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**Implementation Manual
for Follow-up Cooperation**

December 2006

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1. Basic Ideas for Follow-up Cooperation

The follow-up cooperation aims to take measures to help the cooperation projects which Japan International Cooperation Agency (JICA) implemented or which JICA has been involved with in the past (hereinafter called “past projects, etc.”). The follow-up cooperation is used when the sustainability of the past projects, etc. which is supposed to be maintained by the self-help of the recipient country, becomes difficult to realize despite the efforts of the relevant developing countries, due to external factors, etc.

Follow-up cooperation is usually considered the optimal scheme for a situation where problems or challenges occur and external follow-up is needed. It is also usually thought that the follow-up cooperation can easily be implemented without doing too much work because it is seen as a small-scale cooperation and is supplementary to original work.

However, there is no significant difference between follow-up cooperation and other cooperation schemes (the original work) in terms of ideas and the approach to selection and implementation of projects, as well as for the amount of work involved. The only differences are that the follow-up cooperation is restricted to the needs of the past project, etc. and also that it has a specific ceiling amount for the project. There are also many cases where considering new alternative projects might be a better idea, depending on problems or challenges that the target population is facing.

Therefore, it is desirable to consider the possibility of employing alternative measures such as other cooperation schemes (original work) when it is identified that the past projects, etc. are facing problems or challenges. The follow-up cooperation should be employed in cases where it is determined that it is possible and optimal to take small-scale and prompt measures.

It is important that one will understand and comply with the points written in this manual, and that one will make use of the merits and characteristics of the follow-up cooperation schemes.

2. Aims of the Follow-up Cooperation

The following are the aims of the follow-up cooperation.

- (1) The targets are past projects, etc.
- (2) A relatively small amount of additional input will be applied.
- (3) The follow-up cooperation through such input will recover the functionality of equipment and facilities which were provided, improved or constructed by the past project, etc.
- (4) In other cases, the follow-up cooperation will maintain and develop, expand or disseminate the results of the past projects, etc. through such input.

Tasks which are related to the sustainability of the past projects, etc. are primarily the responsibilities of the recipient countries. Such tasks include the maintenance of the equipment and facilities, which were provided, improved or constructed using Japanese cooperation, after the relevant project ended.

However, there are many cases where appropriate maintenance has not been carried out due to financial, organizational or technical problems in the recipient countries. There are also many cases where unexpected natural disasters, etc. cause failures in equipment and facilities.

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The follow-up cooperation applies a relatively small amount of additional input in such cases. Using the input, the scheme aims to recover the functionality of the relevant project, maintain and develop the project, as well as prolonging the project's life by repairing, restoring or improving the equipment and facilities. Through such activities, the scheme aims to give indirect support for the sustainability of the project (see "4. (2) Hard-type Follow-up" mentioned below).

Ex-participants (and their alumni associations) and the counterpart agencies in Japanese cooperation projects, as well as Japanese cooperation organizations which have been involved in Japanese technical cooperation projects are valuable human resources and resources for assistance activities which can contribute to the maintenance and the development of effective results of Japanese technical cooperation.

Based on the above recognition, the follow-up cooperation also aims to give proactive support to activities which are led by the counterparts, etc. of the recipient countries in order to develop and expand the achievements of the past projects, etc. such as techniques which were learnt in the training, the projects, etc. These activities include seminars, investigative research and the development of manuals in the recipient countries (see "4. (3) Soft-type Follow-up" mentioned below).

3. Targets of the Follow-up Cooperation

Follow-up cooperation falls under the category of supplementary work¹ covered by Article 13, Paragraph 1, Clause 7 of the Law Concerning the Independent Administrative Institution Japan International Cooperation Agency. Therefore, the targets for the follow-up cooperation include all the original projects which were implemented based on the Article 13, Paragraph 1, Clause 1 to Clause 6. However, in principle the targets do not include the following cases: cooperation where it is generally difficult to specify the direct beneficiary population; cooperation which is difficult to set the project goals inside the scope of the original project; and cases where equipment and facilities which were provided or procured by the original project later became another party's property (other than the government and its related organizations) due to it being sold off, etc.

The following are the main projects, organizations and individuals which (or who) can be the target of the follow-up cooperation.

● Targets Related to Grant Aid

- Facilities and equipment which were constructed or improved by grant aid for general projects and grant aid for fisheries, etc.

¹ Article 13, Paragraph 1, Clause 1 to Clause 6 of the law stipulates and limits the work that JICA can implement, in the form of a list. Accessory work is the work of JICA which is independent from the original work but contributes to the effective implementation of the original work, although it does not directly fall under the category of original work which is stipulated in the law.

The following are the three requirements of accessory works.

- (1) The past work which is the target of the supplementary work should be within the scope of the law.
- (2) The relevant supplementary work should be closely related to the original work, although it is not part of the original work itself. For example, the supplementary work should be essential for, related to, supplemental to, necessarily attached to, or recognized as necessary for the original work. The supplementary work should still be independent project which contributes to effective implementation of the original work.
- (3) The supplementary work is literally supplementary to the original work. Therefore, the projects scale should be in a range which can be rationally explained as "supplementary" to the original work both in its contents and its overall size.

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● Targets Related to Technical Cooperation Projects

- Counterpart agencies and counterparts of technical cooperation projects (or individual experts).
- Equipment which was provided by technical cooperation projects (or individual experts, etc.) and facilities which were constructed by field application projects, etc.
- Counterpart agencies and the counterparts in development studies
- Facilities and equipment which were improved through demonstration studies, etc. in development studies and which were given to counterpart agencies, etc.
- Counterpart agencies and counterparts of the Japan Overseas Cooperation Volunteers (JOCV) and Senior Volunteers
- Equipment and facilities which were provided through JOCV and Senior Volunteers
- Ex-participants
- Alumni associations of ex-participants
- Japanese cooperation organizations which were involved in technical cooperation projects and technical training programs

The important point for the determination on the adoption of the project is whether or not the project can lead to the contents and the results which are explained in “2. Aims of the Follow-up Cooperation” mentioned above. Therefore, it is important to understand the goals of the original project which were set in the original plan and the situation for the achievements of those goals at the time when the project was completed. In addition, it is important to adequately understand the present situation in the field which developed after the project ended.

4. Types of Follow-up Cooperation

Follow-up cooperation can be largely divided into the following three types. The first is the “follow-up study” which targets studies, dispatch of personnel and employment of personnel. The second is the “Hard-type Follow-up (hereinafter called ‘Hard-type’)” and the third is the “Soft-type Follow-up (hereinafter called ‘Soft-type’).” Follow-up cooperation projects other than the “follow-up study” (hereinafter called “the main body of the follow-up cooperation”) fall into the second and third categories. These three types are hereinafter called “main-schemes”.

There are sub-schemes in these main-schemes. Following are the detailed descriptions of the different types of follow-up cooperation.

(1) Follow-up Study

The following are the contents of a follow-up study.

- Confirmation of details related to the background and the contents of the follow-up cooperation project whose application was submitted
- Verification for the adequacy of the implementation of the follow-up
- Planning for the implementation of the follow-up cooperation
- Finding new follow-up cooperation projects and information gathering
- Promotion activities related to the appropriate implementation of the follow-up project (such as support for biddings and contracting, the management of local

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procurement, supervision and support for the progress of local construction work, management of the progress for knowledge based activities such as seminars, etc.)

- Studies for understanding the present situation and evaluation studies of the past projects, etc. as well as studies similar to these

The following are the main study items included in the Terms of Reference (TOR) for such studies.

- Confirmation of the background to the application
- Confirmation of the maintenance system at the past project in the recipient country
- Confirmation of the situation for failures of equipment and facilities
- Confirmation of the activity plan (in the case of a Soft-type project)
- Confirmation of the content of the application and its priority
- Confirmation of the items which will be the responsibilities of the recipient country
- Compiling and signing of the record of discussions (R/D), the scope of work (S/W), etc.
- Confirmation about the effectiveness of the follow-up cooperation
- Finding out whether or not there could be a negative impact because of the implementation of the follow-up cooperation (especially in cases where large-scale construction work is considered as an emergency measure, or where a new construction project is to be managed by the relevant overseas office, etc.)
- Development of the proposals for the follow-up cooperation (such as the draft amendment, specifications and the draft activity plan)
- Calculation of the estimated project cost for the follow-up cooperation
- Creation of the documents which are needed for the main body of the follow-up cooperation such as the draft bidding documents (including the draft contract)
- Lessons learned and the recommendations for future cooperation
- Creation of the follow-up report

The follow-up study can be carried out by personnel dispatched from Japan and by locally employed consultants or by employed consultants from a third country. A typical mission includes the JICA staff who are in charge of the project (from Japan or the overseas office) and the consulting team members (dispatched from Japan, locally employed or employed from a third country). The team of personnel in charge of the project at the Ministry of Foreign Affairs of Japan, consultants, equipment manufacturers and construction companies might also participate in the mission where necessary.

The follow-up study also includes “studies for understanding the present situation and evaluation studies of the past projects, etc. as well as studies similar to these” as mentioned above. Therefore, it does not necessarily have to accompany the implementation of the main body of the follow-up cooperation of the Hard-type or the Soft-type. This means that follow-up cooperation can be completed with a follow-up study alone by the submission of the study report. There are also cases where the follow-up cooperation projects are not implemented depending on the results of the study.

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(2) Hard-type Follow-up

The Hard-type follow-up cooperation responds to the “hardware” for the past projects, etc. such as equipment and facilities. The sub-schemes of the Hard-type follow-up are for the “provision or repair of equipment” and the “emergency measures for facilities.” The following is a detailed description of the sub-schemes.

1) Provision or Repair of Equipment

In a case where there has been a failure in the equipment that was provided or procured for the past projects, etc., the parts which are needed for the repair will be supplied and the recovery of functionality will be strived for. The targets also include cases where the provision or repair of equipment is expected to provide a synergetic effect in the past projects, etc. The following are the provision or repair of equipment which can be implemented.

- Provision of spare parts
- Dispatch/employment of repair technicians, implementation of training on maintenance (see “a.” explained below).

The above mentioned procurements can be carried out in Japan, locally or from a third country. The decision on where to procure from will depend on the content of the individual project. However, for convenient maintenance after the implementation of the project, it is desirable to carry out the procurements locally or from a neighboring third country.

In cases where the requested contents are expensive or include many items, as well as in cases where the spare parts are not specified in the request, one should confirm in the follow-up study the specifications and the number of spare parts needed for the repair of the target equipment, as well as the priority for the necessary repair.

a. Dispatch/Employment of Repair Technicians, Implementation of Training on Maintenance

Technicians such as personnel from equipment manufacturers and consultants can be dispatched/employed in certain cases. These cases include where the recipient country needs support from technicians for the installation of the equipment provided, the replacement of parts or the repair of malfunctioning equipment, as well as in cases where the recipient country needs support for supplemental training for the future maintenance, etc.

The methods of implementation include the dispatch of personnel from Japan as “a repair team” or “an installation and guidance team,” as well as employment of businesses or consultants locally or from a third country. Similarly to the procurement of equipment, it is desirable to employ personnel locally or from a neighboring third country for ease of maintenance after the implementation of the project has been completed.

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b. Provision of New Equipment

The provision of new equipment can be implemented by the follow-up cooperation in the following cases in the next paragraph. However, it is required that the aims of the project (recovery of the function, maintenance and development of the project's results, etc.) which were described in the above "2." should be fully examined, and that the contents and the scale of the project are within the appropriate range for supplementary work.²

- The provision of the relevant equipment is expected to create a synergic effect to the past technical cooperation. Examples of such equipment includes: new equipment which is needed for the ex-participants to further develop the skills which they gained in Japan (the equipment should principally be operated by the ex-participants); and the equipment which will be used by the counterpart agencies in the technical cooperation project to carry out activities and research which complies with the cooperation's theme. The cooperation in these cases is subject to a lower ceiling amount than in other cooperation cases.³
- The target equipment is impossible to repair because spare parts for the equipment are no longer available, etc.
- The purchase of new equipment is cheaper or more cost effective in light of the future maintenance costs, etc. although spare parts for the target equipment are still available.

c. Provision of Consumable Goods

In principle, the provision of equipment does not include the provision of consumable goods or consumer goods.

2) Emergency Measures for Facilities

In cases where facilities that were constructed by past projects, etc. become damaged by natural disasters or other unavoidable accidents, the facilities can be restored.

A follow-up study will be conducted in order to specify the causes and to determine the necessity for the implementation of construction work as an emergency measure, depending on the level of the damage. The specific content of the construction work will be considered, and where necessary, a calculation will be made of the estimated project cost and then draft bidding documents will be created.

The contract body of the construction work in the follow-up cooperation is the relevant overseas office. Therefore, it is necessary to fully consider construction work safety, as well as duty exemptions, obligations, etc. in the recipient country. The necessary items should be agreed by the implementation organizations of the recipient country and JICA (the overseas office or the mission) before the

² There are requests which should be implemented as new project rather than a follow-up project. This is especially true of requests for the renewal of large-scale equipment which has the purpose of recovering the functionality or renewal of equipment after the original goals were achieved. Therefore, cautious consideration is needed for such requests.

³ Refer to "6. The Ceiling Amount for Follow-up Cooperation" for details.

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construction work starts. The S/W should then be exchanged.

Consultants, etc. can be dispatched from Japan or can be employed locally to supervise the bidding process, to supervise the construction and conduct the completion inspection, when the construction work is implemented.

3) Implementation of a Hard-type Follow-up without a Follow-up Study

A Hard-type follow-up project might require equipment specifications, documents for the estimate of accumulation and bidding documents depending on content of the project. Therefore, in cases where a Hard-type project is implemented under the management of the overseas office without the implementation of a follow-up study prior to the Hard-type project, the premise should be that these documents can be prepared by the relevant overseas office depending on contents of the project. Especially cautious consideration is needed for the grant aid-related projects which tend to have relatively large budgets and which tend to require complex planning.

(3) Soft-type Follow-up

The Soft-type of follow-up cooperation is provided for improvements in knowledge and know-how for past projects, etc., in order to maintain and develop, expand or disseminate the results of the past projects, etc.

There are five sub-schemes in Soft-type follow-up cooperation projects. These sub-schemes include one where the relevant Regional Department acts as the budget coordination department (which will be notified about the budget for the project), one where the domestic project department acts as the budget coordination department, and one where both the departments act as budget coordination departments.

The following are the outlines of the different sub-schemes.

1) The Soft-type Projects in which the Relevant Regional Department Acts as the Budget Coordination Department

a. General Soft-type Follow-up (hereinafter called "Soft-type (general)")

The Soft-type (general) is the support provided for the following activities which are related to past projects, etc., that are carried out by the relevant developing countries.

- Holding seminars, workshops, etc.
- Creation of teaching materials, manuals, books, etc.
- Implementation of investigative research, etc.
- Implementation of projects on a trial basis (which are combined with seminars and workshops)

The above mentioned activities should principally be carried out mainly by the counterparts and the ex-participants.

There might be cases where it is difficult for the counterparts and the

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ex-participants alone to complete the activities from a technical point of view, and cases where the above-mentioned activities are expected to create a better result with external help. In these cases, the Japanese counterparts, the Japanese cooperation organizations (such as trainers), etc. of the original project can be dispatched for the specific ad hoc tasks and for a limited period of time. Such dispatch should be carried out in combination with the follow-up study and with support for the activities of Japanese cooperation organizations, with the purpose of providing indirect support for the activities of the local counterparts and the ex-participants.

Combining the above-mentioned activities with the provision of equipment is also possible if it is decided that it is necessary.⁴

b. Support for Activities of the Alumni Associations of Ex-participants

This type of cooperation will provide financial support for activities which aim for establishment of a network for the ex-participants, as well as for the operation of the alumni associations which were founded by the initiative of the ex-participants.

In cases where the members of the target alumni association have specific ad hoc activities, the above-mentioned “1) a. Soft-type (general)” can be implemented while limiting its scope to these activities.

c. Support for the Activities of Japanese Cooperation Organizations

There might be cases where Japanese cooperation organizations, which were the Japanese counterparts in the technical cooperation projects or the technical training, want to continue to provide the latest information or to implement seminars, etc. for the ex-counterpart agencies or ex-counterpart personnel in the developing countries, after the cooperation period has ended. These Japanese counterpart agencies include universities, research institutes, hospitals, public offices, etc. The “support for the activities of Japanese cooperation organizations” provides financial support, to these Japanese counterpart agencies, for the communication costs, costs for local work, traveling costs, etc.

The labor costs for Japanese personnel, management cost, procedures, etc. for implementing the support for activities of the Japanese cooperation organizations are stipulated in separate guidelines.

2) The Soft-type Projects where the Domestic Project Department Acts as the Budget Coordination Department (the Type in which the Activities are Linked to Issue-Specific Training)

The issue-specific training is aimed at solving specific problems, dissemination of specific knowledge, etc. The need for this type of training in developing countries is high and its significance is also increasing. Many of the issue-specific training

⁴ The ceiling amount for such cases is specified separately from the other provision of equipment. Refer to “6. Ceiling Amount for Follow-up Cooperation” for details.

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programs require organizational efforts such as improvements in the quality of work of the organization and the establishment of systems in the organization, in order to achieve training results.

The Soft-type project will be incorporated into issue-specific training programs at the planning stage, especially when the training program is expected to create a significant effect. The Soft-type project will then support the efforts of the developing country to achieve training results.

The details are stipulated in separate guidelines. The following are the main contents of the cooperation.

a. The Type of Cooperation which is at the Initiative of Developing Countries

This type of cooperation supports the voluntary activities of the developing country utilizing the knowledge, etc. that has been gained or created by the training. These activities are proposed after the participants at the training go back to the developing country. The contents of the proposal for the activities will be submitted and considered together with the comments from the overseas office on the proposal, and support will be provided for the content which is determined to be appropriate by the head of the domestic office. The content of the support will be the same as the ones in the above-mentioned "1) a. Soft-type (general)."

b. The Type of Cooperation which is at the Initiative of Japanese Cooperation Organizations

In cases where the organization which accepted the participants for the training in Japan gives advice and provides knowledge to the ex-participants, this type of cooperation will give financial support to the relevant acceptance organization for such activities. The content of the support will be the same as the ones in the above-mentioned "1) c. Support for Activities of Japanese Cooperation Organizations."

Any cooperation other than with the above-mentioned contents will be considered individually.

3) The Soft-type Projects where both the Relevant Regional Department and the Domestic Project Department Act as the Budget Coordination Department (Support for Information Dissemination)

In this type of cooperation, the headquarters will send publications such as technical magazines to the ex-participants for a certain period of time. Further provision of literature and technical information (including audio-visual materials) will be provided when requested. This cooperation aims to support the continuous efforts made by the ex-participants to improve their abilities in areas which are related to their expertise. The reason behind such cooperation is that these ex-participants are considered to be a network of personnel who can contribute to the maintenance and development of the results of Japanese technical cooperation. The possibilities of utilizing these personnel in future technical cooperation, etc.

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can also be considered.

This sub-scheme is only carried out by the headquarters.

The effective combination of the above-mentioned main-schemes of the Hard-type, the Soft-type and the follow-up study will enable the implementation of a small-scale "project" through the initiative of the local people. For example, effective follow-up cooperation can be planned by combining the repair of facilities which were provided through the grant aid, holding local seminars and creating maintenance manuals for the maintenance of the facilities. Another combination could be the repair of equipment which was provided by a technical cooperation project and the implementation of investigative research.

(4) Soft-type Follow-up Implemented in Japan

The precepts of the Soft-type is that they will be implemented primarily outside Japan except for the support for the information dissemination (some of the above-mentioned "(3) 1) c.," "(3) 2) b." and all of the "(3) 3)"). Therefore in principle, when seminars, workshops or investigative research are implemented, personnel from the Japanese cooperation organizations should be dispatched to the recipient country (or to a neighboring third country), when these activities need indirect support from Japan.

However, if it is considered that the recipient country needs indirect support which has to be carried out inside Japan, such support projects can be implemented in Japan, provided that all the following conditions are met. Of course, such support projects should also be compliance with the implementation content specified for the relevant sub-schemes, as well as meeting the aims of "2." mentioned above and the project selection criteria in "5." mentioned below.

- The project should effectively promote the achievements of the overall goal, etc. which were set for the past project, etc. The project should also be very cost effective. From the above points of view, the overseas office and the local embassy should give their consent to the projects implementation.
- The activities needed for the achievement of the overall goal appear difficult to implement locally or in the neighboring third country, and implementation of the activities in Japan is essential. In particular, the project should meet one of the following requirements.
 - The necessary content for the indirect support can be provided only in the context of organizations in Japan or the society in Japan.
 - It is difficult or extremely inefficient to dispatch personnel who can provide the necessary indirect support to the recipient country or to the neighboring third country.
- It is necessary to take into account that the project is supplementary work. From this point of view, the period of the relevant activities should principally be for two weeks or less.

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One should bear in mind that these types of projects should be subject to careful consideration.

5. Criteria for the Selection of the Projects

The following are the general criteria for the selection of the follow-up cooperation projects.

- (1) Cooperation for the original project should have ended principally within the past 15 years (within the past 10 years in cases that the follow-up cooperation is the support for the ex-participants).
- (2) The past development, problems, etc. and the reasons why the follow-up cooperation became necessary should be made clear.
- (3) The reason why the problem cannot be solved with the self-help of the recipient country should be made clear. (The past development of the maintenance situation, etc. is the especially important information.)
- (4) Sustainability of the project after the follow-up cooperation is completed should be able to be anticipated.
- (5) Defects do not exist (or are not expected to occur in the future) in the project (in the case of cooperation for repair, restoration or construction).
- (6) The achievements of the agreed items (which are specified in minutes, R/D, Exchange of Notes (E/N), etc.) for the implementation of the original project (which could have been a grant aid project, a technical cooperation project or a development study) and the situation for compliance with these items should be confirmed. The consistency between these items and the requested follow-up cooperation should be explained.
- (7) The role of the target project in the JICA Country Program should be made clear.
- (8) Expected achievements through the implementation of the follow-up cooperation should be made clear.
- (9) There should be no negative impact because of the implementation of the follow-up cooperation (especially in cases where large-scale construction work as an emergency measure is to be undertaken, or a new construction project which is managed by the relevant overseas office is planned, etc.).
- (10) With regard to the size of the budget, the conditions specified in "6." mentioned below should be met.
- (11) No follow-up cooperation has been implemented for the target project in the past.

Concerning the cooperation for the formation of networks for the ex-participants such as the "support for activities of the Alumni Associations of ex-participants," neither (1) nor (11) mentioned above apply to these cases. Such cooperation can be selected more than once as long as the network's activities continue.

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As described above, the criteria for the formulation and selection of follow-up cooperation projects does not significantly differ from the criteria and the point of view for the adoption of new projects for the normal technical cooperation or grant aid, although one should still keep in mind that the follow-up cooperation projects are supplementary works in relation to the original work.

It is necessary to fully examine whether or not the provision of additional support is appropriate by considering the above criteria for the selection of the projects, before the project formulation is launched.

Meeting the above criteria is a priority for the selection of the projects. However, the projects which do not meet all the criteria could be selected in exceptional cases. The targets in such cases should be the past projects, etc. which presently still have an important role in the aid policy for the relevant country. Such cases should also be expected to achieve an effective result with a relatively small budgetary input.

In these exceptional cases, it is important that the proposal for the project sufficiently explains the significance of its implementation, as well as explaining the degree of compliance with the above-mentioned criteria. The confirmation of past developments and problems that have occurred up to the present time for the relevant original project is especially important. It means that the “evaluation” (in a broad sense) of the original project is important.

However, the absence (and non-occurrence in the future) of “defects” explained in (5) above, and the absence of any possible “negative impacts due to the implementation of the follow-up cooperation” in (9) are indispensable conditions.

When one formulates the project and prepares for the application, it should be confirmed first whether or not the criteria have been met, before he/she prepares the document using the Application Form for the Follow-up Cooperation (Attachment-2, hereinafter called the “application form”). If the proposed project does not meet all the criteria but is important enough to be implemented, then the reasons for its importance should be explained on the application form (see “7. Implementation Flow for the Follow-up Cooperation” mentioned below for the details).

6. The Ceiling Amount for Follow-up Cooperation

(1) Ideas on the Operation of the Ceiling Amounts

The ceiling amount for each scheme of follow-up cooperation is specified in (2) to (5) mentioned below. Similarly to the above-mentioned conditions for selection of the projects, it is important primarily not to go above the ceiling amount. However, it is possible to carry out the project even if the ceiling amount is exceeded, if implementation of the project can be explained from the points of view of the importance of the project, the achievements which can be gained through implementation of the project, or the cost-effectiveness of the project, etc.

However, one should bear in mind that the basic idea of the follow-up cooperation is that a “relatively small amount of additional input” is given to the follow-up project because it is a supplementary work. One should also bear in mind that follow-up cooperation should not undermine the self-help of the recipient country. Therefore,

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when the budget is calculated, one should consider the adequacy of the contents and the scale of the follow-up cooperation while comparing them with the contents and the scale of the original project, rather than sticking strictly to the ceiling amount. One should also consider the proportion of the cost which should be shouldered by the recipient country for the implementation of the project. In this way, one should formulate the project while limiting the project activities to genuinely necessary content.

The headquarters will examine the scale of the project while considering the capabilities of the implementation structure of the overseas office which would manage the project.

(2) Ceiling Amount for a Follow-up Study

A ceiling for the estimated necessary amount will not be set for a follow-up study which is carried out by personnel dispatched from Japan. This is because the composition of the mission (including whether or not dispatch of personnel from Japan is necessary), the study period and the necessary budget for the study will be worked out depending on the content of the request, content of the target project, the necessity of the different studies, etc.

The ceiling amount is principally 10 million yen in the cases where the study is implemented by employing consultants locally or from a third country.

Follow-up studies will not influence the ceiling amount of other schemes which are explained below.

(3) Ceiling Amount for Hard-type Follow-up

1) Ceiling Amount for Provision or Repair of Equipment

- a. Ceiling Amount for Provision of Equipment (Except the Provision of Equipment for Ex-participants)

The ceiling for the estimated necessary amount for one project is principally 50 million yen. In cases where the equipment is procured from Japan, this ceiling amount is for the cost of the equipment. In cases where the equipment is procured locally or in a third country, the ceiling amount is for the total cost of the equipment and the related costs which include the transport cost, the installation cost, etc.

- b. Ceiling Amount for Dispatch/Employment of Technicians for Installation or Repair and for Consulting Services

This ceiling amount is the same as the ceiling amount for follow-up study.

- c. Ceiling Amount for the Provision of Equipment to the Ex-participants

The ceiling amount for the provision of equipment to the ex-participants is principally 10 million yen.

Provisional Translation

With regard to the detailed procedures for local procurement or procurement in a third country, the existing guidelines should be complied with, such as the accounting rules of JICA and the procedures for local procurement in the Procurement Department.

- 2) Ceiling Amount for Emergency Measures for Facilities
- a. Ceiling Amount for Repair of the Facilities Related to Technical Cooperation Projects

For repair of facilities, etc. which were constructed through technical cooperation such as field application projects, the ceiling amount is principally 20% of the original construction cost. The local resources and the resources from a third country should principally be used for the implementation of the project.

- b. Ceiling Amount for Repair of the Facilities Related to Grant Aid

For the repair of facilities which were constructed using grant aid, the ceiling amount is principally 50 million yen.

- c. The Ceiling Amount for Consulting Services such as Bidding Management, Supervision on Construction, and the Completion Inspection, etc.

This ceiling amount is the same as the ceiling amount for follow-up study. For the consulting services for the repair of the facilities related to technical cooperation projects, the personnel should principally be employed locally or from a third country.

(4) Ceiling Amount for Soft-type Follow-up

- 1) Ceiling Amount for the Soft-type Follow-up where the Relevant Regional Department Acts as the Budget Coordination Department

- a. Ceiling Amount for the General Soft-type Follow-up

The ceiling amount for the Soft-type (general) is principally five million yen. If the procurement of new equipment is needed, the ceiling amount will principally be 10 million yen.

- b. Ceiling Amount for Supporting the Activities of the Ex-participants

The ceiling amount for supporting the activities of the ex-participants is principally two million yen per association. However, in cases where there is a need for ad hoc activities by the alumni association and the necessary budget for the activities exceeds this ceiling amount, the above-mentioned "1) Soft-type (general)" can be used where necessary.

- c. Ceiling Amount for Supporting the Activities of Japanese Cooperation Organizations

Provisional Translation

The ceiling amount for supporting the activities of Japanese cooperation organizations is principally five million yen.

- 2) Ceiling Amount for the Type in which the Activities are Linked to Issue-Specific Training

The ceiling amount for the “type of cooperation which is at the initiative of developing countries” is principally three million yen. The ceiling amount for the “type of cooperation which is at the initiative of Japanese cooperation organizations” is principally five million yen.

- 3) Ceiling Amount for Support of Information Dissemination

The acceptable amount will be considered on an individual project basis in light of the content and the necessity of the project.

(5) Ceiling Amount when the above Main- and the Sub-schemes are Combined

- 1) Ceiling Amount for Cases where the Hard-type is Combined with the Soft-type

In this case, the ceiling amount is the total of the two ceiling amounts for the relevant Hard-type and the relevant Soft-type. However, in the case of provision of equipment to the ex-participants and in cases where the Soft-type (general) needs new equipment, the ceiling amount for the each type which is separately specified above should apply.

- 2) Ceiling Amount for Cases where the Provision or Repair of Equipment is Combined with the Emergency Measures for Facilities

In this case, the ceiling amount for the total equipment costs and the construction costs is principally 50 million yen. However, in cases where the provision of equipment is to the ex-participants, the relevant ceiling amount which is separately specified above should apply.

7. Implementation Flow of Follow-up Cooperation

The implementation flow explained below will not apply to the “support for activities of the alumni associations of ex-participants” in the “Soft-type” (except the ones implemented as the “Soft-type (general)”), nor to the “type in which the activities are linked to issue-specific training” unless it is specifically specified. The implementation flows for these two types are specified separately.

(1) Implementation Structure

The following is the outline of the implementation structure.

- Planning and Coordination Department: the contact for general affairs, coordination, supervision of all the departments, etc.

Provisional Translation

- Regional Departments: General affairs of the individual projects (the contact for application to conduct follow-up cooperation; screening, coordinating and collecting projects; supporting consideration of projects (where necessary); implementing projects; supporting implementation of the projects; etc.)
- The departments at the headquarters which were involved in the original projects: screening of projects on their technical aspects; supporting consideration for projects; implementing projects; supporting the implementation of projects; etc.
- Overseas offices: Considering projects and implementing projects; supporting implementation of projects; etc.

(2) Consideration of the Projects and Application to Conduct the Projects

The Planning and Coordination Department and the Regional Departments will request the JICA offices to submit their needs to conduct follow-up cooperation. In response to the request, the departments which have the needs to conduct follow-up cooperation at the JICA offices will submit the applications to the relevant Regional Departments (and will send copies of the applications to the Planning and Coordination Department and to the departments which were involved in the original projects). The applications should be written in Japanese or in English. It is anticipated that the overseas offices will submit the applications to conduct follow-up cooperation because problems or challenges normally exist in the field and also because the primary source of information is found in the field. However, the offices in Japan can also submit applications.

In principal, the period of acceptance for the applications is between the last half of the third quarter and the first half of the fourth quarter in the fiscal year before the proposed start of the project, but the applications to conduct projects for emergency measures can be accepted at all times.

It is not essential to obtain a request from the government of the recipient country or a diplomatic official letter in the A4 form, etc. prior to the submission of the application to conduct follow-up cooperation.

However, the following content should be agreed on by the recipient country prior to the submission of the application.

- Contents of the support (a list of equipment, etc.)
- Confirmation on the ownership of the project by the recipient country (proactive involvement of the recipient country in the project)
- Commitment of the recipient country to conduct or support the necessary legal processes such as the procedures for tax-free clearance
- Commitment of the recipient country to receive personnel from Japan with out any trouble (in cases where personnel are to be dispatched from Japan)
- Self-help of the recipient country after the project ends

The applicant should ensure that he/she will obtain an official letter from the government of the recipient country which confirms their commitment to the smooth implementation of the project and for the efforts that they will make after the project has ended.

Provisional Translation

The applicant is not required to submit an official letter from the recipient country at the time of the submission of the application, provided that the above contents can be confirmed with the recipient country prior to the application and that the official letter can definitely be obtained at a later date. Therefore, it is important that the applicant will promptly formulate the project and submit the application to the headquarters. The applicant should then prepare for the smooth implementation of the project.

Departments at the headquarters can also submit an application to conduct follow-up cooperation. In that case, it is necessary to share the information beforehand between the department which submitted the application at the headquarters and the relevant overseas office, because the department at the headquarters will need various support activities from the overseas office such as obtaining the official letter from the recipient country.

(3) Selection and Adoption of the Projects

The relevant Regional Department and the department which was involved in the original project will conduct the screening of the application for conducting a follow-up project. An investigative meeting will be held if necessary. Then, the Planning and Coordination Department will conduct the overall coordination for the applied project. The decision on the implementation of the project will then be announced through the Regional Department principally the fiscal year before the fiscal year of implementation.

(4) Implementation, Monitoring and Publicity

At the project implementation stage, the department in charge of the project will independently implement the project, but other departments should also proactively support the implementation. The relevant overseas office is required to carry out the management of the appropriate procurement according to the contracts in the case of a Hard-type project (facilities and equipment), and the management of the appropriate expenses for seminars and other activities in the case of a Soft-type project.

Those who are in charge of the project at the overseas office and at the department involved in the original project at the headquarters should proactively find various opportunities and conduct monitoring of the follow-up cooperation project.

Similarly to other JICA schemes, it is necessary to conduct timely PR activities for the follow-up cooperation project, such as at the launch of the project and at the end of the project.

(5) Accountability and Feedback

The overseas office is required to produce the Completion Report for the Follow-up Cooperation Project (Attachment-3) and to send it to the department which was involved in the original project (as well as sending copies to the relevant Regional Department and the Planning and Coordination Department) after the project ended. (For a follow-up study, the study report can be the substitute for the completion report.) The overseas office is also required to determine the results of the follow-up cooperation and to give the feedback to the related project departments.

Provisional Translation

The form Attachment-3 should also be used when the completion report is produced for projects of the “type in which the activities are linked to issue-specific training.” The form of the “support for activities of the alumni associations of ex-participants” is separately specified.

8. Other Points to Consider

(1) Points to Consider at the Time of Consideration, Selection, etc. of the Projects

Firstly, it is important to remember that it is still necessary to sufficiently verify the adequacy of the follow-up cooperation to the same extent as was is for the original projects, even though the project scale is small and the project is supplementary work. Therefore, one should sufficiently verify the significance of the cooperation, the comparison between the input and the results that are expected, the adequacy of the project (cost-effectiveness), etc. Whether or not there are defects in the project should also be verified for the type of cooperation which is to restore failed equipment and facilities.

Secondly, it is desirable that overseas offices and other related departments share information, and carry out indirect support for the target projects while responsibly filling their roles and proactively taking on the necessary tasks.

It is therefore important that each member in the project should consider what they should do in order to prevent “a sin of omission” and should voluntarily try to take action to solve problems.

Thirdly, it is important to remember that the follow-up cooperation aims for maintenance and development of the content of the original project and so self-help of the recipient country is necessary. This point is no different from other projects. When the implementation of the project is considered, one should recognize this aim and plan for the operation of the project within reasonable bounds in order not to undermine the self-help of the recipient country.

(2) Offices in Charge of the Projects

It was decided that the department in charge of a follow-up cooperation project will be determined according to which department can implement the project most efficiently and effectively, rather than solely according to the budget size. The related departments (or the overseas office) will give support to the project where necessary.

Due to this decision, it is now possible for overseas offices to manage the implementation of the follow-up studies conducted by the missions dispatched from Japan, arrangements to dispatch personnel from the cooperation organizations, etc. which have been traditionally implemented by the management at the offices in Japan. The overseas office will gain indirect support from the related departments in Japan where necessary.

Provisional Translation

Therefore, it is important for the relevant Regional Department, the department which was involved in the original project and the overseas office to closely coordinate with each other from the stage of the consideration of the project. It is essential that the Regional Department takes the initiative to make decisions on the department which will manage the project and the departments which will support the project. The Regional Department should also take the initiative in sharing information between the involved parties.

(3) Consideration of the Soft-type Follow-up which Takes into Account the Country-specific Programs, etc.

JICA will strive for further expansion of Soft-type projects which will support the self-help of the counterparts of the past projects, etc. in dissemination and expansion of technology use. Therefore, one should consider the projects and apply to conduct the projects, after making sure that the contents of these projects are backed up by the relevant country-specific programs and JICA Country Programs.

Overseas offices should consider the projects which will involve follow-up studies with the management by overseas offices. The headquarters, especially the Regional Departments together with the related departments (such as the issue-based departments, the Grant Aid Management Department, the Secretariat of Japan Overseas Cooperation Volunteers, etc.) should also understand the needs for the follow-up cooperation, as well as proactively being involved in the project formulation. They should do so while considering the priority issues and development themes as well as considering the results of the monitoring of the completed projects and the ex-post evaluations for each project.

(4) Promotion of Understanding about the Present Situation at the Past Projects, etc. while Utilizing the Opportunities for Follow-up Project Applications

There is an increasing need for understanding of the present situation and taking appropriate measures when problems occur after the implementation of the JICA cooperation ends. This is especially so when a continuous effect for the results of ODA projects is generally becoming seen as more important.

It is meaningful to understand the present situation at the past projects, etc. in a timely manner and to take the measures needed according to the situation, even though it might not be possible to respond to the situation using a follow-up cooperation depending on the contents and scale of the problem. Therefore, it is necessary to strive to understand the present situation at the past projects, etc. as much as possible utilizing the application process to conduct follow-up cooperation, and inform the related departments of the situation in a timely manner when problems or challenges are found.

Provisional Translation

Attachment-1

The Outline and the Ceiling Amount for Follow-up Cooperation

| Main-schemes | Sub-schemes | Classification, etc.. | Ceiling amounts (See "6." of the Implementation Manual for details.) | Outlines of the schemes (See "4." of the Implementation Manual for details such as the conditions.) | Remarks | |
|--|--|---|--|---|--|---|
| FU Study | | Dispatch of personnel from Japan | No specific ceiling amount | <ul style="list-style-type: none"> • Planning for the implementation of FU cooperation • Finding new FU cooperation projects and collection of information on the new potential FU projects • Promotion for the implementation of FU projects • Studies to understand the present situation, etc. | Follow-up studies will not influence the ceiling amount of the Hard-type or Soft-type projects. | |
| | | Employment of personnel locally or from a third country | 10 million yen in principle | | | |
| Hard-type | The relevant Regional Department acts as the budget coordination department. | Provision or repair of equipment | Procurement in Japan | 50 million yen in principle | <ul style="list-style-type: none"> • Provision of spare parts • Updating to new equipment | For equipment costs only. |
| | | | Procurement locally or in a third country | 50 million yen in principle | | Includes related costs such as transportation, insurance, installation, etc. Must follow the specified guidelines at the Finance and Accounting Department and the Procurement Department for procedures |
| | | | Ex-participants | 10 million yen in principle | | The above precepts are applied to the related costs. Limited to equipment that is to be used and operated by the ex-participants. |
| | | Emergency measures for facilities | Facilities related to technical cooperation | 20% of the original construction cost in principle | <ul style="list-style-type: none"> • Repair of facilities | In principle, local resources and resources from a third country should be utilized. |
| | | | Facilities related to grant aid | 50 million yen in principle | | |
| | | Soft-type | The relevant Regional Department acts as the budget coordination department. | Soft-type (general) | | 5 million yen in principle |
| In cases where new equipment is needed | 10 million yen in principle | | | | | |
| Support for the activities of the alumni associations of the ex-participants | 2 million yen in principle | | | The premise is implementation by local management. | | |
| Support for the activities of Japanese cooperation organizations | 5 million yen in principle | | | <ul style="list-style-type: none"> • Support for the communication costs, the cost of local work, traveling costs, etc. | | |
| The domestic project department acts as the budget coordination department. | The type in which the activities are linked to issue-specific training | | The type of cooperation which is at the initiative of the developing countries | 3 million yen in principle | <ul style="list-style-type: none"> • Support for the Japanese groups and support for developing countries in the region-specific training | |
| | | | The type of cooperation which is at the initiative of the Japanese cooperation organizations | 5 million yen in principle | <ul style="list-style-type: none"> • Support for the acceptance organizations of trainees on training courses in Japan | |
| Above both the departments act as the budget coordination departments. | Support for provision of information | | | Individually considered | | Implementation limited to the headquarters. |

Provisional Translation

In Cases where the Main- and the Sub-schemes are Combined

| | | | | | | |
|--------------------------|--|---|--|--|--|--|
| Hard-type + Soft-type | | | | The total ceiling amounts for each sub-scheme | | Not applicable to the provision of equipment to the ex-participants or procurement of the equipment for the Soft-type (general). |
| | | Provision or repair of equipment + emergency measures for facilities | | 50 million yen in principle | | |

Provisional Translation

6. Content and aims of the follow-up cooperation which is being applied for

Please write the contents and aims for each item (a – j) in the above-mentioned “4.” Please attach tables, maps, photos, documents, etc. separately where necessary.

- In the case of the FU study (including dispatch of personnel):
Please write in detail about the proposed constituents of the personnel to be dispatched and the proposed Terms of Reference (TOR).
- In the case of the Hard-type:
Please attach as much information as possible such as related drawings, the infrastructure of the facilities as well as the surrounding area (the water system, the electricity system, etc.) if the application is about the emergency measures for facilities.
- In the case of the Soft-type:
Please attach the following documents: (1) the target population and themes of the seminars, production and/or provision of books, teaching materials, etc.; (2) the detailed contents of these activities; and (3) the documents which show the grounds for the applied-for amount (such as quotations).

7. Estimated necessary costs for the follow-up cooperation and the anticipated period of implementation

Please write the detailed unit costs, total costs and the anticipated period of implementation for each of the contents written in the “6.” above (Please attach separate sheets if necessary).

- In cases where the project will be worked on by the overseas office: Please attach the quotations and other documents which show the grounds for the estimate of accumulation for the project costs. Please collect more than one quotation as well as reference information if the project is the Hard-type cooperation targeting an original project which involved grant aid.
- In cases where equipment will be provided: Please write details for each piece of equipment by stating the following items on the separate sheet: (1) the name of the equipment, (2) the specification, (3) the name of the manufacturer and the model number, (4) the quantity, (5) the unit cost, (6) the intended purpose of use and (7) the place where the equipment is procured from (Japan/overseas).
- In cases where the FU study will be worked on by the headquarters: Please provide as much information as possible for the estimate of accumulation (such as for the rent of vehicles, whether or not interpreters can be employed locally, the amounts) although it is not necessary to write the amounts.
- Please provide the information which can be used for the creation of the annual plan wherever possible, including the breakdown of the costs and the anticipated implementation periods for each item (a – j of the above “4.”).

(1) The estimated necessary costs

Total costs of the activities which will be worked on by the Japanese office
About ___ 000 yen

Breakdown into each item:

Total costs of the activities which will be worked on by the overseas office
About ___ USD

Breakdown into each item:

(The exchange rate used for the calculation: @ ___ yen)

Provisional Translation

(2) The anticipated period for the implementation of each item

Provisional Translation

8. The anticipated effects of the implementation of the follow-up cooperation, the relationships between the follow-up cooperation and the development program

(1) The anticipated effects:

Please write the anticipated effects for the implementation of this follow-up cooperation from the following points of view: (1) adequacy, (2) effectiveness, (3) efficiency, (4) impacts and (5) sustainability. Please write in detail and in a quantitative way wherever possible.

(2) The relationships between this follow-up cooperation and the development program

9. Related information

- a. The contact person and the consignee (including the name of the organization and the position)
- b. Address
- c. The phone number, the fax number
- d. e-mail address and the URL

Provisional Translation

10. Results of the consultation with the department involved in the original project:

(1) Preliminary consultation with the department involved in the original project about which office will manage the implementation of the project:

Done Not yet done

- If the follow-up project is to be implemented with the management of a department in Japan, preliminary consultation will have to be done with the anticipated department in Japan.
- Even if the follow-up project is to be implemented with the management by overseas office, if the project will need the support from the department in Japan (such as the contact point for dispatch of personnel from Japan), the relevant department in Japan should be consulted beforehand about what the contents of the anticipated support should be.

(2) Results of other consultations

Please complete this part if the original project (which will be the target of the follow-up cooperation) was under the management of the issue-based departments or the Grant Aid Management Department.

11. Comments from the overseas office, the results of the consultation with the embassy:

(1) The results of the consultation with the embassy

Please talk to the embassy and write the comments obtained from the interview wherever possible. (This part has to be filled in if the original project was grant aid.)

(2) Comments from the overseas office

Please write the comments on the urgency, the necessity and the priority of the follow-up project.

(3) The reason for applying to conduct this follow-up project (Please complete this part in cases where the follow-up project does not comply with the conditions for implementation which were specified in the Implementation Manual, such as the criteria for selection and the ceiling amount.)

Please specify the items which do not comply with the conditions for implementation written in the Implementation Manual, and explain the reasons why you still applied to conduct this follow-up project.

Provisional Translation

3. Evaluation of the Cooperation and the Activities

| | |
|--|--|
| Evaluation made by the overseas office | |
|--|--|

Please write this part while considering the evaluation on the adequacy, the effectiveness, the efficiency, the impacts, the sustainability, etc. of the project at the time of the application.

| | |
|--|--|
| Importance of continuing the cooperation | |
|--|--|

If continuous cooperation from Japan, such as dispatch of experts, etc., is necessary, please write the contents and the reasons why it is needed.

4. Accounting Report

| Contents | Income | Expenditures | Balance |
|----------|--------|--------------|---------|
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5. Recommendations, etc.

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|-----------------------|--|
| Recommendations, etc. | |
|-----------------------|--|

Please attach: The needs survey form, the confirmation note of the inspection and receipts for the equipment, the confirmation note for the completion of construction, the photos of the activities, etc.