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# インセプション・レポート

## 1. インセプション・レポートの性格と役割

インセプション・レポートは、調査開始に当たって、調査の目的、その内容等について、先方実施機関と共通の認識を得るための先方実施機関への説明文書として位置づけられます。具体的には、調査団が現地に入った際、先方実施機関との最初の会合にて、調査団側から、調査の概要を説明する際に活用することを想定しています。

このため、インセプション・レポートの主要な内容は、①先方政府から要請されているプロジェクトの背景、経緯、概要、②調査の目的、調査団の立場、③予定している調査の概要、方針、スケジュール等、④調査に当たっての先方実施機関への便宜供与依頼事項、⑤無償資金協力制度の説明、となります。

ついでには、インセプション・レポートには、業務計画書（プロポーザルにて提案頂いた内容が記載されていると考えています）に記載された項目を中心に、以下の項目を、JICAより指定された言語（契約書の特記仕様書を参照）で記載してください。また、案件個別の状況から、本調査の方針、内容を理解する上で、さらに必要な情報・資料等がありましたら、監督職員とも相談の上、適宜追加してください。

## 2. インセプション・レポート記載事項

### (1) 背景・経緯

調査団派遣時点までの経緯について、先方実施機関と認識の齟齬がないか確認するため、先方政府が本計画を日本国政府に要請し、JICAが調査を実施するに至るまでの背景・経緯を簡潔に記載します。当該部分は、「契約書の特記仕様書（もしくは業務指示書）」に記載された内容を参考としてください。

### (2) 要請内容

調査における先方実施機関との協議の前提として、本計画に関する先方政府からの要請内容を確認し、箇条書き、表形式等、内容をわかりやすくまとめて記載ください（機材案件等で、詳細な機材リストがある場合には、当該リストは別添にまとめ、本編には概要を記載する等の方法を検討してください）。また、先方政府要請書が提出されている場合は、提出年月日、提出した機関についても確認、記載してください。

なお、要請後にプロジェクト形成のための調査（旧・予備調査等）が実施され、新たに要請内容が相手国側と合意されている場合は、その結果を反映してください。

要請金額、実施済み調査で算出された概略の事業費等、確定されていない事業費は、一切記載しないよう、ご留意ください。

### (3) 調査の目的

協力準備調査の目的は、JICA及び日本国政府が無償資金協力の審査を行う際に必要な基礎的資料（判断材料）を提供することであり、本調査が事業実施のコミットを意味しないことを記述してください。

### (4) 調査の基本方針

業務計画書において「業務実施の基本方針」が記述されていますが、この基本方針のうち、調査開始に当たって、先方実施機関と共有しておくべき内容を抽出し、これを調査の基本方針として簡潔に記載してください。

例えば、無償資金協力案件としての妥当性を判断する際の判断材料となる事項（組織の民営化の可能性の有無、組織の運営実態、運営・維持管理予算の有無等）や計画策定、設計を行う際の基本方針（対象とする小学校の選定クライテリア案、想定される設計基準等）などについては、先方実施機関へ調査団側の考え方を説明しておく必要があると考えます。

#### (5) 調査実施の方法

業務計画書において「業務実施の方法」が記述されていますが、これを調査実施の方法として簡潔に記載してください。その際、同じく業務計画書に記載される「業務フローチャート」を挿入してください。

具体的には、フローチャートに記載した各業務項目について、その記載の流れ（一般的には時系列）に従い、各調査段階（現地調査、国内解析、最終報告書作成等）で実施する調査の方法、作業内容について、記載してください。ただし、すべての項目を逐一詳細に説明することは、逆に先方実施機関の理解を妨げることとなると考えますので、記載に当たっては、要点を整理して、簡潔な記載となるよう心がけて下さい。

#### (6) 相手国実施機関への便宜供与依頼

調査の円滑な実施のために、相手国側に求める便宜供与内容を説明し、相手国実施機関による確実な実施を求めます。具体的には「C/P の調査団帯同」、「執務室の提供」、「質問票への回答」、「特定施設の撮影許可」、「特定資料の国外持ち出し許可」等が想定されますが、各国の事情ならびに計画・調査の内容により変わりますので、現地事情に関する情報を確認しつつ、上述の「調査実施の方法」と照らし合わせ、必要な便宜供与依頼事項を設定してください。

なお、協力準備調査は、国際約束に基づいた業務ではありませんので、便宜供与を求める相手方は相手国政府（政府窓口機関）ではなく先方実施機関となるため、国レベルの対応が必要な特権免除（例：免税）等を求めることはできませんので、ご注意ください。

#### (7) 無償資金協カスキームの説明（別添資料）

別紙に示す「日本国無償資金協力のスキーム（英語版）」を別添資料として添付してください。（英語版の他に仏語版、西語版の用意がありますので英語版を含めて電子データは担当者から入手願います。）

なお、計画実施に関する贈与契約（Grant Agreement：G/A）は、原則英語で締結されることから、また、G/A に関連資料の英語による提出が義務付けられていることから、PMR を含めて英語以外の言語による公式の説明文書は、JICA では用意していません。相手国側の語学力等の事情から、現地語翻訳版が必要な場合は適宜翻訳いただく等対応をお願いします。また翻訳版はあくまでも「仮訳」としてお取り扱いください（翻訳版の余白に、現地語で必ず「仮訳」と明記ください）。

### 3. その他

#### (1) 調査団情報

調査団員リスト、調査日程（現地乗り込み時、各日の工程入り）については、基本的に JICA 団員がインセプション・レポートとは別に用意しますが、必要に応じ（JICA 団員が同行しない際の用意等）、コンサルタント側でもご用意ください。

#### (2) 無償資金協カスキーム説明用資料

JICA 団員は、無償資金協カスキームの理解促進に必要な関連資料として、別紙以外にも以下の資料を携行する予定ですので、コンサルタント側におかれましても、これらの内容につき、JICA 団員・案件担当者から必要な情報提供を受けるようにしてください。

- ・ 交換公文（E/N：Exchange of Notes）の雛型
- ・ 贈与契約（G/A：Grant Agreement）の雛型
- ・ 無償資金協カ本体事業にかかるガイドライン等

## JAPANESE GRANT

The Japanese Grant is non-reimbursable fund provided to a recipient country (hereinafter referred to as “the Recipient”) to purchase the products and/or services (engineering services and transportation of the products, etc.) for its economic and social development in accordance with the relevant laws and regulations of Japan. Followings are the basic features of the project grants operated by JICA (hereinafter referred to as “Project Grants”).

### 1. Procedures of Project Grants

Project Grants are conducted through following procedures (See “PROCEDURES OF JAPANESE GRANT” for details):

(1) Preparation

- The Preparatory Survey (hereinafter referred to as “the Survey”) conducted by JICA

(2) Appraisal

- Appraisal by the government of Japan (hereinafter referred to as “GOJ”) and JICA, and Approval by the Japanese Cabinet

(3) Implementation

Exchange of Notes

- The Notes exchanged between the GOJ and the government of the Recipient

Grant Agreement (hereinafter referred to as “the G/A”)

- Agreement concluded between JICA and the Recipient

Banking Arrangement (hereinafter referred to as “the B/A”)

- Opening of bank account by the Recipient in a bank in Japan (hereinafter referred to as “the Bank”) to receive the grant

Construction works/procurement

- Implementation of the project (hereinafter referred to as “the Project”) on the basis of the G/A

(4) Ex-post Monitoring and Evaluation

- Monitoring and evaluation at post-implementation stage

### 2. Preparatory Survey

(1) Contents of the Survey

The aim of the Survey is to provide basic documents necessary for the appraisal of the the Project made by the GOJ and JICA. The contents of the Survey are as follows:

- Confirmation of the background, objectives, and benefits of the Project and also institutional capacity of relevant agencies of the Recipient necessary for the implementation of the Project.
- Evaluation of the feasibility of the Project to be implemented under the Japanese Grant from a technical, financial, social and economic point of view.
- Confirmation of items agreed between both parties concerning the basic concept of the Project.
- Preparation of an outline design of the Project.
- Estimation of costs of the Project.
- Confirmation of Environmental and Social Considerations

The contents of the original request by the Recipient are not necessarily approved in their initial form. The Outline Design of the Project is confirmed based on the guidelines of the Japanese Grant.

JICA requests the Recipient to take measures necessary to achieve its self-reliance in the implementation of the Project. Such measures must be guaranteed even though they may fall outside of the jurisdiction of the executing agency of the Project. Therefore, the contents of the Project are confirmed by all relevant organizations of the Recipient based on the Minutes of Discussions.

#### (2) Selection of Consultants

For smooth implementation of the Survey, JICA contracts with (a) consulting firm(s). JICA selects (a) firm(s) based on proposals submitted by interested firms.

#### (3) Result of the Survey

JICA reviews the report on the results of the Survey and recommends the GOJ to appraise the implementation of the Project after confirming the feasibility of the Project.

### **3. Basic Principles of Project Grants**

#### (1) Implementation Stage

##### 1) The E/N and the G/A

After the Project is approved by the Cabinet of Japan, the Exchange of Notes (hereinafter referred to as “the E/N”) will be signed between the GOJ and the Government of the Recipient to make a pledge for assistance, which is followed by the conclusion of the G/A between JICA and the Recipient to define the necessary articles, in accordance with the E/N, to implement the Project, such as conditions of disbursement, responsibilities of the Recipient, and procurement conditions. The terms and conditions generally applicable to the Japanese Grant

are stipulated in the “General Terms and Conditions for Japanese Grant (January 2016).”

2) Banking Arrangements (B/A) (See “Financial Flow of Japanese Grant (A/P Type)” for details)

a) The Recipient shall open an account or shall cause its designated authority to open an account under the name of the Recipient in the Bank, in principle. JICA will disburse the Japanese Grant in Japanese yen for the Recipient to cover the obligations incurred by the Recipient under the verified contracts.

b) The Japanese Grant will be disbursed when payment requests are submitted by the Bank to JICA under an Authorization to Pay (A/P) issued by the Recipient.

3) Procurement Procedure

The products and/or services necessary for the implementation of the Project shall be procured in accordance with JICA’s procurement guidelines as stipulated in the G/A.

4) Selection of Consultants

In order to maintain technical consistency, the consulting firm(s) which conducted the Survey will be recommended by JICA to the Recipient to continue to work on the Project’s implementation after the E/N and G/A.

5) Eligible source country

In using the Japanese Grant disbursed by JICA for the purchase of products and/or services, the eligible source countries of such products and/or services shall be Japan and/or the Recipient. The Japanese Grant may be used for the purchase of the products and/or services of a third country as eligible, if necessary, taking into account the quality, competitiveness and economic rationality of products and/or services necessary for achieving the objective of the Project. However, the prime contractors, namely, constructing and procurement firms, and the prime consulting firm, which enter into contracts with the Recipient, are limited to "Japanese nationals", in principle.

6) Contracts and Concurrence by JICA

The Recipient will conclude contracts denominated in Japanese yen with Japanese nationals. Those contracts shall be concurred by JICA in order to be verified as eligible for using the Japanese Grant.

7) Monitoring

The Recipient is required to take their initiative to carefully monitor the progress of the Project in order to ensure its smooth implementation as part of their responsibility in the G/A, and to regularly report to JICA about its status by using the Project Monitoring Report (PMR).

8) Safety Measures

The Recipient must ensure that the safety is highly observed during the implementation of the Project.

## 9) Construction Quality Control Meeting

Construction Quality Control Meeting (hereinafter referred to as the “Meeting”) will be held for quality assurance and smooth implementation of the Works at each stage of the Works. The member of the Meeting will be composed by the Recipient (or executing agency), the Consultant, the Contractor and JICA. The functions of the Meeting are as followings:

- a) Sharing information on the objective, concept and conditions of design from the Contractor, before start of construction.
- b) Discussing the issues affecting the Works such as modification of the design, test, inspection, safety control and the Client’s obligation, during of construction.

## (2) Ex-post Monitoring and Evaluation Stage

- 1) After the project completion, JICA will continue to keep in close contact with the Recipient in order to monitor that the outputs of the Project is used and maintained properly to attain its expected outcomes.
- 2) In principle, JICA will conduct ex-post evaluation of the Project after three years from the completion. It is required for the Recipient to furnish any necessary information as JICA may reasonably request.

## (3) Others

## 1) Environmental and Social Considerations

The Recipient shall carefully consider environmental and social impacts by the Project and must comply with the environmental regulations of the Recipient and JICA Guidelines for Environmental and Social Considerations (April, 2010).

## 2) Major undertakings to be taken by the Government of the Recipient

For the smooth and proper implementation of the Project, the Recipient is required to undertake necessary measures including land acquisition, and bear an advising commission of the A/P and payment commissions paid to the Bank as agreed with the GOJ and/or JICA. The Government of the Recipient shall ensure that customs duties, internal taxes and other fiscal levies which may be imposed in the Recipient with respect to the purchase of the Products and/or the Services be exempted or be borne by its designated authority without using the Grant and its accrued interest, since the grant fund comes from the Japanese taxpayers.

## 3) Measures to ensure more efficient implementation of the Grant



i) In the event that the E/N and the G/A concerning a project cannot be signed by the end of the following Japanese fiscal year of the cabinet decision concerned by the GOJ, the authorities concerned of the two Governments will discuss the cancellation of the project.

ii) In the event that the period, specified in the G/A, during which the grant is available expires before the completion of the disbursement, the authorities concerned of the GOJ will thoroughly review the status, situation and perspective of the implementation of the project concerned before extending the said period. The authorities concerned of the two Governments will discuss the termination of the project including a refund, unless there are concrete prospects for its completion.

iii) Regardless of the period mentioned in ii) above, the authorities concerned of the two Governments will, in the event that five years have passed since the cabinet decision concerned by the GOJ before the completion of the disbursement, except as otherwise confirmed between them, discuss the termination of a project including a refund, unless there are concrete prospects for its completion.

#### 4) Proper Use

The Recipient is required to maintain and use properly and effectively the products and/or services under the Project (including the facilities constructed and the equipment purchased), to assign staff necessary for this operation and maintenance and to bear all the expenses other than those covered by the Japanese Grant.

#### 5) Export and Re-export

The products purchased under the Japanese Grant should not be exported or re-exported from the Recipient.

## PROCEDURES OF JAPANESE GRANT

Stage	Procedures	Remarks	Recipient Government	Japanese Government	JICA	Consultants	Contractors	Agent Bank
Official Request	Request for grants through diplomatic channel	Request shall be submitted before appraisal stage.	x	x				
1. Preparation	(1) Preparatory Survey Preparation of outline design and cost estimate	—	x		x	x		
2. Appraisal	(2) Preparatory Survey Explanation of draft outline design, including cost estimate, undertakings, etc.		x		x	x		
	(3) Agreement on conditions for implementation	Conditions will be explained with the draft notes (E/N) and Grant Agreement (G/A) which will be signed before approval by Japanese government.	x	x (E/N)	x (G/A)			
	(4) Approval by the Japanese cabinet	—		x				
3. Implementation	(5) Exchange of Notes (E/N)		x	x				
	(6) Signing of Grant Agreement (G/A)		x		x			
	(7) Banking Arrangement (B/A)	Need to be informed to JICA	x					x
	(8) Contracting with consultant and issuance of Authorization to Pay (A/P)	Concurrence by JICA is required	x			x		x
	(9) Detail design (D/D)	—	x			x		
	(10) Preparation of bidding documents	Concurrence by JICA is required	x			x		
	(11) Bidding	Concurrence by JICA is required	x		—	x	x	
	(12) Contracting with contractor/supplier and issuance of A/P	Concurrence by JICA is required	x				x	x
	(13) Construction works/procurement	Concurrence by JICA is required for major modification of design and amendment of contracts.	x			x	x	
	(14) Completion certificate	—	x			x	x	
4. Ex-post monitoring & evaluation	(15) Ex-post monitoring	To be implemented generally after 1, 3, 10 years of completion, subject to change	x		x			
	(16) Ex-post evaluation	To be implemented basically after 3 years of completion	x		x			

notes:

1. Project Monitoring Report and Report for Project Completion shall be submitted to JICA as agreed in the G/A.
2. Concurrence by JICA is required for allocation of grant for remaining amount and/or contingencies as agreed in the G/A.