nigeria, although the Japanese development studies and technical assistance projects are in progress, there are no JOCV and assistance has concentrated only on a few sectors. On the other hand, long-term ODA experiences in different sectors in Ghana have resulted in the recent challenge to formulate linkage in assistance among different schemes in the education sector. Furthermore, the ODA taskforce for the country of Ghana has recently been considering possibilities in the placement of the scheme into the framework of country assistance approach.

(4) Improve quality of service through cooperation with JOCVs and technical assistant projects

Much of the assistance provided through the GGP scheme has been hardware-oriented such as infrastructure and material assistance. These projects tend to contribute to improving the local people's access to social services (such as education and healthcare), yet in order to enhance the overall effect of the assistance, it is also important to seek improvement in the quality of the social services. Such improvements in the quality may be pursued only through strong cooperation with JOCVs and JICA technical assistant projects; thus it is recommended that such cooperation and coordination is established between the GGP scheme and other Japanese ODA schemes.

5-5 Strengthen monitoring and follow-up activities

Following actions are recommended to strengthen monitoring and follow-up activities.

1. Implementing agencies (grant recipients) are required to conduct self-evaluation when or after their projects are completed in accordance with an evaluation sheet that is to be prepared by JODMs. Also it is recommended to revise the existing format of mid-term and final reports.
2. Utilize human resources, including JOCVs, JICA experts and economic cooperation assistants.
3. Visit and monitor on-going projects on the occasion of site visits as a part of the selection process for the coming year.
4. Select projects to be implemented in the same or nearby region under the condition that these projects

address priority issues of the scheme such as BHN. Or, focus on a certain region per fiscal year for assistance.

5-6 Effective management of the GGP scheme

1. By improving the IT system and making possible for candidate agencies to download application forms and other relevant information through websites, efficient administration of day-to-day business will be achieved.

2. Establish interactive information sharing system of JODMs or ODA Taskforce to make it possible to share information such as manual for operation of the scheme (checklists of interim application, advanced research, monitoring, and follow-up), manual for utilizing database, information for candidate organizations, application forms, TOR and contract of economic cooperation assistants, information on local NGOs, manual to evaluate capacity of candidate organizations, know-how to deal with projects with issues, and good practices.

3. Implement operational strategies that correspond to the administrative capacities of the recipient country

   In order to ensure flexibility and promptness of the intervention, the JODMs of the two case study countries have respectively developed, unique operational strategies that correspond to the administrative capacity of each country. In the case of Ghana, local government bodies maintain a certain level of administrative capacity, although it still in its developing stages. In order to enhance the administrative ownership of the GGP projects by these government bodies, the projects applied directly by the local municipalities are generally prioritized in the GGP selection process. Furthermore, for the projects to be implemented by other actors, the embassy requires the applicants to submit recommendation letters from the relevant county assemblies. This application guideline enables the ODA taskforce to step forward to challenge the placement of the scheme into the framework of the country assistance approach (mentioned 5-4 (a) above). On the other hand, in Nigeria, where the local government bodies are still weak, all grant recipients in the last three years have been NGOs, and the main challenge for the GGP scheme has been to select NGOs with high management capacities.

5-7 Improve the implementation set-up of the GGP scheme based on a mid-term and long-term vision

   The evaluation study found that it takes considerable time for GGP staff in JODMs to gain enough experience and to learn how to effectively operate the GGP scheme, which includes organizational assessment of candidate organizations and project selection in line with the scheme's purpose. Therefore, it is recommended to develop human resources with mid-term and long-term perspectives. While economic cooperation assistants are key to strengthening the operational management of the GGP scheme, it is often difficult to find competent candidates in some countries. Furthermore, it is difficult to secure budget to continuously contract such staffs, since maximum duration of a contract with them is two years. Due to these reasons, in order to improve the operation system of the scheme, it is required that TOR of local staffs

and economic cooperation assistants will be made flexible depending on the situation of each JODM.

Appendix I Evaluation Matrix

Evaluation Matrix on the GGP scheme

Subject: Evaluation of the GGP Scheme		Duration: Fiscal Year 2002 to Fiscal Year 2004	
Narrative Summary	Evaluation Criteria	Contents and Indicators of the Evaluation Study	References and Contacts
I. Objectives	Relevance	1.Relevance of political framework of the GGP scheme Indicator1-1 Whether the principles of the GGP Scheme and the new ODA Charter are consistent. Indicator1-2 How much the approach to achieve human security through ODA, advocated in the new Medium-term Policy on ODA, is reflected in the 'Grassroots Guidelines' prepared by the MOFA. Indicator1-3 How much emphasis of 'human security' perspective is reflected in the principles of the GGP scheme.	A. Literature review ODA Charter Medium-term Policy on ODA, MOFA data, UN MDGs Guideline of Japan's Grant Assistance for Grassroots Human Security Projects (MOFA)
II. Outcomes	Effectiveness	2 Effectiveness of the GGP scheme Indicator 2-1 How much emphasis of 'human security' perspective is reflected in the operation of the GGP scheme. Indicator 2-2 How much comparative advantages of the GGP scheme are reflected in projects.	A. Literature review Request Sheet for Instruction (from JODMs to MOFA) List of Exchange of Notes Aid Planning Division of the Economic Cooperation Bureau, MOFA MOFA Website B. Results of field surveys in the two case study countries C. Questionnaire survey
III. Operation Process	Efficiency	3 Efficiency of management and operation of the GGP scheme by the Japanese Overseas Diplomatic Mission (JODM) Division of labor between the MOFA Headquarters and JODMs Indicator3-1 Whether distribution of human resources in JODMs is efficient. Indicator3-2 Whether economic cooperation assistants are efficiently utilized. Indicator3-3 Whether distribution of authority and division of labor between the MOFA Headquarters and JODMs are appropriate. Operation procedure, project finding and project selection Indicator3-4 Whether JODMs have produced operation manuals and guidelines for the scheme suitable for each country. Indicator3-5 Whether there is the system to respond promptly from Request Sheet for Instruction (from JODMs to MOFA) to project approval. Indicator3-6 Whether project selection is done appropriately following each criteria. Indicator3-7 Whether project formulation through coordination with local NGOs and other donor agencies, as well as cooperation with other Japanese scheme has been promoted. What are advantages and issues. Monitoring and follow-up Indicator3-8 Whether there is the process to grasp conditions of on-going projects regularly. Preparedness of the operation system to respond with the projects reflect reinforcement of human security perspectives Indicator3-9 Whether there are differences in procedures for projects addressing emergency needs and non emergency needs in order to respond promptly for emergency needs. Indicator3-10 Whether the selection criteria respects benefits of people under threats. Indicator3-11 Whether the selection criteria prioritize projects to protect and to empower vulnerable population (such as women, disabled people, and children). Indicator3-12 Whether sufficient human resources are distributed to conduct monitoring and follow-up of the projects in conflict and disaster areas.	A. Literature review Related manuals and Related guidelines Reports of JODMs MOFA data MOFA Website B. Results of field surveys in the two case study countries C. Questionnaire survey

Evaluation Matrix for the Case Study Countries: Ghana and Nigeria

Subject: Evaluation of the GGP Scheme		Duration: Fiscal Year 2002 to Fiscal Year 2004	
Narrative Summary	Evaluation Criteria	Contents and Indicators of the Evaluation Study	Reference/Contacts
I. Objectives	Relevance	4.Relevance of objectives Indicator4-1 Whether projects under the GGP scheme and development policies of the governments are consistent. Indicator4-2 Whether the objectives of the GGP scheme are consistent with the needs of local communities. Indicator4-3 (In case of the projects which receive support from the GGP scheme for a part of their activities) Whether the objectives of the projects and the scheme are consistent.	A. Literature review Development Policies of the countries List of project requests Mid-term and final reports of GGP projects. B. Interview survey Related sections of MOFA Grant recipients Other donor agencies
II. Outcomes	Effectiveness	5. Effectiveness of the GGP scheme in the two case study countries Indicator5-1 How the projects implemented in the countries are contributed to achieve development goals(Ratio of traditional aid: Goal 1&2 and humanitarian aid: Goal 3,4&5) Indicator5-2 Among projects implemented in the countries, how much the ratio of the projects benefited poor people and/or vulnerable population is. Indicator5-3 Among projects implemented in the countries, how much the ratio of the projects to assist capacity building and independent of people is. Indicator5-4 Among projects implemented in the countries, how much the ratio of the projects initiated by local communities and/or participatory rural appraisal (PRA) projects. 6. Effective use of the GGP scheme Indicator6-1 Among projects implemented in the countries, how much the ratio of the projects received supports for overhead cost is. Indicator6-2 Among projects implemented in the countries, how much the ratio of the projects collaborate with other donor agencies and/or other Japanese scheme.	A. Literature review Request Sheet for Instruction (from JODMs to MOFA) List of Exchange of Notes Aid Planning Division of the Economic Cooperation Bureau, MOFA MOFA Website B. Interview survey JODMs Grant recipients Other donor agencies C. Questionnaire survey
III. Operation Process	Efficiency	7. Efficiency of process Indicator7-1 Whether project finding and selection processes are efficient. Indicator7-2 How to grasp needs of the grassroots leveling the selection process. Indicator7-3 How long does it take 'from application to Request Sheet for Instruction (from JODMs to MOFA) and 'from Request Sheet for Instruction (from JODMs to MOFA) to approval'. Whether grant has been awarded in a timely manner. Indicator7-4 Whether implemented projects have completed within the term of the donation agreement. If not, what are the reasons. Indicator7-5 For the projects collaborate with other donor agencies and/or other Japanese scheme, whether sufficient information sharing and discussion have been done in project formulation and implementation processes. Indicator7-6 Whether regular monitoring as well as follow-up of findings of the monitoring are done for on-going projects. Indicator7-7 Whether promotional activities for implemented projects are done. If so, how.	A. Questionnaire survey B. Literature review Various Reports C. Interview Survey JODMs Grant Recipients ODA related organizations (JICA Country Offices and NGOs)

Scheme Evaluation

Theme Grassroots Human Security Projects (GGHSP Scheme)	
2. Countries covered by the Study 131 countries and one region where GGHSP are implemented as of April 2005. Countries for Field Studies Ghana and Nigeria	
Evaluation Team Members Team Leader: Teruo Kawakami, CPA, Office Asahi Advisors Katsuya Mochizuki, Senior Research Fellow of the Inter-disciplinary Studies Center of the Institute of Developing Economies Izumi Ono, Professor of National Graduate Institute for Policy Studies (GRIPS) Global Link Management Inc. Researchers: Keiko Kita Kazumi Shimaoka Wakako Hashimo Shimooka Akiko	The Project for Lagos Environmental Sanitation and Malaria Control (Fiscal 2003)
Period from August 2005 to February 2006	

Summary of Evaluation Study

1. Objectives of the Evaluation Study

The objectives of the evaluation study were two-fold; first, to contribute to an effective and efficient operation of the projects implemented under Japan's GGHSP scheme by drawing recommendations and lessons learned from the ongoing projects; and second, to ensure its accountability to the general public through publicizing the results of the evaluation study.   Furthermore, it is important to highlight that this is the first evaluation study of this scheme to be carried out after the promulgation of the new ODA Charter in 2003, which added 'human security' as one of its basic principles. In recognition of the increasing importance of this principle within Japanese ODA, the evaluation study placed its main focus on how the principle of human security has been reflected in to the GGHSP scheme's basic principles and its operations. Finally, the evaluation study drafted recommendations to guide future directions of this scheme based on the evaluation results.

2. Scope and Framework

Every project implemented under the GGHSP scheme within the last three years (from fiscal2002 to 2004) was included in the scope of this study. The GGHSP scheme itself was evaluated in light of the three evaluation criteria; namely 1) relevance of the scheme's 'purposes', 2) effectiveness of the scheme's 'outcomes', and 3) appropriateness of the scheme's 'processes' (refer to Appendix I for the Evaluation Matrix).   Prior to the evaluation study, an objective diagram of the GGHSP scheme, reflecting the new human security emphasis, was formulated to fulfil the requirements under the 'ODA Evaluation Guidelines.' This has been attached as Appendix II of this abstract.

3. Methodology

The evaluation study is comprised of the components of literature review, a questionnaire survey, interview with stakeholders, and field surveys in two case study countries: Ghana and Nigeria.   The subjects of the questionnaire survey were 131 JODMs and the duration of the survey was November to December 2005.

Findings

a) **Relevance of the scheme's 'purposes'**

The evaluation study confirmed that the basic principles of the GGHSP as defined in the operating guidelines of the GGHSP scheme, as well as the policy document, 'Japan's Grant Assistance for Grassroots Human Security Projects – Strengthen Assistance for Human Security-' (the Grant Aid Division of the Economic Cooperation Bureau, MOFA, April 2003), are in line with the principles and the priority areas of assistance specified under the new ODA Charter. Moreover, the evaluation study concluded that the 'human security' perspective is, and has always been since its inception in 2003, adequately reflected in the GGHSP scheme. Since fiscal 2003, the GGHSP scheme shifted its priority towards projects that address human security and basic human needs. Subsequently, the grassroots projects that strongly address human security issues have been able to receive grants of more than fifty million yen (grant ceiling for each project is one hundred million yen). Furthermore, with regards to 'peace building,' an emerging priority area for Japanese ODA as defined under the new ODA Charter, additions were made in the GGHSP scheme's guidelines so that projects that serve this purpose may be actively pursued. Such developments represent the GGHSP scheme's consistency with the overall ODA policy of the Government of Japan.

It is reasonable to conclude that the scheme already entailed focus on the concept of "human security" prior to 2003 due to the following reasons: 1) since its establishment, the GGHSP scheme has been supporting projects which benefit the people directly at the grassroots level, 2) the interventions addressing the BHN, which has been one of the basic principles of the scheme, is a fundamental component of human security while it protects and empowers people's lives, livelihoods and dignity from poverty and lack of basic social services. In other words, the present further emphasizes on the concept of "human security." Furthermore, it is meaningful that by expanding the criteria for grant recipients, the scheme makes it possible to respond to various needs that is one of the objectives of the scheme.

b) **Effectiveness of' results'**

Despite the transitions in the basic principles of the GGHSP especially after 2003, no remarkable changes were marked in implementing the scheme. Within the GGHSP scheme's portfolio, 95% of the projects implemented in the last three years address BHN issues, and only 5% of the projects address human security issues including emergency relief, aid for consolidation of peace and rehabilitation efforts, as well as HIV/AIDS and other infectious diseases. However, it should be highlighted that the proportion of these BHN projects targeting post-conflict countries is on the rise in addition to the fact that projects with the objectives of "peace-building and reconstruction" have increased since 2002. Thus it may be deduced that the basic principle of the GGHSP scheme promoting 'human security,' as indicated in the policy document 'Japan's Grant Assistance for Grassroots Human Security Projects – Strengthen Assistance for Human Security'(the Grant Aid Division of the Economic Cooperation Bureau, Ministry of Foreign Affairs of Japan, April 2003), is being gradually mainstreamed in its operations.

c) **Appropriateness of the scheme's 'processes'**

The study found that:

(a) there are big differences among JODMs on how to operate the scheme. While JODMs in Asia are comparatively in a better position, JODMs in Africa have very limited human resources.

(b) although JODMs in post-conflict countries or in the process of peace building are supposed to be given priority in terms of the allocation of GGHSP officers, there appears to be no remarkable differences from other JODMs. While one-quarter of all JODMs in the world have revised their project selection criteria after 2003, JODMs that prioritise projects that 'strengthen assistance for BHN' continue to exceed those that prioritize projects that contribute to 'peace building and rehabilitation efforts'.

(c) only 10% of the total GGHSP project proposals submitted to respective JODMs received field visits to their project sites prior to project approval, since proposals are already short-listed through careful screening. There are significant differences among regions in the frequency of visiting project sites.

(d) although not a few JODMs promote coordination with local NGO networks and other donors in order to formulate good projects jointly, only about half of the JODMs have actually formulated joint projects with them. This is because of 1) a lack of human resources to coordinate with other partner organizations, and 2) a lack of information sharing with such partners.

(e) in order to implement monitoring on-going projects and follow-up, the majority of JODMs rely on mid-term and final reports submitted by recipient agencies. It is also common that GGHSP officers utilize the occasion of handover ceremonies and field trips to nearby areas as opportunities to visit project sites of GGHSP.

5.   Recommendations
5-1 Maintain efficiency through simplified selection process
a) Decide on the number of projects to be implemented per JODM based on the existing GGHSP management structure.

Considering the existing implementation structure of JODMs for the GGHSP scheme, predetermining the number of projects to be implemented per JODM based on the existing number of GGHSP related staff capable for the operation and management of the scheme is a way to ensure that a certain level of quality is maintained among GGHSP projects. This is one of the effective measures to address the deficit in human resources in GGHSP operations.

b) Practice pre-application screening process

To practice pre-application screening process would be another option to increase the efficiency of t the project selection process.   By explaining to potential recipient agencies at the pre-application stage, the main objectives of the GGHSP scheme, and sending the application forms only to those agencies whose activities meet the standard and criteria of the GGHSP scheme, proposals irrelevant to the scheme's objectives and standards may be excluded in advance.

5-2 Underlining capacity of grant recipients
a) Collect information from other NGOs and donors on the capacity of grant recipients

Collecting information on the potential implementing agencies that have submitted their applications is vital to assess their capacity of these agencies in implementing projects. Such information may be collected either by visiting to their offices to check upon their management structure or through interviewing other NGOs and donor agencies in charge of small grant programs, regarding their past performance.

b) Create database of grant recipients

JODMs need to create database with the information collected under (1) above and utilize it on a demand basis. Some data that may be included in the database are: 1) whether organizations have received grant from the scheme in the past, 2) whether organizations have received grant from other schemes, 3) projects in the past and their outcomes, and 4) evaluation from other NGOs and donor agencies stationed in a certain country.

c) Ensuring the managing capacity of the grant recipients

Although it is critical to address needs on the grassroots level and to save fairness for the selection process, NGOs with remarkable achievement in the past with high managing capacity may be

prioritised to receive the grant. On the other hand, depending on level of governance of applicable countries, recommendation from local government authorities could be valued. In order to evaluate the reliability of candidate NGOs, records of past activities and financial reports could be submitted with the application forms. In addition, lists of past projects and records of their impacts for people in project sites could be useful. Another option is to check whether candidate NGOs belong to intermediary NGOs. In case the decision is made that the recommendations from local authorities are valued, recommendation letters from the organizations in charge of applicable sectors could be submitted with the application forms.

5-3 Utilize local ODA Task Force for efficient project implementation process
a) Utilize ODA Task Force for project formulation

For those countries where ODA Task Forces are actively operating, it is recommended to utilize these taskforce meetings to gather advice of the Japanese ODA related personnel with knowledge and experience on project finding and formulation activities. Under the current scheme, JODMs have no authority to establish a local project selection committee or to conduct the selection process by themselves. In this regard, it is a reasonable alternative to utilize the ODA taskforces as the venue for project selection. On the other hand, for these countries where operations of ODA Task Forces are limited, it is recommended that JODMs utilize JICA experts, project formulation advisors study members for grant assistance at the stage of project formulation and selection.

b) Utilize existing human resources to grasp needs of the grassroots level and to monitor and follow up projects

The operation of the GGHSP scheme could be made more efficient by utilizing existing local resources who have been working closely with local communities. For instance, in the case of the education sector in Ghana, JOCVs and JICA experts contribute to the overall effective operation of the GGHSP scheme in monitoring and follow-up. Also in Nigeria, it has been reported that JICA experts play an active role in bridging the embassy staff responsible for GGHSP scheme with potential grant recipient NGOs.

5-4 Provide maximum positive impacts of the Japanese ODA through the GGHSP scheme
a) Increase support for overhead cost

In 'Human Security Now" a report that UN Commission on Human Security submitted to UN Secretary General in May 2003, needs for protecting and empowering individuals are emphasized as critical challenges of ensuring human security. Since the overhead costs earmarked under the GGHSP scheme are contributed to enough by capacity building and empowerment of local communities and individuals, expansion of such support through increase in the overhead costs is recommended. In the two case study countries, only limited overhead costs have been provided, so no good practices have been observed or reported. This should be noted and evaluated in the future evaluation study of the GGHSP scheme.

b) Positive supports for 'added value projects'

In 'Japan's Grant Assistance for Grassroots Human Security Projects – Strengthen Assistance for Human Security-'(the Grant Aid Division of the Economic Cooperation Bureau, MOFA, April 2003), the Ministry committed to support added-value projects, or projects that have a specific regional focus encompassing activities in various sectors. Support for such added-value projects is expected to further promote human security, and therefore it is recommended that the extent that GGHSP scheme provides support to added-value projects will be included as one evaluation perspective for future evaluations of the scheme.

c) Flexible project finding and formulation processes that takes into consideration the existing coordination structure among various Japanese ODA schemes

While the operational environment surrounding the GGHSP scheme differs in each country, the scheme is required to respond to various local needs in a flexible manner. Collected information and data on the two case study countries show that it is important to coordinate the GGHSP projects with other Japanese ODA schemes in addition to cooperating with other donor agencies. For example, in the case of Nigeria, although the Japanese development studies and technical assistance projects are in progress, there are no JOCV and assistance has concentrated only on a few sectors. On the other hand, long-term ODA experiences in different sectors in Ghana have resulted in the recent challenge to formulate linkage in assistance among different schemes in the education sector. Furthermore, the ODA taskforce for the country of Ghana has recently been considering possibilities in the placement of the scheme into the framework of country assistance approach.

d) Improve quality of service through cooperation with JOCVs and technical assistant projects

Much of the assistance provided through the GGHSP scheme has been hardware-oriented such as infrastructure and material assistance. These projects tend to contribute to improving the local people's access to social services (such as education and healthcare), yet in order to enhance the overall effect of the assistance, it is also important to seek improvement in the quality of the social services. Such improvements in the quality may be pursued only through strong cooperation with JOCVs and JICA technical assistant projects; thus it is recommended that such cooperation and coordination is established between the GGHSP scheme and other Japanese ODA schemes.

5-5 Strengthen monitoring and follow-up activities within duration of projects

Following actions are recommended to strengthen monitoring and follow-up activities within duration of projects.

(a) Implementing agencies (grant recipients) are required to conduct self-evaluation when or after their projects are completed in accordance with an evaluation sheet that is to be prepared by JODMs.

(b) Also it is recommended to revise the existing format of mid-term and final reports.

(c) Utilize the Japanese ODA resources, including JOCVs, JICA experts and economic cooperation assistants.

(d) Visit project sites of on-going projects on the occasion of site visits as a part of the selection process for the coming year. Select projects to be implemented in the same or nearby region under the condition that these projects address priority issues of the scheme such as BHN. Or, focus on a certain region per fiscal year for assistance.

5-6 Effective management of the GGHSP scheme

(a) By improving the IT environment and making possible for candidate agencies to download application forms and other relevant information through websites, efficient administration of day-to-day business will be achieved.

(b) Establish interactive information sharing system of JODMs or ODA Taskforce to make it possible to share information such as manual for operation of the scheme (checklists of interim application, advanced research, monitoring, and follow-up), manual for utilizing database, information for candidate organizations, application forms, TOR and contract of economic cooperation assistants, information on local NGOs, manual to evaluate capacity of candidate organizations, know-how to deal with projects with issues, and good practices.

(c) Implement operational strategies that correspond to the administrative capacities of the recipient country. In order to ensure flexibility and promptness of the intervention, the JODMs of the two case study countries have respectively developed, unique operational strategies that correspond to the administrative capacity of each country. In the case of Ghana, local

government bodies maintain a certain level of administrative capacity, although it still in its developing stages.   In order to enhance the administrative ownership of the GGHSP projects by these government bodies, the projects applied directly by the local municipalities are generally prioritized in the GGHSP selection process. Furthermore, for the projects to be implemented by other actors, the embassy requires the applicants to submit recommendation letters from the relevant county assemblies. This application guideline enables the ODA taskforce to step forward to challenge the placement of the scheme into the framework of the country assistance approach. On the other hand, in Nigeria, where the local government bodies are still weak, all grant recipients in the last three years have been NGOs, and the main challenge for the GGHSP scheme has been to select NGOs with high management capacities.

5-7 Improve the implementation set-up of the GGHSP scheme based on a mid-term and long-term vision

The evaluation study confirmed that it takes considerable time for GGHSP staff in JODMs to gain enough experience and to learn how to effectively operate the GGHSP scheme, which includes organizational assessment of candidate organizations and project selection in line with the scheme's purpose. Therefore, it is recommended to develop human resources with mid-term and long-term perspectives.   While economic cooperation assistants are key to strengthening the operational management of the GGHSP scheme, it is often difficult to find competent candidates in some countries.   Furthermore, it is difficult to secure budget to continuously contract such staffs, since maximum duration of a contract is two years for contracted staff.   For these reasons, in order to improve the operation system of the scheme, it is required that TOR of local staffs and economic cooperation assistants will be made flexible depending on the situation of each JOD.

Appendix II: Objective Chart of the GGP Scheme

Objectives of the GGHSP scheme: To address the diverse needs of communities/people in the grassroots level of developing countries promptly and to support economic development and human security.

Goal 1
Basic Human Needs (BHN)

Goal 2
Support for Better Standard of Living and Economic Development

Goal 3
Humaniterian Relief

Consolidation of Peace & Nation Building

Goal 5
Support for Elimination of Infectious Diseases

Goal 1 — Basic Human Needs (BHN)

- Health Sector
  - Primary Healthcare
- Education Sector
  - Development
  - Primery Education
- Environment Sector
  - Living Environment (Water & Sanitation)
  - Environment Conservation
- Social Sector
  - Welfare & Education for Pre-school Children
  - Protection of Children (Orphans&Street Children)
  - Support Physically Disabled People (Lifestyle Education, Rehabilitation, and Vocational Training
  - Support for Women's Empowerment (Literacy Education&Vocational Training)

Goal 2 — Support for Better Standard of Living and Economic Development

- Agriculture, Fisheries and Forestry Sector
  - Agriculture & Rural Development
  - Promotion of Forestry&Forest Development
  - Promotion of Fisheries & Fish Village Development
- Infrastructure Sector
  - Infrastructure (Transportation)
  - Infrastructure (IT)
  - Infrastraucture (Electricity)
  - Micro-credit Activities
- Vocational Training
  - Technical Trainings for Poor Population

Goal 3 — Humaniterian Relief

- Disaster Prevention & Hunger Management
  - Disaster Prevention&Relief
  - Counter-measure for Hunger
- Refugees
  - Support Refugees and IDPs

Consolidation of Peace & Nation Building

- Post-Conflict Rehabilitation
  - Rehabilitation of post-conflict Communities
  - Demining Activities and Training of the locan residents
- Election & Democratization
  - Other support for Democratizaton
  - Democratization

Goal 5 — Support for Elimination of Infectious Diseases

- HIV/AIDS
  - Preventive Education
- Other infectious Diseases
  - Treatment &Care for Patients