

[資 料]

資料 1 : 調査団員・氏名

資料 1 調査団員・氏名

(1) 現地調査

総括	石間 聡孝	JICA 国際協力専門員
計画調整	小柳 桂泉	JICA 社会基盤・平和構築部 運輸交通・情報通信第二チーム 主任調査役
業務主任/建造計画/維持管理計画	小川 賢	一般財団法人日本造船技術センター
船体設計	友井 武人	一般財団法人日本造船技術センター
運航計画/機関設計	西口 政文	公益社団法人日本海難防止協会
艙装・電気通信設計	後藤 明人	一般財団法人日本造船技術センター
機材・調達計画/積算	渡部 寛	一般財団法人日本造船技術センター

(2) 報告書（案）説明調査

総括	石間 聡孝	JICA 国際協力専門員
計画調整	小柳 桂泉	JICA 社会基盤・平和構築部 運輸交通・情報通信第二チーム 課長補佐
業務主任/建造計画/維持管理計画	小川 賢	一般財団法人日本造船技術センター
船体設計	友井 武人	一般財団法人日本造船技術センター
運航計画/機関設計	西口 政文	公益社団法人日本海難防止協会

資料 2 : 調査行程

資料 2 調査行程

(1) 現地調査

日 順	月日	曜日	行動および調査内容
1	2014/ 12/14	日	成田発、コロンボ着
2	12/15	月	午前/JICA 事務所で打合せ。国防・都市開発省 (MOD&UD) 本省の次官補を交えた会議に出席し、調査目的、日程等についてインセプションレポートと質問表を使って説明。 午後/続いて SLCG の後方本部 (Rear Headquarter : Rear HQ) を訪問し、SLCG の活動概要を SLCG 長官らから聴取
3	12/16	火	午前/SLCG の Rear HQ と同じ敷地にある西部地方本部 (Regional Headquarters Western : RHQ(W)) /ワルナ (Waruna) 基地を訪れた後、コロンボ郊外にあるディコビタ漁港の新巡視艇係留予定場所を視察。 午後/コロンボ市内のコロンボ・ドックヤード社を視察し、船舶の建造及び修繕能力等を調査。夕方、コロンボから南部のミリッサへ移動
4	12/17	水	午前/ミリッサにある SLCG 本部 (HQ) /南部地方本部 (Regional Headquarters South : RHQ(S)) /ロハナ (Rohana) 基地において、長官以下、HQ 及び RHQ(S)の幹部らと協議。あらためてインセプションレポートを使って今回の調査目的、日程等について説明し、SLCG 側の意見や見解を聴取。 午後/RHQ(S)が管轄するミリッサ港の SLCG 船艇係留地を視察。
5	12/18	木	午前/SLCG 長官や RHQ(S)幹部らの案内で、ゴール港にあるスリランカ海軍 (SLN) の南部方面司令部 (Southern Naval Command Headquarters) を訪問。同司令部のトップを表敬後、船舶修繕施設、ワークショップ、係留施設を視察。 午後/ミリッサの SLCG HQ に戻り、本件にかかる主要な質問事項について協議。JICA 団員は SLCG とミニッツについて協議。
6	12/19	金	SLCG の HQ/RHQ(S)の敷地内にある各施設内を視察後、SLCG の幹部らと技術協議
7	12/20	土	午前/SLCG RHQ(S)幹部らの案内で、ハンバントータで建設中 (一部稼働済) の港湾施設を視察。 午後/コロンボに移動
8	12/21	日	収集資料の整理
9	12/22	月	午前/SLCG Rear HQ/RHQ(W)を訪問し、質問事項の回答の進捗を協議。

			午後／ JICA 団員は大使館を訪問し、今回の調査を報告。コンサル団員は商業海運総局を訪問し、「ス」国の海運統計データ等の情報を聴取及び収集。
10	12/23	火	午前／気象局と海洋環境局を訪問し、関係情報の聴取及び収集。 午後／JICA 団員は国防・都市計画省にて国防副次官、SLCG 長官とミニッツに署名。コンサル団員はコロombo港湾局を訪問、海難事故等の情報を聴取及び収集
11	12/24	水	午前／JICA 団員は未明にコロombo発、帰国の途に就く。コンサル団員は、コロombo港の構内にある小型船艇修繕を専門とする SLN 西部方面司令部（Western Naval Command Headquarters）のランガーラ基地（SLNS Rangalla）を訪問、施設を視察するとともに関係者らから情報聴取。その後、コロombo市内北部 Welsara 地区にあるマハセン基地（SLNS Mahasen）を訪問、15 m クラス FRP 製のインショア用巡視艇（Inshore Patrol Craft : IPC）の建造施設、修理施設を視察。午後、漁業水産資源省を訪問し、関連情報を収集
12	12/25	木	午前／未明にコロombo発、「ス」国東部海岸のトリンコマリに移動。 午後／現地にある SLN 東部方面司令部（Eastern Naval Command Headquarters）の艦艇修繕施設や係留施設、補給施設を視察
13	12/26	金	午前／早朝トリンコマリを經ち、途中、SLN 北部中央方面司令部（Northern Central Naval Command Headquarters）にあるヤンマー主機関整備施設を視察。 午後／カンカサントゥライのSLCG 北部地方本部（Regional Headquarters : RHQ(N)）を訪問、保有船艇、管理施設、係留施設、補給設備、修繕設備を視察。その後、ジャフナへ移動
14	12/27	土	ジャフナからトリンコマリに移動
15	12/28	日	コロomboに移動。メモランダム・オブ・テクニカルディスカッション草案と現地調査結果概要草案を作成、入手資料整理、面談者リスト作成等
16	12/29	月	SLCG Rear HQ にて質問回答事項及びメモランダム案に関する協議
17	12/30	火	午前／SLCG Rear HQ にて最終協議。 午後／メモランダムに SLCG 長官と業務主任とで署名
18	12/31	水	コンサル団員 2 名（小川、友井）が未明コロombo発、成田着。その他コンサル団員 3 名（西口、後藤、渡部）が深夜コロombo発、1/1 成田着

(2) 準備調査報告書（案）説明調査

日	月日	曜日	行動および調査内容
---	----	----	-----------

順			
1	2015/ 12/13	日	成田発、コロンボ着
2	12/14	月	午前/JICA 事務所で打合せ後、国防省 (MOD) で国防次官補、SLCG 新長官と面談し、巡視艇の準備調査報告書(案)を説明。 午後/SLCG 後方本部を訪問し、2015 年 7 月に任命された SLCG 新長官ら幹部職員らと面談、日程等について協議
3	12/15	火	準備調査報告書(案)に基づき、SLCG 幹部職員、各担当職員らと新計画巡視艇について協議。JICA 団員からミニッツの内容について説明
4	12/16	水	準備調査報告書(案)に基づき、SLCG 幹部職員、各担当職員らと新計画巡視艇について引き続き協議。また、JICA 団員と SLCG がミニッツの内容について協議
5	12/17	木	準備調査報告書(案)に基づき、SLCG 幹部職員、各担当職員らと新計画巡視艇について、概ね合意した。また、JICA 団員と SLCG がミニッツの内容について最終協議を行い合意に至った
6	12/18	金	午前/SLCG の実務担当職員らと一部の装備品について技術的な確認のための協議を行う。一方、JICA 団員と小川は国防省に赴き、石間調査団長と国防次官補の間で、今回の調査報告書(案)に関する打合せミニッツに署名 午後/JICA 団員と小川は、大使館を訪問し、今回の調査結果を報告
7	12/19	土	JICA 団員は、コロンボからジャフナへ移動。コンサル団員は収集資料の整理。
8	12/20	日	JICA 団員は、ジャフナにおいて既存巡視艇の運用状況を視察・試乗し、ジャフナからアヌラダプラへ移動。コンサル団員はコロンボ発、12/21 朝、成田着
9	12/21	月	JICA 団員はアヌラダプラからコロンボへ移動。コンサル団員は成田着。
10	12/22	火	JICA 団員は未明にコロンボ発、成田着

資料3：関係者（面会者）リスト

資料 3 関係者（面会者）リスト

(1) 現地調査（2014年12月14日～31日）

1) 国防・都市開発省（Ministry of Defence & Urban Development）

S. Hettiarachchi Additional Secretary

2) 沿岸警備庁（Sri Lanka Coast Guard）関係

Rear Admiral SS Ranasinghe	Director General, SLCG
Commodore OSAAP Samarasinghe	Deputy Director General
Captain LHA Ranasuriya	Director of Western Region
Captain SB Kaluarachchi	Director of Logistics
Commander P.A.S. Rathugamage	Rear Link Coordinator
Commander DMDC Bandara	Deputy Director of Training & Operation)
Commander KNJC Fonseka	Director of Engineering
Commander UKDT Udugama	Deputy Director of personnel and Administration
Commander UPK Vithanage	Deputy Director of Western Region
Lt Commander IGPC Ariyaratna Jayaka	Regional Commander / Coordinating Officer (N)
LCDR RM Manawadu	Deputy Regional Commander / Squadron Commander (N)
LCDR HDRM Hathurusinghe	Staff Officer Training (Incoming)
LCDR Tharaka Koswattage	Staff Officer Training (Outgoing)
LCDR JDG Ruwansiri	Officer in Command, CGS Dekowita
LT WASSA Wijedasa	Second in Command/CGS Dekowita
LCDR APK Subasinghe	Director of Southern Region
LCDR DMIPK Senadheera	Sec. to DG
LCDR BAIT Nogahadeniga	Senior Information Officer
LCDR KAN Perera	Senior Engineer Officer
LCDR SWMP Wimalorathna	Senior Engineer Officer

3) 海軍（SLN）関係

Rear Admiral DEC Jayakody Commander of Southern Naval Area

Rear Admiral Rohana Perera

Commodore Jayantha Trilaksiri

Commodore AAP Liyanage

Commodore WMND Bandars

Commodore PSC Fernando

Captain Chandana Bopagoda

Captain (L) TWW Leelarathna

Captain (E) DSPK De Silva

Captain Chinthaka Rajapakse

LCDR (SH) APK De Silva

Mr. K.A.D. Siriwardana

Commander, Eastern Naval Area
COMEAST

Commodore Superintendent

Dockyard (West Naval Area)

Deputy Area Commander (East)

Commodore Superintendent Logistics
Dept.

Commodore Superintendent Dockyard
(North Central Command)

Captain

Commodore Electrical Dept.(E)(E)

Deputy Superintendent Dockyard (E)

Manager, Hull Engineering Dept. (E)

Manager of Boat Manufacturing

4) 官庁/公的企業関係

SL Ports Authority

Mr. Datta Gunasekara

Captain Ravi A. Jayawickreme

Captain Athula Hewavitharana

Director Technical

Harbour Master

Senior Deputy Harbour Master

Marine Environment Protection Authority (MEPA)

Mr. A.J.M. Gunasekara

Mr. H.T.N.I. Piyadasa

Manager Operations

Assistant Manager (province)

Department of Fishery & Aquatic Resource

Mr. Nimal Hettiarachchi

Director General

Department of Meteorology

Ms. Anusha Rashanthie Warnasoonya

Mr. Masahito Ishihara

Mr. N. Rohana

Deputy Director (Forecasting &
Decision Support)

JICA Expert

N.M.C

Colombo Dockyard, Limited (造船所)

Dr. Toru Takehara, PhD

Chairman

Mr. Kentaro Usu

Technical Advisor/Alt. Director

5) 在スリランカ日本国大使館

粗 信仁

特命全権大使

高橋 修平

二等書記官

重川 元嗣

総領事館 警備対策官

6) JICA スリランカ事務所

阿部 裕之

スリランカ事務所次長

島野 敏行

Representative

Mr. Cabral Indika

Senior Project Specialist

3.2 準備調査報告書（案）説明調査（2015年12月13日～20日）

1) 国防・都市開発省（Ministry of Defence & Urban Development）

S. Hettiarachchi

Additional Secretary

2) 沿岸警備庁（Sri Lanka Coast Guard）関係

Rear Admiral Samantha Wimalathunga

Director General, SLCG

Commodore Ajith Samarasinghe

Deputy Director General

Commodore Chandana Gajamange

Director Engineering, SLCG

Captain Sunanda Kaluarachchi

Director Logistics, SLCG

Commander Buddhika Jayaweera

Deputy Director Training, SLCG

Commander Dinesh Bandara

Deputy Director Operation, SLCG

Lt Commander Chamila Rajapaksha

Staff Officer Operation, SLCG

Lt Commander Manjula Wimalarathne

Senior Engineering Officer, SLCG

Lt Commander Snajaya Athukorala

Senior Electrical Engineer, SLCG

Lieutenant Jeewan Nanayakkara

Staff Officer Information Technology,
SLCG

Lieutenant Asanka Kumanayake

Secretary to the Director General,
SLCG

3) 在スリランカ日本国大使館

菅沼 健一

特命全権大使

岡井 朝子

公使

重川 元嗣

総領事館 警備対策官

4) JICA スリランカ事務所

阿部 裕之

スリランカ事務所次長

島野 敏行

Representative

Mr. Cabral Indika

Senior Project Specialist

資料 4 : 討議議事録 (M/D)

**MINUTES OF DISCUSSIONS
ON THE PREPARATORY SURVEY
FOR THE PROJECT
FOR THE MARITIME SAFETY CAPABILITY IMPROVEMENT
IN THE DEMOCRATIC SOCIALIST REPUBLIC OF SRI LANKA**

In response to a request from the Government of Democratic Socialist Republic of Sri Lanka (hereinafter referred to as “Sri Lanka”), the Government of Japan decided to conduct a Preparatory Survey on “The Project for the maritime Safety Capability Improvement” (hereinafter referred to as “the Project”). In accordance with this decision, Japan International Cooperation Agency (hereinafter referred to as “JICA”) decided to commence the survey.

JICA sent the Preparatory Survey Team for the Field Survey (hereinafter referred to as “the Team”), which is headed by Mr. Toshitaka ISHIMA, Visiting Senior Advisor for Maritime Safety and Security, JICA, and is scheduled to stay in the country from December 14th to 31st, 2014.

The Team held discussions with the officials concerned of the Sri Lankan side, and conducted a field survey at the Project sites.

In the course of discussions and field survey, the both sides confirmed the main items described on the attached sheets. The Team will proceed to further works and prepare a Draft Report of the Preparatory Survey.

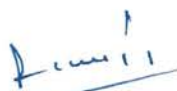
Colombo, December 23rd, 2014



Mr. Toshitaka Ishima
Leader
Preparatory Survey Team
Japan International Cooperation Agency



Rear Admiral SS Ranasinghe
Director General
Sri Lanka Coast Guard
Democratic Socialist Republic of Sri Lanka



Mr. R.M.P. Ratnayake
Director General
Department of External Resources
Ministry of Finance and Planning
Democratic Socialist Republic of Sri Lanka



Mr. S. Hettiarachchi
Additional Secretary
Ministry of Defense and Urban Development
Democratic Socialist Republic of Sri Lanka

ATTACHMENT

1. Objective of the Project

The objective of the Project is to ensure the security, safety and serenity of the maritime environment while enforcing the law at sea.

2. Project Site

The Project site is located at Sri Lanka as shown in Annex-1.

3. Responsible and Implementing Authority

3-1. The responsible ministry is the Ministry of Defense and Urban Development (MOD&UD).

3-2. The implementing agency is Sri Lanka Coast Guard (SLCG).

3-3. The organization chart of SLCG is shown in Annex-2.

4. Items Requested by the Government of Sri Lanka

4-1. After discussions with the Team, the following items were requested by the Sri Lankan side.

- Two (2) patrol vessels of 27m Type (Speed: 24knots)

4-2. The Sri Lankan side requested to reconsider the LOA and tonnage of the vessel(s) taking into considerations the endurance and stability, and the Team will examine the possibility through further technical discussion by the end of this field survey.

4-3. JICA will assess the necessity, relevance and degree of urgency of the above requested items through the Preparatory Survey and will report to the Government of Japan.

5. Japan's Grant Aid Scheme

5-1. The Sri Lankan side understood the Japan's Grant Aid scheme explained by the Team as described in Annex-3 and Annex-4.

5-2. The Sri Lankan side agreed to take the necessary measures, as described in Annex-5 for the smooth implementation of the Project, as a condition for the Japan's Grant Aid to be implemented.



6. Schedule of the Study

6-1. The Team will proceed with further field survey until December 31st, 2014.

6-2. JICA will prepare the draft report and dispatch a mission in order to explain their contents around July, 2015.

6-3. If the contents of the report are accepted in principle by the Government of Sri Lanka,



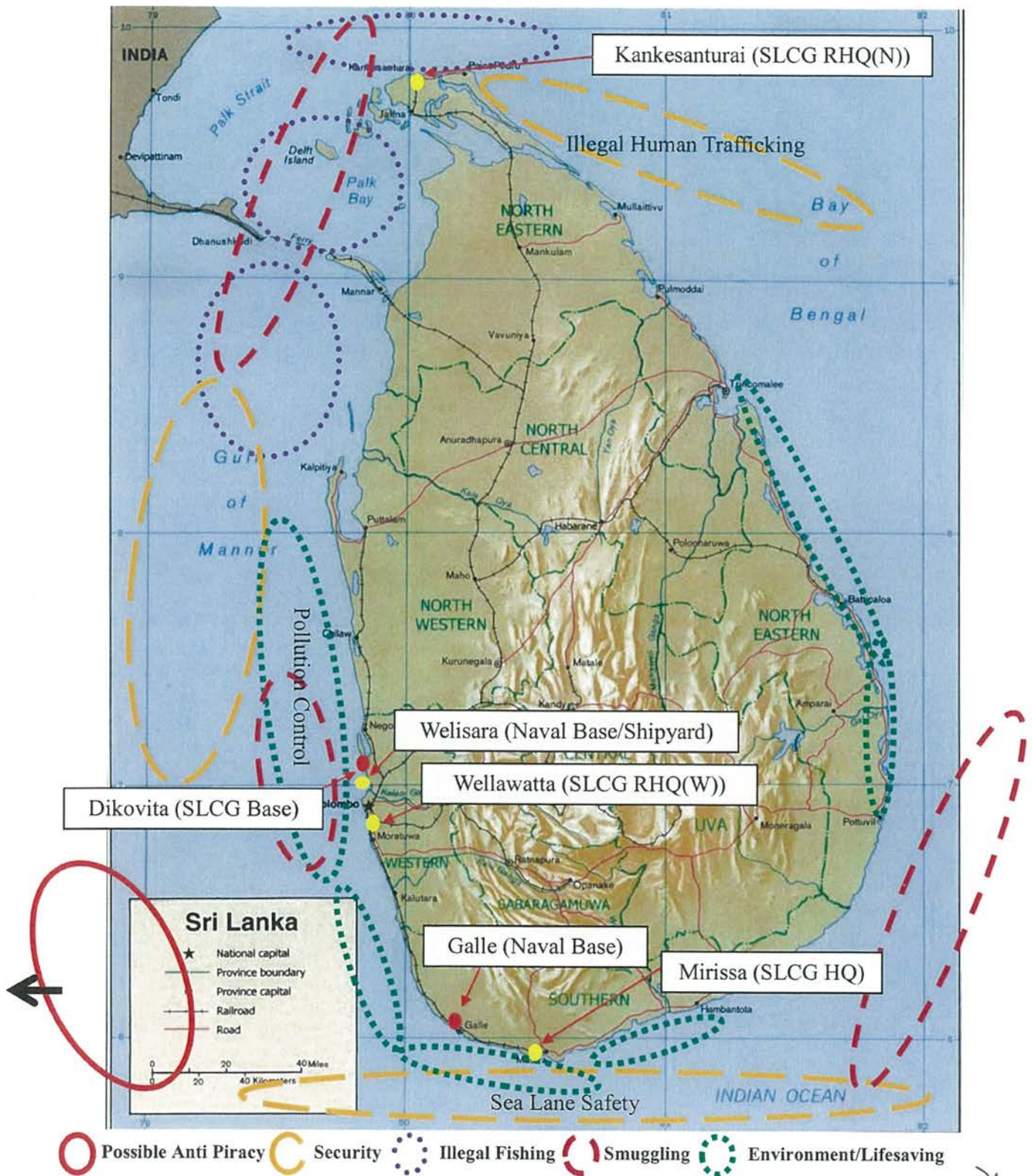
- JICA will complete the final report and send it to Sri Lanka around December, 2015.
- 6-4. The above mentioned schedule is subject to change due to the result and period of the necessary arrangement among the Government of Japan based on “Three Principles on Transfer of Defense Equipment and Technology”.
7. Other Relevant Issues
- 7-1. The Sri Lankan side explained to the Team that the SLCG is an independent institution from the chain of command of the military forces.
- 7-2. The Sri Lankan side understood the contents of the “JAPAN’s ODA Charter” and “Three Principles on Transfer of Defense Equipment and Technology” which were explained by the Team.
- 7-3. The Sri Lankan side assured that the vessel(s) and equipment to be provided by the Project would never be utilized for military purpose under any circumstances.
- 7-4. The Sri Lankan side assured that the vessel(s) and equipment to be provided by the Project would never be transferred to a third party without prior consultation with the Japanese side.
- 7-5. The Sri Lankan side explained to the Team that the main usage of the patrol vessel(s) would be the reduction of illegal activities including anti-piracy, search and rescue, and prevention of maritime environment pollution. The Team will examine the specification of the vessel(s) taking into consideration those usages.
- 7-6. The Sri Lankan side explained to the team that the budget of fuel and maintenance for vessel(s) is allocated and paid by MOD&UD.
- 7-7. The Sri Lankan side assured that they would secure the necessary personnel for operation and maintenance of the vessels(s) to be provided by the Project.
- 7-8. The Sri Lankan side explained to the Team that the new vessel(s) to be provided by the Project will be deployed in Dikovita and Galle harbour. Deployment base will be changeable due to the sea condition and/or necessity of missions.
- 7-9. The Sri Lankan side explained to the Team that SLCG has a plan of using existing quays for the vessel(s) to be provided by the Project and also explained to the Team that they would bear the cost if any rehabilitation and strengthening work is required for those facilities.
- 7-10. The Sri Lankan side agreed that customs duties, internal taxes and other fiscal levies which may be imposed in Sri Lanka are exempted under mutual agreement of Exchange of Note (E/N). If any temporary expenses stated before are caused by some reasons such as the delay of execution of tax exemption, the Sri Lankan side (MOD&UD/SLCG) shall bear the cost.
- 
- 

- Annex-1 Project Sites
- Annex-2 Organization Charts
- Annex-3 Japan's Grant Aid
- Annex-4 Flow Chart of Japan's Grant Aid Procedures
- Annex-5 Major Undertakings to be taken by Each Government

↗ 21

AT. 21

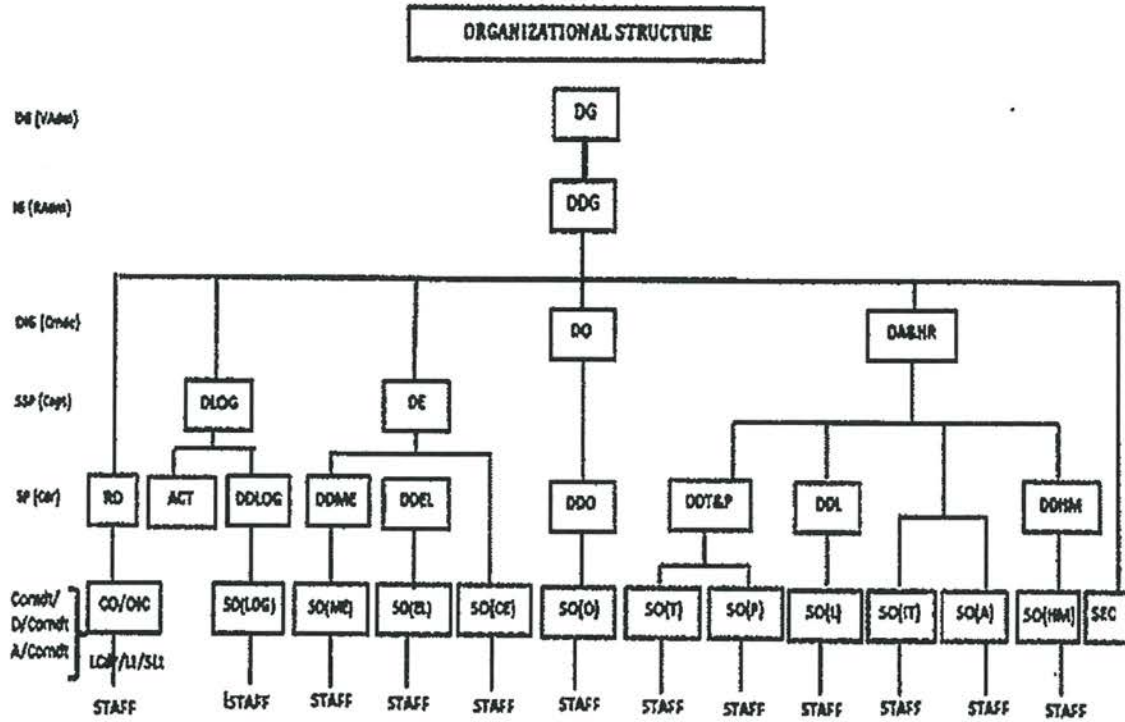
Project Sites



Handwritten signature/initials in blue ink.

Handwritten initials 'SL' in blue ink.

Organization Charts



DG - Director General	DDG - Deputy Director General	DLOG - Director Logistics
DE - Director Engineering	DO - Director Operations	DA&HR - Director Administration & Human
DDLOG - Deputy Director Logistics	DDME - Deputy Director Marine Engineering	DDEL - Deputy Director Electrical Engineering
DDO - Deputy Director Operations	DDP&T - Deputy Director Training & Personnel	DDL - Deputy Director Legal Service
DDHM - De. Director Health Management	RD - Regional Director	CO - Commanding Officer
ACT - Accountant	SO - Staff Officer	OIC - Officer In Command

JAPAN'S GRANT AID

The Government of Japan (hereinafter referred to as "the GOJ") is implementing the organizational reforms to improve the quality of ODA operations, and as a part of this realignment, a new JICA law was entered into effect on October 1, 2008. Based on this law and the decision of the GOJ, JICA has become the executing agency of the Grant Aid for General Projects, for Fisheries and for Cultural Cooperation, etc.

The Grant Aid is non-reimbursable fund provided to a recipient country to procure the facilities, equipment and 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. The Grant Aid is not supplied through the donation of materials as such.

1. Grant Aid Procedures

The Japanese Grant Aid is supplied through following procedures :

- Preparatory Survey
 - The Survey conducted by JICA
- Appraisal & Approval
 - Appraisal by the GOJ and JICA, and Approval by the Japanese Cabinet
- Authority for Determining Implementation
 - The Notes exchanged between the GOJ and a recipient country
- Grant Agreement (hereinafter referred to as "the G/A")
 - Agreement concluded between JICA and a recipient country
- Implementation
 - Implementation of the Project on the basis of the G/A

2. Preparatory Survey

(1) Contents of the Survey

The aim of the preparatory Survey is to provide a basic document necessary for the appraisal of 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 country necessary for the implementation of the Project.
- Evaluation of the appropriateness of the Project to be implemented under the Grant Aid Scheme 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.

The contents of the original request by the recipient country are not necessarily approved in their initial form as the contents of the Grant Aid project. The Outline Design of the Project is confirmed based on the guidelines of the Japan's Grant Aid scheme.

JICA requests the Government of the recipient country to take whatever 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 organization of the recipient country which actually implements the Project. Therefore, the implementation of the Project is confirmed by all relevant organizations of the recipient country based on the Minutes of Discussions.

(2) Selection of Consultants

For smooth implementation of the Survey, JICA employs (a) registered 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 appropriateness of the Project.

3. Japan's Grant Aid Scheme

(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 country to make a pledge for assistance, which is followed by the conclusion of the G/A between JICA and the Government of the recipient country to define the necessary articles to implement the Project, such as payment conditions, responsibilities of the Government of the recipient country, and procurement conditions.

(2) 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 country to continue to work on the Project's implementation after the E/N and G/A.

(3) Eligible source country

Under the Japanese Grant Aid, in principle, Japanese products and services including transport or those of the recipient country are to be purchased. When JICA and the Government of the recipient country or its designated authority deem it necessary, the Grant Aid may be used for the purchase of the products or services of a third country. However, the prime contractors, namely, constructing and procurement firms, and the prime consulting firm are limited to "Japanese nationals".

(4) Necessity of "Verification"

The Government of the recipient country or its designated authority will conclude contracts denominated in Japanese yen with Japanese nationals. Those contracts shall be verified by JICA. This "Verification" is deemed necessary to fulfill accountability to Japanese taxpayers.

(5) Major undertakings to be taken by the Government of the Recipient Country

In the implementation of the Grant Aid Project, the recipient country is required to undertake such necessary measures as Annex.

(6) "Proper Use"

The Government of the recipient country is required to maintain and use properly and effectively the facilities constructed and the equipment purchased under the Grant Aid, to

assign staff necessary for this operation and maintenance and to bear all the expenses other than those covered by the Grant Aid.

(7) "Export and Re-export"

The products purchased under the Grant Aid should not be exported or re-exported from the recipient country.

(8) Banking Arrangements (B/A)

- a) The Government of the recipient country or its designated authority should open an account under the name of the Government of the recipient country in a bank in Japan (hereinafter referred to as "the Bank"). JICA will execute the Grant Aid by making payments in Japanese yen to cover the obligations incurred by the Government of the recipient country or its designated authority under the Verified Contracts.
- b) The payments will be made when payment requests are presented by the Bank to JICA under an Authorization to Pay (A/P) issued by the Government of the recipient country or its designated authority.

(9) Authorization to Pay (A/P)

The Government of the recipient country should bear an advising commission of an Authorization to Pay and payment commissions paid to the Bank.

(10) Social and Environmental Considerations

A recipient country must carefully consider social and environmental impacts by the Project and must comply with the environmental regulations of the recipient country and JICA socio-environmental guidelines.



FLOW CHART OF JAPAN'S GRANT AID PROCEDURES

Stage	Flow & Works	Recipient Government	Japanese Government	JICA	Consultant	Contract or	Others
Application	Request (T/R : Terms of Reference)	✓					
	Screening of Project → Evaluation of T/R → Project Identification Survey*		✓	✓			
Project Formulation & Preparation	Preparatory Survey	Preliminary Survey* → Field Survey Home Office Work Reporting	✓	✓	✓		
		Outline Design Study → Selection & Contracting of Consultant by Proposal → Field Survey Home Office Work Reporting	✓	✓	✓	✓	
		Explanation of Draft Final Report → Final Report Final Report	✓	✓	✓	✓	
Appraisal & Approval	Appraisal of Project		✓	✓			
	Inter Ministerial Consultation		✓				
	Presentation of Draft Notes	✓	✓				
	Approval by the Cabinet		✓				
Implementation	E/N and G/A (E/N: Exchange of Notes, G/A: Grant Agreement)	✓	✓	✓			
	Banking Arrangement (A/P: Authorization to Pay)	✓					✓
	Consultant Contract → Verification → Issuance of A/P	✓		✓	✓		
	Detailed Design & Tender Documents → Approval by Recipient Government → Preparation for Tendering	✓		✓	✓		
	Tendering & Evaluation	✓		✓	✓	✓	
	Procurement / Construction Contract → Verification → A/P	✓		✓	✓	✓	
	Construction → Completion Certificate Recipient Government → A/P	✓		✓	✓	✓	
	Operation → Post Evaluation Study	✓		✓			
Evaluation & Follow up	Ex-post Evaluation → Follow up	✓	✓	✓			

Major Undertakings to be taken by Each Government

No.	Items	To be covered by Grant Aid	To be covered by Recipient Side
1	To design and construct vessel(s)	•	
2	To procure equipment to be covered under the Project	•	
3	Any items which are not covered under the Project, e.g. rehabilitation of existing wharf, etc.		•
4	Allocate the appropriate budget and/ or subsidies and conduct the undertakings in a timely manner necessary for proper operation and maintenance of vessel(s) to be provided (procurement of fuel, spare parts and overhaul of the vessel(s))		•
5	To ensure prompt unloading and customs clearance of the products at ports of disembarkation in recipient country and to assist internal transportation of the products		
	1) Marine (Air) transportation of the products from Japan to the recipient country	•	
	2) Tax exemption and custom clearance of the products (vessels with equipment on board) at the port of disembarkation (homeport)		•
6	To ensure that customs duties, internal taxes and other fiscal levies which may be imposed in the recipient country with respect to the purchase of the products and the services be exempted / be borne by the Authority without using the Grant		•
7	To accord Japanese nationals whose services may be required in connection with the supply of the products and the services such facilities as may be necessary for their entry into the recipient country and stay therein for the performance of their work		•
8	To ensure that the vessel(s) be maintained and used properly and effectively for the implementation of the Project		•
9	To undertake procedures to register the vessels with the Sri Lankan flag issuing relevant certificates		•
10	To bear all the expenses, other than those covered by the Grant, necessary for implementation of the Project		•
11	To bear the following commissions paid to the Japanese bank for banking services based upon the B/A		
	1) Advising commission of A/P		•
	2) Payment commission		•

(B/A : Banking Arrangement, A/P : Authorization to pay)





**MEMORANDUM OF TECHNICAL DISCUSSIONS
ON PREPARATORY SURVEY
FOR THE PROJECT FOR MARITIME SAFETY CAPABILITY IMPROVEMENT
IN THE DEMOCRATIC SOCIALIST REPUBLIC OF SRI LANKA**

From December 15th to 30th, 2014, the Preparatory Survey Team for the Field Survey (hereinafter referred to as “the Team”) held a series of technical discussion with the officials of Sri Lanka Coast Guard (hereinafter referred to as “SLCG”) at Sri Lanka and had field surveys at Dikowita, Colombo, Mirissa, Galle, Hambantota, Trincomalee and Kankasanthurai.

As a result of the discussions and the field survey, the both sides confirmed the items described in the attached sheets and annexes.

Colombo, December 30th, 2014



Masaru Ogawa
Chief of the Consultant
Shipbuilding Research Centre of Japan



Rear Admiral SS Ranasinghe
Director General
Sri Lanka Coast Guard
The Democratic Socialist Republic of Sri
Lanka

保安情報のため非公開

ml

21

- 14) Two (2) lavatories (officer class-1, crew class-1) be provided with shower head.
 - 15) Shower room not to be provided.
 - 16) The galley equipment to be as follows;
 - Refrigerator with freeze store for meat and fish
 - Electric cooking range with two (2) cooking plates on top with securing device
 - Micro wave cooker
 - Electric rice cooker (5 litres)
 - 17) One (1) portable submersible pump (27m³/h) to be provided.
 - 18) Main switch board to be of 400 V/ 230V, 3 Phase, 50Hz.
 - 19) Shore connection to be of 400 V, 3 Phase, 50Hz.
 - 20) The batteries to be provided as per requirement for main engines and generator engines starting, communication equipment and navigation equipment.
 - 21) One (1) Search light and two (2) Flood lights to be provided.
 - 22) Each one (1) common telephone, inter phone system and public addressor system to be provided.
 - 23) One (1) Satellite compass to be provided instead of GPS compass.
 - 24) Electric magnetic log not to be provided.
 - 25) One (1) Anemometer and one (1) Barometer to be provided.
 - 26) One (1) AIS receiver to be provided.
 - 27) One (1) UHF and HF radio telephone to be provided instead of MF/HF radio telephone.
 - 28) Bilge alarm system to be provided in engine room.
 - 29) One (1) stretcher with air lifting facility to be provided
- (2) In accordance with the information and the various data obtained in the course of discussions with SLCG, the field survey and the investigation on the propositions mentioned above, the Team conducted the preliminary review on the request of SLCG for the new Patrol Vessel and made the preliminary Principal Particulars of the new Patrol Vessel. (Annex-2)
- (3) The preliminary general arrangement of the new Patrol Vessel is shown in Annex-3 General Arrangement (Preliminary).

On the basis of the technical items mentioned above, the Team will further proceed the Preparatory Survey of the new Patrol Vessels through the analysis to be made in Japan, and outline design will be finalized with due consideration of the objectives and

ML

AK

necessity of the Project within the frame work of the Japan's ODA with discussion between higher authorities of the Government of Japan.

Should the modification of outline specifications be necessary, the order of the priority among the major items of the specifications would be confirmed as follows;

- 1) Enlargement of the new Patrol Vessel
- 2) Speed
- 3) Type of propulsion & steering system
- 4) Endurance
- 5) Material of hull

2. Operation and Maintenance of Patrol Vessel

- (1) The Team confirmed that SLCG will take necessary measures to maintain the new Patrol Vessel in good conditions.
- (2) SLCG explained that the new Patrol Vessel will be inspected and maintained periodically at the dry-docking facilities in such naval ship-repair yards such as in Trincomalee, Galle and Colombo.
- (3) SLCG required the training of mechanic for main engine and propulsion before delivery, the Team explained that the familiarization training will be held before completion of the new Patrol Vessel.
- (4) The Team confirmed that SLCG will secure enough budget necessary for the proper operation and maintenance.

3. Familiarization training to the new Patrol Vessels

- (1) SLCG requested the Team to accept total eight (8) persons for familiarization training for the new Patrol Vessels to be held in Japanese shipyard and/ or the manufacturers of major machinery and equipment, the qualification and quantity of the trainees are as follows;

OIC (Captain), Coxwain (Deck part)	Each 1 per vessel	Total 4 persons
Marine Engineer, Mechanic	For both vessel	Total 2 persons
Electric engineer, Electrician	For both vessel	Total 2 persons

- (2) The Team will investigate the numbers of persons and the period of training etc., in the course of the Preparatory Survey.



4. Mooring site of the new Patrol Vessels

- (1) The Team confirmed that SLCG will provide the exiting mooring facilities for the new Patrol Vessels in Dikowita and Galle, and no further rehabilitation work will be required for those facilities there.

5. Expected work schedule (for reference only)

	2015	2016.	2017
Preparatory Survey			
Construction of Patrol Vessels			
Delivery of Patrol Vessels			

6. Others

- (1) Two (2) years standard spare parts recommended by manufacturers are to be supplied by the shipbuilder.
- (2) The Team explained that the new Patrol Vessels will be transported by the cargo ship.

Annex-1 Example of Outline Specifications of 27m Type Patrol Vessel

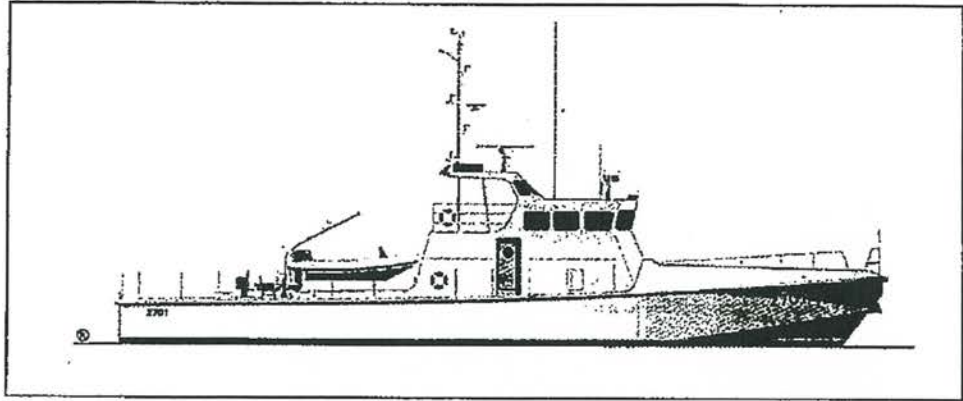
Annex-2 Principal Particulars of the new Patrol Vessel (Preliminary)

Annex-3 General Arrangement (Preliminary)

M.A.



Annex-1 Example of Outline Specifications of 27m Type Patrol Vessel



保安情報のため非公開

ml

↑

保安情報のため非公開

MD

↑

保安情報のため非公開

ml.

人

保安情報のため非公開

ml

A

Minutes of Discussions
on the Preparatory Survey for the Project for
the Maritime Safety Capability Improvement
(Explanation on Draft Preparatory Survey Report)

On the basis of the discussions and field survey in the Democratic Socialist Republic of Sri Lanka (hereinafter referred to as "Sri Lanka") in December, 2014, and the subsequent technical examination of the results in Japan, the Japan International Cooperation Agency (hereinafter referred to as "JICA") prepared a draft Preparatory Survey Report (hereinafter referred to as "the Draft Report") on the Project for the Maritime Safety Capability Improvement (hereinafter referred to as "the Project").

In order to explain the Draft Report and to consult with the concerned officials of the Government of Sri Lanka on its contents, JICA sent to Sri Lanka the Preparatory Survey Team for the explanation of the Draft Report (hereinafter referred to as "the Team"), headed by Mr. Toshitaka ISHIMA, Visiting Senior Advisor for Maritime Safety and Security, and is scheduled to stay in the country from December 14th to 22nd, 2015.

As a result of the discussions, both sides confirmed the main items described in the attached sheets.

Colombo, December 21st, 2015



Mr. Toshitaka Ishima
Leader
Preparatory Survey Team
Japan International Cooperation Agency



Rear Admiral G.D.A.S Wimalathunge
Director General
Sri Lanka Coast Guard
Democratic Socialist Republic of Sri Lanka



Mr. R.M.P. Rathnayake
Director General
Department of External Resources
Ministry of National Policies and Economic
Affairs
Democratic Socialist Republic of Sri Lanka



Mr. S. Hettiarachchi
Additional Secretary
Ministry of Defense
Democratic Socialist Republic of Sri Lanka

ATTACHEMENT

1. Project site
Both sides confirmed that the sites of the Project (patrol area) are as shown in Annex-1.
2. Line Agency and Executing Agency
Both sides confirmed the line agency and executing agency as follows:
 - 2-1. The line agency is Ministry of Defence, which would be the agency to supervise the executing agency.
 - 2-2. The executing agency is Sri Lanka Coast Guard (hereinafter referred to as "SLCG").
The executing agency shall coordinate with all the relevant agencies to ensure smooth implementation of the Project and ensure that the Undertakings are taken by relevant agencies properly and on time. The organization charts are shown in Annex-2.
3. Contents of the Draft Report
After the explanation of the contents of the Draft Report by the Team, the Sri Lankan side agreed in principle to its contents.
4. Cost Estimation
Both sides confirmed that the Project cost estimation described in Annex-3 is provisional and would be examined further by the Government of Japan for its final approval.
5. Confidentiality of the Cost Estimation and Specifications
Both sides confirmed that the Project cost estimation in the Draft Report should never be duplicated or disclosed to any third parties until all the contracts of the Project are concluded.
6. Japanese Grant Scheme
The Sri Lankan side reconfirmed the Japanese Grant Scheme and its procedures as described in Annex 4, 5 and 6, and necessary measures to be taken by the Sri Lankan side.

7. Project Implementation Schedule

The Team explained to the Sri Lankan side that the expected implementation schedule is as attached in Annex-7.

8. Expected outcomes and Indicators

Both sides agreed that key indicators for expected outcomes are as follows. The Sri Lankan side has responsibility to monitor the progress of the indicators and achieve the target in year 2020.

[Quantitative Effect]

Indices	Basis ^{/1} (at 2014)	Target ^{/2} (at 2020, three years after completion of the Project)
Patrol area (round trip from mooring base)	300 sea miles (24 sea miles offshore)	750 sea miles (50 sea miles offshore)
Ratio of the patrol operation days per year	30%	more than 80% (due to the improvement of stability)
Oil removal capability	0	15m ³ /h/ship

/1: Based on the capability of existing patrol vessel (LOA 15m)

/2: Based on the capability of new patrol vessel to be provided by the Project (LOA 30m)

[Qualitative Effect]

- 1) To contribute to quick and appropriate activities for search and rescue, and for investigation of maritime crime such as smuggling, fish poaching, and illegal migration, etc.
- 2) To contribute to prevention and removal of oil spill from vessels, and to conservation of marine environment and natural resources.

9. Undertakings Taken by Both Sides

Both sides confirmed undertakings described in Annex-8. The Sri Lankan side assured to take the necessary measures and coordination including allocation of the necessary budget which are preconditions of implementation of the Project. It is further agreed that the costs are indicative, i.e. at Outline Design level. More accurate costs will be calculated at the Detailed Design stage. Contents of Annex-8 will be updated as the Detailed Design progresses, and will finally be the

Attachment to the Grant Agreement.

The Sri Lankan side shall take the following necessary undertakings:

- 1) To secure appropriate berthing/ mooring space for the new patrol vessels in Dikovita and Galle harbour.
- 2) To perform the customs clearance, tax and port charges exemption and registration of the new patrol vessels.
- 3) To carry out the domestic transportation of the new patrol vessels from the unloading port to the designated berthing /mooring area.
- 4) To perform the necessary formalities and bear the necessary expenses in case the new patrol vessels being inspected in Sri Lanka after delivery.

10. Monitoring during the Implementation

The Project will be monitored three times (once before commencement of construction, once during the construction and at the time of completion of the construction) during the project period by the executing agency using the Project Monitoring Report (PMR) described in Annex-9.

11. Ex-Post Evaluation

JICA will conduct ex-post evaluation three (3) years after the project completion with respect to five evaluation criteria (Relevance, Effectiveness, Efficiency, Impact, Sustainability) of the Project. Result of the evaluation will be publicized. The Sri Lankan side is required to provide necessary support for them.

12. Issues to be Considered for the Smooth Implementation of the Project

Both sides confirmed the issues to be considered and taken necessary measures for the smooth implementation of the Project described in Annex 7.

13. Schedule of the Study

JICA will complete the Final Report of the Preparatory Survey in accordance with the confirmed items and send it to the Sri Lankan side around April, 2016.

14. Environmental and Social Considerations

The project is likely to have minimal adverse impact on the environment under the 'JICA Guidelines for Environmental and Social Considerations (April 2010)'.

15. Other Relevant Issues

15-1. Operation and Maintenance of the Facilities(Equipment)

The team explained the importance of operation and maintenance of the vessels and equipment provided by the Project considering that proper asset management impacts greatly on life-span of the vessels and equipment and its maintenance cost. The Sri Lankan side shall secure enough staff and budgets necessary for appropriate operation and maintenance of the vessels and equipment. The annual operation and maintenance costs are estimated and shown in Annex 10.

15-2. Development Cooperation Charter

The Sri Lankan side understood the contents of the “Development Cooperation Charter” which were explained by the Team as shown in Annex 11.

15-3. No-utilization for military purpose

The Sri Lankan side assured that the vessels and equipment to be provided by the Project would never be utilized for military purpose under any circumstances.

15-4. No-transfer to a third party

The Sri Lankan side assured that the vessels and equipment to be provided by the Project would never be transferred to a third party without prior consultation with the Japanese side.

15-5. Report of the utilization status of the provided patrol vessels

The Sri Lankan side agreed to report the status of use of the provided patrol vessels promptly at any time when required by the Embassy of Japan in Sri Lanka and/or JICA Sri Lanka Office.

15-6. Advance Notice to the Japanese side on the alteration of the vessels

When the alteration is added to the vessels after handing over the vessels, the Sri Lankan side shall inform the Japanese side of the plans in advance.

15-7. Measures to be taken in accordance with E/N, G/A

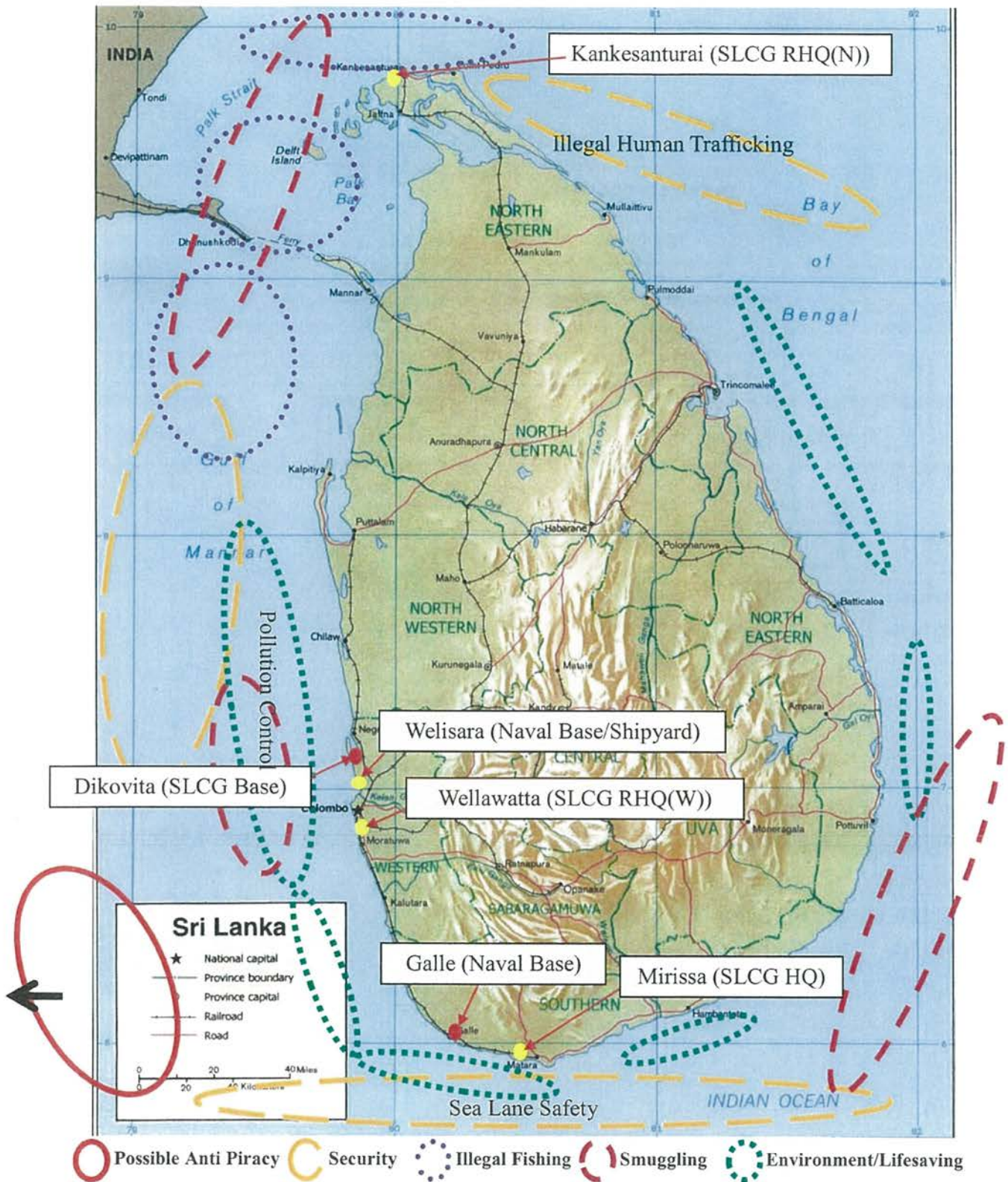
The Sri Lankan side assured to take necessary measures for the Project in accordance with Exchange of Notes (E/N) and Grant Agreement (G/A), and other related agreements.

15-8. Disclosure of Information

Both sides confirmed that the study results excluding the Project cost will be disclosed to the public after completion of the Preparatory Survey. All the study results including the project cost will be disclosed to the public after all the contracts for the Project are concluded.

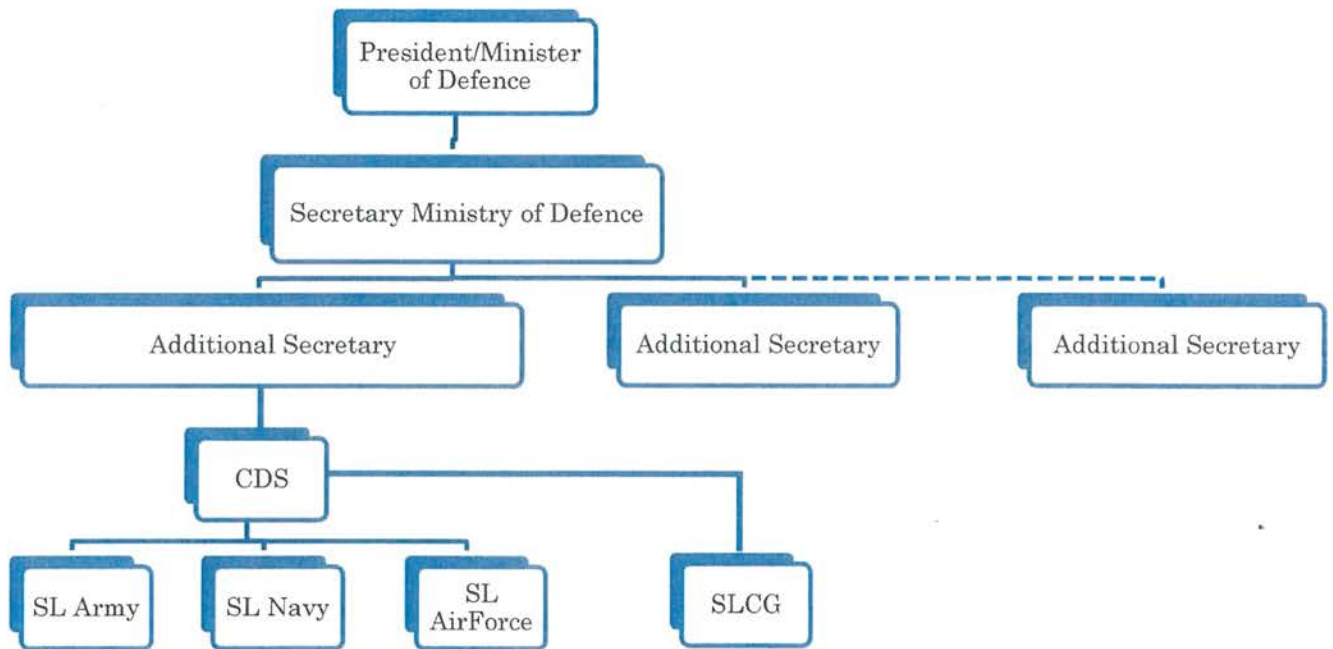
- Annex-1 Project site
- Annex-2 Organization Chart
- Annex-3 Project Cost Estimation
- Annex-4 Japan's Grant Aid
- Annex-5 Flow Chart of Japan's Grant Aid
- Annex-6 Financial Flow of Japan's Grant Aid
- Annex-7 Project Implementation Schedule
- Annex-8 Major Undertakings to be taken by Each Government
- Annex-9 Project Monitoring Report (PMR)
- Annex-10 Annual Operation and Maintenance cost
- Annex-11 Development Cooperation Charter (Provisional Translation)

Project Sites



Handwritten signatures and initials in blue ink.

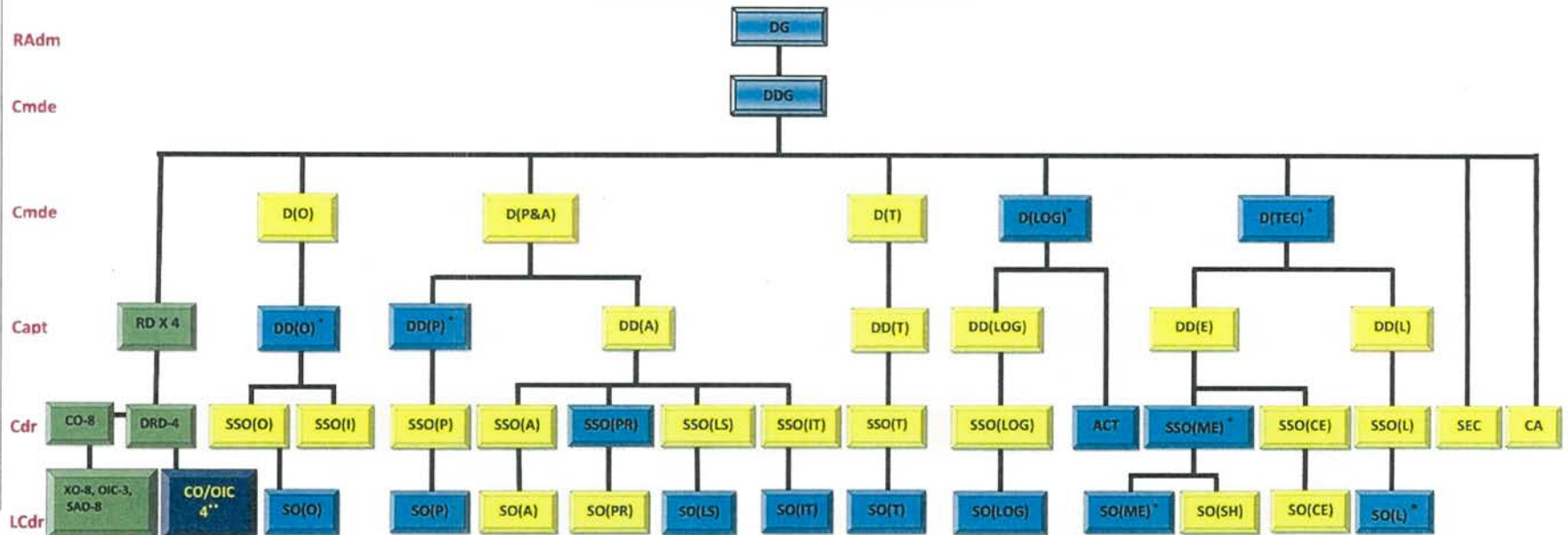
Organization Chart of Ministry of Defence
(abstract)



- CDS** **Chief of Defence Staff**
- SL Army** **Sri Lanka Army**
- SL Navy** **Sri Lanka Navy**
- SL Air Force** **Sri Lanka Air Force**
- SLCG** **Sri Lanka Coast Guard**

Organization Chart of SLCG

PROPOSED ORGANIZATIONAL STRUCTURE



- | | | | | | |
|---------|---|----------|---|----------|---|
| DG | - Director General | DDG | - Deputy Director General | D(O) | - Director Operations |
| D(A&P) | - Director Personnel and Administration | D(T) | - Director Training | D(LOG) | - Director Logistics |
| D(TEC) | - Director Technical | RD | - Regional Director X 4
(Western, Southern, Northern, Eastern) | DD(O) | - Deputy Director Operations |
| DD(P) | - Deputy Director Personnel | DD(A) | - Deputy Director Administrations | DD(T) | - Deputy Director Training |
| DD(LOG) | - Deputy Director Logistics | DD(E) | - Deputy Director Engineering | DD(L) | - Deputy Director Electrical |
| DRD | - Deputy Regional Director -4
(Western, Southern, Northern, Eastern) | CO | - Commanding Officer -8
(Waruna, CBO (N), Rohana, Kirinda, KKS, Tammana, Mullaittivu, Trincomalee) | SSO(O) | - Senior Staff Officer Operations |
| SSO(I) | - Senior Staff Officer Intelligence | SSO(P) | - Senior Staff Officer Personnel | SSO(A) | - Senior Staff Officer Administration |
| SSO(PR) | - Senior Staff Officer Public Relations | SSO(LS) | - Senior Staff Officer Legal Service | SSO(IT) | - Senior Staff Officer Information Technology |
| SSO(T) | - Senior Staff Officer Training | SSO(LOG) | - Senior Staff Officer Logistics | ACT | - Accountant |
| SSO(ME) | - Senior Staff Officer Marine Engineering | SSO(CE) | - Senior Staff Officer Civil Engineering | SSO(L) | - Senior Staff Officer Electrical and Electronics |
| SEC | - Secretary | CAO | - Civil Administration Officer | CO/OIC** | - Officer in Commands- 4 X PC (Number will vary depending availability of fleet unites) |
| XO | - Executive officer -8 | OIC | - Officer in Charge -3(Life Saving Training School Balapitiya, Dikovita, Oluvil) | SAO | - Senior Administration Officer-8 |
| SO(O) | - Staff Officer Operations | SO(P) | - Staff Officer Personnel | SO(A) | - Staff Officer Administrations |
| SO(PR) | - Staff Officer Public Relations | SO(LS) | - Staff Officer Legal Service | SO(IT) | - Staff Officer Information Technology |
| SO(T) | - Staff Officer Training | SO(LOG) | - Staff Officer Logistics | SO(ME) | - Staff Officer Marine Engineering |
| SO(SH) | - Staff Officer Shipwright | SO(CE) | - Staff Officer Civil Engineering | SO(L) | - Staff Officer Electrical and Electronics |

- Position filled
- Position to be filled At HQ
- Regional Org
- Fleet
- * Have not been filled by specified rank officer

AP4-3-9/44

S
A

Project Cost Estimation

(1) Cost Borne by the Government of Japan

This item is closed due to the confidentiality.

(2) Cost Borne by the Government of Sri Lanka

Description	Estimated Cost (million Sri Lankan Rupee)	Converted to JPY (million Yen)
Commissions to the Japanese bank for banking services based upon the Banking Arrangement (B/A) - Advising commission of Authorization to Pay (A/P) - Payment commission	4.23	3.62
Domestic transportation of the new patrol vessels from the unloading port to the designated birthing / mooring area.	1.61	1.37
TOTAL	5.84	4.99

Notes:

(1) The cost estimates in the above table are provisional and will be further examined by the Government of Japan for the approval of the Grant.

(2) | This item is closed due to the confidentiality. |

Handwritten marks and signatures at the bottom right of the page.

JAPAN'S GRANT AID

The Government of Japan (hereinafter referred to as “the GOJ”) is implementing the organizational reforms to improve the quality of ODA operations, and as a part of this realignment, a new JICA law was entered into effect on October 1, 2008. Based on this law and the decision of the GOJ, JICA has become the executing agency of the Grant Aid for General Projects, for Fisheries and for Cultural Cooperation, etc.

The Grant Aid is non-reimbursable fund provided to a recipient country to procure the facilities, equipment and 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. The Grant Aid is not supplied through the donation of materials as such.

1. Grant Aid Procedures

The Japanese Grant Aid is supplied through following procedures :

- Preparatory Survey
 - The Survey conducted by JICA
- Appraisal & Approval
 - Appraisal by the GOJ and JICA, and Approval by the Japanese Cabinet
- Authority for Determining Implementation
 - The Notes exchanged between the GOJ and a recipient country
- Grant Agreement (hereinafter referred to as “the G/A”)
 - Agreement concluded between JICA and a recipient country
- Implementation
 - Implementation of the Project on the basis of the G/A

2. Preparatory Survey

(1) Contents of the Survey

The aim of the preparatory Survey is to provide a basic document necessary for the appraisal of 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 country necessary for the implementation of the Project.
- Evaluation of the appropriateness of the Project to be implemented under the Grant Aid Scheme 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.

The contents of the original request by the recipient country are not necessarily approved in their initial form as the contents of the Grant Aid project. The Outline Design of the Project is confirmed based on the guidelines of the Japan's Grant Aid scheme.

JICA requests the Government of the recipient country to take whatever 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 organization of the recipient country which actually implements the Project. Therefore, the implementation of the Project is confirmed by all relevant organizations of the recipient country based on the Minutes of Discussions.

(2) Selection of Consultants

For smooth implementation of the Survey, JICA employs (a) registered 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 appropriateness of the Project.

3. Japan's Grant Aid Scheme

(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 country to make a pledge for assistance, which is followed by the conclusion of the G/A between JICA and the Government of the recipient country to define the necessary articles to implement the Project, such as payment conditions, responsibilities of the Government of the recipient country, and procurement conditions.

(2) 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 country to continue to work on the Project's implementation after the E/N and G/A.

(3) Eligible source country

Under the Japanese Grant Aid, in principle, Japanese products and services including transport or those of the recipient country are to be purchased. When JICA and the Government of the recipient country or its designated authority deem it necessary, the Grant Aid may be used for the purchase of the products or services of a third country. However, the prime contractors, namely, constructing and procurement firms, and the prime consulting firm are limited to "Japanese nationals".



(4) Necessity of "Verification"

The Government of the recipient country or its designated authority will conclude contracts denominated in Japanese yen with Japanese nationals. Those contracts shall be verified by JICA. This "Verification" is deemed necessary to fulfill accountability to Japanese taxpayers.

(5) Major undertakings to be taken by the Government of the Recipient Country

In the implementation of the Grant Aid Project, the recipient country is required to undertake such necessary measures as Annex.

(6) "Proper Use"

The Government of the recipient country is required to maintain and use properly and effectively the facilities constructed and the equipment purchased under the Grant Aid, to assign staff necessary for this operation and maintenance and to bear all the expenses other than those covered by the Grant Aid.

(7) "Export and Re-export"

The products purchased under the Grant Aid should not be exported or re-exported from the recipient country.

(8) Banking Arrangements (B/A)

- a) The Government of the recipient country or its designated authority should open an account under the name of the Government of the recipient country in a bank in Japan (hereinafter referred to as "the Bank"). JICA will execute the Grant Aid by making payments in Japanese yen to cover the obligations incurred by the Government of the recipient country or its designated authority under the Verified Contracts.
- b) The payments will be made when payment requests are presented by the Bank to JICA under an Authorization to Pay (A/P) issued by the Government of the recipient country or its designated authority.

(9) Authorization to Pay (A/P)

The Government of the recipient country should bear an advising commission of an Authorization to Pay and payment commissions paid to the Bank.

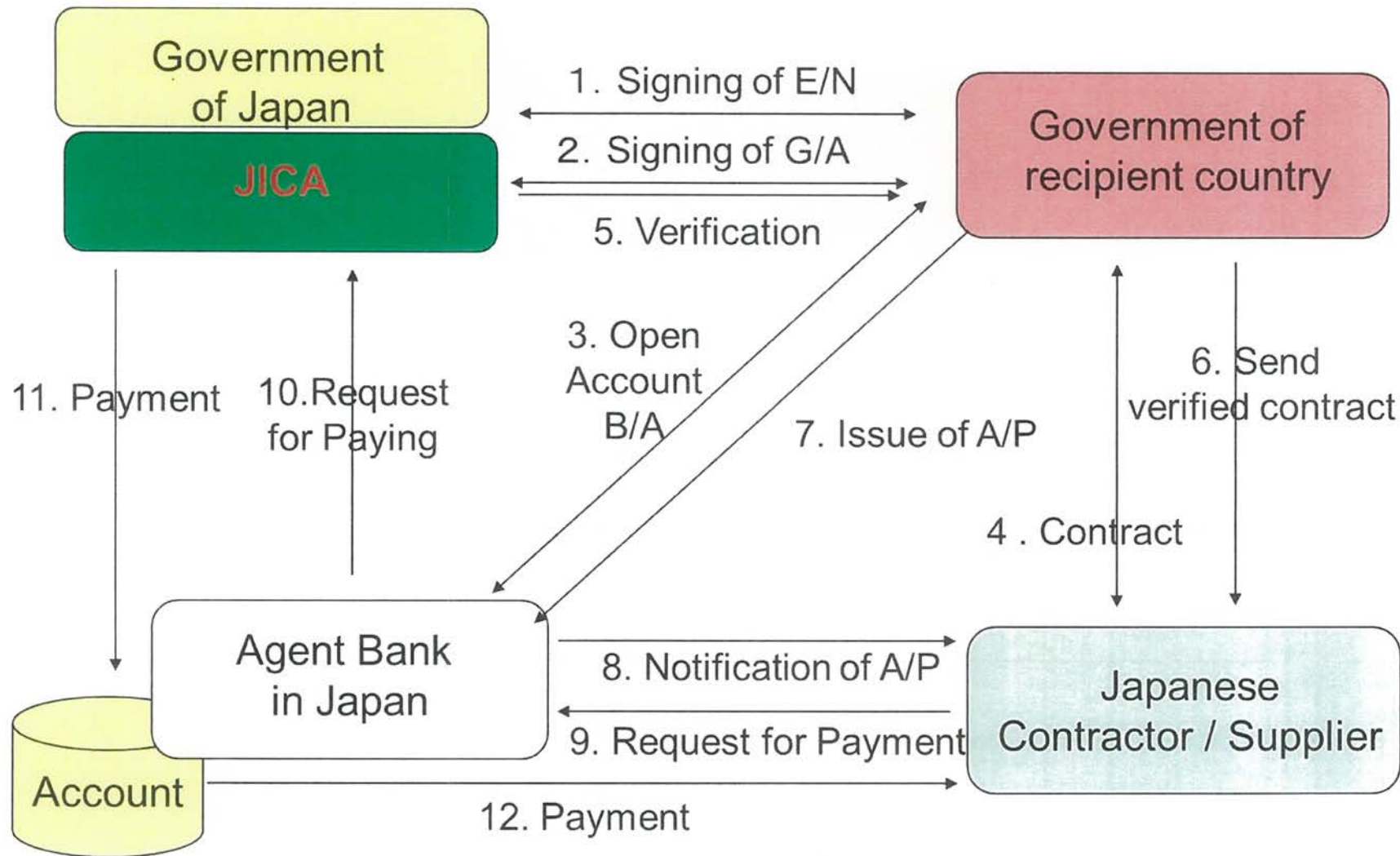
(10) Social and Environmental Considerations

A recipient country must carefully consider social and environmental impacts by the Project and must comply with the environmental regulations of the recipient country and JICA socio-environmental guidelines.

FLOW CHART OF JAPAN'S GRANT AID PROCEDURES

Stage	Flow & Works	Recipient Government	Japanese Government	JICA	Consultant	Contractor	Others
Application	Request (TR: Terms of Reference)	✓					
	Screening of Project → Evaluation of TR → Project Identification Survey*		✓	✓			
Project Formulation & Preparation	Preparatory Survey	Preliminary Survey* → Field Survey Home Office Work Reporting	✓	✓	✓		
		Outline Design Study → Selection & Contracting of Consultant by Proposal → Field Survey Home Office Work Reporting	✓	✓	✓	✓	
		Explanation of Draft Final Report → Final Report	✓	✓	✓	✓	
Appraisal & Approval	Appraisal of Project		✓	✓			
	Inter Ministerial Consultation		✓				
	Presentation of Draft Notes	✓	✓				
	Approval by the Cabinet		✓				
Implementation	E/N and G/A (EN: Exchange of Notes, G/A: Grant Agreement)	✓	✓	✓			
	Banking Arrangement (A/P: Authorization to Pay)	✓					✓
	Consultant Contract → Verification → Issuance of A/P	✓		✓	✓		
	Detailed Design & Tender Documents → Approval by Recipient Government → Preparation for Tendering	✓		✓	✓		
	Tendering & Evaluation	✓		✓	✓	✓	
	Procurement/Construction Contract → Verification → A/P	✓		✓	✓	✓	
	Construction → Completion Certificate Recipient Government → A/P	✓		✓	✓	✓	
	Operation → Post Evaluation Study	✓		✓			
	Ex-post Evaluation → Follow up	✓	✓	✓			

Financial Flow of Grant Aid



AP4-3-16/44

15

Handwritten signatures and initials on the left margin.

	Year	2016										2017										2018					
		Fiscal Year		2016										2017													
		2015		3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2
		Calendar Month	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1
	Month from Contract of Contractor	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2
	Cabinet Council	▲																									
Contract	1 Signature of Exchange of Notes (E/N)		▲																								
	2 Consulting Contract			▲																							
Tender and Contract	1 Final Verification of Specification in Sri Lanka				■																						
	2 Review of Detailed Design					▬																					
	3 Preparing Specification/Drawing Approval						▬																				
	4 Annoucement of Tender								△																		
	5 Delivery of Tender Documents									△																	
	6 Tender											△															
	7 Evaluation and Discussion												■														
	8 Contract of Contractor														▲												
Procedure of Construction	1 Design/Development of Plans and Drawings																										
	2 Purchasing Machinery and Equipment																										
	3 Purchasing Steel for Hull																										
	4 CNC Nesting																										
	5 Keel Laying (No.1 Vessel, No.2 Vessel)																										
	6 Fabrication of Block																										
	7 Hull Construction																										
	8 Main Engine, Aux. Machinery & Equipment Fitt																										
	9 Launching (No.1 Vessel, No.2 Vessel)																										
	10 Fitting Work at Pier																										
	11 Sea Trial/Completion at Shipyard																										
	12 Transportation																										
	13 Delivery of Tender Documents																										
	14 Final Acceptance																									△	

Major Undertakings to be taken by Each Government

Major Undertakings to be taken by Recipient Government

1. Before the Tender

NO	Items	Deadline	In charge	Cost (thousand LKR)	Ref.
1	To open Bank Account (Banking Arrangement (B/A))	within 1 month after G/A	ERD/ MOD		
2	To secure appropriate berthing/ mooring space for the new patrol vessels.	before notice of the tender document	SLCG		

2. During the Project Implementation

NO	Items	Deadline	In charge	Cost (million LKR)	Ref.
1	To bear the following commissions to a bank of Japan for the banking services based upon the B/A				
	1) Advising commission of A/P	within 1 month after the signing of the contract	ERD/ MOD	4.23	
	2) Payment commission for A/P	every payment	ERD/ MOD		
2	To perform the customs clearance, tax and port charges exemption and registration of the new patrol vessels.	during the Project	SLCG		
3	To carry out the domestic transportation of the new patrol vessels from the unloading port to the designated berthing /mooring area.	during the Project	SLCG	1.61	
4	To perform the necessary formalities and bear the necessary expenses in case the new patrol vessels being inspected in Sri Lanka after delivery.	during the Project	SLCG		
5	To accord Japanese nationals and /or physical persons of third countries whose services may be required in connection with the supply of the products and the services under the verified contract such facilities as may be necessary for their entry into the recipient country and stay therein for the performance of their work.	during the Project	SLCG		
6	To ensure that customs duties, internal taxes and other fiscal levies which may be imposed in the country of the Recipient with respect to the purchase of the Products and/or the Services be borne by its designated authority without using the Grant.	during the Project	SLCG		
7	To bear all the expenses, other than those to be borne by the Grant Aid, necessary for the Project implementation	during the Project	SLCG		
8	To submit the monitoring results to JICA, by using the monitoring form as a part of Project Monitoring Report.	during the Project	SLCG		

3. After the Project

NO	Items	Deadline	In charge	Cost (thousand LKR)	Ref.
1	To maintain and use properly and effectively the vessels provided under the Grant Aid 1) Allocation of operation and maintenance cost 2) Operation and maintenance structure and necessary personnels 3) Routine/Periodic inspection	After completion of the construction	SLCG	Refer to Annex-10	
2	To report the status of use of the provided patrol vessels promptly at any time when required by the Embassy of Japan in Sri Lanka and/or JICA Sri Lanka Office.	After completion of the construction	SLCG		
3	To inform the Japanese side of the alteration plans in advance after handing over the vessels.	After completion of the construction	SLCG		
4	To take required measures for the Project in accordance with Exchange of Notes (E/N) and Grant Agreement (G/A) , and other related agreements.	After completion of the construction	SLCG		

Major Undertakings to be covered by the Grant Aid

No	Items	Deadline	Cost Estimated (Million Japanese Yen)*
	To improve patrol vessels		
This item is closed due to the confidentiality.			

Handwritten marks and signatures at the bottom right of the page.

<p><u>Project Monitoring Report</u> on <u>Project Name</u> Grant Agreement No. <u>XXXXXXXX</u> 20XX, Month</p>

Organization Information

Authority (Signer of the G/A)	Person in Charge _____ _____ (Division) _____ Contacts Address: _____ Phone/FAX: _____ Email: _____
Executing Agency	Person in Charge _____ _____ (Division) _____ Contacts Address: _____ Phone/FAX: _____ Email: _____
Line Agency	Person in Charge _____ _____ (Division) _____ Contacts Address: _____ Phone/FAX: _____ Email: _____

Outline of Grant Agreement:

Source Finance	of	Government of Japan: Not exceeding JPY _____ mil. Government of (_____): _____
Project Title		
E/N	Signed date: Duration:	
G/A	Signed date: Duration:	

1: Project Description

1-1 Project Objective

--

1-2 Necessity and Priority of the Project

- Consistency with development policy, sector plan, national/regional development plans and demand of target group and the recipient country.

--

1-3 Effectiveness and the indicators

- Effectiveness by the project

Quantitative Effect (Operation and Effect indicators)		
Indicators	Original (Yr)	Target (Yr)
Qualitative Effect		

h 37 22 A.

2: Project Implementation

2-1 Project Scope

Table 2-1-1a: Comparison of Original and Actual Location

Location	Original: (M/D) Attachment(s): Map	Actual: (PMR) Attachment(s): Map
-----------------	---	---

Table 2-1-1b: Comparison of Original and Actual Scope

Items	Original	Actual
(M/D) 'Soft component' shall be included in 'Items'.	(M/D)	(PMR) Please state not only the most updated schedule but also other past revisions chronologically. All change of design shall be recorded regardless of its degree.

2-1-2 Reason(s) for the modification if there have been any.

(PMR)

2-2 Implementation Schedule

2-2-1 Implementation Schedule

Table 2-2-1: Comparison of Original and Actual Schedule

Items	Original		Actual
	DOD	G/A	
(M/D) 'Soft component' shall be stated in the column of 'Items'. Project Completion Date*	(M/D)		(PMR) As of (Date of Revision) Please state not only the most updated schedule but also other past revisions chronologically.

*Project Completion was defined as _____ at the time of G/A.

2-2-2 Reasons for any changes of the schedule, and their effects on the project.

--

2-3 Undertakings by each Government

2-3-1 Major Undertakings
See Attachment 2.

2-3-2 Activities
See Attachment 3.

2-3-3 Report on RD
See Attachment 4.

2-4 Project Cost

2-4-1 Project Cost

Table 2-4-1a Comparison of Original and Actual Cost by the Government of Japan
(Confidential until the Tender)

Items			Cost (Million Yen)	
	Original	Actual	Original	Actual
Construction Facilities (or Equipment)	'Soft component' shall be included in 'Items'.			Please state not only the most updated schedule but also other past revisions chronologically.
Consulting Services	- Detailed design - Procurement Management - Construction Supervision			
Total				

Note: 1) Date of estimation:
2) Exchange rate: 1 US Dollar = Yen

Table 2-4-1b Comparison of Original and Actual Cost by the Government of Sri Lanka

Items			Cost (Million USD)	
	Original	Actual	Original	Actual
				Please state not only the most updated schedule but also other past revisions chronologically.
Total				

Note: 1) Date of estimation:

2) Exchange rate: 1 US Dollar = (local currency)

2-4-2 Reason(s) for the wide gap between the original and actual, if there have been any, the remedies you have taken, and their results.

(PMR)

2-5 Organizations for Implementation

2-5-1 Executing Agency:

- Organization's role, financial position, capacity, cost recovery etc,
- Organization Chart including the unit in charge of the implementation and number of employees.

Original: (M/D)

Actual, if changed: (PMR)

2-6 Environmental and Social Impacts

- The results of environmental monitoring as attached in Attachment 5 in

accordance with Schedule 4 of the Grant Agreement.

- The results of social monitoring as attached in Attachment 5 in accordance with Schedule 4 of the Grant Agreement.
- Information on the disclosed results of environmental and social monitoring to local stakeholders, whenever applicable.

3: Operation and Maintenance (O&M)

3-1 O&M and Management

- Organization chart of O&M
- Operational and maintenance system (structure and the number ,qualification and skill of staff or other conditions necessary to maintain the outputs and benefits of the project soundly, such as manuals, facilities and equipment for maintenance, and spare part stocks etc)

Original: (M/D)

Actual: (PMR)

3-2 O&M Cost and Budget

- The actual annual O&M cost for the duration of the project up to today, as well as the annual O&M budget.

Original: (M/D)

4: Precautions (Risk Management)

- Risks and issues, if any, which may affect the project implementation, outcome, sustainability and planned countermeasures to be adapted

Handwritten signatures and initials in the bottom right corner of the page. There are three distinct marks: a small 'h' on the left, a stylized signature in the middle, and another signature with the number '22' written above it on the right.

are below.

Original Issues and Countermeasure(s): (M/D)	
Potential Project Risks	Assessment
1. (Description of Risk)	Probability: H/M/L
	Impact: H/M/L
	Analysis of Probability and Impact:
	Mitigation Measures:
	Action during the Implementation:
2. (Description of Risk)	Probability: H/M/L
	Impact: H/M/L
	Analysis of Probability and Impact:
	Mitigation Measures:
	Action during the Implementation:
3. (Description of Risk)	Probability: H/M/L
	Impact: H/M/L
	Analysis of Probability and Impact:
	Mitigation Measures:
	Action during the Implementation:
	Contingency Plan (if applicable):
	Contingency Plan (if applicable):
	Contingency Plan (if applicable):
	Contingency Plan (if applicable):

Actual issues and Countermeasure(s)
(PMR)

5: Evaluation at Project Completion and Monitoring Plan

5-1 Overall evaluation

Please describe your overall evaluation on the project.

--

5-2 Lessons Learnt and Recommendations

Please raise any lessons learned from the project experience, which might be valuable for the future assistance or similar type of projects, as well as any recommendations, which might be beneficial for better realization of the project effect, impact and assurance of sustainability.

--

5-3 Monitoring Plan for the Indicators for Post-Evaluation

Please describe monitoring methods, section(s)/department(s) in charge of monitoring, frequency, the term to monitor the indicators stipulated in 1-3.

--

Attachment

1. Project Location Map

Handwritten signatures and initials in the bottom right corner of the page.

2. Undertakings to be taken by each Government
3. Monthly Report
4. Report on RD
5. Environmental Monitoring Form / Social Monitoring Form
6. Monitoring sheet on price of specified materials
7. Report on Proportion of Procurement (Recipient Country, Japan and Third Countries)
(Final Report Only)

Annual Operation and Maintenance cost

(1) Annual Fuel and Lubrication Oil Cost (for each vessel)

Fuel / Lub. Oil	Consumption (KL)	Cost (mil. LKR)
Fuel oil	359.9	39.9
Lubrication oil (5% of fuel cost)	—	2.0
Total		41.9

(2) Expected Annual Maintenance Expenses

Item	Cost	Frequency	Annual Maint. Cost	Remarks
Dry docking	Abt.5,000USD/cycle	2 times/ year	Abt. 10,000 USD (about 1.3 mil.LKR)	Washing bottom part and touch-up painting on Slipway
Repairing costs for Machinsry	Abt. 60,000USD	Annually	Abt. 60,000 USD (about 7.8 mil.LKR)	2 years after delivery. :50,000USD 10 years after delivery.: 70,000USD Average: 60,000USD
Overhauling of Main engines (OH)	Abt. 300,000USD	Each 6 years	Abt.50,000 USD (about 6.5 mil. LKR)	OH to be required for each 12,000 hour operation time. Effective operation time each year is 2,000 hour

Handwritten signatures and initials, including a large stylized signature and the letters 'AP'.

(Provisional Translation)

Cabinet decision on the Development Cooperation Charter

February 10, 2015

Japan's Official Development Assistance Charter, decided by the Cabinet in 1992 and revised in 2003, has been the foundation of Japan's Official Development Assistance (ODA) policy.

Currently, as it commemorates the 60th anniversary of its ODA, Japan and the international community are at a major crossroads. In this new era, Japan must strongly lead the international community, as a nation that contributes even more proactively to securing peace, stability and prosperity of the international community from the perspective of "Proactive Contribution to Peace" based on the principle of international cooperation, while continuing to adhere to the course that it has taken to date as a peace-loving nation. This is also a juncture at which Japan's ODA activities should further evolve so as to strengthen further its role as an equal partner of developing countries in the joint efforts to address challenges facing the international community.

In the international community today, a huge amount of private funding flows to the developing countries, and various actors including the private sector, local governments, and non-governmental organizations (NGOs) are involved in global activities. These actors play important roles in dealing with development challenges and promoting sustainable growth in developing countries. Under these circumstances, Japan needs to address such development challenges not only through ODA but also by mobilizing various other resources.

Based on this recognition, the Government of Japan revises the ODA Charter and hereby establishes the Development Cooperation Charter, also bearing in mind the National Security Strategy decided by the Cabinet on December 17, 2013.

For the purpose of this Charter, the term "development cooperation" refers to "international cooperation activities that are conducted by the government and its affiliated agencies for the main purpose of development in developing regions." In this connection, "development" in this Charter is used in a broader sense rather than in the narrow sense; it also encompasses such activities as peacebuilding and governance, promotion of basic human rights and humanitarian assistance.

Such development cooperation needs to enhance synergetic effects for development through strengthened collaboration with other funding and activities of the Government of Japan and its affiliated agencies such as Other Official Flows (OOFs) and United Nations Peacekeeping operations (PKOs) as well as with private funding and activities whose objective is development or which contribute to development (i.e., funding and activities of various entities such as the private sector, local governments and NGOs).

Development Cooperation Charter
-For peace, prosperity and a better future for everyone-

At present the international community is in the midst of a transformation. It is experiencing changes in the global power balance on an unprecedented scale, an expansion of international economic activity due to rapid progress in globalization and technological innovation, deepening interdependency, and the growing influence of various non-state actors. Against this background, all kinds of risks in every part of the world can have a direct negative impact on the peace, stability and prosperity of the world including Japan. These risks range from transboundary challenges such as environmental issues and climate change, water-related issues, natural disasters, food crises and hunger, energy issues, and infectious disease, threats to the peace and stability of the international community such as international terrorism, transnational organized crimes, and piracy, to humanitarian issues in fragile states, regional conflicts, and political instability. In addition, as emerging and developing countries are taking on more economic importance, economic growth in these countries will affect the course of the growth of the global economy. Inclusive, sustainable and resilient growth in these countries is thus essential for the stable growth of the global economy as a whole. Furthermore, in light of Japan's current economic and social situation, deepening its cooperative relations with the international community including the emerging and developing countries and tapping into their vigor are the keys to its own sustainable prosperity. Amid all these changes, a peaceful, stable and prosperous international community is increasingly intertwined with the national interests of Japan. To secure its national interests, it is essential for Japan, as a "Proactive Contributor to Peace" based on the principle of international cooperation, to work together with the international community including developing countries to address global challenges.

The development challenges confronting the world have also changed significantly. While many countries, notably emerging countries, achieved progress in development, even such countries are experiencing problems such as political and economic instability owing to poor governance and other factors, internal disparities, sustainability issues, and the "middle income trap." Furthermore, countries such as small island countries have particular vulnerability and other issues that have emerged which cannot be assessed by income levels alone. In addition, countries are being left behind in terms of growth due to various vulnerabilities resulting from internal conflicts and political instability as well as their geological and climate conditions. To overcome such vulnerabilities, these countries are urgently in need not only of humanitarian assistance but also securing the stable foundations of development such as peace, stability, rule of law, governance and democratization, as well as setting in motion the process of development. In addition, in context of inclusive development that leaves no one behind, it is important to ensure that a wide range of stakeholders in society including women participate in every phase of development. As such, the world is facing more diverse and complex challenges. These challenges are increasingly widespread, transcending national borders as the world is increasingly globalized. In the world faced with such difficult challenges, individual countries are required more than ever to exercise ingenuity and take action.

I. Philosophy

Bearing in mind the recognition described above, Japan will implement development cooperation, that is, "international cooperation activities conducted by the government and its

affiliated agencies for the main purpose of development in developing regions", based on the philosophy described below.

(1) Objectives of development cooperation

Japan recognizes that all peoples of the world have the right to live in peace, free from fear and want. Since 1954, when it joined the Colombo Plan, Japan has consistently sought peace and prosperity of the international community, supported the development efforts of developing countries through development cooperation that centers on its official development assistance (ODA), and made efforts to solve global issues. This embodies the basic stance of Japan to earnestly tackle challenges facing the international community as a responsible major player. Many years of Japan's steady down-to-earth efforts to this end has won the respect and confidence of the international community, which expects Japan to play a more proactive role for the peace, stability and prosperity of the international community in a way commensurate with its national capabilities.

Japan overcame a range of problems and realized a period of high economic growth and a peaceful stable society with a small economic disparity to become the first developed country in Asia. At the same time, Japan has taken advantage of its philosophy in development cooperation, experience and expertise to deliver distinctive cooperation to Asian and other countries to support their economic growth. In these processes, it has experienced many successes and failures, and has accumulated a wealth of experience, expertise and lessons learned. The experience, expertise and lessons thus learned are not limited to those from the postwar high-growth period but also those from addressing present challenges such as declining and aging population, and reconstruction after the earthquake. Such experience, expertise and lessons learned contribute to addressing development challenges facing the world today, and the international community also has high expectations in this regard.

Bearing in mind the expectations of the international community, Japan, as a responsible major player in the world, will contribute more actively and exert strong leadership in addressing challenges facing the international community - especially development challenges and humanitarian concerns. Doing so is of great significance from the perspective of solidifying the confidence that the international community has in Japan.

In today's international community, it is no longer possible for any nation to secure peace and prosperity by itself. Under such circumstances, the path Japan should take to continue developing a prosperous and peaceful society lies in a serious effort to tackle various global challenges in cooperation with the international community, including developing countries, for a peaceful, stable and prosperous international community, and, in this process, to build solid and constructive relationships with various actors in the international community. Development cooperation provides one of the most important means for Japan in its agile implementation of such diplomacy; it carries significance as an "investment for the future."

Based on this recognition, Japan will promote development cooperation in order to contribute more proactively to the peace, stability and prosperity of the international community. Such cooperation will also lead to ensuring Japan's national interests such as maintaining its peace and security, achieving further prosperity, realizing an international environment that provides stability, transparency and predictability, and maintaining and protecting an international order based on universal values.

In the present international community, various actors including private companies, local governments and non-governmental organizations (NGOs) play an increasingly important role in addressing development challenges and supporting sustained growth of developing countries. It is therefore important to mobilize a wider range of resources that are not limited to ODA. In this context, ODA, as the core of various activities that contribute to development, will serve as a catalyst for mobilizing a wide range of resources in cooperation with various funds and actors and, by extension, as an engine for various activities aimed at securing peace, stability and prosperity of the international community.

(2) Basic policies

Japan's development cooperation for the objectives described above should be based on the philosophy that has been formed over its long history and should be further developed. In this context, the directions for development cooperation are defined as basic policies below:

A. Contributing to peace and prosperity through cooperation for non-military purposes

Japan's development cooperation has contributed to peace and prosperity of the world through cooperation for non-military purposes, which is one of the most suitable modalities for international contribution. Japan has consistently followed the path of a peace-loving nation since the end of World War II. Japan's development cooperation has been highly regarded by the international community as an embodiment of the country's sincere aspirations for peace and prosperity of the international community. Japan will continue to uphold this policy and comply with the principle of avoiding any use of development cooperation for military purposes or for aggravation of international conflicts, in proactively contributing to securing peace, stability and prosperity of the international community.

B. Promoting human security

Human security - a concept that pursues the right of individuals to live happily and in dignity, free from fear and want, through their protection and empowerment - is the guiding principle that lies at the foundation of Japan's development cooperation. Japan will thus focus its development cooperation on individuals - especially those liable to be vulnerable such as children, women, persons with disabilities, the elderly, refugees and internally-displaced persons, ethnic minorities, and indigenous peoples - and provide cooperation for their protection and empowerment so as to realize human security. At the same time, Japan will make efforts so that this basic policy will be understood and accepted widely among its partner countries, thereby mainstreaming the concept even further in the international community. Likewise, from the standpoint of its people-centered approach, Japan will also proactively contribute to promoting basic human rights, including women's rights.

C. Cooperation aimed at self-reliant development through assistance for self-help efforts as well as dialogue and collaboration based on Japan's experience and expertise

In its development cooperation, Japan has maintained the spirit of jointly creating things that suit partner countries while respecting ownership, intentions and intrinsic characteristics of the country concerned based on a field-oriented approach through dialogue and collaboration. It has also maintained the approach of building reciprocal relationships with developing countries in which both sides learn from each other and grow and develop together. These are some of the good traditions of Japan's cooperation which have supported self-help efforts of developing countries and aimed at future self-reliant development. On the basis of these traditions, Japan will continue to provide cooperation aimed at developing countries'

self-reliant development by emphasizing their own initiatives and self-help efforts as well as further deepening dialogue and collaboration with them while taking advantage of Japan's experience and expertise. In these processes, Japan will attach importance to building the foundations of self-help efforts and self-reliant development such as human resources, socio-economic infrastructure, regulations and institutions. It will also go beyond waiting for requests from partner countries by focusing on dialogue and collaboration with diverse actors not limited to governments and regional agencies of these countries, including proactively presenting proposals while giving full consideration to policies, programs and institutions related to development in the country concerned.

II. Priority policies

(1) Priority issues

In line with the philosophy described above, Japan sets out the following priority issues for development cooperation, while taking note of the inter-relationships between them, in order to deal with development challenges that are becoming more diverse, complex and broadly based, and also to achieve peace, stability and prosperity of the international community.

A. "Quality growth" and poverty eradication through such growth

The world's poor population is still large in number, and reducing poverty, especially eradicating absolute poverty, is the most fundamental development challenge. Especially as regards fragile states that have not been able to grasp the opportunities for development for different reasons and as regards people in vulnerable situations, it is important to provide both assistance from a humanitarian point of view and assistance designed to set the development process in motion and overcome vulnerability.

At the same time, in order to resolve the poverty issue in a sustainable manner, it is essential to achieve economic growth through human resources development, infrastructure development and establishment of regulations and institutions as well as the growth of the private sector enabled by the aforementioned actions, which are aimed at self-reliant development of developing countries. However, such growth should not be merely quantitative in nature, given that some of the countries that have achieved a measure of economic growth face challenges such as widening disparities, sustainability issues, inadequate social development, and political and economic instability. Rather, it should be "quality growth". Such growth is *inclusive* in that the fruits of growth are shared within society as a whole, leaving no one behind. It is *sustainable* over generations in terms of consideration to, among other aspects, harmony with the environment, sustained socioeconomic growth, and addressing global warming. And it is *resilient*, able to withstand and recover from economic crises, natural disasters and other shocks. These are some of the challenges Japan has tackled in its postwar history. Japan will take advantage of its own experience, expertise and technology as well as lessons learned in order to provide assistance to realize "quality growth" and poverty eradication through such growth.

From this perspective, Japan will provide assistance necessary to secure the foundations and the driving force for economic growth. Its scope includes: the development of industrial infrastructure and industries through improvements in such areas as infrastructure, finance and trade and investment climate; sustainable cities; introduction of information and communications technology (ICT) and high technology; promotion of science, technology and innovation; research and development; economic policy; vocational training and industrial human resources development; employment creation; and the promotion of agriculture, forestry and fisheries that includes the development of food value chains. At the

same time, Japan will provide assistance necessary to promote people-centered development that supports basic human life, taking full account of the importance of human and social development. It encompasses health care, safe water and sanitation, food and nutrition, quality education for all, disparity reduction, empowerment of women, culture and sports that brings about spiritual affluence.

B. Sharing universal values and realizing a peaceful and secure society

Stable development through "quality growth" will not be achieved unless the rights of individuals are guaranteed, people can engage in economic and social activities with a sense of safety, and the society is managed equitably and stably. With a view to solidifying the foundations for such development, Japan will provide assistance so as to share universal values such as freedom, democracy, respect for basic human rights and the rule of law as well as to realize a peaceful, stable and secure society.

The establishment of the rule of law, the realization of good governance, the promotion and consolidation of democratization, and respect for basic human rights including women's rights constitute the basis for effective, efficient and stable economic and social activities, and thereby support social and economic development. They also hold the key to realizing an equitable and inclusive society including reducing disparities. Japan will thus provide the necessary assistance in such areas as: development of legal and judicial systems that involves the development of positive law and the training of legal and judicial experts including experts in the correction and rehabilitation of offenders; development of economic and social systems; improvements in governance which include the training of civil servants and institutional capacity building for anti-corruption and other purposes; development of a democratic political structure including an electoral system; and democratization process with a focus on the media and education for democracy.

Peace, stability and security are prerequisites for nation-building and development. Accordingly, Japan will comprehensively address a wide range of factors causing conflict and instability, including poverty. It will also provide seamless assistance for peacebuilding from conflict prevention, emergency humanitarian assistance in the conflict situation, and promotion of conflict termination to emergency humanitarian assistance and assistance for recovery, reconstruction, and development in the post-conflict stage. Such assistance will address a range of needs such as: humanitarian assistance for refugees and internally-displaced persons; protection and participation of women and the socially vulnerable; reconstruction of social and human capital; the restoration of governance functions based on a trusting relationship between the government and the public; the removal of landmines and unexploded ordnance and the collection of small arms; and the restoration of public order. In natural disasters and other emergencies, Japan will provide prompt assistance taking into account longer-term recovery and reconstruction. In view of the fact that threats to stability and security can hamper socio-economic development, Japan will also provide assistance to enhance capacities in developing countries such as: the capacity of law enforcement authorities including capabilities to ensure maritime safety; the capacity of security authorities including capabilities to combat terrorism and transnational organized crime including drug trafficking and trafficking in persons; and the capacity of developing countries in relation to global commons such as seas, outer space, and cyberspace.

C. Building a sustainable and resilient international community through efforts to address global challenges



Transboundary challenges facing humanity include environmental issues and climate change, water related issues, major natural disasters, infectious diseases, food issues, and energy issues. These challenges significantly affect not only developing countries but also the international community as a whole, causing damage to many people with particularly serious impact likely on the poor and other vulnerable people.

These global challenges cannot be dealt with by a single country and require united efforts at the regional level or by the international community as a whole. Taking full account of the international development goals such as the Millennium Development Goals (MDGs), the post-2015 development agenda and the discussions regarding these goals, Japan will take the lead in addressing these challenges including through participation in the formulation of international goals and guidelines and active efforts to achieve these goals. Through these efforts, Japan will seek to contribute to building a sustainable and resilient international community.

In this context, Japan will address challenges such as: actions against climate change including the creation of a low carbon society and adaptation to adverse effects of climate change; infectious diseases control; promotion of universal health coverage; mainstreaming disaster risk reduction; disaster risk reduction and post-disaster recovery measures; conservation of biodiversity and the sustainable use of resources from forests, farmlands and oceans; promotion of a sound water cycle; environmental management and other environmental-related initiatives; responses to demographic challenges including an aging population; food security and nutrition; sustainable access to resources and energy; closing the digital divide.

(2) Priority policy issues by region

In view of the increasingly diverse, complex, and broader-based development challenges and the progress in globalization in the international community today, it is necessary to implement cooperation that cater to the needs and characteristics of each region while maintaining a global perspective. Bearing in mind the priority policy issues for each region mentioned below, Japan will provide more focused cooperation in a strategic, effective and agile manner while coping flexibly with ever changing situations. In this process, attention will be paid to the increasing relevance of recent developments such as: moves toward regional integration such as establishment of regional communities; efforts to address trans-boundary issues at the regional level; efforts toward greater-area development; efforts to strengthen inter-regional connectivity; and increasing connectivity among regions. In addition, Japan will extend necessary cooperation to countries based on their actual development needs and affordability. These include countries that despite progress in development, are laden with challenges that hamper sustained economic growth, notably the so-called "middle income trap," as well as with development challenges including global challenges such as exposure to natural disasters, infectious diseases, and environmental issues and climate change; small island countries and others that are faced with special vulnerabilities despite having attained a certain level of per capita income.

Asia is a region that has a close relationship with Japan and high relevance to its security and prosperity. With this recognition, Japan will extend development cooperation to the region.

Particularly with respect to the Association of Southeast Asian Nations (ASEAN) region, Japan will support the establishment of the ASEAN Community as well as the comprehensive and sustained development of ASEAN as a whole. This will include a focus on the

development of both physical and non-physical infrastructure including that which is needed for strengthening connectivity and the reduction of disparities both within the region and within individual countries. Japan will specifically strengthen assistance to the Mekong region as well as continue its assistance to countries that have already achieved a certain level of economic growth to keep them from being caught in the "middle income trap" through assistance to promote increased productivity and technical innovations such as human resources development. At the same time, priority will be attached to assistance that raises disaster risk reduction and disaster relief capabilities and promotes the rule of law, which constitutes the basis for stable economic and social activities. Japan will also promote cooperation with ASEAN as a regional organization to support united efforts to tackle its challenges.

With respect to South Asia, Japan will support regional stability and the fulfillment of a variety of level of regional potential. This will involve cooperation for building the foundations for economic development through growth, including cooperation on improving trade and investment climate especially by developing infrastructure and strengthening connectivity in the Asian region. Japan will also extend cooperation on basic human needs such as health care, sanitation and education, and on socio-economic infrastructure development for narrowing the gap between the rich and the poor.

With respect to Central Asia and the Caucasus, Japan will support nation-building and regional cooperation for the long-term stability and sustainable development of the region and its neighboring regions, while taking into consideration the disparities within the region.

With respect to Africa, Japan will provide assistance through joint efforts of the public and the private sector through the process of the Tokyo International Conference on African Development (TICAD) so that Africa's remarkable growth in recent years based on expanding trade, investment and consumption will lead to further development for both Japan and Africa. Japan will take particular note of Africa's initiatives toward regional development and integration at the sub-regional level. Meanwhile, Africa still has countries that are prone to conflict or are burdened with an accumulation of serious development challenges. Bearing this in mind, Japan will continue to actively engage in assistance for peacebuilding and assistance to fragile states from the perspective of human security, providing necessary assistance with a view towards establishing and consolidating peace and stability, and solving serious development challenges in the region.

The Middle East is an important region not only for Japan but also for the international community as a whole in terms of peace, stability and stable energy supply. With a view to proactively contributing to the peace and stability of the region and to the coexistence and mutual prosperity of Japan and the Middle East, necessary assistance will be provided to address challenges such as peacebuilding, reducing disparity and human resources development.

With respect to Central and Eastern Europe, Japan will support the moves toward the integration of Europe, which shares universal values such as freedom, democracy, respect for basic human rights and the rule of law, by providing assistance necessary to this end.

With respect to Latin America, Japan will provide assistance to foster an environment more conducive to economic development through trade and investment among others, and to extend necessary cooperation against a backdrop of internal disparities which exist even in

Handwritten signatures and initials in blue ink at the bottom right of the page. There are several distinct marks, including what appears to be a large signature and some smaller initials or marks.

countries that have achieved considerable progress in development. Consideration will be given to the presence of ethnic Japanese (“*Nikkei*”) communities in the region, which serves as a strong bond between Japan and the region.

With respect to small island countries in Oceania, the Caribbean and other regions also have vulnerabilities that are peculiar to small island countries. They are also faced with the challenge of coping with the effects of global environmental problems including: water scarcity, damage due to sea level rise and natural disasters associated with climate change. Japan will provide assistance based on individual development needs while bearing in mind the peculiarities of small island countries.

III. Implementation

(1) Implementation principles

Efforts will be made to implement development cooperation effectively and efficiently, while taking into account international discussion including on development effectiveness, so as to obtain maximum effect towards realizing the philosophy and implementing the priority policies described above. It is also necessary to give full consideration to the impacts of cooperation to the recipient countries and societies, and to the appropriateness of cooperation. Based on such considerations, Japan will implement development cooperation in accordance with the following principles.

A. Principles for effective and efficient development cooperation

(a) A more strategic approach

A more strategic approach should be taken to maximize the impact of Japan's development cooperation. In other words, it is important for the government and implementing agencies to work as one – in cooperation with diverse stakeholders – and to mobilize various resources available to Japan. It is also important to engage in the development cooperation cycle of policymaking, implementation and evaluation in an integrated manner.

On policymaking, it is necessary to fully recognize that development cooperation is one of the most important tools of Japan's foreign policy, which calls for strategic and agile responses to ever-changing international affairs. With this recognition, Japan will formulate strategic and effective policies and goals concerning development cooperation, prioritizing as appropriate, based on its foreign policy. In the process, Japan will thoroughly assess diverse factors such as: the state of affairs in the international community including developing countries; the development policies and programs of developing countries; and the strategic importance of the recipient country and the development challenges being addressed in relation to Japan. In addition, for the purpose of clarifying its development cooperation policies, thematic policies, regional policies, and country policies will be structured under this Charter.

In implementing development cooperation, Japan will enhance synergies between ODA and non-ODA finance/cooperation so as to make the most of resources of the government and its affiliated agencies. Furthermore, from the standpoint of its foreign policy and more effective and efficient development cooperation, Japan will organically combine technical cooperation, loan assistance and grant aid. It will also strive to increase the speed of implementation, improve related systems and operate them flexibly.

In the light of the importance of evaluation not only for improving effectiveness and efficiency but for accountability to the public, Japan will conduct evaluations at the policy and program/project levels and feed the results back to the decision-making and program/project

implementation processes. Such evaluations, while focusing on outcomes, will take into account the peculiarities and conditions of the recipients. Efforts will be made to undertake evaluation from a diplomatic point of view as well.

(b) Cooperation that takes advantage of Japan's strengths

Japan's human resources, expertise, advanced technology and systems today were developed in the process of overcoming various challenges as it underwent high economic growth and rapid demographic changes. These assets can be beneficial for developing countries in addressing similar challenges, both present and future; in fact, expectations for Japan are high in this regard. In implementing development cooperation, Japan will proactively adopt proposals from various actors in the private and other sectors. It will also work with universities and research institutions to make good use of their expertise and seek out their untapped capabilities. Japan's assistance in infrastructure development will not be limited to constructing physical infrastructure. It will also address the non-physical aspects that encompass developing systems for operating and maintaining such infrastructure as well as human resources development and institution building. Such an integrated approach will enable active utilization of Japan's experience and expertise. In addition, given that Japan's distinctive characteristics such as Japanese values and occupational culture are highly regarded by the international community, it will take into account the possibility of utilizing its soft power including the Japanese language.

(c) Proactive contribution to international discussions

Japan will strive to make its development cooperation policies better understood by the international community, and for this purpose, categorize the experiences and expertise gained in its development cooperation. To ensure that Japan's policies are adequately reflected in the process of shaping the philosophy and trends in international development cooperation, Japan will proactively participate in and contribute to relevant discussions at the United Nations, international financial institutions, the Organisation for Economic Co-operation and Development (OECD), especially its Development Assistance Committee (DAC), and other international frameworks.

B. Principles for securing the appropriateness of development cooperation

So as to secure the appropriateness of its development cooperation policies and individual programs/projects and to give consideration to the various impacts of such cooperation on the recipient countries and societies, Japan's development cooperation will be provided in accordance with the principles described below, and by comprehensively taking into account developing countries' development needs and socio-economic conditions, as well as Japan's bilateral relations with each recipient country.

(a) Situation regarding consolidation of democratization, the rule of law and the protection of basic human rights

Japan will pay adequate attention to the situation in the recipient countries regarding the process of democratization, the rule of law and the protection of basic human rights, with a view to promoting the consolidation of democratization, the rule of law and the respect for basic human rights.

(b) Avoidance of any use of development cooperation for military purposes or for aggravation of international conflicts

Japan will avoid any use of development cooperation for military purposes or for aggravation of international conflicts. In case the armed forces or members of the armed forces in



recipient countries are involved in development cooperation for non-military purposes such as public welfare or disaster-relief purposes, such cases will be considered on a case-by-case basis in light of their substantive relevance.

(c) Situation regarding military expenditures, development and production of weapons of mass destruction and missiles, export and import of arms, etc.

Japan will pay close attention to the situation in recipient countries regarding military expenditures, development and production of weapons of mass destruction and missiles, and export and import of arms, etc. This is done with a view to maintaining international peace and stability including the prevention of terrorism and the non-proliferation of weapons of mass destruction, and based on the position that developing countries should allocate their resources appropriately and preferentially for their own socio-economic development.

(d) Impact of development on the environment and climate change

In order to make development compatible with the environment and to achieve sustainable development, Japan will give thorough consideration to the impact of development on the environment and climate change, and implement development cooperation which takes full account of the environment.

(e) Ensuring equity and consideration to the socially vulnerable

In implementing development cooperation, Japan will pay full attention to the social impact and give full consideration to ensuring equity, while making efforts for participation of wide-ranging stakeholders in every phase of development cooperation, with a view to reducing disparities and in consideration of the socially vulnerable such as children, persons with disabilities, the elderly, ethnic minorities and indigenous peoples.

(f) Promoting women's participation

In the context of gender equality and greater role of women in development, Japan will encourage the participation of women at every phase of development cooperation and be more proactive in ensuring that women share equitably in the fruits of development, while giving consideration to the possible vulnerabilities of women and their special needs.

(g) Preventing fraud and corruption

It is necessary to prevent fraud and corruption in implementing development cooperation. While taking measures to encourage establishment of a compliance system by bid winners, Japan will work with recipient countries to create an environment conducive to preventing fraud and corruption, including the strengthening of governance in these countries. In this context, Japan will ensure adherence to appropriate procedures and strive to ensure transparency in the implementation process.

(h) Security and safety of development cooperation personnel

In order to ensure security and safety of development cooperation personnel, Japan will pay adequate attention to strengthening security and safety management capacity, gathering security information, taking security measures, and ensuring safety of workers in construction sites. Particularly in relation to assistance in politically unstable or unsafe areas such as assistance for peacebuilding, special security measures and arrangements will be implemented.

(2) Implementation arrangements

In view of the increasingly diverse, complex, and wider-based development challenges as well as the increasingly diverse development actors and development-related funds, Japan will strive to improve the implementation architecture of the government and the implementing agencies, strengthen collaboration at different levels, and reinforce the foundations for sustained implementation of development cooperation.

A. Improvement of the implementation architecture of the government and the implementing agencies

In implementing its development cooperation, the government will improve collaboration among the relevant ministries and agencies, with the Ministry of Foreign Affairs serving as a hub in charge of coordinating the planning of development cooperation policies. It will also ensure close collaboration between the government, which is responsible for planning policies, and the Japan International Cooperation Agency (JICA), which is responsible for implementation. At the same time, the government and JICA will further strive to develop the capacities of these organizations as well as to improve relevant systems and institutions, while clarifying the division of their roles and responsibilities. Especially to improve the competitiveness of its development cooperation, the government and JICA will address issues such as agility, expertise, knowledge accumulation, research capacity, reinforcement of the functions of offices abroad, human resources development and arrangements for emergency humanitarian relief. Consideration will be given to the role of JICA domestic offices as a node for various actors, including companies, NGOs, local governments, universities and research institutions, and the public at large.

B. Strengthening partnerships

In the international community today, various non-governmental actors play an increasingly important role in the development of developing countries. With this recognition, collaboration between JICA and other agencies responsible for other official funds such as the Japan Bank for International Cooperation (JBIC), Nippon Export and Investment Insurance (NEXI), and the Japan Overseas Infrastructure Investment Corporation for Transport and Urban Development (JOIN) will be strengthened. The government will also enhance mutually beneficial partnerships with various actors so as to serve as a catalyst for mobilizing a wide range of resources, including the private sector.

(a) Public-private partnerships and partnerships with local governments

Official funds including ODA will continue to play an important role in the development of developing countries. However, given that private flows currently far exceed official flows into developing countries, adequate consideration should be given to the fact that activities of the private sector now serve as a powerful engine for economic growth of developing countries. In Asia, hard (physical) and soft (non-physical) basic infrastructure built with development cooperation has contributed to improving the investment climate. Development cooperation's role as a catalyst promoted private investment, which in turn has led to economic growth and poverty reduction in the recipient countries. It is important to recognize that, through these processes, Asia has developed into an important market and investment destination for Japanese private companies, and therefore, an extremely important region for the Japanese economy. In addition, experience and expertise of Japanese local governments play an increasingly significant role in addressing many of the challenges facing developing countries.

In light of the above, the government will promote development cooperation through public-private partnerships and partnerships with local governments utilizing the resources of

Handwritten marks and signatures at the bottom right of the page, including a small circle, a stylized 'S' or '3' shape, and a signature.

the private sector and local governments and promoting private-led growth, in order to support economic development of developing countries more vigorously and effectively and to enable such development to lead to robust growth of the Japanese economy. Specifically, partnerships with Japanese companies including small and medium-sized enterprises, local governments, universities and research institutions, and other actors will be strengthened in order to implement cooperation aimed at creating an environment conducive to the promotion of trade and investment among others in such areas as human resources development, development of legislation and institutions, and development of infrastructure and relevant systems from planning to implementation phases in a consistent manner.

In promoting public-private partnerships, Japan's development cooperation will seek to serve as a catalyst for expanding economic activities, while utilizing excellent technology and expertise, and ample funds of the private sector for addressing the challenges faced by developing countries. In addition, taking full account of the priority policies of development cooperation described earlier, Japan will give consideration to ensuring inclusiveness, sustainability and resilience of growth as well as promoting capacity building so that private investment that is made along with development cooperation will contribute to "quality growth" in developing countries.

(b) Coordination in emergency humanitarian assistance and international peace cooperation

In the context of increasingly severe and frequent disasters, there is plenty of scope for contribution by Japan, a country known for its disaster risk reduction. For effective implementation of disaster relief and other emergency humanitarian assistance, coordination with international organizations, NGOs and other actors that have relevant expertise will be strengthened.

In addition, Japan will continue to promote coordination with international peace cooperation activities such as UN peacekeeping operations (PKOs) to maximize their effective implementation.

(c) Partnerships with international, regional and sub-regional organizations

With their expertise, impartiality and wide networks, international organizations can implement effective and efficient cooperation in sectors or regions that are less accessible in bilateral cooperation and by taking advantage of their distinctive characteristics. Such multilateral cooperation can bring about synergies if combined with bilateral cooperation. Japan will therefore continue its proactive collaboration with international organizations in such areas as humanitarian assistance, peacebuilding, governance and global issues. In addition, in view of the role played by international organizations in shaping philosophy and trends in international development cooperation, Japan, as a responsible member of the international community, will strive to increase its influence and presence in international organizations and, by extension, the international community so that it can play a leading role in creating international norms. Furthermore, Japan will hold regular consultations with individual international organizations for policy coordination to create synergies with bilateral cooperation. Special attention will be paid to ensuring accountability to the public as regards the impacts and evaluation of development cooperation through international organizations.

Japan will also reinforce its partnerships with regional and sub-regional organizations in view of the trend towards regional integration and the importance of a transboundary approach at the regional level.

(d) Partnerships with donors, emerging countries and other actors

Like Japan, other donors have accumulated experience and expertise over many years of their development cooperation. Donor partnerships are required for greater development effectiveness. From this perspective, Japan will continue to promote partnerships with other donors in development cooperation to maximize its effectiveness, bearing in mind the perspective of its foreign policy.

In implementing development cooperation, it is also important to take advantage of expertise, human resources and their networks, and other assets that have been accumulated in the recipient countries during the many years of Japan's development cooperation. Japan's triangular cooperation involving emerging and other countries capitalizes on such assets. In view of the high regard held by the international community, Japan will continue to promote triangular cooperation.

(e) Partnerships with the civil society

Partnerships with the civil society in and outside of Japan, including NGOs, civil society organizations (CSOs) and private foundations, are important both for greater cooperation effectiveness and for the equitable and stable development of the recipient countries as they can accurately assess varying views and needs on the ground and take timely flexible actions. With this recognition, the government will strategically strengthen partnerships with NGOs/CSOs, including reinforcing their participation and collaboration in development cooperation. From this standpoint, the government will support excellent development cooperation projects of Japanese NGOs/CSOs and their capacity development. In this regard, the Ministry of Foreign Affairs and JICA will focus on developing human resources and systems in the social development sector.

The government will also encourage the participation of its people from all walks of life in development cooperation and promote utilization of their expertise in society, with a view to expanding those involved in development cooperation, including the recruitment of JICA Volunteers. In this regard, the government will provide adequate information to the public and listen to the voice of the people at all levels including suggestions regarding development cooperation.

C. Strengthening the foundations for implementation

In order for Japan's development cooperation to fulfil the required role of realizing its philosophy and implementing its priority policies, the foundations for its sustained implementation including financial and human resources must be strengthened. Necessary efforts will be made to this end while being mindful of the internationally-agreed target of increasing ODA to 0.7% of gross national income (GNI) and fully recognizing its extremely severe fiscal situation.

(a) Information disclosure and promoting understanding of the public and the international community

Development cooperation is financed by tax revenues from the public. The public's understanding and support are therefore essential to secure necessary funds for the sustained implementation of development cooperation. For this purpose, the government will strive for effective public relations on development cooperation in Japan, timely and adequate disclosure of information on implementation, evaluation and other aspects of development cooperation to the wider public in a transparent manner. The government will also provide easy-to-understand explanations on the policies, significance, outcomes and evaluation of

[Handwritten marks and signatures]

Japan's development cooperation by the international community among other aspects. The government will also actively engage in public information abroad as it is important to make Japan's development cooperation and its achievements better known and understood by the international community including developing countries.

(b) Promoting development education

The government will promote development education at school and various other places. The objective is for the public to develop the capacity to assess various aspects of development challenges facing the world, understand how these challenges relate to Japan, regard the challenges as their own for independent analysis, and participate in actions to address these challenges.

(c) Developing human resources and solidifying the intellectual foundations for development cooperation

Fostering human resources for development cooperation remains an important issue in the face of diversifying development challenges. In particular, promoting development cooperation in such areas as the rule of law, governance, finance and ICT calls for strengthening the institutional structure such as by training and securing the necessary human resources. The government, industry and the academia will therefore work as one to promote the training and development of globally competent human resources with specialized expertise among consultants, researchers, students, and employees at universities, private sector and NGOs/CSOs in addition to the personnel of the Ministry of Foreign Affairs and JICA. Efforts will also be made to increase opportunities for such persons to fulfill their capacity within and outside Japan and to make institutional and structural improvements.

In order to play a leading role in shaping the philosophy and trends in international development cooperation by making use of its strength, the government will also work with universities and research institutions among others to reinforce the intellectual foundations, including research capabilities to plan and disseminate development cooperation. This may take the form of joint policy research by researchers from Japan and developing countries or intellectual networking of such researchers.

(3) Reporting on the status of the implementation of the Development Cooperation Charter

The government will report the status of the implementation of the Development Cooperation Charter in the "White Paper on Development Cooperation," which is reported annually to the Cabinet.

February 10, 2015
Cabinet Decision

資料5：モニタリングフォーム案

Project Monitoring Report
on
The Project for the Maritime Safety Capability Improvement
 Grant Agreement No. XXXXXXXX
 20XX, Month

Organization Information

Authority (Signer of the G/A)	_____ Person in Charge _____ (Division) _____ Contacts Address: _____ Phone/FAX: _____ Email: _____
Executing Agency	<u>Sri Lanka Coast Guard</u> Person in Charge _____ (Division) _____ Contacts Address: _____ Phone/FAX: _____ Email: _____
Line Agency	<u>Ministry of Defence</u> Person in Charge _____ (Division) _____ Contacts Address: _____ Phone/FAX: _____ Email: _____

Outline of Grant Agreement:

Source Finance	of	Government of Japan: Not exceeding JPY _____ mil. Government of (_____): _____
Project Title		
E/N		Signed date: Duration:
G/A		Signed date: Duration:

1: Project Description

1-1 Project Objective

The objective of the Project is to ensure the security, safety and serenity of the maritime environment while enforcing the law at sea.

1-2 Necessity and Priority of the Project

- Consistency with development policy, sector plan, national/regional development plans and demand of target group and the recipient country.

The project objective accords to the Sri Lankan government's policy to strengthen the Sri Lankan Coast Guard (SLCG), which was established in order to protect the ocean resources.

1-3 Effectiveness and the indicators

- Effectiveness by the project

Quantitative Effect (Operation and Effect indicators)		
Indicators	Original (Yr 2014)	Target (Yr 2020)
Patrol area (round trip from mooring base)	300 sea miles (24 sea miles offshore)	750 sea miles (50 sea miles offshore)
Ratio of the patrol operation days per year	30%	more than 80% (due to the improvement of stability)
Oil removal capability	0	15m ³ /h/ship
Qualitative Effect		
1) To contribute to quick and appropriate activities for search and rescue, and for investigation of maritime crime such as smuggling, fish poaching, and illegal migration, etc. 2) To contribute to prevention and removal of oil spill from vessels, and to conservation of marine environment and natural resources.		

2: Project Implementation

2-1 Project Scope

Table 2-1-1a: Comparison of Original and Actual Location

Location	Original: (M/D) Attachment(s): Map	Actual: (PMR) Attachment(s): Map
-----------------	---	---

Table 2-1-1b: Comparison of Original and Actual Scope

Items	Original	Actual
(M/D) 'Soft component' shall be included in 'Items'.	(M/D)	(PMR) Please state not only the most updated schedule but also other past revisions chronologically. All change of design shall be recorded regardless of its degree.

2-1-2 Reason(s) for the modification if there have been any.

(PMR)

2-2 Implementation Schedule

2-2-1 Implementation Schedule

Table 2-2-1: Comparison of Original and Actual Schedule

Items	Original		Actual
	DOD	G/A	
(M/D) 'Soft component' shall be stated in the column of 'Items'. Project Completion Date*	(M/D)		(PMR) As of (Date of Revision) Please state not only the most updated schedule but also other past revisions chronologically.

*Project Completion was defined as _____ at the time of G/A.

2-2-2 Reasons for any changes of the schedule, and their effects on the project.

--

2-3 Undertakings by each Government

2-3-1 Major Undertakings

See Attachment 2.

2-3-2 Activities

See Attachment 3.

2-3-3 Report on RD

See Attachment 4.

2-4 Project Cost

2-4-1 Project Cost

Table 2-4-1a Comparison of Original and Actual Cost by the Government of Japan
(Confidential until the Tender)

Items	Cost (Million Yen)
This item is closed due to the confidentiality.	

**Table 2-4-1b Comparison of Original and Actual Cost
by the Government of Sri Lanka**

Items		Cost (Million Sri Lankan Rupee)		
	Original	Actual	Original	Actual
	Commissions to the Japanese bank for banking services based upon the Banking Arrangement (B/A) - Advising commission of Authorization to Pay (A/P) - Payment commission		4.23	Please state not only the most updated schedule but also other past revisions chronologically.
	Domestic transportation of the new patrol vessels from the unloading port to the designated birthing / mooring area.		1.61	
Total				

Note: 1) Date of estimation: January 20th, 2016
2) Exchange rate: 1 Sri Lankan Rupee = 0.8724 Yen

2-4-2 Reason(s) for the wide gap between the original and actual, if there have been any, the remedies you have taken, and their results.

(PMR)

2-5 Organizations for Implementation

2-5-1 Executing Agency:

- Organization's role, financial position, capacity, cost recovery etc,

- Organization Chart including the unit in charge of the implementation and number of employees.

Original: (M/D)
Actual, if changed: (PMR)

2-6 Environmental and Social Impacts

- The results of environmental monitoring as attached in Attachment 5 in accordance with Schedule 4 of the Grant Agreement.
- The results of social monitoring as attached in Attachment 5 in accordance with Schedule 4 of the Grant Agreement.
- Information on the disclosed results of environmental and social monitoring to local stakeholders, whenever applicable.

3: Operation and Maintenance (O&M)

3-1 O&M and Management

- Organization chart of O&M
- Operational and maintenance system (structure and the number ,qualification and skill of staff or other conditions necessary to maintain the outputs and benefits of the project soundly, such as manuals, facilities and equipment for maintenance, and spare part stocks etc)

Original: (M/D)
Actual: (PMR)

3-2 O&M Cost and Budget

- The actual annual O&M cost for the duration of the project up to today, as well as the annual O&M budget.

Original: (M/D)

4: Precautions (Risk Management)

- Risks and issues, if any, which may affect the project implementation, outcome, sustainability and planned countermeasures to be adapted are below.

Original Issues and Countermeasure(s): (M/D)	
Potential Project Risks	Assessment
1.	Probability: H/M/L
(Description of Risk)	Impact: H/M/L
	Analysis of Probability and Impact:
	Mitigation Measures:
	Action during the Implementation:
	Contingency Plan (if applicable):
2.	Probability: H/M/L
(Description of Risk)	Impact: H/M/L
	Analysis of Probability and Impact:
	Mitigation Measures:
	Action during the Implementation:

	Contingency Plan (if applicable):
3.	Probability: H/M/L
(Description of Risk)	Impact: H/M/L
	Analysis of Probability and Impact:
	Mitigation Measures:
	Action during the Implementation:
	Contingency Plan (if applicable):
Actual issues and Countermeasure(s)	
(PMR)	

5: Evaluation at Project Completion and Monitoring Plan

5-1 Overall evaluation

Please describe your overall evaluation on the project.

5-2 Lessons Learnt and Recommendations

Please raise any lessons learned from the project experience, which might be valuable for the future assistance or similar type of projects, as well as any recommendations, which might be beneficial for better realization of the project effect, impact and assurance of sustainability.

5-3 Monitoring Plan for the Indicators for Post-Evaluation

Please describe monitoring methods, section(s)/department(s) in charge of monitoring, frequency, the term to monitor the indicators stipulated in 1-3.

Attachment

1. Project Location Map
2. Undertakings to be taken by each Government
3. Monthly Report
4. Report on RD
5. Environmental Monitoring Form / Social Monitoring Form
6. Monitoring sheet on price of specified materials
7. Report on Proportion of Procurement (Recipient Country, Japan and Third Countries)
(Final Report Only)

資料6：收集資料

資料6 参考資料

(1) 現地収集情報

番号	名称	発行元	形状
1	ANSWER TO QUESTIONNAIRES FOR PREPARATORY SURVEY FOR THE PROJECT FOR MARITIME SAFETY CAPABILITY IMPROVEMENT IN SRI LANKA 及び追加資料 (多数)	SLCG	電子
2	海軍マハセン基地製造舟艇カタログ	SLCG	印刷物
3	南アジア地域油流出防除ワークショッププレゼン資料	SLCG	電子
4	漁業・水産資源庁カタログ	漁業・水産資源庁	印刷物
5	コロンボドックのプレゼン資料	コロンボドック	電子
6	SLCG 西部地域の建屋建設資料	SLCG	電子
7	National Oil Spill Preparedness Status For Sri Lanka	SLCG	電子
8	SLCG WARUNA の紹介 (プレゼン資料)	SLCG	電子
9	Marine Environment Protection Authority (MEPA) の紹介 (プレゼン資料)	MEPA	電子

(2) 為替レート

- 1) 積算時点 2015年12月 (現地調査終了月)
- 2) 為替交換レート 1 USD=111.15 円 (積算時点月前の3ヶ月の平均レート)
1 LKR=0.8557 円 (積算時点月前の3ヶ月の平均レート)