

Ex-Post Evaluation on ODA Projects for Waste

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1. Introduction

The evaluation criteria of the ODA(Official Development Assistance) project is based on the five criteria of OECD DAC: relevance, efficiency, effectiveness, impact and sustainability. The detailed evaluation questions are set differently for each project.

Evaluation of ODA project is divided into an ex-ante evaluation¹, mid-term evaluation, terminal evaluation, ex-post evaluation. Among these, ex-post evaluation is generally performed for a specific project such as development projects after a certain period(1~3 years) after the end of the project, in order to obtain lessons for similar projects by measuring project sustainability, impact, effectiveness, etc.

Each phase of ODA project, which consists of planning, implementation, and evaluation, should be circulated and the outcome of the evaluation should lead to feedback on the implementation of another project. But globally, there are weaknesses in this system and the same is true for Korea.

This study analyzes a case of evaluation of ODA projects performed in Korea, and suggests the lessons for the ODA projects for waste and the development projects in Korea.

2. A Case Study of Ex-post Evaluation

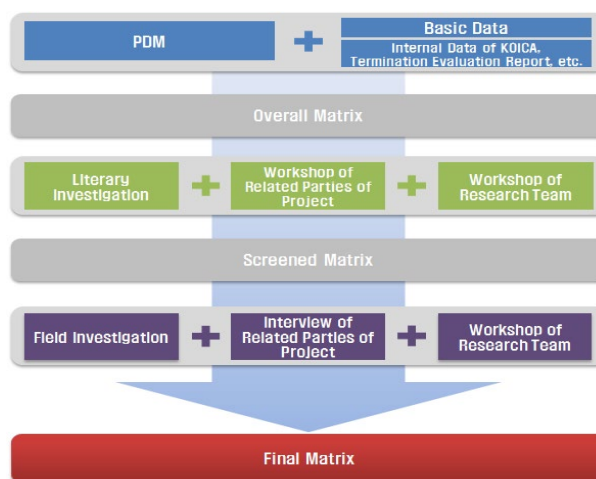
Project entitled the "Management of Mercury Waste in Egypt" was evaluated based on the improved evaluation methodology. This project was carried out from 2007 to 2010 with the aim of strengthening the hazardous waste management capability of the country by; supporting the waste treatment facilities, dispatching the specialists necessary for the operation of the facilities and implementing domestic training, etc.

2.1. Improvement of Evaluation Matrix Design Process

In the existing Ex-post evaluation, it is considered that the design of the evaluation matrix proceeded in the process of establishing the evaluation plan prior to the evaluation. Thereafter, it does not go through the process of verifying appropriateness by the project stakeholders. The evaluation matrix is an important part of the overall evaluation process as the evaluator improves very general and ambiguous universal questions into specific evaluation questions tailored to the evaluation subject. However, if the evaluation questions, indicators, and methods are selected by the evaluator before the accurate judgment of the project, the evaluation of the project may be difficult. Therefore, the matrix needs to be revised in a way that it can verify the adequacy of the question even during the field survey and interview survey, so that the characteristics of the business can be shown well.

¹ Evaluation conducted before the implementation of development assistance

Therefore, in this study, a Proposed Design Process of Evaluation Matrix was constructed, as shown in Fig.1. Specifically, an Overall Matrix is prepared through the research team brainstorming based on project data such as PDM, internal data of KOICA, and terminal evaluation report, etc. Then, a Screened Matrix is prepared through literary investigation and a workshop of the related parties and the research team on the feasibility study of the project. After the field investigation and interviews with the related parties of project within KOICA, a research team workshop was held to design the final matrix.



Reference: KOICA (2015) Ex-Post evaluation on the project for the management of mercury waste in Egypt, p.45.

Fig. 1. Design Process of Evaluation Matrix

As a result, The 38 evaluation matrices have been finally designed by reflecting all evaluation results such as literary investigation, workshop, field investigation and interview of related parties.

Through this, it was able to demonstrate the importance of finding core questions suitable for the project through the verification from related parties and field survey.

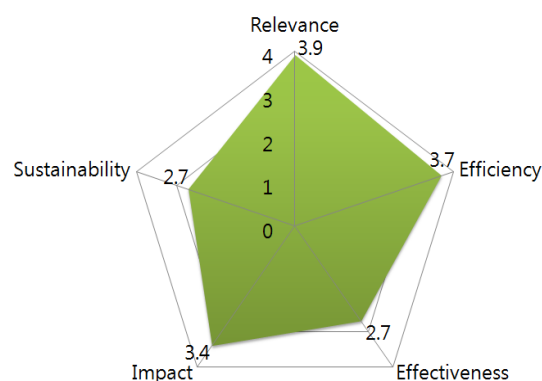
2.2. Improvement of Rating System

The ODA project evaluation result in Korea is quantified through the implementation of the rating system. Based on the total score calculated for each criteria, it was evaluated as “very successful”(14 points or more), “successful”(11~14 points), “partially successful”(8~11 points), and “unsatisfactory”(less than 8 points). This is in line with the objective of quantifying the outcome of the evaluation, but it may be difficult to obtain the objectivity of the result since the evaluators differ from project to project. In particular, in the evaluation of each item by the evaluation team, the discussions between the members of each evaluation team and the process of how the final score was calculated are not disclosed.

In order to improve this, this study proposed a method for each member of the evaluation team to give a score on each examination standard. Each member who has expert knowledge in their own field is to give a score for each standard in matrix, thereafter the average value is decided as the score of each standard. Thus, it was expected that the evaluation results would be more transparent and objective by disclosing all scores of the evaluation team.

Consequently, each of the evaluation team gave scores based on their expertise, so it was possible to make a more careful judgment and improve the objectivity by subdividing the scores. The final evaluation score of the five criteria is shown as Fig. 2. This project shows relatively good result in relevance and efficiency compared to effectiveness, impact and sustainability.

Although Egypt has set up a facility to properly treat the spent fluorescent lamps through the ‘Management of Mercury Waste in Egypt’ project, the operation and treatment rates are very low, since it is difficult to secure quantity of lamps as the collection system at homes or regular business sites are not secured at all at this time. Therefore, it was determined that “very successful” operation is possible only if the setup of collection system is possible.



Reference: KOICA (2015) Ex-Post evaluation on the project for the management of mercury waste in Egypt, p.149.

Fig. 2. Final Evaluation Score of the Project for the Management of Mercury Waste in Egypt

2.3. Improvement of Quantitative Evaluation Limitation

Korea's ODA evaluation often requires a high proportion of quantitative assessment. There are a lot of quantitative data necessary for evaluation. However, there are many cases in which it is difficult to collect the necessary data for evaluation. For example, in the case of a waste treatment facility support project, it is necessary to collect statistical data such as the waste generation amount and the collection rate of the recipient country in order to calculate the adequate treatment capacity of the facility. However, it is difficult to grasp the status of the recipient country ability to collect this data and set goals in the project planning stage.

This study proposed a method to secure objectivity of evaluation by presenting objective data for items that are difficult to quantify. For instance, in order to evaluate the sustainability of policy and system oriented supports, it has proved its objectivity by obtaining newsletters and cooperative official documents for other regions and ministries.

As a result of Improvement of Quantitative Evaluation limitations, there were some items that could be supplemented by qualitative evaluation method through objective data, but it was found that the items to which quantitative evaluation criteria could be applied was limited. For example, in order to evaluate the accomplishment level of the project goals, an attempt was made to obtain the collection rate of waste fluorescent lamps (ratio of spent fluorescent lamps collected against the spent fluorescent lamps generated throughout the year), but the annual collection quantity data did not exist. So it will be important to establish a system that can collect data throughout the project promotion phase, implementation phase, and ex-post phase.

3. Lessons

3.1. Importance of Ex-ante Evaluation

As a result of performing ex-post evaluation, it was determined that there are many challenges that could have been prevented in advance by identifying possible risks at the project promotion phase of the project. Therefore, this ex-post

evaluation presented a guideline while promoting ODA project in the waste related field in order to identify aspects that need verification in advance while promoting the project (Table 1.). This guideline can be used for evaluation questions even after the end of the project, and it will be possible to double check important matters.

Table 1. Examples of Guideline for Promoting ODA Projects Related to Waste Sector

<p>- Guideline for Promoting ODA Projects Related to Waste Sector -</p>
<p>1. Relevance</p> <ul style="list-style-type: none"> - Check the following items while reviewing the location of the concerned facility <ul style="list-style-type: none"> ■ The location alternative plan must be reviewed ■ The general review must be performed while reviewing the location alternatives. (Simplicity of securing the site, risk factors such as opposition of residents and political situation, etc.) <p>2. Efficiency</p> <ul style="list-style-type: none"> - The preparations for completing the project within the initially planned period is necessary. <ul style="list-style-type: none"> ■ Preparations on the local legal systems related to the licensing of facility must be made <p>3. Effectiveness</p> <ul style="list-style-type: none"> - Must be able to identify the purpose of waste related facility and identify the operation status. <ul style="list-style-type: none"> ■ example) Must be able to verify the final recovery rate of mercury from the spent fluorescent lamp and whether the recovered mercury can be finally treated safely. ■ example) Must be able to identify the operation status of recycle product sorting facility ■ example) Must verify the energy making effect of waste through the RDF facility. <p>4. Impact</p> <ul style="list-style-type: none"> - Verify whether the concerned project has impact on the waste policies of the recipient country. <ul style="list-style-type: none"> ■ Verify whether had impact on the change of awareness. <p>5. Sustainability</p> <ul style="list-style-type: none"> - Verify whether equipment and materials for solving facility repair and deterioration problems can be supplied on continuous basis <ul style="list-style-type: none"> ■ Verify whether the equipment and materials can be supplied on a continuous basis within Egypt ■ Verify whether the equipment and materials from the surrounding countries of Egypt can be supplied on continuous basis. ■ Verify whether the equipment can be supplied on a continuous basis from Korea - The resources and customers for operation the concerned facility must be secured. <ul style="list-style-type: none"> ■ ex) The collection system of spent fluorescent lamp must be secured ■ ex) The waste must be steadily supplied to the recycled product sorting facility. ■ ex) The consumers to steadily use the RDF must be secured.

Reference: KOICA (2015) Ex-Post evaluation on the project for the management of mercury waste in Egypt, p.156~161.

Meanwhile, it is necessary to set up efficient system or policies for collecting generated waste due to the nature of the waste project. The fact that policies haven't been made although the project has ended could indicate a problem with sustainability of this project. So fundamentally, it is more desirable to perform ODA support project on setting up the system where facility can be operated properly rather than the construction of facility.

3.2. Importance of Participation of Various Stakeholders

As can be seen from the above case, current ex-post evaluation system has limited participation of various stakeholders. Fig. 3. Shows participation of stakeholders at each stage of the above case. In this case, the process has been improved for increasing

the participation of stakeholders. At the stage of creating evaluation matrix, workshop for identifying the characteristic of project was held with related parties of project, and at the stage of field investigation, representatives of recipient country participated in interviews and workshop. However, it was difficult to involve stakeholders in the rating stage. So, it was only evaluated by the evaluation team. But, for more accurate and objective evaluation, various stakeholders with different positions should be able to participate in the evaluation(Fig. 4).

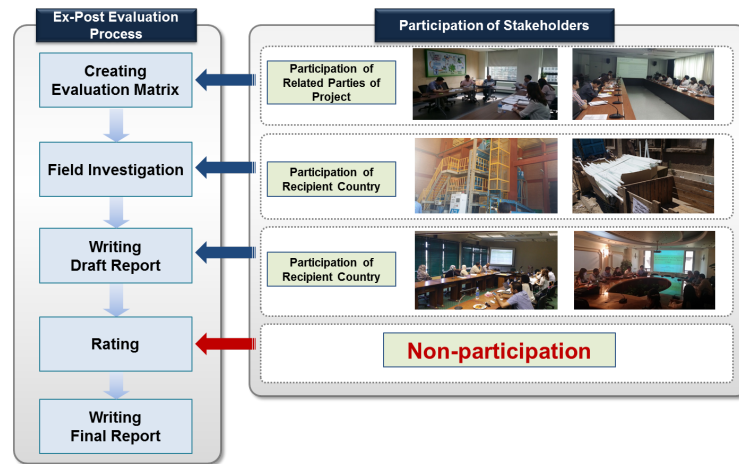


Fig. 3. Participation of Stakeholders in Ex-Post Evaluation Process

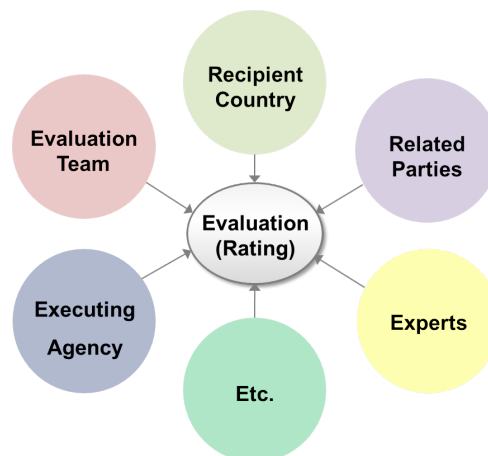


Fig. 4. Improvement of Participation of Stakeholders in Rating Process

4. Conclusions

There are evaluation systems for development projects in Korea as well as ODA projects(Fig. 5). In particular, the pre-feasibility study system has been introduced as an ex-ante evaluation system for comprehensive evaluation of economic, social and environmental aspects of large-scale development projects. And the post-EIA system, which is one of the environmental impact assessment processes in Korea, is an ex-post evaluation of the environmental sector that compares and analyzes the environmental status and the results of the environmental impact survey in the EIA report.

However, in large-scale development projects that are likely to cause a lot of social conflicts other than the environmental field, there is little evidence that the output of the project is produced and the outcome is induced. Therefore, it is necessary to verify the actual effects and impacts of the projects that have caused many social controversies.

In the field of ODA, the accountability of the project is strengthened through the ex-post evaluation system. Therefore, it is urgent to introduce an ex-post evaluation system for Korea's large-scale development projects in terms of strengthening accountability of project operators, rationalization of policy, and efficient use of budgets. In this regard, five OECD DAC criteria are expected to give many lessons as an indicator of the overall evaluation.

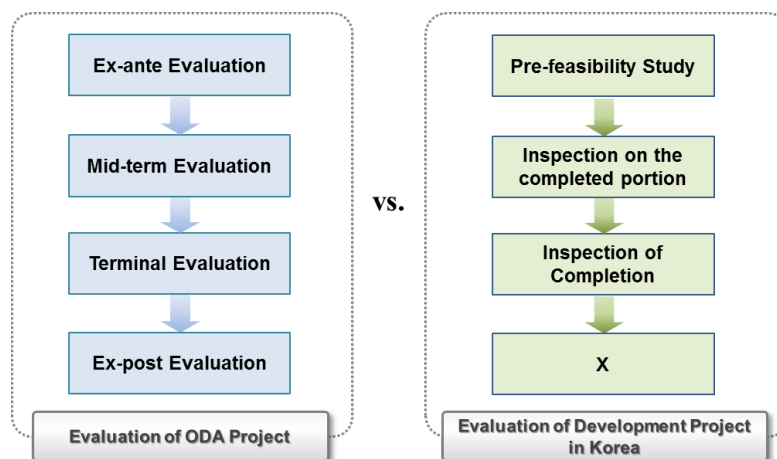


Fig. 5. Comparison of ODA Project Evaluation Process with Development Project Evaluation Process in Korea

References

- Office for Government Policy Coordination (2014) *Integrated Evaluation Manual for International Development and Cooperation*
- Office for Government Policy Coordination (2015) *ODA Project Rating System Implementation Guideline*
- KOICA (2007) *Framework Plan on the Management of Mercury Waste in Egypt*
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