

# **Follow-up Cooperation Implementation Guideline**

**March 2003**

**Japan International Cooperation Agency  
(JICA)**

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## **1. What Are the Objectives of Follow-up Cooperation?**

The follow-up cooperation implemented by Japan International Cooperation Agency (JICA) has two main objectives as follows:

The first is to provide additional and supplementary support to the past "hardware-type" cooperation of Japan (i.e., equipment supplied/procured and facilities constructed in the past through technical cooperation by JICA or grant aid by the Government of Japan). At the stage after the completion of Japanese cooperation, the responsibility for maintaining and managing the project's equipment or facilities lies primarily with the recipient country. However, occasionally there are some cases where the recipient country finds difficulties in appropriate maintenance due to its financial, organizational, and/or technical problems which it did not anticipate. There are also cases where the equipment or facilities do not operate or function properly due to natural disasters or other reasons. In such cases, JICA will assist the recipient country in repairing or conducting rehabilitation works as JICA's additional support, to restore their functions, and thus to secure the prolongation of the equipment's/facilities' life. In this way, JICA will further contribute to the self-reliance of the recipient country.

The second objective is to further diffuse and develop the results of the past technical cooperation of Japan as widely and deeply in the recipient country as possible. JICA will realize this policy by: (1) supporting on-site seminars and workshops to be held by former training participants (so-called "ex-participants") or their alumni associations, counterparts and counterpart organizations for the past technical cooperation projects, experts, Japan

Overseas Cooperation Volunteers (JOCV), or Senior Overseas Volunteers, and/or (2) by supporting them for preparing audio-visual materials, native language materials or manuals. Compared with the above-mentioned "hardware-type" follow-up cooperation, this type is called "software-type" follow-up cooperation.

Under this follow-up cooperation scheme, a small scale "project" could be realized while in combination with the "hardware-type" and "software-type" components, if necessary. JICA can thus provide a package-type follow-up cooperation. The example is as follows:

- To combine the repair or rehabilitation works of the facilities constructed under the grant aid project with the realization of seminars or workshops on the maintenance and management of such facilities/equipment as well as the preparation of maintenance/management manuals, or
- To combine the repair of equipment that were provided through a technical cooperation project in the past with the continual research and survey by the counterparts of the said project and/or ex-participants who are still working for the said project's organizations

Also, in cases where counterpart organizations in a recipient country take the initiative in planning a seminar or workshop and request the local JICA overseas office to act as a co-sponsor, the "software-type" follow-up cooperation scheme will be applied in a manner similar to the "petty-cash schemes" of other donors.

## **2. What Projects Are Eligible for Follow-up Cooperation?**

The past projects, counterpart organizations, individual counterparts, ex-participants, etc., which may be eligible for follow-up cooperation are described below. In principle, eligible projects for hardware-type follow-up cooperation are those which ended within the past 15 years. However, software-type follow-up cooperation for ex-participants, their alumni associations, counterpart organizations, individual counterparts, etc., are eligible as long as they exist.

With regard to the supply of spare parts for repair/restoration purposes, it should be noted that consumables such as printing paper, toner, tires for vehicles, gasoline, etc. are not included in principle.

The projects, organizations, and human resources eligible for follow-up cooperation are as follows:

### **Grant Aid Projects**

- Projects for general grant aid and fisheries grant aid
- Grant aid for increase of food production (2KR); however, only agricultural machinery that belongs to a government organization is eligible for the follow-up cooperation

### **Technical Cooperation Projects**

- Equipment provided through a technical cooperation project (including Japan Overseas Cooperation Volunteers (JOCV) team dispatch, individual experts, etc.) or facilities constructed under the said cooperation project
- Counterpart organizations and counterparts for technical cooperation

projects as well as individual experts

- Counterpart organizations and counterparts for Japan Overseas Cooperation Volunteers (JOCV) and Senior Overseas Volunteers
- Ex-participants (including individuals who participated in a third-country training program, but excluding ex-participants of Youth Invitation Program)
- Alumni associations of ex-participants
- Supporting organizations in Japan for technical cooperation projects

### **3. What Cooperation Is Feasible?**

An outline of sub-schemes under the follow-up cooperation is as follows:

#### **(1) Follow-up Studies**

When it is considered necessary to confirm the details of a requested follow-up cooperation project's background and contents, or if there are ambiguities concerning its implementation methods or cost estimation, JICA or a consultant commissioned by JICA will conduct a follow-up study in the recipient country.

The study shall cover the following main items:

- Confirmation of the background of the requested project
- Confirmation of maintenance and management system executed and to be applied by the agency concerned of the recipient country
- Confirmation of the inoperative/defective conditions of the equipment and facilities concerned
- Confirmation of action plans of ex-participants (for software-type

cooperation)

- Clarification of the requested spare parts/components and confirmation of their order of priority
- Confirmation of the necessary measures to be taken by the recipient country
- Confirmation of the follow-up cooperation effects and implications
- Preparation of a follow-up cooperation plan (restoration/rehabilitation plan, specifications, action plan, etc.)
- Estimation of the follow-up cooperation expenses
- Reporting/feedback to JICA on the lessons learned and proposals for future cooperation

There are other follow-up studies in addition to those which mainly cover such specialized items as mentioned above. Included are the studies which aim to formulate a new possible follow-up project and also the studies that simply aim to prepare a report on a possible follow-up cooperation without making specific commitment toward the implementation of a follow-up cooperation project.

## **(2) Equipment Supply**

### **(A) Provision of Spare Parts Needed for Equipment Repairs**

When inconveniences occur with the equipment provided or procured through a technical cooperation or grant aid project, JICA may take steps to supply the spare parts needed for repairs in order to restore such equipment's functions. Both procurement of spare parts from Japan and local procurement in the recipient country are acceptable. (Third-country procurement is also acceptable,

if necessary) In cases where the requested spare parts include considerably expensive items or cover a broad range of different items, or it is difficult to specify necessary spare parts, JICA itself will verify the specifications and quantities of the spare parts required for repair of the equipment in question as well as the order of priority among the spare parts, by means of dispatching a follow-up study mission to the requested country.

#### (B) Provision of New Equipment

JICA will take into consideration the possibility of providing new equipment or of replacing the original equipment with a new one in the following cases:

- The provision of new equipment to the ex-participants which aims to further develop their expertise learned in Japan (as a rule, the new equipment must be operated with their own technical capability) or the provision of new equipment which will be used by the counterpart organizations and/or counterpart individuals of the past technical cooperation projects for the purpose of their survey and research activities pursuing the original projects' objective and subject. The provision of said equipment is expected to achieve synergistic effects with the past technical cooperation.
- In cases where the spare parts for the equipment are no longer manufactured or where it is considerably cheaper than to replace the equipment with a new equivalent model.



### (C) Dispatch/Employment of Repair Engineers

In cases where the help of a technician is required for installing the provided new equipment, replacing the spare parts, or repairing malfunctions of the equipment, JICA will dispatch technicians of the relevant equipment manufacturers or consultants from Japan (i.e., a "repair team" or an "installation and guidance team") or will dispatch capable persons or consultants from the recipient country or its neighboring countries.

In certain cases, JICA will not simply limit its assistance to the equipment repair, but will also train the human resources concerned of the recipient country who are in charge of the maintenance and management of the facilities and equipment provided by Japan.

### **(3) Rehabilitation Work**

JICA will assist the recipient country to conduct rehabilitation works if the facilities constructed under the Japanese cooperation were damaged due to a natural disaster or other acts of God.

Ordinarily, through a follow-up study, JICA will identify the causes of damage, examine the justifications and propriety for emergency rehabilitation/construction measures or works for the facilities concerned, and propose a specific design. In addition, the study team will make a rough cost estimation of the project and draft a bidding document for selecting a construction company. Furthermore, since JICA overseas offices concerned take control of the follow-up cooperation-related rehabilitation/construction work

for the facilities which were once handed over to the recipient country, the authorities concerned of the recipient country and JICA (the JICA overseas office or the study team) will discuss and record the scope of work (S/W), important measures to be taken by the recipient country and other important committed items, prior to the rehabilitation/construction work.

When required to assist JICA overseas offices during the work period, JICA may dispatch a Japanese or local consultant who will supervise the bidding and the implementation of the work, or conduct a completion inspection of the work.

#### **(4) "Software-type" Follow-up Cooperation**

##### **(A) Activity Support**

As follow-up cooperation, JICA will provide financial/technical support when counterpart organizations or counterpart individuals of a technical cooperation project (including individual experts, Senior Overseas Volunteers, and JOCVs) or a grant aid project, or ex-participants or their alumni associations, plan to further their activities (including their education/training programs) in accordance with JICA's past cooperation.

- Implementation of research and surveys, etc.
- Realization of seminars, workshops, etc.
- Preparation of educational/training materials, manuals, books, etc.
- Establishment of an ex-participants' network (management of their alumni associations, making and renewal of alumni associations' member lists, etc.)
- Other activities of public interest

All the items mentioned above will be implemented as follow-up cooperation administered and managed on the initiative and responsibility of JICA overseas offices.

#### (B) Support by Supplying Technical Information

JICA sends widely used general or technical periodicals or magazines from JICA Headquarters to the ex-participants for a specific period of time (in principle, first two years after they finish their education/training programs in Japan). Furthermore, in accordance with an official request, JICA will provide the ex-participants with technical literature and information (including AV teaching materials, etc.). JICA considers the ex-participants to be very valuable human resources that can contribute to more effective and sustainable development of JICA's technical cooperation. This cooperation will continually assist them in developing their own expertise and thus contributing to the socioeconomic or technological progress of their mother countries. This will result in giving important opportunities to JICA for improving its future technical cooperation programs.

#### (C) Support to Japanese Cooperating Organizations

Thousands of domestic supporting organizations of Japan (universities, research institutes, hospitals, government and municipal offices, etc.) have cooperated with JICA in implementing technical cooperation projects so far. They are also considered by recipient countries as "counterpart organizations" for such projects. Even after projects finish, they often continue their

cooperating activities which help the concerned organizations and human resources in the recipient countries (e.g., by providing them with the latest technical information or materials or by supporting the seminars or workshops in the recipient countries, etc.). JICA will offer financial support as follow-up cooperation to such domestic organizations of Japan which will cover such costs as telecommunications, printing of materials, travel expenses, etc.

#### **4. What Are the Criteria for Selecting Projects?**

When a recipient country's government desires follow-up cooperation, it will first file an application with the local JICA overseas office. (If there is no JICA overseas office in the recipient country, the application should be filed with the Japanese Embassy.)

The criteria for selecting a requested follow-up cooperation project are explained briefly as follows:

- As a rule, not more than 15 years shall have passed since the technical cooperation or grant aid project has finished.
- The background, issues, etc. which necessitate the follow-up cooperation must be sufficiently clarified in the application.
- The reason why the recipient country cannot cope with such issues with its self-help efforts must be clarified. (Detailed information and reasons concerning the issues related to maintenance and management of the equipment or facilities provided by Japan are particularly important.)
- The requested project must have good perspectives in terms of its sustainable development after the follow-up cooperation finishes.

- The status of the original achievement targets and compliance rules established or promised in the initial agreements (minutes, R/D, E/N, etc.) of the initial projects (grant aid or technical cooperation projects) must be well confirmed. And the relationship between the above-mentioned status and the requested follow-up project must be explained well.
- The implications of the requested project with the country-specific project implementation plan of JICA must be clarified well.
- The possible results, effects or impact of the follow-up cooperation must be clarified well.
- There must not be any negative impact by the execution of the follow-up cooperation project (especially in case of a large scale emergency rehabilitation work which will be administered by JICA overseas office initiatives and management).
- With regard to expenditures for a follow-up cooperation project, it should be noted that each project has its own budgetary limitation. An inquiry should be made to the Follow-up Division, Regional Department 1 of JICA Headquarters in Tokyo.

## **5. Follow-up Cooperation Flow**

### **(1) Requests for Follow-up Cooperation Projects**

The partner country is required to submit a formal request by using a Follow-up Cooperation Application Form (in principle, to be filled in English) kept at each JICA overseas office. Thereafter, the JICA overseas office or JICA Headquarters will select from the requested projects. However, in case of the supply of equipment or its spare parts to be procured in Japan, although Form

A4 must be submitted to the Japanese Embassy or JICA overseas office by the time of the actual procurement, this A4 Form need not be submitted together with Application Form. It must be submitted when the requested project is officially adopted by JICA and the details of equipment items, specifications, and quantities are finalized by JICA.

For "software-type" follow-up cooperation, it is desirable that a project be formulated based upon the correspondent country-specific project implementation plan of JICA. This is because the said cooperation is considered as an additional and supplementary support to diffuse the transferred expertise and to attain the original objectives through the self-help efforts of the partner government.

## **(2) Selection and Adoption**

The follow-up projects which (1) need study in the requesting country, (2) involve a large cost requirement, or (3) need to procure equipment in Japan will be adopted by a project selection committee at JICA Headquarters. In principle, JICA Headquarters will inform its overseas office of the views concerning the status of the request within two months after the submission of the application. With regard to projects that are relatively small-scaled, for instance for realizing seminars or workshops, continuing surveys or research in accordance with the original JICA's cooperation, and realizing a project for which equipment could be procured locally, the project selection and adoption shall be made at the JICA overseas office based on the above-mentioned selection criteria.

### (3) Project Implementation, Monitoring and Public Relations

At the stage of project implementation, a JICA overseas office or a follow-up study mission monitors a follow-up cooperation project on site. The selected organization for the follow-up cooperation will be required to prepare and submit materials and data clarifying the implementation status and results. Furthermore, for a "software-type" follow-up cooperation project, as in the same case as a "hardware-type" project, the concerned organizations will be required to take responsibility for managing properly the expenditure for the seminars, workshops, surveys and research, and other relevant financed activities. Furthermore, it is desirable that the follow-up cooperation be widely publicized among the people in the recipient country, at the beginning and completion of the project.

### (4) Reporting after Follow-up Cooperation

Following the completion of a follow-up cooperation project, a report of the project's completion is required to be prepared and submitted to the JICA overseas office. Ordinarily, the report should be submitted within one month after completion. However, there are cases where JICA requests the submission of reports on a regular basis in order to monitor and assess the results of the cooperation.

#### **Attached Materials**

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