



Japan-ASEAN Cooperation

***Workshop on Project Appraisal and Approval process
for ASEAN Dialogue Partner Funds and other funds
administered by the ASEAN Secretariat***

JAIF Management Team (JMT)

7 September 2015



INTRODUCTION TO JAIF AND JMT



Japan-ASEAN Integration Fund (JAIF)



- Japan-ASEAN Integration Fund (JAIF): Established in March 2006
- Contribution: over USD 620 million as of August 2015
- Purposes of JAIF:
 - 1) To support ASEAN's efforts to pursue **integration** towards ASEAN Community;
 - 2) To support the implementation of ASEAN Blueprints;
 - 3) To promote cooperation between ASEAN and Japan;
 - 4) To support operations of regional/sub-regional organizations; and
 - 5) To support other activities considered appropriate by Japan and ASEAN

Components of JAIF



Components & Year of Grant	Amount (in mil. USD)
1. Original JAIF - 2006	70
2. JENESYS - 2007	196
3. AJCEP - 2007	52
4. Disaster Management – 2009	13
5. Emergency Economic Assistance – 2009	62
6. Economic Partnership Agreement – 2009 & 2012	19.5
7. Kizuna – 2012	30
8. JENESYS 2.0 - 2013	73
9. JAIF 2.0 - 2014	100
10. JENESYS2015 - 2015	9
Total	624.5

JAIF-Management Team (JMT) [HB: 2.6]



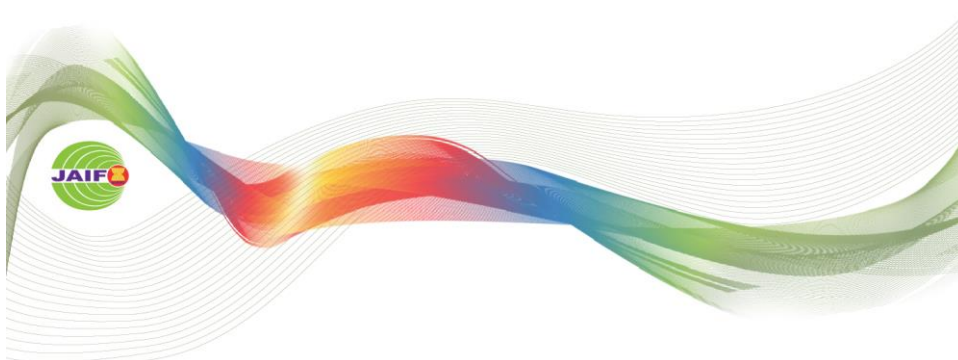
- Established in Feb 2011
- Based at the ASEAN Secretariat, Jakarta Indonesia
- Objectives of JMT:
 - To formulate, manage, and implement comprehensive strategic development programmes/projects jointly with ASEAN Member States to
 - Enhance effective utilization of JAIF in support of ASEAN
 - Contribute to ASEAN integration and ASEAN-Japan cooperation
- Team Structure:
 - Programme Director (1)
 - Programme Coordinator (3)
 - Senior Programme Officer (2)
 - Admin/Finance Officer (1)
 - Secretary/Technical Assistant (1)

Role of JMT



- 1) To **assist in formulating and reviewing project proposals** in close coordination with proponents and ASEC's Desk Officers (DOs);
- 2) To **facilitate and coordinate** with ASEC DOs in project appraisal and approval process;
- 3) To **monitor and keep track of the progress** in JAIF projects by updating JAIF Project database on a monthly basis;
- 4) To **update financial balance** of JAIF on a monthly basis; and
- 5) To serve as **resource persons** by providing input and advice on project ideas as required by proponents and other stakeholders.

APPLICATION FOR JAIF



References for JAIF Priority Areas



- Guidelines for the Japan-ASEAN Integration Fund (JAIF)
- ASEAN Blueprints: *“Roadmap for an ASEAN Community 2009 – 2015”*
<http://www.asean.org/images/2012/publications/RoadmapASEANCommunity.pdf>
- *Vision Statement on ASEAN-Japan Friendship and Cooperation*
and its *Implementation Plan* adopted in December 2013
http://www.mofa.go.jp/region/page3e_000132.html
- JAIF Handbook (Working Draft)



JAIF’s priority areas under JAIF2.0



- 1. Four priority areas
 - a) Maritime Cooperation;
 - b) Disaster Management;
 - c) Counter-terrorism and Transnational Crimes including Cybercrime; and
 - d) ASEAN Connectivity.
- 2. Other areas if they are deemed important to realise “Vision Statement” and its “Implementation Plan”,
 - Partners for Peace and Stability;
 - Partners for Prosperity;
 - Partners for Quality of Life; and
 - Heart-to-Heart Partners.



Types of JAIF projects



Type	Part A projects	Part B projects
Description	Projects that benefit all ASEAN Member States. [Regional projects]	Projects that benefit <ul style="list-style-type: none">- a Member State or- Member States (less than 10)
Submission by	<ul style="list-style-type: none">▶ ASEAN-initiated▶ Japan-initiated projects <i>*Depending on the proponent country who submits the proposal</i>	

NB: The following explanation on the JAIF focuses on ASEAN-initiated, Part A/Regional projects.



Proponent and Implementing Agency



▪ **Proponent:**

Project formulator/designer

▪ **Implementing Agency (IA) :**

The party that receives funding through the ASEC and utilizes it to implement projects.

The IA may be the Proponent, or other agency or entity



Eligibilities of Proponent from ASEAN



Eligibility	Types of entity
Eligible entities	<ul style="list-style-type: none">• Ministries• Government-affiliated Organisations• Non-profit Making Organisations (whose proposals have been endorsed or jointly proposed by a relevant ministry)• ASEC
Non-eligible entities	<ul style="list-style-type: none">• Individuals• Profit-making Organisations

*Please refer to the 5.1 of JAIF Handbook for the eligibilities of proponents from Japan and international organizations



Eligibilities of IA from ASEAN



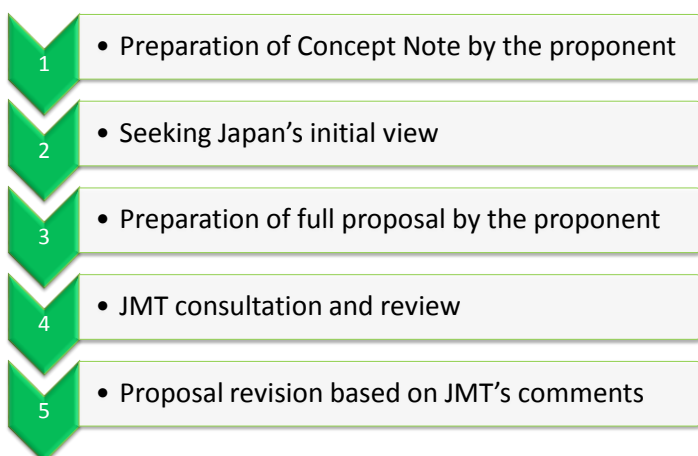
Eligibility	Types of entity
Eligible entities	<ul style="list-style-type: none">MinistriesGovernment-affiliated OrganisationsNon-profit Making Organisations (whose proposals have been endorsed or jointly proposed by a relevant ministry)ASEC
In exceptional cases, eligible entities	<ul style="list-style-type: none">Profit-making organizations
Non-eligible entities	<ul style="list-style-type: none">Individuals

*Please refer to the 5.2 of JAIF Handbook for the eligibilities of IA from Japan and international organizations

PROJECT PROPOSAL FORMULATION



Proposal formulation process at a glance



Proposal formulation



The proponent is expected to make sure:

- Meets the purposes of JAIF and objectives of the concerned component.
- Avoid duplications with existing or past projects supported by JAIF, other Ministries of Japan or any other DPs
- Neither support military purposes nor aggravation of international conflicts.

Proposal formulation



- **Note on Implementing Agency (IA) and sub-contractor**
 - Provide justification of the selection of a specific IA
 - **Attach Terms of Reference (TOR) of IA** to the proposal
 - Proponent to select a qualified **IA** in accordance with **their own rules and regulations**, or the ASEC Financial Rules and Procedures (AFRP)



Documents required for Application



ASEAN Cooperation Project Proposal Format and templates

- 1) ASEAN Cooperation Project Proposal (brief or full proposal format)
- 2) Annex 1: Budget Proposal
- 3) Annex 2: Indicative Work Plan
- 4) Annex 3: Notation on Additional Supporting Documents if any
e.g. the **TOR of Implementing Agency**



Additional documents required for JAIF Application



For projects that meet all or some of the following criteria:

- Programme approach (two or more activities)
- Results oriented
- Multiyear (duration > 12 months)
- High cost

Additional documents to be attached

- 1) Logical Framework Matrix
- 2) M&E Framework Matrix

JMT Consultation and review in proposal formulation



- Once draft proposal format is prepared, please **consult with JMT prior to proposal submission to ASEAN**
 - JMT reviews and provides comments for revisions on:
 - Budget
 - Unit costs specified in the JAIF Proforma Cost
 - Completeness of format and templates
 - Budget, indicative work plan, and TOR if applicable;
 - Contents
 - Completeness of the required information
- ➡ JMT provides assistance in revisions and facilitates communication with ASEC and Japan



Preparation of Budget Proposal

1. JAIF Budget Standard



JAIF Proforma Cost

2. JAIF Budget Structure/ Template



Programme/Activity Cost

Operational Cost

Contingency

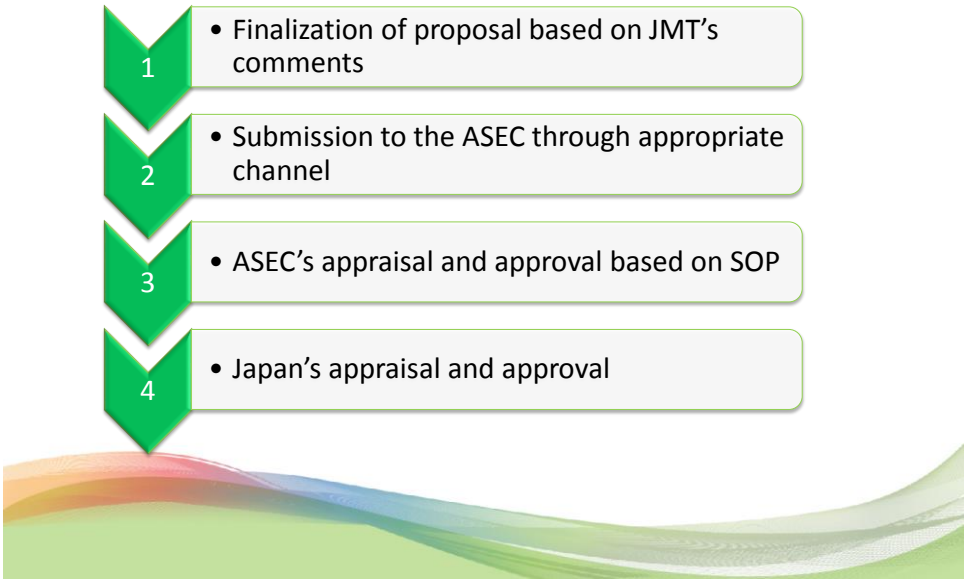


Preparation of Budget Proposal



BUDGET PROPOSAL (Sample)								JMT Comment
Project Title : ASEAN XXXXXX Management Forum								
Implementing Agency : XXXXXX Agency, Singapore								
Duration/Period : 3 days								
Budget Line	Description	Unit Cost	Quantity 1	Unit 1	Quantity 2	Unit 2	Total Cost (USD)	indicate in US Dollar
I. PROGRAMME/ACTIVITY COST								
A. Airfare								
A.1	Participants from AMS	700.00	27	Person	1	Time	18,900.00	excluding Singapore
A.2	International Expert	3,000.00	2	Person	1	Time	6,000.00	no GOJ Official
Total Budget for airfare							24,900.00	
B. Per diem								
B.1	DSA for: Participants from AMS	453.00	27	Person	4	Days	48,924.00	UN rate 2015
B.2	DSA for International Expert	453.00	2	Person	4	Days	3,624.00	no GOJ Official
Total Budget for per diem and accommodation							52,548.00	
C. Meeting package / Workshop / Seminar								
C.1	Meeting Package	35.00	34	person	2	days	2,380.00	plus 2 Secretariat Staff
C.2	Secretariat Support	1,200.00	1	lumpsum	1	time	1,200.00	
C.3	Report Dissemination/Shipping related costs	600.00	13	Set	1	Time	7,800.00	10 AMS, 2 ASEC, 1 GOJ
Total Budget for meeting package							11,380.00	
D. Consultant/Expert								
D.1	International Expert	571.00	2	person	3	day	3,426.00	TOR to be submitted
Total Budget for Consultant/Expert							3,426.00	
SUB TOTAL OF PROGRAMME COST (I)							92,254.00	
II. OPERATIONAL COST								
E. Management fee								
E.1	Management fee	6,457.78	1	set	1	set	6,457.78	7% of the Programme Cost
Total Budget for Administrative							6,457.78	
SUB TOTAL OF OPERATIONAL COST (II)							6,457.78	
Contingency 10% (III)							8,882.80	excl. personnel and consultancy
TOTAL (I + II + III)							107,594.58	

Proposal approval process at a glance



Summary:
Approval processes of JAIF projects by type

Type	Part A (regional) projects	Part B (non-regional) projects
ASEAN-initiated	<div>1. Submission to ASEC through: a. ASEAN Sectoral Bodies b. MOFA of the AMS c. ASEC Desk Officer 2. ASEAN approval 3. Japan approval</div>	<div>1. Submission to Embassy of Japan in AMS through: a.MOFA b.Line ministry 2. Japan approval by MOFA Japan 3. Acknowledgement by ASEAN</div>
Japan-initiated	<div>1. Submission to MOFA Japan 2. Japan approval 3. ASEAN approval</div>	<div>1. Submission to MOFA Japan 2. Japan approval 3. Acknowledgement by ASEAN</div>

Project completion



■ Proponent/IA is requested to:

- Inform DO of the **project end date** once the final activity in the indicative work plan is conducted
- Within **60 days after the project end date**: submit a set of **project completion and financial reports** to the ASEC



Financial verification from ASEC (confirmation of unspent balance)

- Within **90 days after the project end date**: **refund** the unspent balance with the accrued interest, if any, to JAIF account
- inform ASEC (ERD2) and JMT of the date when they make a transfer of unspent balance.



Requirements for report submission

[HB: 7.3, Appendix 6 - 11]

Timing	Project type	PJ < 6 mo	6 mo < PJ < 1 yr	Multi-yr PJ < USD 1 mil.	Multi-yr PJ USD 1 mil. <
	Type of documents				
6 mo	1. Semi-annual Financial Summary [Appendix 6 - 7]		✓	✓	
1 yr	2. a) Annual Progress Report b) Financial Summary c) Financial Report [Appendix 6 - 9]			✓	✓
Cmp	3. Project Completion Report [Appendix 10]	✓ 3 sets	✓ 3 sets	✓ 3 sets	✓ 3 sets
	3.a) Financial Summary 3.b) Financial Report 3.c) Financial supporting documents * [Appendix 6 - 8]	✓	✓	✓	
	3.d) Audit report [Appendix 11]				✓

*Financial supporting documents: original invoices and receipts or certified true copies
(in the absence of the supporting documents, the financial reports shall be certified by an external, international standard audit firms)

Report submission channel



- Reports/documents should be sent to:

External Relations 2 Division, The ASEAN Secretariat
70A Jl. Sisingamangaraja, Jakarta 12110, Indonesia

E-mail: externalrelationsdivision2@asean.org



JMT contact information



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