

Science and Technology Research Partnership for Sustainable Development (SATREPS) Guidelines for JST Terminal Evaluation

Revised July 2023

Japan Science and Technology Agency
Department of International Affairs

1. Terminal Evaluation for Science and Technology Research Partnership for Sustainable Development (SATREPS) projects

JST conducts Terminal Evaluations based on the regulations for the conduct of international science and technology collaborative research programs (Science and Technology Research Partnership for Sustainable Development program).

Terminal Evaluations are overall evaluations of projects from perspectives including the level of attainment of target outcomes, the research management structure, scientific and technological development and future prospects, contributions to sustainable research activities, human resource development and capacity development in the partner country, and contributions to resolving global issues. The Terminal Evaluation serves the purpose of maximizing outcomes in the time remaining to the project and offering advice on activities after project completion and on achieving its overall goals.

JICA is not obliged to conduct an evaluation corresponding to JST's Terminal Evaluations but conducts project regular progress management monitoring meeting every six months (the responsible department staff in JICA may attend this meeting). In this process, as the final regular progress monitoring meeting when the project is concluded, JICA confirms matters including the status of the achievement of the project objectives, and whether matters of concern which were pointed out during regular progress monitoring have been resolved or not. In principle, JICA coordinates the timing of this final regular progress monitoring meeting to coincide with the Site Survey conducted by JST as part of its Terminal Evaluation. As stated above, JICA is not obliged to conduct a Terminal Evaluation, but if it is conducted, it will coincide with the final regular monitoring meeting, and in principle, the responsible department staff in JICA will attend the meeting (sometimes accompanied by external consultants).

2. Procedures for Terminal Evaluation

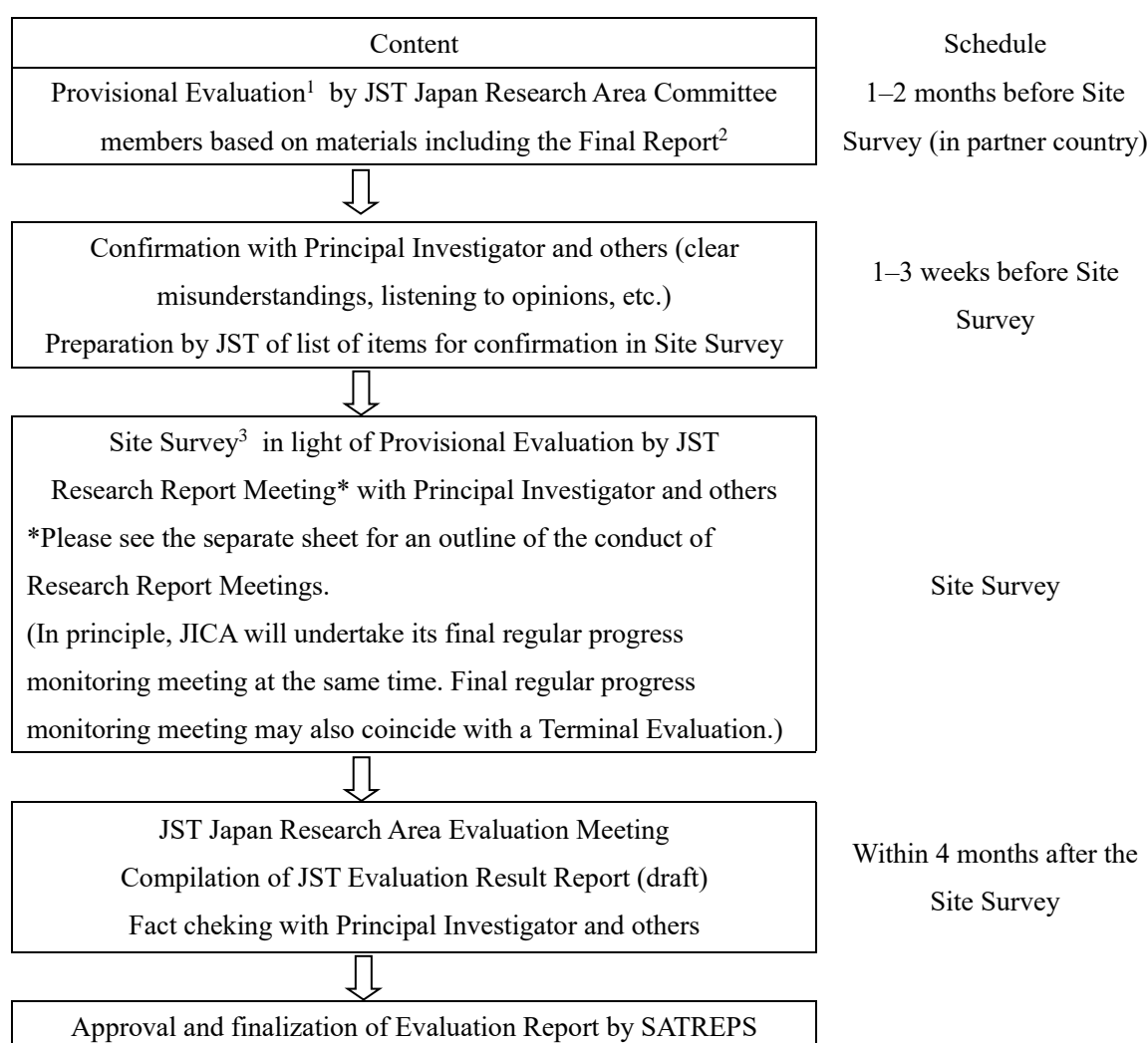
A Japan Research Area Committee composed of outside experts (including Research Supervisors and Program Committee members) holds an Evaluation Meeting using materials prepared by the Japanese Principal Investigators, including a Final Report, Target Outcomes Sheet, Overall Research Plan/Annual Research Plan, and Annual Progress Report. At this Evaluation Meeting the researchers will present the outcomes of their research followed by a question-and-answer session with the evaluators. The Evaluation Committee will then deliberate among themselves and decide the overall evaluation, after which an Evaluation Report (draft) will be prepared based on the critiques of individual committee members. During the preparation

of this Evaluation Report, individual Evaluation Committee members and the Principal Investigator will be contacted to confirm that there are no misunderstandings.

The Evaluation Committee members will review the Final Report in advance and seek a response from the Japanese Principal Investigator concerning any questions and comments that they may have. Factors including the actual status and sustainability of the international joint research are also confirmed by methods such as a Site Survey by Research Supervisors and others and interviews with the partner country’s researchers. These factors are reported to the members of the Evaluation Committee during an Evaluation Meeting.

If the Site Survey can be coordinated to coincide with an event at which all those involved can meet locally, such as a meeting of the Joint Coordination Committee (JCC), it would reduce the burden on the researchers through the efficient use of time. Please see the separate sheet for details.

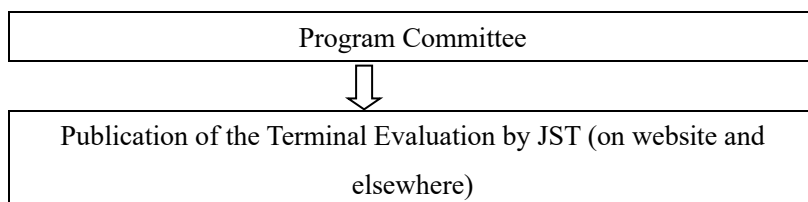
The standard schedule is as follows.



¹ This consists of the review of evaluation materials and other documentation, and a provisional evaluation including points for confirmation and improvement.

² For specifics, please see Section 4 (Documentation used in Terminal Evaluation).

³ This consists of a visit to the partner country in order to gather information pertinent to the evaluation, for the purpose of ascertaining the partner country’s stance and institutions and assessing the progress and outcomes of the research. If JICA times a Terminal Evaluation together with regular monitoring to coincide with the JST Site Survey, a policy decision meeting may be held before the Site Survey.



3. Evaluation items and overall evaluation criteria for the JST Terminal Evaluation

The evaluation items and other information for the JST Terminal Evaluation are shown in Table 1. These evaluation items are also used in Mid-term Evaluations and Follow-up Evaluations.

Table 1. JST Evaluation items

JST Evaluation items	Main perspectives	Notes
Contribution to resolving global issues	<p>The value of outcomes, plan attainment levels, and prospects for the utilization of outcomes are assessed in terms of the following sub-items.</p> <ul style="list-style-type: none"> ▪ The importance of the issue and the scientific and technical impact of project outcomes on its resolution ▪ Prospects for recognition and utilization in international society ▪ Propagation to other countries and regions ▪ Level and importance compared with other relevant research in Japan and overseas 	Evaluation including prospects under Mid-term Evaluation/ Terminal Evaluation.
Meeting partner country's needs	<p>The value of outcomes, plan attainment levels, and prospects for the utilization of outcomes are assessed in terms of the following sub-items</p> <ul style="list-style-type: none"> ▪ The importance of the issue and the scientific and technical impact of project outcomes on meeting the partner country's needs ▪ Prospects for resolving issues and for utilization of research outcomes ▪ Prospects for ongoing development (training human resources, organizations, maintenance of equipment, etc.) ▪ Prospects for the sustainable development of research and utilization based on outcomes (Impact on policy, utilization of outcomes, etc.) 	Evaluation including prospects under Mid-term Evaluation/ Terminal Evaluation.

Contingent outcomes	<ul style="list-style-type: none"> ▪ Contribution to Japanese government, society, and industry ▪ Development of science and technology ▪ Training Japanese human resources capable of working on the global stage (young researchers, global capabilities) ▪ Acquisition of intellectual property, international standardization, access to bioresources, acquisition of data ▪ Other practical outcomes (recommendation documents, academic publications, programs, prototypes, manuals, data, etc.) ▪ Building of technology and human networks (including the partner country) 	<p>Evaluation under Terminal Evaluation/ Follow-up Evaluation.</p> <p>Evaluation including anticipated results under Mid-term Evaluation.</p>
Project management	<ul style="list-style-type: none"> ▪ Construction of a structure for conducting the project (including collaboration with other projects, institutions, etc.) ▪ Management/control of the project and actions in response to changes in circumstances (research team structure and performance, and leadership by PI) ▪ Activities targeting the application of outcomes ▪ Communication (academic publications, presentations, symposia, seminars, mass media, etc.) ▪ Utilization of human resources, equipment, and budgets (efficiency, effectiveness) 	<p>Evaluation based on performance under Mid-term Evaluation/ Terminal Evaluation.</p>

Each evaluation item is evaluated for both outcomes and utilization during the research term, and prospects for adoption and return of outcomes to society after the project terminates.

Overall evaluation (this evaluation takes into account all the items above)

S. Attainment is outperforming plans

A+. Attainment is somewhat outperforming plans, and an excellent outcome can be anticipated

A. Attainment is in line with plans

A-. Attainment is almost in line with plans, and a certain level of outcome can be anticipated

B. Attainment is underperforming plans, but some attainment in line with or outperforming plans is apparent

C. Overall, attainment is underperforming plans

4. Documentation used in Terminal Evaluation

- Final Report (prepared by Principal Investigator)
- Target Outcomes Sheet (updated by Principal Investigator)
- Overall Research Plan/Annual Research Plan (existing documentation)
- Annual Progress Report (existing documentation)
- Comments from the Provisional Evaluation prepared in advance by Japan Research Area Committee members and the responses from Principal Investigator
- Evaluation Meeting presentation materials (prepared by Principal Investigator), Project Evaluation Form

(completed by Japan Research Area Committee members)

- Site Survey Report (prepared by JST)
- Other necessary information (reference materials)

5. Evaluation

- The JST evaluation consists of the Japan Research Area Committee members (Evaluators) assigning an absolute evaluation at the Evaluation Meeting, based on information provided by the Principal Investigator.
- Japan Research Area Committee members (Evaluators) who are stakeholders or interested parties in a project cannot act as Evaluators for that project. The scope of exclusion for conflict of interest is as stipulated in the numbered list below.
 - (1) A person who is in kinship with the person subject to evaluation.
 - (2) A person who belongs to the same department or has the same specialization at a research institution, such as a university or national R&D agency, or belongs to the same company with the person subject to evaluation.
 - (3) A person who conducts a joint research closely with the person subject to evaluation. (For example, a person performing a joint project or writing a co-authored research paper, a research member having the same purpose, or a joint researcher pursuing the same research project who is considered to belong to a research group substantially the same as that of the person subject to evaluation)
 - (4) A person who has a close teacher-and-student relationship or a direct employment relationship with the person subject to evaluation.
 - (5) A person who is in an academic competition with the research project of the person subject to evaluation or belongs to a company in a competitive relationship in the market.
 - (6) Others determined by JST to be a stakeholder.

Also, in other cases where an Evaluator personally judges that there is a conflict of interest, he or she cannot act as an Evaluator for that project.

- Evaluators are expected to look through the evaluation documents (Research Progress Reports prepared by the PI, etc.) in advance of the Evaluation Meeting.
- The evaluation is made from an overall judgment taking into account the state of progress seen from previous Annual Reports, site visits, symposia, Annual Meetings, etc., evaluation documents, exchanges of opinions, and presentations by the PI at the Evaluation Meeting.
- Before the publication of the evaluation results, the draft evaluation report is checked by the PI to ensure that there are no factual misunderstandings, etc.

6. Other details

- Examples of published evaluation results for previous projects are available at the following websites.
 - (JST) <https://www.jst.go.jp/global/kadai/index.html> (Japanese)
 - (JICA) <https://www.jica.go.jp/activities/evaluation/middle-end.html> (Japanese)
- When handling Evaluation Meeting documentation, persons involved in evaluation are required to take

sufficient care from the perspective of protecting personal information and maintaining confidentiality. In particular, it is essential to maintain the confidentiality of evaluation comments in order to make a rigorous evaluation. Such comments must be handled with great care. All documentation will be collected after the Evaluation Meeting.

7. References

- (1) National Guidelines for Evaluating Government-Funded R&D (December 2016, Decision of the Prime Minister)
<https://www8.cao.go.jp/cstp/kenkyu/taikou201612.pdf> (Japanese)
- (2) Guideline for Evaluation of Research and Development in MEXT (revised April 2017, Decision of the Minister of MEXT)
https://www.mext.go.jp/a_menu/kagaku/hyouka/1260346.htm (Japanese)
- (3) The 6th Science, Technology, and Innovation Basic Plan (March 2021, Cabinet decision)
https://www8.cao.go.jp/cstp/english/sti_basic_plan.pdf (English)
<https://www8.cao.go.jp/cstp/kihonkeikaku/index6.html> (Japanese)
- (4) JICA Guidelines for Operations Evaluation (Second Edition) (May 2014)
https://www.jica.go.jp/english/our_work/evaluation/tech_and_grant/guides/c8h0vm000001rfr5-att/guideline_2014.pdf (English)
<https://www.jica.go.jp/activities/evaluation/guideline/index.html> (Japanese)
- (5) Project Evaluation in JICA
https://www.jica.go.jp/english/our_work/evaluation/about.html (English)
<https://www.jica.go.jp/activities/evaluation/about.html> (Japanese)

(end)

Request: Research Report Meetings for the Mid-term and the Final Year

In principle, JST conducts Site Surveys for the purpose of ascertaining the partner country's stance and institutions and assessing the progress and outcomes of the research, in order to conduct the evaluation of international collaborative research projects appropriately. Site Surveys are conducted to coincide with the timing of Japanese researchers' visit to the partner country [such as for a Joint Coordination Committee (JCC)] in the mid-term year (third year after the project officially starts) and the final year (fifth year after the project officially starts).

JST therefore requests that researchers from both countries jointly hold Research Report Meetings to coincide with the third-year and fifth-year JCC, following the procedure described below. The presentations and discussions of these Research Report Meetings, the content of the Site Surveys, and other information will be used in the subsequent Mid-term Evaluation Meeting and Terminal Evaluation Meeting held by JST in Japan.

The Procedure for Research Report Meetings

1. Basic Agenda: JST envisages progress reports from the Japanese and partner country researchers on the research topics for which they are responsible, a question-and-answer session, and general comments from JST Research Supervisors or others.
(These meetings are considered a part of the Site Surveys for gathering information in preparation for the conduct of the evaluation in the JST Japan Research Area Committee, and evaluations are not assigned in Research Report Meetings.)
 2. Presenters: Members of the research teams in both countries, including young researchers
 3. Participants: The presenters, representatives of the partner country research institution, and JST (Research Supervisors and others). As there are no restrictions on the number of people who may attend, and the attendance of JCC members such as senior officials of related government departments is encouraged.
 4. Timing: To confirm the status of progress of research, taking advantage of the opportunity provided by a site visit from the Japanese researchers such as before or after the JCC.
 5. Management: The research teams from both countries are responsible for the preparation, management on the day of, and chairing the meeting.
 6. Budget: There is no additional budget for these events.
- * During the preparations, please coordinate between all those involved in the project in advance and inform the JST/JICA staff responsible of the scheduled date and other relevant matters. If a JICA Project Coordinator is involved in operations to assist with the smooth running of a Research Report Meeting, please share this information with the staff at JICA responsible in advance.
- * Please share the Research Report Meeting documents with the JST/JICA staff responsible.

* If the responsible department staff in JICA attend the final regular progress monitoring meeting, the decision on whether to hold a Research Report Meeting or not will be made after JST has consulted the Principal Investigator in light of the content of the JICA Site Survey.

* Example schedule

Day 1: Visit to research site (half day to full day)

Day 2: Research Report Meeting (half day to full day)

Day 3: Joint Coordination Committee (JCC)

(end)