

Evaluation Summary

1. Outline of the Project

Country: Republic of Kenya; Republic of Uganda; United Republic of Tanzania

Project Title: Project of African Institute for Capacity Development (AICAD) Phase II

Issue/Sector: Poverty reduction

Cooperation Scheme: Technical Cooperation Project

Division in Charge:

Social System & Peace Building Team, Group I (Social Development and Peace Building),
Social Development Department

Total Cost (by the time of evaluation): approx. 1,400 million yen

Period of Cooperation

(R/D): 1 August 2002 - 31 July 2007

Partner Country's Implementing Organization(s): Secretariat of the African Institute for Capacity Development (AICAD); ministries of Kenya, Tanzania, and Uganda in charge of higher education, and economy and finance; the 15 partner universities of AICAD

Supporting Organization(s) in Japan: Member universities of the AICAD Steering Support Committee in Japan (including Kyoto University and Nagoya University); Ministry of Education, Culture, Sports, Science and Technology

Related Cooperation: Grant Aid Project for the Establishment of the African Institute for Capacity Development (AICAD); other JICA projects in East Africa

1-1 Background Information and Justification

The Japanese government hosted the Second Tokyo International Conference on African Development II (TICAD II) in October 1998. In the Tokyo Agenda for Action, adopted at TICAD II, the Japanese government set out a plan to support capacity development in Africa with the establishment of the African Institute for Capacity Development (AICAD). This plan was built on more than 20 years of experience of JICA in assisting the Jomo Kenyatta University of Agriculture and Technology (JKUAT). JICA supported the establishment and development of JKUAT as an institution of higher education and made considerable achievements. Under the plan, JICA started the preparatory phase (Phase I) of this technical cooperation project for a period of two years from August 2000. As the backbone of AICAD, Phase I launched three divisions: (i) Research and Development (R&D); (ii) Training and Extension (T&E); and (iii) Information Networking and Documentation (IN&D). The improvement of organization control centered on three divisions and was launched to be an institution which would connect the solutions based on the needs of the grassroots level to the regional development. In August 2002, the project moved on to Phase II, which was designed to support the launch of AICAD organization control and activities based on these three functions. In 2004, AICAD formulated a five-year Strategic Plan for 2005-2009. It described AICAD's vision and mission of capacity development for poverty reduction in

Africa in cooperation with intermediaries including academics and NGOs. The Strategic Plan also included the focus sector, which aims to the attainment of AICAD's vision and mission, and the action plan. Although its activities are currently based on the three East African countries of Kenya, Tanzania, and Uganda, AICAD is looking into extending the scope to cover other countries in Africa.

The R&D division has generally focused on support for research benefiting local communities at universities and research institutions in the three countries. The T&E division has been providing training and seminars for extension workers and farmers at the in-country and regional levels. The T&E division plans to utilize the results of research and extend activities based on the needs of local communities. The IN&D division issues publications, improves the library of AICAD and builds databases.

1-2 Outline of the Project

(1) Overall Goal

To be the leading African institution in building human capacity for poverty reduction

(2) Project Purpose

AICAD will establish structural and functional modality for effective linkage between knowledge/technology and application.

(3) Outputs

Output 1: Knowledge and technology packages for poverty reduction are identified and generated.

Output 2: Partnerships for identification, generation, and transfer of knowledge and technology (research, training, etc.) within countries are strengthened.

Output 3: Cooperation with other regions for identification, generation and transfer are enhanced (Establishment of partnership with other regions).

Output 4: Identified and generated knowledge and technology are translated into appropriate dissemination/extension packages.

Output 5: Appropriate knowledge and technology are transferred to extension organizations and communities.

Output 6: Networks and resource sharing with institutions and communities in participating countries are established.

Output 7: Target countries for AICAD phase III --are identified and preparations for joining made.

Output 8: Organizational structure and effective policies, HR systems and management, Governance, Resource mobilization and Monitoring & Evaluation systems are in place.

(4) Inputs of the Project (until the time of evaluation)

Japan side

Long-term Experts: 7 experts

Short-term Experts: 34 experts
Trainees received: 14 persons in Japan and 1 person in Indonesia
Equipment: 55.9 million yen

East African countries side:
Counterparts (C/P): 27 persons
(15 for regional staff and 12 for national staff)
Local cost (contributions): 3,720,153 US dollars
Others: Land for the building of AICAD Headquarters, fences, office desks and other furniture, food utensils at the cafeteria, etc.

2. Evaluation Team

Members of Evaluation Team

(Role/responsibility) (Name) (Position)

Team Leader: Michio KANDA Counsellor to the President, JICA
Technical Evaluation: Yasuo TAKEMURA Professor Emeritus, Kyoto University,
and Chairman of AICAD Steering Support Committee, Japan
Cooperation Planning: Masayuki KANEDA Social System & Peace Building Team,
Group I, Social Development Department, JICA
Evaluation Analysis: Shinichi MORI Consultant, IMG Inc.

Period of Evaluation: 13 October - 25 November 2006

Type of Evaluation: Terminal Evaluation

3. Results of Evaluation

3-1 Achievement Level

(1) Achievement of the Project Purpose

The purpose of this Project is to “ensure that AICAD establishes structural and functional modalities for effective linkage between knowledge/technology and their application.” AICAD has already established certain modalities for research & development (R&D) and training & extension (T&E). In total, it has supported 119 research projects, provided training for over 1,000 people, and concluding a partnership agreement with 15 organizations, including universities. As for information networking and documentation (IN&D), AICAD has established a database of poverty reduction information on researchers and research papers. The joint termination evaluation of Phase II, which was conducted between October and November 2006, concluded that Phase II was achieving its purpose as a whole.

Considering, however, the attainment level of the Overall Goal, to establish AICAD as a leading institution in Africa for capacity development for poverty reduction, AICAD has yet to establish a functional system for identifying, generating, and transferring knowledge and technology based on the organic linkage between its different divisions.

Output 1:

The R&D support system of identifying and generating knowledge and technology for poverty reduction has been consolidated, through which R&D activities has been conducted. Among the 119 research projects, 25 have been identified as having potential for an extension. Of the 25 projects, one is now being disseminated to other areas, and two projects are under preparation for dissemination. On the other hand, 40 projects have been concluded without any possibility of dissemination. This suggests that there is still room for improvement in winning the understanding of researchers about the purpose of AICAD-administered research.

Output 2:

AICAD has concluded a partnership agreement on research and training with 14 institutions, and has successfully established networks with 17 universities and 146 other institutions to mobilize resource persons as research evaluation team members or trainers for training courses. Research projects have been selected from all of the 15 current participating universities.

Output 3:

AICAD has concluded a partnership agreement with nine institutions outside the region. It is expected to enhance cooperation for identification, generation, and transfer of knowledge and technology.

Output 4:

Taking into consideration AICAD's limited implementation capacity (budget, human resources, etc.), the results of findings of three research projects were selected to be disseminated and these are being translated into dissemination packages: (i) an improved model of indigenous technology for a ceramic ware cottage industrial cluster in Uganda; (ii) semi-prefab concrete construction techniques for urban low cost housing in Tanzania; and (iii) production and farm-based processing of superior genotypes sesame in Kenya, while 8 training packages have been produced from identified existing knowledge. Efforts have also been made to catalyze the transfer of knowledge and/or technology as the Community Empowerment and Networking Programs with the participation of communities in the three countries.

Output 5:

A total of 1,314 people, including extension workers, farmers, and business people, have been trained through AICAD training courses. Multiplier effects are ensured; many ex-participants have not only applied the acquired knowledge or technologies but have also transferred them to other people in their communities. They have also proved that grassroots training was an very effective tool to reach women and marginalized groups.

Output 6:

The Poverty Alleviation Information and Knowledge System (PAIKS), an information database about poverty reduction inside the region, has been partly completed.

Output 7:

The selection of the target countries and preparations for their entry in AICAD Phase III are expected to be implemented 2007 or later. The activities under this plan will be evaluated in 2009 as part the AICAD Strategic Plan reviews.

Output 8:

AICAD's governance organs i.e. the Joint Working Committee (JWC), the Joint Coordinating Council (JCC) and Annual General Meeting (AGM) meet on a regular basis to oversee AICAD's operations. The operational management guidelines such as a personnel manual and an accounting system are being developed. AICAD's organization control and governance structure have been established and are functioning to realize its organizational goal: to be a leading African institution in building human capacity for poverty reduction.

(2) Achievement of the Overall Goal

Though AICAD was established from scratch is in early stage, it has been steadily accumulating knowledge and technology, and is establishing its administration system to attain the Overall Goal, which is to establish AICAD as a leading institution in Africa for capacity development for poverty reduction.

3-2 Summary of Evaluation Results

(1) Relevance

The Project is highly relevant. The AICAD activities are in conformity with the Poverty Reduction Strategy Papers of the three participating countries. The Japanese government has remained committed to supporting the TICAD process.

The Project is relevant to the needs of the target groups: researchers, extension workers, community leaders and end-beneficiaries including farmers and entrepreneurs. Of the target groups, researchers, extension workers and community leaders participated in the research projects that would contribute to poverty reduction, one of the important criteria. They also participated in training programs which were designed based on the needs surveys. Through these processes, these target groups improved their research and teaching capacities. Also, it is reported that many farmers and entrepreneurs improved their productivity and income as a result of their participation in training courses at AICAD. The Project is also relevant in its approach: building a capacity-building center, generating new technologies suitable for local conditions by drawing on the local knowledge and technology, developing the potential of local expertise, and building a bridge between these people and their communities.

(2) Effectiveness

The effectiveness of the Project is judged to be good. As discussed in Section 3-1 above, AICAD has already established certain modalities for R&D and T&E. Although a database of poverty reduction information established in the IN&D division has yet to be used as a tool for extension activities, such function is a basis for the institutional mechanism for translating knowledge and technology into action. Nevertheless, there are some constraints on the effectiveness of the Project. Among them are lack of mechanism for putting research outputs to effective use for dissemination activities and training modules, lack of communication between AICAD Headquarters and the Country Offices, and the unpredictability, and even a reduction, of funds from JICA. These constraints should be addressed.

(3) Efficiency

The efficiency of the Project is moderate. As an independent institution for capacity-development, R&D has established a standard system to support research, facilitating the development of knowledge and technology. On the other hand, 40 out of 119 research projects have been concluded without any prospect of dissemination. Long-term experts from JICA, AICAD staff and other stakeholders shared their knowledge and experiences, producing synergy toward the achievement of the project purposes. On the down side, a rather frequent replacement of long-term experts with different views of the Project sometimes affected the management efficiency of AICAD. The Evaluation Team was told that AICAD and JICA did not hold sufficient consultations regarding the TOR of JICA long-term experts.

The sum of annual contributions from the three East African countries consists of approximately one million US dollars, reflecting each government's strong commitment to support the Project. However, the actual contribution of funds to AICAD from the three countries was sometimes delayed, hindering some project activities. Project activities in each country were hindered by the fact that the Country Offices of AICAD were understaffed. Country Directors are not full time staff members and only one Program Officer is assigned to each Country Office.

(4) Impact

The Project is expected to have a substantial impact on poverty reduction in the near future. R&D activities have played a significant role in enhancing researchers' understanding of the value of community participation and other social factors in poverty reduction, although all R&D activities have not translated into T&E activities. In other words, the Project has contributed to achieving AICAD's Overall Goal of capacity-development for poverty reduction.

The Project has had economic, technical and social effects. For example, many participants have increased their productivity and income by applying the technology they acquired from training courses at AICAD. Both the Irrigation and Water Resource Management course and the Value Addition course have proved to be particularly effective. For instance, extension officers are now able to train and demonstrate the design of irrigation systems to farmers, using technologies taught or demonstrated during the training. T&E activities have contributed to the empowerment of women. The knowledge and technology gained from these activities have allowed participating women to increase their self-esteem, contributing to the enhancement of their social status.

(5) Sustainability

Constant efforts have been made to increase the organizational sustainability of AICAD, including the formulation of the Strategic Plan to guide its operations.

At the organizational and financial levels, AICAD has made a measure of success in developing its project implementation capacity through the process of establishing

mechanisms for standard activities at its three divisions: R&D, T&E, and IN&D. What remains to be done is organizational strengthening of the Country Offices. Although they are tasked to monitor research projects, provide training, and facilitate dissemination activities to achieve poverty reduction at the grassroots level in cooperation with organizations concerned, their capacity and financial and human resources are insufficient. The Mid-term Expenditure Framework (MTEF) under the Strategic Plan for 2005 - 2009 calls on AICAD to obtain funds from other development partners, given that JICA plans to reduce its financial support for AICAD's core activities over the next few years. In other words, AICAD urgently needs to seek potential donors and diversify its revenue sources. AICAD is under the process of being transformed from a company limited by guarantee into a regional/international organization under the Kenyan law. The same process should be considered for the Country Offices as well.

On the technical front, sharing knowledge and experiences between JICA long-term experts and AICAD staff has improved the staff's project implementation capacity and AICAD's administrative functions. The equipment provided to AICAD is fully utilized and maintained.

At the policy and institutional level, AICAD has set out the Strategic Plan and other organizational policies through the internal governing organs mentioned in the paragraph above on Output 8. It is also in the process of establishing administrative systems and rules.

3-3 Contribution Factors

(1) Concerning the project plan

Many forums and workshops organized by AICAD have facilitated the networking and information sharing among researchers. This in turn has raised their awareness about the need for poverty reduction. Partnerships and networks involving universities and other institutions now allow AICAD to prepare and offer high-quality training courses by taking advantage of human resources from these organizations.

(2) Concerning the implementation process

Collaboration between the three East African countries and Japan in the Project has produced synergy as a result of the exchange of knowledge and technology among the JICA long-term experts, AICAD staff, and other stakeholders. This has contributed to the achievement of the objectives of the Project.

3-4 Inhibiting Factors

(1) Concerning the project plan

A total of 40 research projects have been concluded without any prospect of extension. This experience has highlighted the need for a mechanism to link the project outputs to the extension of activities. Another obstacle is that the Country Offices of AICAD are understaffed. The Country Director is a concurrent post and each office has only one program officer. This is making the project activities difficult in each country.

(2) Concerning the implementation process

Insufficient communication between AICAD Headquarters and the Country Offices constitutes an obstacle to effective preparation, implementation, monitoring and follow-up on the AICAD activities. This points to the need for a clearer division of roles between AICAD and capacity-building of the Country Offices, so that they can monitor the research project more effectively.

A rather frequent replacement of the Japanese long-term experts with different views of the Project sometimes affected the management efficiency of AICAD. Another inhibiting factor was that AICAD and JICA had not held sufficient consultations on the TOR for the long-term experts. The tasks ahead include building a better relationship between the AICAD Secretariat and the JICA expert team through the experts' increased information sharing. Moreover, it is necessary to consider a strategic placement of experts, including the possibility of longer-term assignments, along the line of future activity plans.

3-5 Conclusions

The Project has remained relevant until now, four and half years after its launch. The overall goal of the Project is to be the leading African institution in building human capacity for poverty reduction. The Project Purpose is that AICAD will establish structural and functional modality for effective linkage between knowledge/technology and application. The Project is therefore relevant both to the three East African countries' needs in poverty reduction and to Japan's aid policy to these countries, which has evolved from the TICAD process.

The Project has also proved effective. Despite the fact that AICAD has built this Project from scratch, it has established implementing modalities as routine activities for the three divisions of R&D, T&E, and IN&E, and has begun operating accordingly.

To have a greater impact on poverty reduction, the Project needs to improve coordination among the three divisions and to disseminate their project outcomes more widely.

As mentioned earlier, it is one of the greatest strengths of AICAD that the governments of three East African countries are continuing to contribute funds. The sustainability of the Project was increased after the implementing modalities for the three divisions were mostly established. On the down side, AICAD depends much on assistance from JICA to cover a large part of the operating costs. To reduce such dependency, AICAD needs to take a number of steps: (i) double its effort to secure the source of revenue itself; (ii) encourage capacity-building of AICAD staff; and (iii) enhance its comparative advantages through these processes.

In sum, the evaluation in light of the five criteria shows that the Project is achieving its purpose and that AICAD needs to address the identified issues in order to accomplish the Overall Goal.

3-6 Recommendations (specific solutions, suggestions and advice for the Project)

- AICAD should give priority to research projects that have potential to be disseminated. It should also promote the AICAD Directed Research support program for problem-solving, which adopts differentiated approaches according to the needs of individual universities in the three countries. It is also necessary to improve coordination with researchers, local governments, NGOs and other organizations through implementation of workshops for researchers so that they share the approaches to poverty reduction.

- In order to make the training programs more effective, the Country Offices should increase their follow-ups for the ex-participants in training courses at AICAD. The training programs should pursue the possibility of coordination with NGOs and community-based organizations. They should also introduce experiences from Asia to their training programs. From the point of view of benefiting from JICA's achievement in other regions, it may be effective to accommodate participants from outside of the region. As long as there is both supply and demand for such programs. AICAD training programs should also look into the possible use of the outputs from research projects with the prospect of dissemination.

- IN&E activities should play a larger role in promoting dissemination activities through information gathering and sharing in the region. It is important that, as a leading institution in Africa, AICAD promotes networking, communication and coordination with institutions in the region and elsewhere. To this end, AICAD should establish a policy and basic plan for information and communication technology (ICT), which calls for, among other measures, the introduction of a tele-conference system.

- The five-year Strategic Plan that AICAD announced in 2005 contains ambitious targets. For successful implementation, it is necessary to review the Strategic Plan every year and to develop an annual plan. Furthermore, AICAD should divide its activities into two types: activities funded by the three countries and those financed by external funds. JICA plans to support the latter type of funding in Phase III. It is also necessary to define the role of the Country Offices more clearly and to empower them if need be.

3-7 Lessons Learnt (especially those that provide useful information for identifying/formulating, implementing, and administering similar projects)

- Establishing a new organization with a particular mission requires a proportional amount of time and effort. A certain period of time for learning is essential for establishing a modality for effective project implementation. It should also be remembered that continuous monitoring, as well as prompt and flexible responses, are necessary for problem solving.

- Applying a mechanism of bilateral aid to a multilateral institution entails considerable difficulty. In order to better assist the development of international organization, it is essential to build an innovative framework for cooperation and a platform for mutual understanding, as well as to enhance communication and confidence-building among stakeholders.

3-8 Follow-up Status

For the remaining period of Phase II, efforts will be made to develop a long-term framework for cooperation between AICAD and JICA.