JAPAN POLICY AND HUMAN RESOURCES DEVELOPMENT
TECHNICAL ASSISTANCE GRANTS PROGRAM

FY09-FY13 POLICY DOCUMENT
(Amended September 2010)

1. **Background and Objective.** The Government of Japan (GoJ) has approved a new, restructured Japan Policy and Human Resources Development (PHRD) Technical Assistance (TA) program to assist eligible countries of the World Bank Group\(^1\) in enhancing their technical and institutional capacities. The duration of the new PHRD TA program would be from FY09-FY13. The overall policy framework and priority areas are being developed. This document provides the framework for the three pillars of the FY09-FY13 PHRD TA program.\(^2\) Other pillars will be added later.

2. **Priority Areas:** The FY09-FY13 PHRD TA program will focus on three thematic pillars:

   - **Pillar I - Agriculture and Rice Productivity Enhancement Research and Development:**
     
     (i) Development of rice seeds resistant to heat and drought\(^3\) by the International Rice Research Institute (IRRI) and/or Africa Rice Research Center (ARC), formerly WARDA\(^4\);
     
     (ii) Africa Rice Research and Productivity Development Program.

     The grants mentioned in this pillar will support activities consistent with the framework and priorities as identified by the Coalition for African Rice Development (CARD) and the Comprehensive African Agricultural Development Program (CAADP) processes at every level.

   - **Pillar II – Disaster Reduction and Recovery (DRR):**

     The objective of the PHRD TA DRR program is to reduce vulnerability to natural hazards in disaster prone countries, particularly in Asia including Pacific Islands countries, by strengthening the capacity to manage coastal and water resources and

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\(^1\) Includes the International Bank for Reconstruction and Development, the International Development Association and the International Finance Corporation, all referred to hereafter as the Bank.

\(^2\) There are separate Operating Guidelines for each program activity except for Pillar I (i) as this will be the subject of a direct transfer to CGIAR.

\(^3\) Detailed concept of development is as follows; development of the next generation of New Rice for Africa (NERICA) and other new high yielding rice varieties and hybrids - with improved stress tolerance and insect resistance - and tailored to the consumption preferences of African consumers.

\(^4\) Considering the length and size of the project, implementing agencies are required to prepare a proposal with clear and concise results, and provide explanations on progress and interim results appropriately in addition to progress reports mentioned in paragraph 15.
improve disaster information management to strengthen preparedness and reduce disaster impacts and adapt to climate change.

- **Pillar III – Disability and Development (D &D):**

  The main objective of the PHRD TA D&D program is to support activities that would contribute to better understanding of the issues surrounding disabilities in the grant recipient countries, develop appropriate policies and development interventions to address these issues, and to finance programs which directly benefit the disabled people.

- **Pillar IV – Other Activities including:**

  (i) Pacific Catastrophe Risk Financing Initiative Phase 2;

  (ii) Other activities consulted and agreed between the Ministry of Finance (MOF) of GoJ and the World Bank.

3. **Eligible Countries.** Unless otherwise stated in the specific Operating Guidelines, all World Bank borrowing member countries are eligible.

4. **Grant Implementation Period.** The PHRD TA grants will have a maximum implementation period of four years from the date of the counter-signature of the grant agreement by the recipient.

   4.1. **Project design.** When designing projects, the Bank is encouraged to emphasize creation and accumulation of the disseminable knowledge by utilizing appropriate methodologies such as impact evaluation, as well as to optimize effectiveness.

   4.2. **Grant Types.** Grants may be of the following types: (i) Capacity Building (ii) Co-financing of Bank-financed or managed operations; and (iii) Pilot Projects - Implementation of pilot projects.

5. **Eligible Expenditures.** Unless otherwise stated in the specific Operating Guidelines, the eligible expenditures include: (i) consulting services; and (ii) non-consultant costs for local training, minimal equipment, and operating costs essential to carry out the technical assistance. Workshops, local consultations, and training may be included if the requests clearly demonstrate these activities will enhance the quality of the technical assistance.

6. **Ineligible Expenditures.** Unless otherwise stated in the specific Operating Guidelines, the following expenditures are not eligible: (i) salaries for civil servants in recipient countries hired as consultants or otherwise; (ii) foreign training or study tours; and (iii) purchase of motor vehicles.

7. **Grant Execution Arrangements.** All grants are to be executed by the grant recipients. Exceptions may be made for grants to be Bank executed with strong justification based on technical complexity of the activities, multi-country scope and/or absence of an organization to implement the proposed grant activities.

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5 The Bank may consider waiving the requirement for recipient execution in accordance with Bank policy (see OP 14.40) in the following cases: emergency operations and post conflict countries.
8. **Program Administration Costs.** In order to cover the costs of FY10 PHRD Program Administration the Concessional Finance and Global Partnerships Vice Presidency (CFP) may establish a Bank Executed Trust Fund to cover costs up to a limit to be agreed in an exchange of correspondence with MOF. All expenditures necessary for Program Management are eligible.

9. **Call for Proposals.** CFP will invite proposals from the Bank’s Regional Vice President (RVP) Units with copies to the Networks.

10. **Submission of Grant Proposals.** The PHRD Unit in the Global Partnership and Trust Funds Operations (PTO) of CFP will submit all the eligible grant proposals from the RVP units and Networks to GoJ for approval.

11. **Review Procedures of Grant Proposals.** Proposals will be reviewed for technical feasibility and compliance with the PHRD TA procedures. See specific Operating Guidelines for the details of the technical review process.

12. **Bank’s Fiduciary Responsibilities as Grant Administrator.** All grants will be supervised by the Bank in order to ensure compliance with the Bank’s Procurement and Financial Management Guidelines (as for World Bank loans and credits).

13. **Changes in Grant Objectives.** Substantial changes in the grant’s development objectives after approval by GoJ would need to be referred to GoJ for re-approval. A request for changes in the development objectives with a justification has to be sent to the PHRD Unit for review and submission to GoJ for re-approval.

14. **Reallocation of Funds among Expenditure Categories or Activities.** Reallocation among expenditure categories or grant activities, including dropping of approved, or adding of new eligible categories or grant activities, should be cleared by the Sector Manager/Director. Clearances from Legal and Financial Management Specialists are required for any amendments to the Grant Agreement which should be signed by the Country Director.

15. **Consultation with Officials of the Embassy of Japan (EoJ), Japan International Cooperation Agency (JICA) and Visibility of Japan’s Assistance to the PHRD TA Program.** In order to ensure harmonization and coordination, Bank task teams are required to consult with the EoJ accredited to the recipient country about the PHRD grant application and are required to discuss the design objectives and expected outcomes of the proposed project with JICA before submission of the proposal to CFP for review. Such consultation and information sharing by task teams will help expedite the decision-making process. In addition, Bank task teams are also required to share the information on the progress and outcomes of PHRD projects with the EoJ and JICA in the field for enabling both sides to seek potential collaboration by relevant measures such as joining preparation and supervision mission of the project. Please refer to the Guidance Note on Visibility of Japan attached to this document.

16. **Progress Reporting.** For the purposes of monitoring the development outcomes, the Grant Agreement – based on the Grant Funding Request – will be the binding document. The Task Team Leader will be responsible for preparing an annual grant implementation status report in the Grant Reporting and Monitoring (GRM) system, rating the status of grant implementation, and documenting the completion of deliverables and outputs. For grants over US$1 million, an *Implementation Completion Memorandum* (ICM) will be prepared at completion of the grant financed activities. The ICM will document the actual cumulative inputs, outputs and outcomes of the grant. For grants under US$1 million, the final Grant Status Report will include additional
information regarding grant activity outcomes. The summary of the grant activities and result will be shared with the donor by the PHRD Unit in PTO. In addition to the reporting on individual projects mentioned above, the World Bank is required to provide a concise report on comprehensive progress and results on each thematic pillar in paragraph 2 at appropriate opportunities such as annual meetings with the MOF trust fund office or policy dialogues between the GoJ and the Bank.

17. **Maintenance of Documents.** Operational departments will keep copies of key documents related to PHRD TA grants, including Terms of Reference and contracts for consultants subject to the Bank’s prior review, reports and reports prepared by consultants, in accordance with the Bank’s document retention policy. Task teams should send the original Grant Agreement and Disbursement Letter to the Legal department of the RVP Unit.
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<tr>
<th>Pillar I:</th>
<th>Amount (US$ million)</th>
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<tbody>
<tr>
<td>(i)</td>
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<td></td>
<td>Development of rice seeds resistant to heat and drought by the IRRI and/or WARDA;</td>
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<td>(over 5 years)</td>
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<td>(ii)</td>
<td>Africa Rice Research and Productivity Development</td>
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<td></td>
<td>(over 5 years)</td>
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<td>Pillar II:</td>
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<td>Activities under the Disaster Prevention program</td>
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<td>(over 5 years)</td>
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<td>Pillar III:</td>
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<td></td>
<td>Activities under the Disability and Development Program</td>
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<td>(over three years)</td>
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<td>Pillar IV</td>
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<td>- Pacific Catastrophe Risk Financing Initiative Phase 2;</td>
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<td>- Other activities to be determined.</td>
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JAPAN POLICY AND HUMAN RESOURCES DEVELOPMENT (PHRD) TECHNICAL ASSISTANCE (TA) PROGRAM
GUIDANCE NOTE ON VISIBILITY OF JAPAN

Introduction
The Government of Japan (GoJ) has contributed to the Policy and Human Resources Development (PHRD) Technical Assistance (TA) Program in support of work by, and on behalf of, World Bank borrowing countries since 1990. The purpose of this note is to provide guidance on measures to ensure that the contribution of Japan in supporting PHRD is widely recognized.

Statement on Visibility
The Annual Policy Document provides the following clause on Consultation with Local Japanese Officials and Japanese Visibility:

Consultation with Local Japanese Officials. In order to ensure harmonization and coordination, Bank task teams are required to consult with the Embassy of Japan accredited to the recipient country about the PHRD grant application before submission of the proposal to CFP for review. Such consultation and information sharing by task teams will help expedite the decision-making process. In addition, Bank task teams are encouraged to share the information about progress and outcomes of PHRD projects with the Embassy of Japan and other Japanese aid agencies in the field.

Japanese Visibility. Bank task teams are asked to help promote the visibility and local awareness of PHRD in recipient countries through the following types of activities:

(a) Publications, training programs, seminars and workshops financed by PHRD grants should clearly indicate that the activities in question have received funding from the Government of Japan;
(b) The logo (usually the Japanese national flag) should be used in publications financed by the PHRD program, and in banners and any other materials used in seminars and training programs financed by PHRD grants;
(c) All press releases issued by the Bank with respect to PHRD grants should refer to the financial contribution from the Government of Japan;
(d) Recipients should be encouraged to ensure that PHRD-financed activities are well covered by local print and electronic media, and that all related publicity materials, official notices, reports and publications explicitly acknowledge Japan as the source of funding received;
(e) Grant signing ceremonies in the field should be encouraged, with the Recipients being encouraged to include Japanese embassy officials and to invite local and international press to these ceremonies.
In addition, CFP may promote visibility of PHRD by: (i) informing Country Directors of the importance of signing ceremonies to Japanese officials and the public to ensure recognition and support for PHRD funding; and (ii) continuing widespread distribution of the PHRD Annual Report, inclusion of PHRD information in relevant Bank documents, and occasional information sessions for Japanese organizations. A Guidance Note providing samples of other ways to improve visibility is attached.

**The PHRD TA Program’s Logo**
The logo (usually the Japanese national flag) will be used on the PHRD website. All grant approval notifications to the Regions will include this guidance note and a “Word” and a “PDF” version of the logo for use by the Bank and the grant recipients. The Bank will make every effort to ensure that: (i) publications, training programs, seminars, workshops, financed by the PHRD grants clearly indicate that the activities in question have received funding from the Government of Japan; (ii) all press releases issued by the Bank with respect to the PHRD grants refer to the financial contribution of Government of Japan; and (iii) the logo is used in publications financed by the PHRD program, banners and any other materials used in seminars and training programs financed by the PHRD grants.

**Local Publicity Opportunities**
In addition to use of the logo, Bank staff are urged to take all appropriate measures to encourage Recipients to ensure that PHRD TA-financed activities are well covered by local print and electronic media, and that all related publicity materials, official notices, reports and publications explicitly acknowledge Japan as the source of funding received. Below is a standard text suggested for use by those who prepare publicity materials: “The grant which financed this (name of activity) was received under the Policy and Human Resources Development Technical Assistance Program which is financed by the Government of Japan.”

Many Bank Country Offices periodically publish newsletters. New grant approvals and signing should be publicized in these newsletters.

Most country offices have Communications staff. Task Teams are encouraged to consult with them on ways to increase the visibility of Japan regarding PHRD grants. Opportunities to publish articles on high visibility projects prepared with the PHRD TA grants should be explored and utilized.

Task teams are advised to brief the Country Managers/Country Directors about the implementation status of PHRD grants. Such information will help the Country Offices highlight Japan’s contribution, where relevant, in their meetings and presentations in seminars and workshops.

**Ceremonial Events**
Country Directors will, at the same time as the task teams, receive notification of grant approvals and will be informed of the importance of signing ceremonies to Japanese officials and the public. At grant signing ceremonies and other publicity events, the Bank’s country-based staff are expected to foster the attendance and participation of
country-based officials of the Embassy of Japan in a manner that provides due recognition of their donor status. Grant recipients should take the lead in organizing such ceremonies, and whenever possible, Recipients should issue the formal invitation to attend. Such ceremonial events should also be alerted to the media and publicity outlets referred to above.

**Visibility from Headquarters**

Country-based Bank staff is requested to forward copies of all visibility material, such as press releases, newspaper and magazine articles, and photographs (including descriptive captions) to the following address:

PHRD Unit  
Mail Stop H 3-305  
Global Partnership and Trust Fund Operations  
Concessional Finance and Global Partnerships  
The World Bank  
Washington, DC 20433  
USA