

Third Party Evaluation 2010  
The Ministry of Foreign Affairs of Japan

Evaluation of “the Grant Assistance for  
Japanese NGO Projects”  
(Third Party Evaluation)

- Summary-

March 2011

## Preface

This report is a summary of the evaluation of “the Grant Assistance for Japanese NGO Projects (hereinafter referred to as GANP)” undertaken by Ingerosec Corporation requested by the International Cooperation Bureau of the Ministry of Foreign Affairs (MOFA) of Japan.

Since its commencement in 1954, Japan’s Official Development Assistance (ODA) has contributed to the development of partner countries, and finding solutions to international issues which vary with the times. Recently, there have been increased domestic and international calls for more effective and efficient implementation of ODA. MOFA has been conducting ODA evaluations mainly at the policy level with two main objectives: to support management of implementation of ODA; and to ensure its accountability. Those evaluations are conducted by third parties to enhance their transparency and objectiveness.

The objectives of this evaluation are to review the scheme (aid modality) of GANP and reflect the good practices and lessons learned from the clarification of the issues in the improvements for this scheme and perform public accountability by the publication of the results of the evaluation.

Dr. Mitsuru Yamada, Professor of Waseda University, acting as a chief of the study team, and Dr. Megumi Kuwana, Lecturer of Ochanomizu University, being an advisor for the study, made an enormous contribution to this report. Likewise, MOFA, the Japan International Cooperation Agency (JICA), and the ODA Taskforces as well as governmental institutions in Cambodia, donors and NGOs also made invaluable contribution. We would like to take this opportunity to express our sincere gratitude to all those who were involved in this study.

Finally, we wish to add that the opinions expressed in this report do not reflect the views or positions of the Government of Japan or any other institutions.

March 2011

## Outline

### 1. Evaluation Results

#### Overall Evaluation of the scheme (aid modality) :

The scheme of “the Grant Assistance for Japanese NGO Projects (hereinafter referred to as GANP)” has been revised to meet the needs of NGOs on the basis of the results of active discussions between the Ministry of Foreign Affairs (MOFA) and the domestic stakeholders such as NGOs. On the other hand, sufficient discussions on the aim of NGOs’ capacity building which is one of the major objectives of GANP as well as on the vision for the fostered NGOs have not been conducted. Further discussions within MOFA need to be conducted from now on.

#### (1) Evaluation on the relevance of policy : A

GANP consists with the Japanese ODA policy, international priorities and the needs of target communities. It also deals with various needs of NGOs. Therefore, the relevance of policy is holistically evaluated as significant, while its political comparative advantages is to be further secured through continuous discussions on how to enhance ODA by this scheme as well as on the expected roll of NGOs.

#### (2) Evaluation on the effectiveness of the results : B

The results-based project planning capability of Japanese NGOs is not sufficient even though they have achieved effective results with their strength by utilizing GANP and improved their capacity by learning the know-how of implementing projects funded by GANP. Also, the definition of “capacity building”, which GANP aims at, is not clarified either. It is also difficult to measure the results of capacity building through the comparison of ex-ante and ex-post project.

In spite of the publicity efforts of ODA through GANP, public acknowledgement of this particular scheme has not been explicit. With the facts mentioned above, the effectiveness of the results is evaluated as moderate.

#### (3) Evaluation on the appropriateness of the process : A

Opinions of Japanese stakeholders such as NGOs have been reflected in GANP and major revision of the scheme was made in 2010 according to the needs of NGOs. Furthermore, promptness and flexibility of the procedure have been improved over the past several years. Therefore, the process is evaluated as highly appropriate. However, several issues such as inadequacy of the current regulations on the accounting procedures and the way to implement the desirable external audit procedures need to be considered from now on.

### 2. Recommendations

- (1) Enhancement of support for the projects promoting three pillars of development cooperation (according to ODA Review Final Report); (a) Reducing poverty, (b) Investing in peace, (c) Supporting sustainable growth
- (2) Clarification of the strategies of GANP
- (3) Ripple effects of projects: from a point (a single project) into a plane (regional expansion and political correlation)
- (4) Introduction of a system to measure the achievements of project results
- (5) Enhancement of information provision and involvement of external professionals in the process of application, review, and report
- (6) Promotion of the participation process for stakeholders

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## Chapter 1 Evaluation Principles

### 1-1 Objectives of the evaluation of "the Grant Assistance for Japanese NGO Projects" in FY 2010 ODA evaluation

ODA evaluation in the Ministry of Foreign Affairs (MOFA) has been conducted since 1981 aiming at improvement of ODA management and ensuring the accountability. In recent years, revisions in evaluation have been required in order to implement strategic and effective assistance in response to the opinions asking for the shift toward results-based assistance rather than experience-based assistance due to the severe ODA resource conditions. ODA evaluations include the evaluations of country assistance programs, priority issues, sector programs and schemes (aid modalities). The evaluation of a scheme intends to contribute to promote public understanding for the scheme and to improve it.

The objectives of evaluation of "the Grant Assistance for Japanese NGO Projects (hereinafter referred to as GANP)" are as follows;

- (1) Evaluate the scheme of GANP according to "Guideline of ODA evaluation (5<sup>th</sup> edition)" and reflect the good practices and lessons learned from the clarification of the issues in improvements for the scheme
- (2) Perform public accountability by publication of evaluation results
- (3) Promote NGOs' understanding and utilization of the scheme

### 1-2 Target of Evaluation

The target of this evaluation is the scheme of GANP.

MOFA established GANP in 2002 by consolidating the NGO section of "the Grant Assistance for Grassroots Projects" and "the Grant Assistance for NGO Emergency Relief Projects".

The strength and weakness of Japanese NGOs recognized by MOFA are clarified through the interview with MOFA. MOFA highly evaluates the Japanese NGOs' skill to implement the detailed assistance according to the deep understanding of the realities of the developing countries and local needs. Therefore, MOFA recognizes Japanese NGOs as major partners for international cooperation and enhances the partnership by various approaches such as promotion of dialogues and support for the capacity development as well as financial assistance.

The systems and capabilities of Japanese NGOs vary from one to another. In general, NGOs focus on the activities directly benefit local people such as promoting self-reliance of the poor and advocacy for local people, etc. Therefore, they have strength in the assistance dealing with detailed needs of beneficiaries. On the other hand, there still are the issues in deployment of their activities due to the lack of organizational foundation (fund and staff), network and advocacy.

Discussions have been conducted between NGOs and MOFA for the improvements of the

system at “NGO-MOFA Regular meeting, Partnership Promotion Committee” or other occasions. Through the discussions, various recommendations for the improvements have been proposed according to the NGOs’ needs. Major revisions were made in 2010 in terms of (1) Addition of peace building project to the projects funded by GANP (hereafter GANP projects) (2) Adoption of the system to promote the projects working on the major issues in international cooperation aiming at “building the user-friendly grant mechanism” and “implementation of ODA by reinforced partnership with NGOs”.

These revisions to GANP enabled NGOs to implement grass-roots community development projects in certain scale enough to give impact on local communities. They include the new possibilities for future ODA projects. In order to implement these projects, active project formulation by NGOs in response to the needs for the evolution in the development countries and efforts for the accountability are required.

GANP is a scheme to provide the fund for economic/social development projects and emergency humanitarian projects in developing countries by Japanese NGOs. Its other major objective is the enhancement of capacity building of NGOs by giving them the opportunities to experience implementation of international projects and thus expand their field of activities.

### 1-3 Framework of Evaluation

This evaluation is based on the ODA evaluation guideline (5<sup>th</sup> edition) and evaluated on the following three items based on DAC’s five criteria. The results of the evaluation are rated by each criterion and used for the overall evaluation. The specific evaluation framework is shown in Table 1-1, 1-2, and 1-3 and the criteria for the evaluation rating is listed in Table 1-4.

#### (1) Relevance of policy

MOFA clarifies priority areas of assistance by the Government in “ODA Review Final Report” (June 2010) and it indicates a policy that the capacity development of NGOs and the promotion of public participation in international cooperation are needed through the partnership with the relevant parties such as NGOs and business entities in order to involve all sectors of Japan in development cooperation.

In addition to the relevance of GANP to such policy, planning and implementation of GANP will be evaluated in terms of dealing with the international issues in development cooperation and the needs in recipient countries and making the most of Japanese NGOs’ strength.

#### (2) Effectiveness of the results

This evaluation is conducted in terms of the following three aspects, which are main objectives of GANP ; (1) Enhancement of the partnership with NGOs through the grant, (2) Capacity development by NGOs, (3) Implementation of assistance showing the presence of Japan.

From the viewpoint of effectiveness, the analysis needs to be conducted according to Japanese NGO’s issues and needs, taking into consideration their strength and weakness previously mentioned.

(3) Appropriateness of the process

GANP has been revised based on suggestions from the “NGO-MOFA Regular meeting, Partnership Promotion Committee”, and recommendations derived from ODA evaluations and policy evaluations. This evaluation reviews the process of the revisions to make sure the promotion of public and NGOs’ participation. In addition, the implementation of the prompt and flexible process from the application to the project completion is reviewed.

Table 1-1 The framework of evaluation

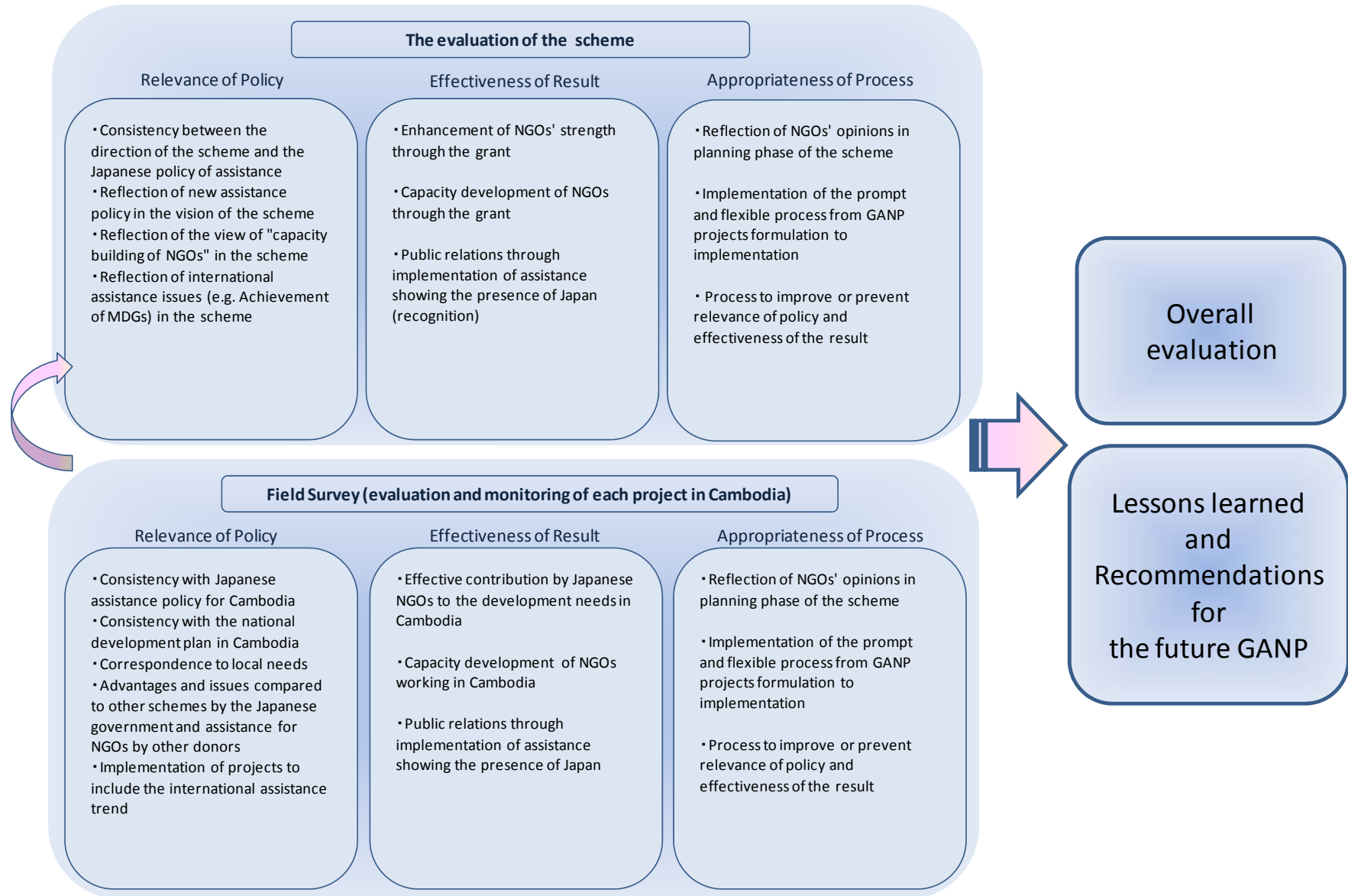




Table 1-2 The framework of evaluation (the scheme)

The Framework of Evaluations "The evaluation of the Grant Assistance for Japanese NGO Projects"					
Views of Evaluations	Items of Evaluations	The evaluation of the scheme			
		Criteria of Evaluations	Contents of Evaluations	Criteria and Indicators of Evaluations	Sources and Collecting Ways of Information
Policy	Relevance	<u>1. Consistency with the framework of Japanese assistance policy</u>	1-1. Relevance to Japan's ODA Charter 1-2. Relevance to Japan's Medium-Term ODA policy 1-3. Relevance to the Japanese policy of assistance for Japanese NGOs	1-1. Consistency with Japan's ODA charter's view, the priority issues, and objectives and contents of GANP 1-2. Consistency with Japan's Medium-Term ODA policy and the objectives and contents of GANP 1-3. Consistency with the Japanese policy of assistance for Japanese NGOs	【Literature review】 ODA Charter, ODA mid-term policy 【Interviews and questionnaires】 MOFA, JICA etc. 【Questionnaires】 NGOs (with experience in GANP projects), etc.
		<u>2. Consistency with international priority issues</u>	2-1. Consistency with MDGs 2-2. Relevance to international policy of assistance for NGOs	2-1. Consistency with measures of MDGs and achievements of GANP 2-2. Consistency with the policy of assistance for NGOs by other donor	【Literature review】 ODA Charter, ODA mid-term policy, other donor's HP, etc. 【Interviews and questionnaires】 MOFA, JICA, etc. 【Questionnaires】 NGOs (with experience in GANP projects), etc.
		<u>3. Comparative Advantage of GANP</u>	3-1. Comparison with other schemes of assistance for NGOs by Japanese government 3-2. Comparison with the assistance for NGOs by other donors	3-1. Comparative advantage compared to other schemes of assistance for NGOs by the Japanese government (JICA Partnership program). 3-2. Comparative advantage compared to assistance for NGOs by other donors	【Literature review】 ODA Charter, ODA mid-term policy, JICA annual report, documents of other schemes, etc. 【Interviews】 MOFA, JICA, NGOs (with experience in GANP projects), etc. 【Questionnaires】 NGOs (with/without experience in GANP projects)
Result	Effectiveness	<u>4. Achievement of the objectives</u>	4-1. Contribution to the results by Japanese NGOs' strength 4-2. Achievement of the capacity development of Japanese NGOs 4-3. Achievement of overcoming weaknesses (issues) of Japanese NGOs	4-1. Contribution to the results by Japanese NGOs' strength 4-2. NGOs' capacity development of project formulation, project implementation and management organization 4-3. Overcoming of NGOs' weakness (financial vulnerability and insufficient project planning)	【Literature review】 "The handbook on improving cooperation between Japanese Corporation and NGO" (MOFA) 【Interviews and questionnaires】 MOFA, JICA, NGOs (with experience in GANP projects), etc. 【Questionnaires】 NGOs (with experience in GANP projects), etc.
		<u>5. Implementation of assistance showing the presence of Japan</u>	5-1. Implementation of public relations 5-2. Recognition of GANP	5-1. Public relations for Japanese assistance through implementation of GANP projects 5-2. Recognition of GANP	【Literature review】 MOFA's HP, NGOs (with experience in GANP projects) HP 【Interviews and questionnaires】 MOFA, JICA, NGOs (with experience in GANP projects), etc. 【Questionnaires】 NGOs (with experience in GANP projects), etc.
Process	Appropriateness	<u>6. Participation of stakeholders such as NGOs in Japan</u>	6-1. The system of coordination and discussions (implementation of discussion and correspondence to comments) with public participation (such as NGOs) 6-2. The system of cooperation with NGOs and related governmental institutions (Reflection of NGOs' needs)	6-1. Discussions by NGOs' active involvement based on the coordination and consultation with NGOs and citizens. 6-2. Incorporation of NGOs' needs through the discussions above	【Literature review】 MOFA's HP 【Interviews and questionnaires】 MOFA, NGO, etc. 【Questionnaires】 NGOs (with/without experience in GANP projects)
		<u>7. Promptness and flexibility of the process for appraisal and decision</u>	7-1. Promptness and flexibility of process for adoption 7-2. Promptness and flexibility of process for implementation 7-3. Promptness and flexibility of process for changing application	7-1. Promptness and flexibility of terms and procedures for the adoption of GANP projects 7-2. Promptness and flexibility of terms and procedure for implementation of GANP projects 7-3. Promptness and flexibility of terms and procedure for adoption of changes in application	【Interviews and questionnaires】 MOFA, NGOs (with experience in GANP projects), etc. 【Questionnaires】 NGOs (with experience in GANP projects), etc.
		<u>8. Appropriateness of the process for appraisal and decision</u>	8-1. Appropriateness of procedure for appraisal and decision 8-2. Appropriateness of procedure for implementation and completion	8-1. Appropriateness of procedure for appraisal and decision 8-2. Appropriateness of procedure for implementation and completion	【Interviews and questionnaires】 MOFA, NGOs (with experience in GANP projects), etc. 【Questionnaires】 NGOs (with experience in GANP projects), etc.
		<u>9. Incorporation of the previous scheme evaluation</u>	9-1. Feedback of lessons learned and recommendations from the previous evaluations of the scheme (the status of review)	9-1. Feedback of lessons learned and recommendations from the previous evaluations of the scheme (issues: time-consuming process in decision of appraisals, insufficient response to the multi-year projects)	【Interviews and questionnaires】 MOFA, NGOs (with experience in GANP projects), etc. 【Questionnaires】 NGOs (with experience in GANP projects), etc.
		<u>10. Factors contributing to the effect of result or the relevance to policy</u>	10-1. Factors contributing to relevance of policy or effectiveness of the result 10-2. Factors preventing the relevance of policy or effectiveness of the result	10-1. Factors contributing to relevance of policy or effectiveness of the result 10-2. Factors preventing the relevance of policy or effectiveness of the result	【Interviews and questionnaires】 MOFA, NGOs (with experience in GANP projects), etc. 【Questionnaires】 NGOs (with experience in GANP projects), etc.

Table 1-3 The framework of evaluation (field survey in Cambodia)

The Framework of Evaluations "The evaluation of the Grant Assistance for Japanese NGO Projects"					
Views of Evaluations	Items of Evaluations	The field survey (the evaluation of GANP projects in Cambodia)			
		Criteria of Evaluations	Contents of Evaluations	Criteria and Indicators of Evaluations	Sources and Collecting ways of Information
Policy	Relevance	<u>1. Consistency with the framework of Japanese assistance policy</u>	1-1. Relevance to Japan's ODA Charter 1-2. Relevance to Japan's Medium-Term ODA policy 1-3. Relevance to the Japanese policy of assistance for NGOs 1-4. Relevance to priority issues of assistance for Cambodia	1-1. Consistency with Japan's ODA charter's vision, the priority issues, and objectives and contents of GANP 1-2. Consistency with Japan's Medium-Term ODA policy and the objectives and contents of GANP 1-3. Consistency with the Japanese policy of assistance for NGOs 1-4. Consistency with the priority issues and sectors and the project by GANP in Cambodia	【Literature review】 National development plan in Cambodia, Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, Embassy of Japan(EOJ), JICA Cambodia, C/Ps in Cambodia (Ministry of Education (MOE), Health (MOH), Social Affairs (MOSA), CMAC, CDC), Japanese NGOs in Cambodia
		<u>2. Consistency with the Development needs of Cambodia</u>	2-1. Consistency with the Development needs of Cambodia 2-2. Consistency with the Regional development plans and priorities of Cambodia	2-1. Consistency with the National development plan and Strategy 2-2. Consistency with the Regional development plans and priorities of Cambodia	【Literature review】 National development plan in Cambodia, Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, EOJ, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese and local NGOs in Cambodia
		<u>3. Comparative Advantage of GANP</u>	3-1. Comparison with other schemes of assistance for NGOs by the Japanese government 3-2. Comparison with the assistance for NGOs by other donors	3-1. Comparative advantage compared to other schemes of assistance for NGOs by the Japanese government (JICA Partnership program). 3-2. Comparative advantage compared to assistance for NGOs by other donors	【Literature review】 ODA Charter, Medium-Term Policy on ODA, JICA annual report, documents of other scheme, etc. 【Interviews and Questionnaires】 MOFA, EOJ, JICA Cambodia, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese and local NGOs in Cambodia, other donor, etc.
Result	Effectiveness	<u>4. Achievement of the objectives</u>	4-1. Contribution to the results by Japanese NGOs' strength 4-2. Achievement of capacity development of Japanese NGOs 4-3. Achievement of overcoming weaknesses (issues) of Japanese NGOs	4-1. Contribution to the results by NGOs' strength 4-2. NGOs' capacity development of project formulation, project implementation and management organization 4-3. Overcoming of NGOs weakness (financial vulnerability and insufficient project planning)	【Literature review】 Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, EOJ, JICA Cambodia, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese and local NGOs in Cambodia
		<u>5. Implementation of assistance showing the presence of Japan</u>	5-1. Implementation of public relations 5-2. Recognition of GANP	5-1. Public relations for Japanese assistance through implementation of GANP projects 5-2. Recognition of GANP	【Literature review】 Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, EOJ, JICA Cambodia, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese and local NGOs in Cambodia
Process	Appropriateness	<u>6. Participation of stakeholders such as NGOs in Japan</u>	6-1. The system of coordination and discussions between NGOs and MOFA (Implementation of discussion and correspondence to comments). 6-2. The system of cooperation between NGOs and MOFA (Reflection of NGOs' needs)	6-1. Discussions by NGOs' active involvement based on the coordination and consultation with NGOs and citizens. 6-2. Incorporation of NGOs' needs through the discussions above	【Literature review】 Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, EOJ, JICA Cambodia, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese and local NGOs in Cambodia
		<u>7. Promptness and flexibility of the process for appraisal and decision</u>	7-1. Promptness and flexibility of process for adoption 7-2. Promptness and flexibility of process for implementation 7-3. Promptness and flexibility of process for adopt changing application	7-1. Promptness and flexibility of terms and procedures for the adoption of project 7-2. Promptness and flexibility of terms and procedure for implementation of project 7-3. Promptness and flexibility of terms and procedure for adoption of changes in application	【Literature review】 Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, EOJ, JICA Cambodia, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese NGOs in Cambodia
		<u>8. Appropriateness of the process for appraisal and decision</u>	8-1. Appropriateness of procedure for appraisal and decision 8-2. Appropriateness of procedure for implementation and completion	8-1. Appropriateness of procedure for appraisal and decision 8-2. Appropriateness of procedure for implementation and completion	【Literature review】 Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, EOJ, JICA Cambodia, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese NGOs in Cambodia
		<u>9. Incorporation of the previous scheme evaluation</u>	9-1. Feedback of lessons and recommendations from the previous evaluations of the scheme (the status of review)	9-1. Feedback of lessons learned and recommendations from the previous evaluations of the scheme	【Literature review】 Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, EOJ, JICA Cambodia, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese NGOs in Cambodia
		<u>10. Factors contributing to the effect of result or the relevance to policy</u>	10-1. Factors contributing to relevance of policy or effectiveness of the result 10-2. Factors to preventing the relevance of policy or effectiveness of the result	10-1. Factors contributing to relevance of policy or effectiveness of the result 10-2. Factors preventing the relevance of policy or effectiveness of the result	【Literature review】 Application form, Interim Report and Completion Report of GANP projects in Cambodia 【Interviews and Questionnaires】 MOFA, EOJ, JICA Cambodia, C/Ps in Cambodia (MOE, MOH, MOSA, CMAC, CDC), Japanese and local NGOs in Cambodia

Table 1-4 The rating criteria of evaluation

Relevance of policy	1. Consistency with the framework of Japanese assistance policy
	a The vision of the scheme is fully consistent with Japanese assistance policy.
	b The consistency with the framework of Japanese assistance policy is moderate because the vision of the scheme is consistent with Japanese assistance policy in ○○, but not enough in ○.
	c The consistency with the framework of Japanese assistance policy is low because the vision of the scheme has some inconsistency with Japanese assistance policy.
	2. Consistency with international priority issues
	a The vision of the scheme is fully consistent with the international priority issues (such as MDGs).
	b The consistency with the international priority issues are moderate because the vision of the scheme is consistent with the international priority issues (such as MDGs) in ○○, but not enough in ○.
	c The vision of the scheme is not inconsistent with the international priority issues (such as MDGs).
	3. Comparative advantage of GANP
a GANP has comparative advantages to other schemes.	
b GANP has some comparative advantages because it has comparative advantages to other schemes in ○○, but not enough in ○.	
c GANP has no comparative advantages to other scheme.	
Efficiency the result	1. Achievement of the objectives
	a GANP enhances the strength of Japanese NGOs and contributes to the project results and NGOs' capacity building.
	b Some effects in ○○ show the strength of Japanese NGOs, but not enough in ○. ○○ contributes to capacity building of Japanese NGOs, but the effect in ○'s contribution is limited.
	c The scheme doesn't contribute to the results by Japanese NGOs' strength./ The scheme doesn't contribute to capacity building of Japanese NGOs.
	2. Implementation of "Assistance showing the presence of Japan" with GANP scheme
	a "Assistance showing the presence of Japan" expected by GANP scheme has been implemented.
b The effect of "Assistance showing the presence of Japan" is moderate because ○○ shows some expected results in terms of publicity by GANP scheme while ○ doesn't show enough results.	
c "Assistance showing the presence of Japan" is not implemented by GANP scheme.	
Appropriateness the process	1. Incorporation of stakeholders' opinion in Japan (such as Japanese NGOs) in GANP scheme
	a Ideas exchanged among Japanese NGOs and stakeholders in Japan incorporated in improvement and planning of the scheme.
	b Incorporation of NGOs' opinions in GANP scheme is moderate because ideas exchanged (or partially exchanged) among Japanese NGOs and stakeholders in Japan are incorporated in the scheme in ○○, but not in ○.
	c Some ideas of Japanese NGOs and stakeholders in Japan are not incorporated in improvement and planning of the scheme.
	2. Promptness and flexibility of each process of making appraisal and decision
	a Prompt and flexible process is conducted from planning, implementation and completion phase of GANP projects.
	b Promptness and flexibility of the process is moderate. Because GANP projects are planned, implemented and completed through the prompt and flexible process in ○○, but not in ○.
	c Prompt and flexible process is not conducted from planning, implementation and completion phases of GANP projects.
	3. Appropriateness of each process of making appraisal and decision
	a Appropriate process is conducted from planning, implementation and completion phases of GANP projects.
	b Appropriateness of the process is moderate because GANP projects are formulated, implemented and completed through the appropriate process in ○○, but not in ○.
	c Appropriate process is not conducted from planning, implementation and completion phases of GANP projects.
	4. Incorporation of the previous evaluation of the scheme
a The scheme is revised by lessons learned and recommendations from the previous evaluation of the scheme.	
b Incorporation is moderate because the scheme is revised by lessons learned and recommendations from the previous evaluation of the scheme in ○○, but not enough in ○.	
c The scheme is not revised by lessons learned and recommendations from the previous evaluation of the scheme.	

#### 1-4 Evaluation Methodology

This evaluation was implemented with methods as follows.

- (1) Literature review
- (2) Review of the application form, interim report and completion report of each GANP project
- (3) Interviews with stakeholders such as the Non-Governmental Organizations Cooperation Division of MOFA, the divisions of JICA and JICS working on similar programs through the partnership with NGOs in Japan, and NGOs having experiences in implementing GANP projects
- (4) Questionnaire survey of Japanese NGOs with/without experiences of GANP projects
- (5) The field survey in Cambodia of the following GANP projects;
  - (a) UXO Clearing Project in Kampong Cham Province Cambodia 2009 (NGO : Japan Mine Action Services)
  - (b) Additional Construction Project for Thkov Primary School in Kompomg Cham Province (NGO : Association of School Aid in Cambodia)
  - (c) Project for the implements for physically handicapped people (NGO : PH-Japan Foundation)
  - (d) Project for Maternal and Child Health Service Promotion, Svay Anthon Operational District (Third Year) (NGO : Services for the Health in Asia and African Regions)

#### 1-5 Structure of Evaluation Team

This evaluation was conducted by an Evaluation Team of members listed below. The consultants of Ingerosec Corporation collected and analyzed information, and prepared the report under the direction of the Team Chief and the Advisor.

Dr. Mitsuru Yamada	Chief	Waseda University
Dr. Megumi Kuwana	Advisor	Ochanomizu University
Mr. Tadanori Kumano	Chief Consultant	Ingerosec Corporation (Tokyo)
Ms. Tomoko Matsushita	Senior Consultant	Ingerosec Corporation (Tokyo)
Ms. Kasumi Gunji	Consultant	Ingerosec Corporation (Tokyo)

Review meetings were held three times, and the framework, direction and conclusion of evaluations were discussed together with the relevant divisions of MOFA and JICA. The field survey was conducted by the Evaluation Team and a staff member of the Non-governmental Organizations Cooperation Division of MOFA joined the survey as an observer.

#### 1-6 Limitations of Evaluation

Since the major revision of GANP was made in 2010, it is too early to evaluate the results of it. Although it is difficult, at the time of this study, to evaluate adaptation of the preferential measures, such as approval of multiyear projects and supply of general management costs, in “the project for the priority issues” in 2010, compatibility to NGO’s capacity and appropriateness of such preferential measures heads further discussions.

The ways and means of assistance for NGOs by international organization and developed countries vary from one to another. The definition of an NGO is also different by each donor country. For example, while it is called “NGO” in Japan, it is called PVO (Private Volunteer Organization) by USAID meaning “NPO receiving donation from citizens” and

CSO (Civil Society Organization) by DFID meaning “NPO with experience to participate in international development activity”. Definition of a local NGO receiving assistance from donors is also different by each developing country. In most cases, the definition is not strict except for such organizations as UNICEF. NGOs cannot be generally compared to each other as local partners of funded projects by donors in terms of financial aspect due to their relations with the governments of their host countries. Considering these above, this study mainly focused on the similar scheme of assistance for NGOs by the Japanese Government in order to evaluate GANP on the relevance of the policy.

## Chapter 2 Summary of Evaluation and Recommendations

### 2-1 Summary of Evaluation

Results of the review on ODA were published in “ODA Review Final Report” (hereinafter referred to as “ODA Review”), June, 2010 by MOFA. The listed needs for future ODA are as follows;

- (1) More strategic and effective implementation of assistance
- (2) Strong public understanding and support
- (3) Mobilization of resources needed to meet development challenges

The evaluation of GANP is summarised below followed by recommendations with the future vision of ODA in mind.

#### 2-1-1 GANP from the viewpoint of strategic and effective assistance

GANP supports NGOs as the actors who promote development cooperation at the core of ODA. Therefore, the roll of GANP, which aims to develop NGOs' capabilities as one of its major objectives, is significant. In fact, the results of the survey to NGOs with experience of GANP projects show that capacity building has been observed in terms of capacity to execute project (35%), project formulation capability (22%), financial capability (21%), etc. An official of the Non-governmental Organizations Cooperation Division in MOFA stated, “GANP aims to provide project finance. And organizational capacity building of NGOs is a secondary objective. Therefore, it is difficult to provide NGOs with direct support in their capacity building.” However, as a result, it has been observed that NGOs acquire the know-how of the project management through GANP projects.

In order to implement strategic and effective assistance through GANP, first of all, it seems important to strengthen the partnership with the implementing bodies of development cooperation which utilize ODA. According to “ODA Review”, development cooperation by fully utilizing Japanese human resources, expertise, financial resources and technologies is proposed. From this point of view, Japanese NGOs play a certain roll except for the funding aspects even though their abilities still require further improvement.

For this evaluation, Cambodia was chosen as the site of the field survey. In Cambodia, in 1979, the Vietnamese invasion of Cambodia and collapse of the Pol Pot regime resulted in more than one million Indochinese refugee outflows. This event led to establishment of 43 Japanese NGOs, and therefore, the year of 1979 was called “the first year of NGOs”. Due to more than 30 years of experience of support activities in Cambodia, the partnership with NGOs is recognized as “the pillar of Japanese assistance for Cambodia” (by the Embassy of Japan in Cambodia). Human resources, knowledge and technologies have been offered beyond the scales of the projects based on the solid relationship of mutual trust that has been established among Japanese NGOs and local residents.

On the other hand, the Japanese Government continues diplomatic efforts to bring the dispute in Cambodia to an end according to Paris Peace Agreement in 1991 such as the assistance for rehabilitation and reconstruction after the peace agreement and the deployment of self-defense force for PKO through UNTAC (United Nations Transitional Authority in Cambodia). Active continuous support though the partnership with organizations such as JICA (Japan International Cooperation Agency) for the stabilization

of domestic administration and the reconstruction of the country is the well-known fact. That is why Japanese cooperation and development assistance for Cambodia are evaluated as “cooperation with all sectors of Japan”. The same type of successful cooperation existed in the process of rehabilitation, reconstruction, and nation-building in East Timor.

Establishment of the partnership making the most of the rolls of actors to implement the development cooperation is critical in order to promote “selection and concentration” of the assistance in the severe Japanese economic and financial hardship. GANP seems to play a significant roll from the viewpoint of “efforts toward the implementation of more effective assistance” and in terms of “the cooperation with all sectors of Japan” because GANP supports the funds of NGOs which are relatively acquainted with local needs.

#### 2-1-2 GANP from the viewpoint of nurture of human resources in development assistance

Japanese NGOs are generally valued due to their strength in detailed responses matched with beneficiaries’ needs. They correspond to the needs of the poor and focus on the activities which directly benefit the local residents such as self-reliance of the poor and change in consciousness of the local residents. On the other hand, some weaknesses are pointed out such as issues in deployment of their activities due to the lack of organizational foundation (funds and human resources), network and advocacy. This evaluation results list the major issues in Japanese NGOs by comparison with NGOs of other countries such as “lack of funds for activities (25%)”, “weakness of the organizational foundation (20%)”, and “lack of human resources (18%)”.

The strength of Japanese NGOs in the post-conflict countries such as Cambodia and East Timor is the capacity to perform steady outcomes by prompt response and continuous support taking roots in the local community. For example, assistance was initiated in early stage and continued mainly in education, health and medical care by using local languages even after withdrawal of major American and European NGOs. On the contrary, the scale, organizational power, and fund of Japanese NGOs are still poor to become global partners.

Not to mention Japan’s ODA charter (revised edition 2003), Japanese NGOs are expected to perform leadership in priority issues such as global issues and peace-building. However, their capacity to play a part of “cooperation with all sectors of Japan” is not sufficient compared with the other actors. Because of that, they are not likely to be recognized as the partners to solve such priority issues. In spite of the major revisions to GANP such as increase in the amount of fund in 2010, the greater part of the project budgets are between 10 to 40 million yen which target only mid to small scale projects, not large scale projects which can deal with priority subjects mentioned above. With the current budget scale, the areas of activities for Japanese NGOs are still limited to the living environment, health and medical care, education, and geographically, their targets have to be limited to regions like Southeast Asia for which and where they have worked for years. Japan’s ODA charter introduced, as the priority regions, South and Central Asia, Middle East, Latin America, Oceania and even Africa facing serious global issues like poverty, conflict, environmental degradation, infringement of human rights. In particular, diplomatic responsibilities exist for African countries according to the pledges such as “Yokohama Declaration”, “Yokohama Action Plan”, “TICAD Follow-up Mechanism” at TICAD (Tokyo

International Conference on African Development) led by the Japanese Government. Therefore, capacity building for NGOs in order to develop activities in Africa and other priority regions is required immediately.

The capacity building for NGOs is one of the objectives of GANP and the purpose of it needs to be clarified whether establishing “a player with international competitiveness” or “a partner to implement small scale projects”. “ODA Review” states that cultivating human resources in development fields and fostering and utilization of talent are needed in order to show the presence of Japan and to implement high quality assistance. Even though “ODA Review” focuses on the individuals in terms of fostering talent, capacity development of NGOs as a part of all Japan sectors is necessary. It is obvious that enhancing the international competitiveness of Japanese NGOs leads to “taking a leadership in the international community” (“ODA Review”).

### 2-1-3 Viewpoint of the promotion of understanding and support by the public

Japan ranks 5<sup>th</sup> for ODA contribution to the world in 2007 due to its economic and financial depression while it used to rank the first in the 1990's. Following that, the presence of Japan in the international arena is decreasing. “ODA Review” points out that the significant budget cut for ODA was conducted in response to “diminishment of sympathy for ODA by citizens”. In other words, “Strong public understanding and support” (“ODA Review”) is required to increase the budget for ODA.

“ODA Review” lists the background reasons for the decrease of ODA budget as lowering the interests in international cooperation due to the increase of population of the postwar generation and the general public mind becoming inward-oriented. However, if the prewar generation regards international cooperation as “repayment of favors received”, the postwar generation is supposed to recognize it as “global public assets” in order to solve the issues in peace, development, human rights, and environment. Therefore, this concept needs to be spread actively through official and unofficial educational opportunities for development and international understanding.

GANP should work on NGOs that act with public viewpoint to promote active publicity in order to acquire “strong public understanding and support”. For example, Japanese university students visit project sites of GANP and JICA partnership programs through educational programs by universities and other institutions. And these activities surely contribute to enhance understanding and support for ODA of the young generation. Such generation experienced site visits expand their activities through various networks such as students' events and lectures at universities, comprehensive learning classes at elementary and secondary schools, and international festivals, broadening the basis of international cooperation and development assistance in Japan. Understanding and support enhanced by such bottom-up approach by the young generation need to be utilized.

How to implement the assistance which can show the presence of Japan is an important subject of GANP. Labeling ODA logos or plates on the supplied equipments and facilities are the means already adopted. On the other hand, there are some projects such as capacity building projects which are difficult to show the presence of donor country. GANP adopts the flexible strategy on this matter. For beneficiaries, the fund from Japan is easier



to understand than the fund from GANP budget.

The beneficiaries of the target countries of GANP range widely from national and local governments and administrations of the project sites to local residents. According to the survey in Cambodia, while the parties in national and local governments and administrations of the project sites understand GANP projects, the local residents are not interested in the fact that the projects are implemented by GANP other than that they are assistance from Japan even though the administrations explain to them about GANP projects. These attitudes are acceptable, however, in terms of Japanese ODA strategies to promote cooperation with all sectors of Japan (“ODA Review”).

The major roll of GANP is to support projects by NGOs. It enhances the strength of NGOs and as results, they benefit Japanese people directly and indirectly through the active interactions of human resources. These phenomena are observed to produce strong effects in the East-Asia region including Southeast Asia.

## 2-2 Recommendations for future GANP

### 2-2-1 Enhancement of support for the projects promoting “Three Pillars of Development Cooperation - Reducing poverty, Investing in peace, Supporting sustainable growth”

“Reducing poverty” means “Toward the achievement of the MDGs, we place priority on sustainable growth that leads to poverty reduction, healthcare and education (ODA Review)”.

GANP projects for “reducing poverty” can be implemented by mid to small scale NGOs in Japan. They have the advantage of long years of experience in Southeast Asia and for that reason, their work should be continued actively. Simultaneously, the way to foster NGOs and the expected roll of NGOs need to be discussed in MOFA in order to develop Japanese NGOs as global partners.

Even though it is difficult to evaluate the projects for “reducing poverty” such as educational, healthcare, and welfare projects in the short period of time, certain results need to be confirmed. Therefore, introduction of the system, which can monitor schedules and outcomes of the projects to make sure they meet the goals of the original plan and revise them as necessary, needs to be considered. PCM (Project Cycle Management) method managing the project planning, implementation, monitoring, and evaluation as a holistic cycle would be a good example to be considered.

“Investing in peace” aims at assistance for peace building including emergency humanitarian assistance, security assurance, reconstruction and development to prevent conflicts or their recurrence. As previously mentioned, assistance for reducing poverty is the Japanese NGOs’ field of expertise. However, further technical training including the strategies for security assurance needs to be considered since assistance for the reconstruction of nation such as peace building after the conflicts holds the possibility of their recurrence.

For the same reason, NGOs working on GANP projects in the peace building field need to explore various partnerships not only with governments but also with United Nations,

international organizations, regional agencies, and peace building NGOs of other countries, etc. In order to do so, provision of information relevant to the implementation of the project such as security issues in the project area is important as mid to small scale NGOs have limited capacity to collect information. Cooperation with external professionals, domestic and international experienced NGOs in similar fields needs to be requested through the consultation with the Non-governmental Organizations Cooperation Division of MOFA and the Japanese overseas diplomatic missions according to the contents of the project. The contents of the consultation should be also discussed from now on.

GANP expanded its area of assistance and added “peace building support projects”. However, Japanese NGOs started to work in the field of peace building fairly recently and they don’t have enough experience compared to that of European and American NGOs. Therefore, MOFA and the overseas diplomatic missions need to explore their intermediary roll for NGOs implementing GANP projects in the similar fields and other actors to enhance their effective partnerships.

The section of “Supporting sustainable growth” in “ODA Review” states that environmental issues (including climate change), development of infrastructure and investment environment (including establishment of laws and systems) need to be focused. For the issues in this field, the approaches by all sectors of Japan including the Japanese Government, JICA, JBIC, JETRO, and other business entities need to be considered rather than solely by Japanese NGOs. GANP should select the contents of the projects carefully in order to enhance the autonomy and capacity of NGOs working as a part of all sectors of Japan. To do so, the methods of consultation need to be reviewed to enhance the efficient role sharing and the relationship among actors.

#### 2-2-2 Clarification of the strategies of GANP

This evaluation study clarified the significant contribution of GANP in terms of the enhancement of the strength of Japanese NGOs, that is, the capacity to offer detailed assistance rooted to the target communities based on understanding of the local needs. There is a possibility to suggest and implement various projects by NGOs based on their ideas and needs regardless of their experiences and the scale of their activities. GANP projects give opportunities for Japanese NGOs to enhance their abilities such as project implementation, project formulation, and financial management through their project experiences.

On the other hand, the Japanese Government needs to clarify the strategies to develop the NGO sector from the viewpoint of the roll of Japanese NGOs in international cooperation beyond the individual project results of the official assistance. National level security assurance doesn’t function solely for the global level security assurance under the current globalization. Global level security assurance cannot be established without NGOs that can deal with the diversities of global issues beyond borders and local issues in their project areas. NGOs have become the essential partners for the major donor countries to implement the national objectives in their priorities. Fostering NGOs would be strategically necessary for the goal of GANP, the largest funding assistance scheme for Japanese NGOs, because it would contribute to the entire development of the NGO sector.

However, the survey of NGOs shows that the outcomes of current GANP in terms of developing capacity are limited to the know-how to manage GANP projects only but are not

sufficient to lead to the enhancement of entire organization of NGOs or the NGO sector. Planning capacity, specialty, and experience for the specific fields and implementation of the large scale projects of the Japanese NGOs are not developed compared to those of European and American NGOs. This situation prevents implementation of projects with public understanding and highly recognized by local people to show the presence of Japan.

Consequently, the assistance scheme with dual focus is needed in order to implement capacity development of the entire organization of NGOs beyond the project level in addition to the voluntary spirit and the strength of Japanese NGOs. The new system with dual objectives to aim at training of the actors with international competitiveness by program based support (cross borders and fields) while continuing the development of the partners to implement small scale projects by the existing project funding should be introduced. Particularly in program base supports to develop NGOs' international competitiveness, "Block grant" which is introduced in UK and Canada can be referenced. Its use has flexibility and is not limited to the specific project. Speaking of flexibility, it does not mean complete freedom for all NGOs to use the grant. For example, under PPA (Partnership Program Agreement) adopted by DFID, only NGOs that were approved to be able to contribute to achieve MDGs, one of the goal of DFID, have eligibility to be granted. In Canada, the eligibility requires the activities to promote public involvement in international development.

A flexible grant system enhancing the sustainable development of organization is highly needed for Japanese NGOs whose organizing capacity is further required compared to that of European and American NGOs. Therefore, the introduction of such grant needs to be considered by GANP.

#### 2-2-3 Ripple effects of projects ; from a point (a single project) to a plane (the regional expansion and political correlation)

As the field survey in Cambodia showed, Japanese NGOs made certain accomplishments by responding the local needs in detail through GANP projects. However, their results are limited to the project level, that is, within each project area and target group. In order to make a sustainable larger impact, efforts to link the ideas and good practices through the projects to other areas and to the policy level are required. To that end, utilization of the multiple year project system, the collaboration with the JICA partnership program and the schemes of other international cooperation organizations need to be further promoted. Simultaneously, GANP should be improved to support for NGOs and the civil society from various aspects in order to implement the advocacy activities for local governments and building networks among related entities and aid agencies. Due to the involvement of MOFA and embassies, GANP has advantage to have MOFA and embassies support NGOs by bridging them to the relevant organization of the local governments and other organizations. Therefore, the guidance for the Non-governmental Organizations Cooperation Division in MOFA and the Japan's overseas diplomatic missions is expected to be drafted and the system for the implementation report is to be introduced as a part of the follow-up services for the individual GANP projects.

#### 2-2-4 Introduction of a system to measure the achievement of project results

This evaluation study clarified the issues preventing from measuring the project outcomes.

As there is no place to fill in the project objectives and the indicators to measure the outcomes except for the overall goal in the GANP application form, it is difficult to clarify the results based on the mutual understanding between the donor and the implementing organization at the times of interim and completion reports. Since 2007, GANP introduced the “results check sheet”, which has the sections for the project objectives and results. However, as there still is not the section for the project objectives in the application form, it causes logical inconsistency between the results check sheet and the form.

Therefore, the basic system to measure the achievement of GANP project should be introduced in order to enhance the understanding for the vision of the project among stakeholders, confirmation of the project status, and public relations on the results for the citizens and related entities.

First of all, project objectives and indicators to measure the results should be listed in the application form. Interim and completion reports, monitoring and evaluation should be conducted based on the listed project objectives and indicators. The adoption of a log-frame or PDM (Project Design Matrix), which summarizes the major factors of the project such as objectives, results, inputs, and external conditions in one chart, would be effective.

However, the indicators and the log-frames need to be taken into consideration as reference and their flexible use is important because too much focus solely on the indicators of the results, log-frames, and achievement within the project period stated in the application form would cause the difficulty to present the qualitative results and the risk to miss the unexpected results. The influences of a project are produced not only by efforts of a donor according to its plan but also by the reaction of recipients. Such mutual interaction by the donor and recipients often produces unexpected results. Also, the fact that some results may be appeared after long time far beyond the project evaluation period needs to be considered. Lastly, the indicators of the qualitative factors according to the nature of the project need to be set because some projects such as capacity development projects aiming at sustainability in the long run and peace building projects have difficulty to set the specific quantitative outcomes within their project periods as they rather focus on the processes.

#### 2-2-5 Enhancement of provision of information and involvement of external professionals in the application, appraisal and report process

As to the application and appraisal process of GANP, major efforts have been made by MOFA such as making the appraisal period much shorter. Even though these improvements are appreciated by NGOs, there are still some needs for the consultation regarding the contents of the project in the application process. The Non-governmental Organizations Cooperation Division in MOFA offers consultation as the point of contact in cooperation with the relevant regional divisions in MOFA and the overseas diplomatic missions. However, the consultation tends to put on emphasis on financial aspects rather than the contents of the project and the planning compared to the JICA partnership program. Involvement of external professionals familiar with the development field and the geographical area of the project needs to be enhanced for further professional consultation and appraisal focused on project implementation in project planning. The system adopted by JPF (Japan Platform), which involves external professionals as advisors in the

application, appraisal and monitoring process, would be a good example.

In the reporting process, difficulties in a financial report and issues regarding the effects of external audits are pointed out. A detailed manual responding to the frequent asked questions and issues pointed out needs to be compiled because NGOs are scattered throughout Japan and therefore, informational meetings in the major cities are not effective. Speaking of the external audit, there is a possibility to avoid dual audit process in NGOs and MOFA by the clarification of the audit criteria for GANP projects and the obligation to ask for external audits including the GANP specific audit subjects.

#### 2-2-6 Promotion of the participation process for stakeholders

Periodical interactive occasions to exchange ideas (NGO-MOFA Regular Meetings) between MOFA and Japanese implementing NGOs which are the user of GANP and familiar with the local recipient societies have been working effectively in terms of the improvements of the scheme taking into consideration the local people and the assistance environment at site. Such dialogues should be continued.

Occasions for direct dialogues between MOFA and beneficiaries of GANP projects (government entities of recipient countries and community groups of beneficiaries) is also important in order to achieve further improvements on the scheme from the viewpoint of further participation of the stakeholders and the strategies to implement assistance with the presence of Japan . Adoption of the process to include the ideas from parties close to the beneficiaries on the occasion of the next revision of the scheme should be considered such as implementation of joint local surveys by MOFA and NGOs for the specific areas or themes.

## Map of the GANP Project Sites for the Field Survey in Cambodia

UXO Clearing Project in Kampong Cham Province Cambodia 2009  
 / JMAS (Japan Mine Action Services)

Additional Construction Project for Thkov Primary School in Kompomg Cham Province  
 / ASAC (Association of School Aid in Cambodia)



Project for the implements for physically handicapped people  
 / PH-Japan Foundation

Project for Maternal and Child Health Service Promotion, Svay Anhor Operational District (Third Year)  
 / SHARE (Services for the Health in Asia and African Regions)

## Photos of the Field Survey in Cambodia



UXO found by the information provided from local people at the site of “UXO clearing project” by JMAS



Education for prevention of injury by UXO by JMAS at an elementary school



Thkov Primary School constructed by ASAC



Interview with C/P and local people at the school constructed by ASAC





A child using a walking equipment supplied in the project of “ Project for the implements for physically handicapped people” by PHJ(Kien Khleang Physical Rehabilitation Center)



Interview with C/P of the project site of “Supply of the Equipment for physically handicapped people” by PHJ



Interview at SHARE’ s office in Phnom Penh



Interview with Ministry of Health in Cambodia , one of C/Ps of “Health Project” by SHARE