

Science and Technology Research Partnership for Sustainable Development (SATREPS) Guidelines for JST Follow-up Evaluation¹

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Japan Science and Technology Agency
Department of International Affairs
SATREPS Group

1. Follow-up Evaluation for Science and Technology Research Partnership for Sustainable Development (SATREPS) projects

SATREPS projects address regional-scale issues on the basis of the needs of developing countries, and consist of international joint research with a vision for the utilization of research outcomes. They are undertaken in collaboration with government overseas development assistance (ODA). The objective of this program is to obtain new knowledge or technologies that will contribute to resolving global issues and raising the level of science and technology, and to the creation of innovations through these processes.

Because SATREPS projects are part of the competitive funding framework, JST is required to conduct a Follow-up Evaluation of completed projects. JST Follow-up Evaluations ascertain the status of progress and utilization of the outcomes of international joint research projects, including secondary outcomes, after a certain period has elapsed since the completion of these projects, with the objective of contributing to the improvement of the program and project management, etc. Evaluations in JST Follow-up Evaluations are conducted in light of the situation approximately five years after project termination, and are conducted by JST alone because this period is different from that of the Ex-post Evaluations conducted by JICA.

2. Procedures for Follow-up Evaluation

Follow-up Evaluations are conducted for projects after around five years has elapsed since the conclusion of research. A “Follow-up Review” is conducted of matters including the status of progress and utilization of research outcomes and the current activities of participating researchers.

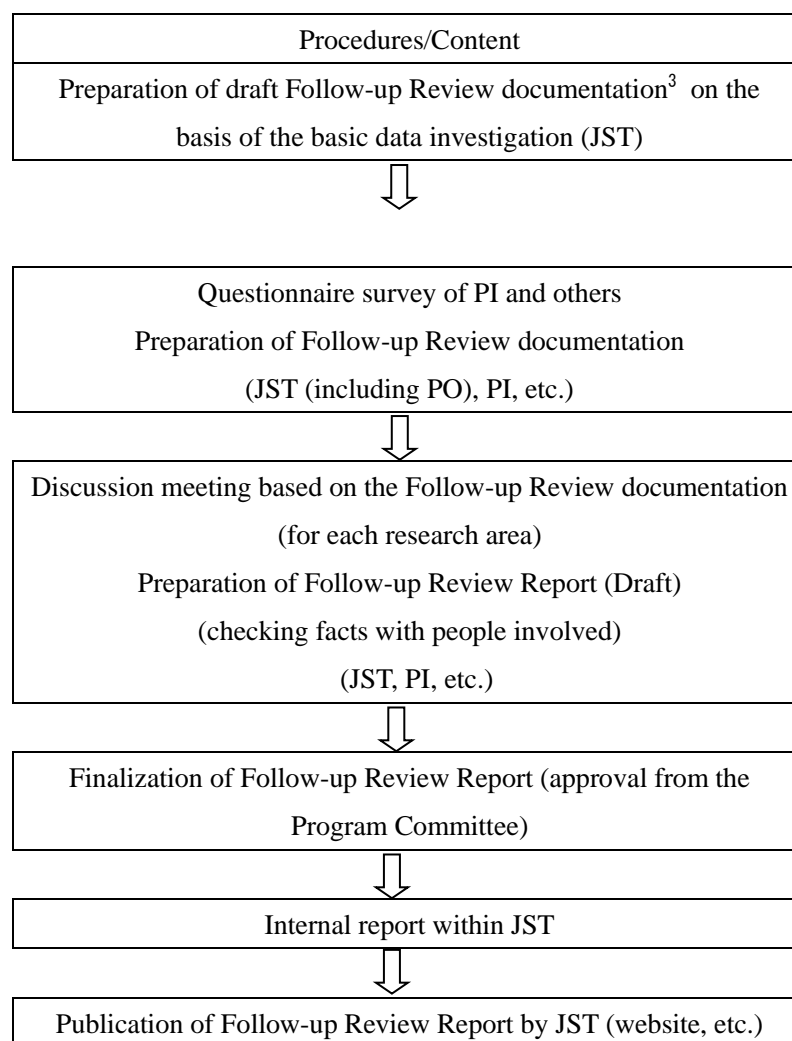
“Follow-up Reviews” consist of a basic data investigation, which comprises a literature survey (project reports, commentaries, original articles, etc.), an online survey, and searches for results (papers, patents, awards, etc.) in various different databases, and a questionnaire survey, etc. of the Japanese researchers. Information is basically collected from the Japanese PI.²

Based on the Follow-up Review documentation prepared in the Follow-up reviews, discussions take place between the program officer (PO) and external experts in each research area, and the opinions on the improvement of the programs and project management, etc. obtained in this process are summarized by JST as the Follow-up Evaluation.

Below is the standard procedure of the Follow-up Evaluation. Parentheses () indicate the main entities involved.

¹ In light of each evaluation criteria, JST Follow-up Evaluations are conducted around five years after project termination, and JICA Ex-post Evaluations around three years after project termination.

² Interviews with the Japanese researchers and questionnaire surveys of persons involved in the project in the partner country may also be conducted if required.



3. Perspectives of the Follow-up Evaluation

The perspectives utilized for the JST Follow-up Evaluation are as follows.

1. Is the research concerned (not only joint research) continuing/progressing since the project was terminated?
2. How are the research outcomes contributing to progress in science and technology with a view to the resolution of global issues?
3. In what form are the research outcomes progressing toward resolving global issues and their utilization in society (including ripple effects affecting Japan)?
4. How has conducting international joint research improved human resource development in Japan and the partner country and the independent R&D capacity of the developing country?
5. Outcomes other than those above (stronger scientific and technological cooperation between Japan and the developing country, contribution to science and technology diplomacy)

³ Questionnaires addressed to the researchers will be prepared and sent to the PI.

4. Documentation used in the Follow-up Evaluation

- Follow-up Investigation documentation (JST)
- Final Target Outcomes Sheet (reference) (JST)
- Final Evaluation Report (reference) (JST)
- Final Report (reference) (JST)
- Other data, etc. necessary for the Follow-up Evaluation (PI, JST)

5. Evaluation

- Given the objective of Follow-up Evaluations, a Follow-up Evaluation is conducted for every project, but in the evaluation process a discussion is held in each research area for multiple research projects subject to Follow-up Evaluation in that year. The Follow-up Evaluation takes overall account of Follow-up investigation documentation, the Final Evaluation Report, Final Report, and data submitted by the PI, etc.
- 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) The Evaluator is a relative of a person subject to evaluation.
 - (2) The Evaluator is affiliated with the same department of a university or National Research and Development Agency, etc., the same research laboratory, etc., or the same department of a company.
 - (3) The Evaluator is involved in close cooperation in joint research with a person subject to evaluation. (For example, conducting a joint project, joint authors on a research paper, members of a research team with the same goals, or working on the same research project, so that substantively they can be considered to belong to the same research group)
 - (4) The Evaluator has a close teacher-student relationship or direct employment relationship with a person subject to evaluation.
 - (5) The Evaluator is conducting research that is in direct competition with the research topic of a person subject to evaluation.
 - (6) The Evaluator is otherwise recognized by JST as having a conflict of interest.
- 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.
- Issues such as whether there are any factual misunderstandings will be checked with the PI before the Follow-up Review Report is made public.

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)

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