



ASEAN-ROK COOPERATION FUND

MANUAL



THE COMPLETE GUIDE TO AKCF

**ASEAN-ROK
COOPERATION
FUND**

MANUAL

What is ASEAN-ROK Cooperation Fund?



The purpose of the AKCF is to enhance the ASEAN-Republic of Korea relations by implementing various cooperation activities which includes technology transfer, human resource development, culture and academic exchanges.

Key Figures

1990

Established in 1990

USD 16M

per-year since 2022

USD 136M

as of 2021

400+

Number of projects

Main References for AKCF-FUNDED Projects



ASEAN 2025: Forging Ahead Together



ASEAN Sectoral Workplan(s)



ASEAN-ROK Plan of Action



AKCF Framework

AKCF Framework: 2021-2025

GOAL

Realizing ASEAN Community Vision 2025

Achieving a People-centered Community of Peace and Prosperity

PRIORITY SECTOR

Public Health

Support control of infections diseases including COVID-19

Enhance cooperation in developing healthcare capacities

Establish and strengthen networks for public health cooperation in the region

Address future public health emergencies

Education and Training

Promote inclusive and equitable quality education

Develop human capacity through more opportunities to higher education and lifelong learning in areas such as STEM

Improve the relevance, quality, and access of TVET

Expand ASEAN-ROK educational exchanges

Support and cooperate in improving and innovating distance learning systems

Promote the advancement of public administration

Culture and Tourism

Expand two-way cultural exchanges

Increase support for the development of cultural and creative industries and MSMEs

Strengthen active cooperation in tourism and sports

Enhance multicultural inclusion

Continue people-to-people exchanges by utilizing virtual and digital technologies

Economic Resilience

Strengthen supply chain connectivity, diversification and resilience

Promote digital economy through e-commerce, e-government and e-services

Provide support to MSMEs and smart infrastructure development

Environment, Safety and Peace

Strengthen cooperation to cope with climate change issues and reduce carbon footprints

Expand cooperation to protect the oceans, biodiversity, and the environment

Provide support to strengthen disaster management capacity

Promote cooperation to combat terrorism, and other transnational crimes and non-traditional security

ASEAN-ROK Programme Management Team (AKPMT)

AKPMT jointly formulates and manages AKCF funded activities together with ASEAN and the Ministry of Foreign Affairs of ROK. The AKPMT is responsible for planning, design, management, implementation and programming of AKCF funded programmes/projects.



If you want to apply for AKCF, please visit our website or e-mail us:



 www.aseanrofund.com  akpmt@asean.org

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Abbreviations and **Acronyms**

ACRF	ASEAN Comprehensive Recovery Framework
AEC	ASEAN Economic Community
AKCF	ASEAN-Republic of Korea Cooperation Fund
AKPMT	ASEAN-Republic of Korea Development Cooperation Programme Management Team
AMS	ASEAN Member States
AOIP	ASEAN Outlook on Indo-Pacific
APSC	ASEAN Political Security Community
ASCC	ASEAN Socio-Cultural Community
ASEAN	Association of Southeast Asian Nations
ASEC	ASEAN Secretariat
CLMV	Cambodia, Lao PDR, Myanmar and Vietnam
CPR	Committee of Permanent Representatives
DO	Desk Officer
FBD	Finance and Budget Division
FOCF	Future Oriented Cooperation Fund
GAAP	Generally Accepted Accounting Principles
IA	Implementing Agency
IAI	Initiative for ASEAN Integration
IFRS	International Financial Reporting Standards
IPSAS	International Public Sector Accounting Standards
JCC	ASEAN-ROK Joint Cooperation Committee

Abbreviations and **Acronyms**

MOFA	Ministry of Foreign Affairs
MSME	Micro, Small and Medium Enterprises
M&E	Monitoring and Evaluation
PAL	Project Assignment List
PCPMD	Programme Cooperation and Project Management Division
PCR	Project Completion Report
PIB	Project Initiation Brief
PIP	Project Implementation Plan
PoA	ASEAN-Republic of Korea Plan of Action
PSC	Project Steering Committee
ROK	Republic of Korea
SCF	ASEAN-Republic of Korea Special Cooperation Fund
SDG	Sustainable Development Goals
SOP	Standard Operating Procedure
SOP PFDR	Standard Operating Procedure on Project Financial Disbursement and Reporting
STEM	Science, Technology, Engineering and Mathematics
The Framework	The Framework for the ASEAN-Republic of Korea Cooperation Fund (2021-2025)
ToR	Terms of Reference
TVET	Technical and Vocational Education and Training
UN DSA	United Nations Daily Subsistence Allowance
USD	United States Dollar



Introduction

How To Use This Manual



OBJECTIVES

The purpose of the AKCF Manual is to provide general information on operational rules and practices that are applicable to programmes/projects funded by the ASEAN-ROK Cooperation Fund (AKCF). It also supplements the ASEAN Secretariat's "ASEAN Cooperation Projects Design and Management Manual" in the context of AKCF.

The main objective of the Manual is as follows:

- Ensure better understanding on the collaboration between ASEAN and ROK through the implementation of AKCF programmes/projects;
- Support potential proponents to prepare proposals and plan their activities properly;
- Improve **Transparency & Accountability** by providing clear guidance on the utilization of the AKCF to various stakeholders on the AKCF. The manual supplements [ASEAN Cooperation Projects Design and Management Manual](#);
- Increase **Ownership** by ensuring proper interventions for each stage of the AKCF project management cycle.

TARGET AUDIENCE

All stakeholders involved in the AKCF management, such as project proponents, Implementing Agencies (IAs), the ASEAN Secretariat (ASEC) and other stakeholders at the regional and national level.

For potential proponents and Implementing Agencies (IAs) of the AKCF programmes/projects, this Manual provides guidance and serves as a reference. Relevant Divisions in the ASEAN Secretariat (ASEC) will refer to the Manual for their administration of AKCF programmes/projects.

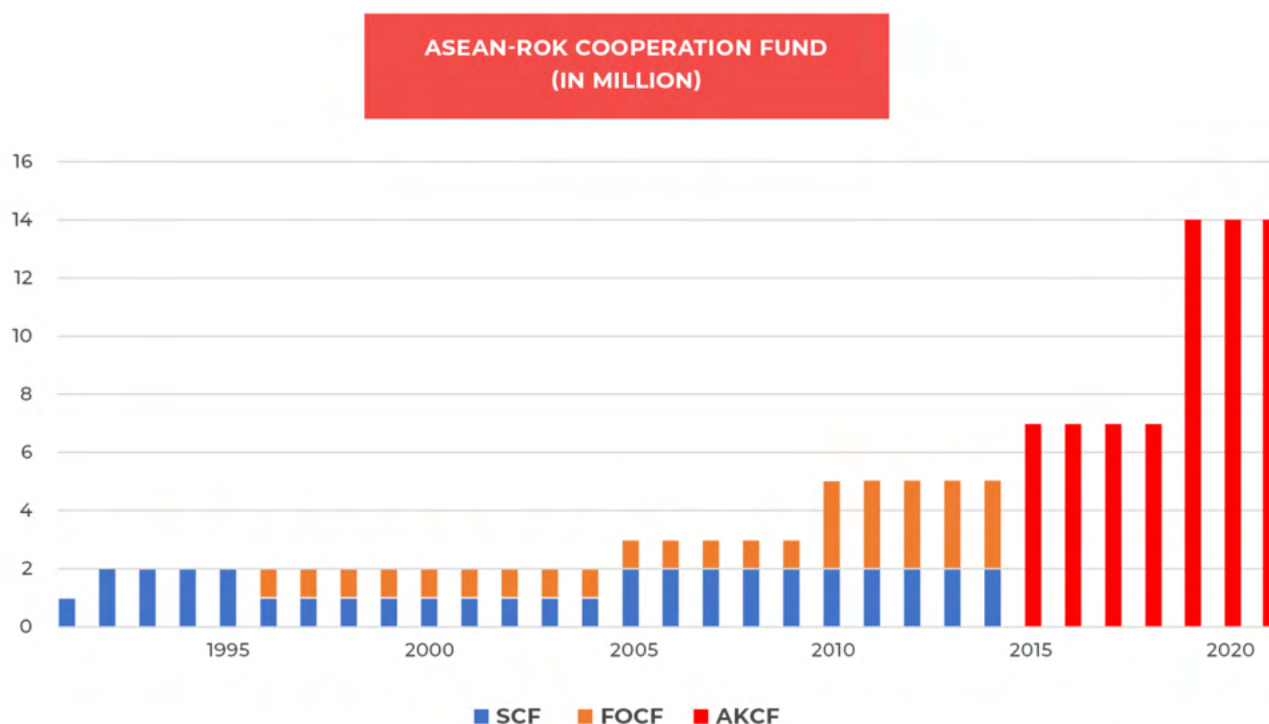


Chapter 1
Overview of AKCF

1.1. BACKGROUND

Following the establishment of sectoral dialogue relations between ASEAN and the ROK in 1989, the ROK government launched the ASEAN-ROK Special Cooperation Fund (SCF) in 1990 with an aim to enhance people to people exchanges. In 1996, the ASEAN-ROK Future-Oriented Cooperation Fund (FOCF) was further launched to implement cooperation projects outlined in the ASEAN-ROK Plan of Action. The ROK government increased its annual contribution to SCF and FOCF several times as shown in the chart below. In 2015, SCF and FOCF were merged into the AKCF with an annual contribution of USD 7 million.

In 2019, the ROK government increased its contribution to AKCF from USD 7 million to 14 million to support more joint programmes.



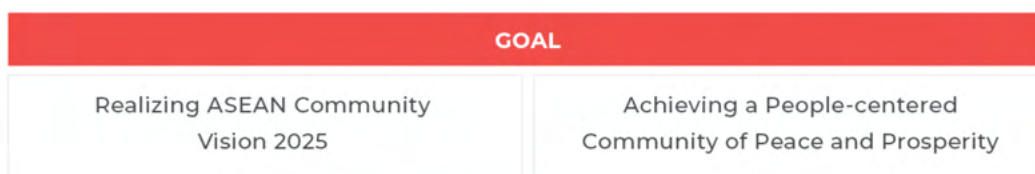
1.2. STRATEGIC DIRECTION OF THE AKCF

The Strategic Direction of AKCF is guided by **The Framework for the ASEAN-ROK Cooperation Fund 2021-2025 (The Framework)**. The Framework is a strategic document of the ASEAN-ROK cooperation adopted by ASEAN and the ROK in 2021 through intensive consultations among AMS, the ROK, and ASEC. The objective of the Framework is aimed at providing a strategic direction and enhancing the effectiveness of the ASEAN-ROK Cooperation Fund by laying out its principles, priority sectors and implementation modalities towards the goal of realizing the ASEAN Community Vision 2025.

The Framework clarifies that AKCF should be utilized to advance the strategic partnership between ASEAN and ROK, and stand in accordance with the objectives laid out in 'ASEAN-ROK Joint Vision Statement for Peace, Prosperity and Partnership,' 'ASEAN-ROK Plan of Action 2021-2025' and 'ASEAN Comprehensive Recovery Framework'.

1.3. THE AKCF PRIORITY AREAS

The priority areas of cooperation have been discussed and agreed between ASEAN and the ROK to better meet the emerging priorities for cooperation between ASEAN and the ROK, including, but not limited to, initiatives from the ASEAN-ROK Plan of Action 2021-2025, and the ASEAN Comprehensive Recovery Framework. The AKCF Framework identifies five priority sectors which are (a) public health, (b) education and training, (c) culture and tourism, (d) economic resilience, and (e) environment, safety, and peace. However, programmes/projects of other sectors in line with the objectives of the Framework can also be suggested by ASEAN and the ROK.



PRIORITY SECTOR				
Public Health	Education and Training	Culture and Tourism	Economic Resilience	Environment, Safety and Peace
<ul style="list-style-type: none"> Support control of infectious diseases including COVID-19 Enhance cooperation in developing healthcare capacities Establish and strengthen networks for public health cooperation in the region Address future public health emergencies 	<ul style="list-style-type: none"> Promote inclusive and equitable quality education Develop human capacity through more opportunities to higher education and lifelong learning in areas such as STEM Improve the relevance, quality, and access of TVET Expand ASEAN-ROK educational exchanges Support and cooperate in improving and innovating distance learning systems Promote the advancement of public administration 	<ul style="list-style-type: none"> Expand two-way cultural exchanges Increase support for the development of cultural and creative industries and MSMEs Strengthen active cooperation in tourism and sports Enhance multicultural inclusion Continue people-to-people exchanges by utilizing virtual and digital technologies 	<ul style="list-style-type: none"> Strengthen supply chain connectivity, diversification and resilience Promote digital economy through e-commerce, e-government and e-services Provide support to MSMEs and smart infrastructure development 	<ul style="list-style-type: none"> Strengthen cooperation to cope with climate change issues and reduce carbon footprints Expand cooperation to protect the oceans, biodiversity, and the environment Provide support to strengthen disaster management capacity Promote cooperation to combat terrorism, and other transnational crimes and non-traditional security

1.4. AKCF LOGO

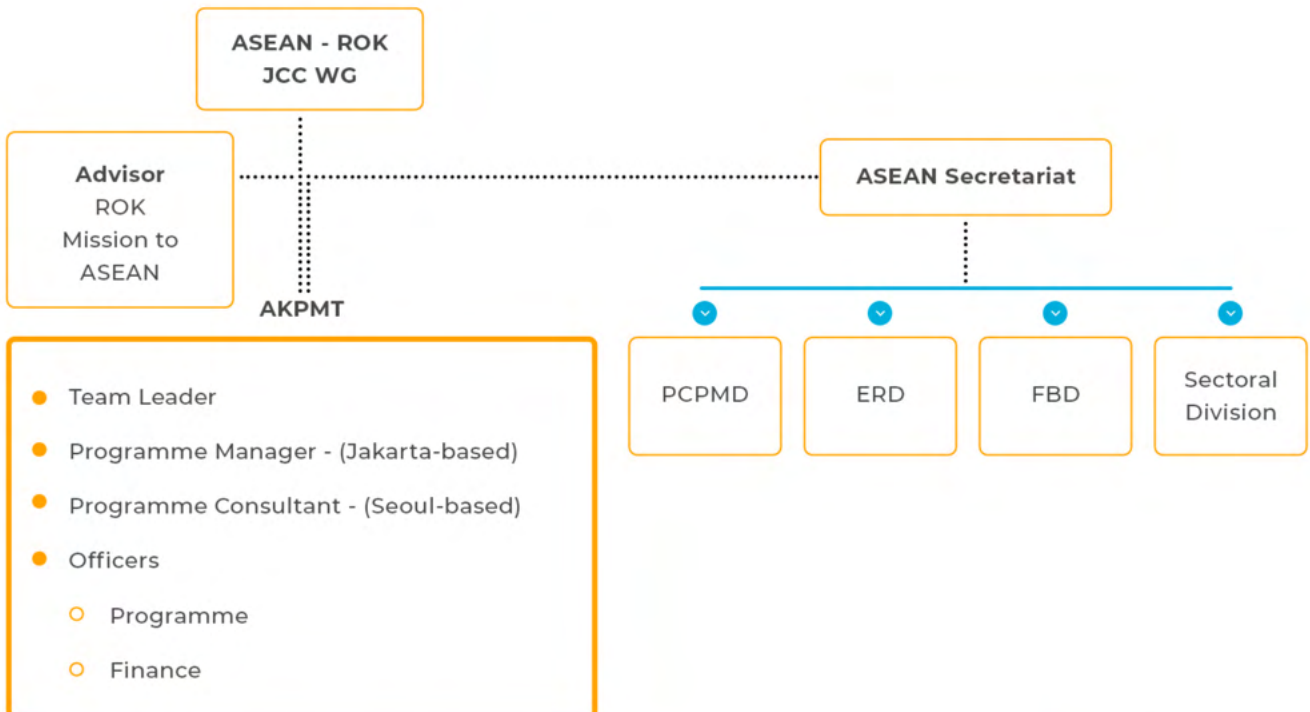
The AKCF logo was created with a view to enhancing the visibility of the AKCF to the broader audience and beneficiaries. When proponents carry out AKCF projects, the logo should be presented in all project documents, project reports, publications, meeting materials and other kinds of promotional materials to indicate support from the AKCF. The AKCF logo can be downloaded from the AKCF website (<https://www.aseanrokfund.com>).



1.5. ASEAN-REPUBLIC OF KOREA DEVELOPMENT COOPERATION PROGRAMME MANAGEMENT TEAM (AKPMT)

The ASEAN-ROK Development Cooperation Programme Management Team (AKPMT) was established at the end of 2016. In close coordination with the ROK Mission to ASEAN and ASEC, the AKPMT manages AKCF projects during the whole project cycles, including formulation, implementation, and completion of programmes/projects.

Located at the ASEAN Secretariat, AKPMT is led by a Team Leader with a detailed structure as below:



The ASEAN Secretariat Heritage Building 4th FL
 Jl. Sisingamangaraja 70A, Jakarta 12110
 Indonesia



akpmt@akpmt.org
 akpmt@asean.org
www.aseanrokfund.com

The mandates and responsibilities of the AKPMT include but are not limited to:

- To be the main contact of information and communication among proponents, the ASEAN Secretariat and ROK in the proposal development, appraisal, and approval process;
- Liaise with the ASEAN Secretariat and ROK government through the ROK Mission to ASEAN during the whole project cycle;
- Support the proponent to develop project proposal particularly in reviewing and advising the proposal content, to ensure that the proposal is fulfilling all requirements both from ASEAN and ROK;
- Support the proponent and Implementing Agency to find ROK participants/experts to participate in project activities;
- Participate in main project activities implementation as observer, as and when necessary for Monitoring & Evaluation (M&E) purposes;
- Review the project progress report and project completion report submitted by the proponent;
- Keep track of the project progress and project expenditure;
- Facilitate project activity revision process;
- Monitor and evaluate all AKCF funded projects;
- Promote AKCF to relevant stakeholders in ASEAN and ROK.

1.6. OWNERSHIP OF AKCF PROJECT OUTPUTS

Every output (movable or immovable) of AKCF programmes/projects are owned by ASEAN. AKPMT is entitled to use project deliverables and outputs for promotion. The use of project deliverables and outputs should be consulted with ASEC and ROK **through AKPMT.**



Chapter 2

Project Formulation and Approval



2.1. ELIGIBILITY FOR THE AKCF

Definition of Proponents and Implementing Agencies (IA)

AKCF is following the definition stipulated in the ASEAN Cooperation Project Design and Management Manual:

The proponent refers to: Initiator or formulator of a project proposal, comprising both the individual and the organization that the Proponent represents.

Implementing Agency refers to: Legal entity that receives project funding, usually through the ASEAN Secretariat, to implement an approved ASEAN cooperation project. The Proponent can be an Implementing Agency.

In all AKCF funded projects, the project proponent will bear full responsibility of the AKCF grant utilization starting from project design; implementation and reporting until the project is completed and officially closed. AKCF allows the proponent to hire Implementing Agency (IA) to support implementation of the project activities and the IA will report to the proponent. The proponent takes full responsibility for the accountability and the working quality of the IA.

Eligibility of Proponents and Implementing Agencies (IA)

ASEAN	ASEC, ASEAN Intergovernmental Organization, Ministries, Government-affiliated Organizations, Non-profit Organizations and Universities, Public Associations and Foundations.
ROK	Ministries, Government-affiliated Organizations, Non-profit Organizations and Universities, Public Associations and Foundations
International Organizations	Subject to prior endorsement by AMS and the ROK

*Individuals or for-profit organizations are not eligible to be proponents or IAs of AKCF programmes/projects

Eligibility of Programmes/Projects for Application

Projects eligible for application should meet the following qualifications:

- The programmes/projects should enhance the cooperative relationship between ASEAN and ROK;
- The programmes/projects should be in line with the action lines laid out in the blueprints of the ASEAN Political Security Community (APSC), the ASEAN Socio-Culture Community (ASCC), and the ASEAN Economic Community (AEC) to achieve the ASEAN Vision 2025;
- The programmes/projects should be in line with the ASEAN-ROK Cooperation Fund Framework (2021-2025);

- The programmes/project should be in accordance with the objectives laid out in the The ASEAN-Republic of Korea Joint Vision Statement for Peace, Prosperity and Partnership adopted in 2019 to commemorate the 30th anniversary of ASEAN-ROK Dialogue Relation that agrees to three main agendas: Advance ASEAN-ROK Strategic Partnership into the Future; Together towards Peace – Ensuring a Peaceful Region and Together Towards Prosperity – Enhancing an Economic Partnership;
- The programmes/projects should be in line with the cooperation areas of the ASEAN Outlook on Indo-Pacific (Maritime Cooperation, Connectivity, SDGs, and Economic); also in line with Broad Strategies of ACRF (Enhancing Health Systems; Strengthening Human Security; Maximizing the Potential of Intra-ASEAN Market and Broader Economic Integration; Accelerating Inclusive Digital Transformation and Advancing Towards a More Sustainable and Resilient Future);
- The programmes/projects should generally engage all ASEAN Member States (AMS) as well as ROK. However, projects under the Initiative for ASEAN Integration (IAI) Work Plan IV should abide by the guidelines of the IAI Work Plan IV regarding beneficiaries;
- Both ROK and ASEAN nationals/institutions should participate in the implementation of the programmes/projects; and their collaboration should be stipulated in the Human Resource Inputs section of the project proposal;
- The programmes/projects could be a recurring programmes/project. Please refer to the ASEAN Cooperation Projects Design and Management Manual for definition of recurring programmes/projects in ASEAN context;
- Priority will be given to multi-year and multi-activity programmes/projects;
- Participation of experts/resource persons other than ROK and ASEAN nationals requires prior consultation from AKPMT.

2.2. PROPOSAL FORMULATION

Consultation with AKPMT

Proponents must consult with AKPMT prior to submitting a project proposal for **ASEC Project Appraisal and Approval Process** to ensure better coherence between the proposal and the strategic direction of the Framework. Prior consultation with AKPMT does not indicate the approval of the proposal.

The proponent may consult with AKPMT in terms of:

- **Proposal Content**
To ensure that the consulted project proposal is in line with the ASEAN Blueprints and AKCF priorities.
- **Project Budget**
To ensure that the budget is in line with the AKCF Pro-Forma Cost.
- **Project Partners**
AKPMT may assist ASEAN/ROK proponent (if required) to liaise and find compatible project partners/institutions/experts/consultants. Prospective proponents should prepare relevant documents such as Terms of Reference (ToR) and indicative budget.

Proposal Preparation

Proponent should use the most updated ASEAN Cooperation Project Proposal Template for proposal formulation. Application for programmes/projects under AKCF should include:

- ASEAN Cooperation Project Proposal (APPENDIX 1 in AKCF Manual);
- Annex 1: Budget Proposal (APPENDIX 2 in AKCF Manual);
- Annex 2: Indicative Work Plan (APPENDIX 3 in AKCF Manual);
- Annex 3: Notation on Additional Supporting Documents (where applicable) such as the ToR of IA and consultants/experts.

The proposal formulation should follow the guidelines provided in the *ASEAN Cooperation Projects Design and Management Manual*. In addition to the contents elaborated in the Manual, the proposal should be in line with the guidance below:

- Each budget item in the budget proposal (APPENDIX 2) should follow the AKCF Pro-Forma Cost (Please refer to Chapter 4). Budget items that are not stated in the Pro-Forma Cost should be consulted with MOFA ROK through AKPMT;
- If proponent employ IAs, staffs, consultants and other human resources, proponent should include the ToR of IAs and all human resources as Annex 3 of the project proposal;
- Proposals for multi-year programmes/projects should include a paragraph on the establishment of Project Monitoring and Evaluation Mechanism such as Project Steering Committee or Mid Term Review; also the submission of an Annual Interim Report, Annual Financial Interim Report and Project Completion Report. The annual reports shall be submitted within 30 calendar days of every end of ASEC fiscal year while a Project Completion Report (PCR) should be submitted within 60 calendar days after the project is completed.

Proposal Development Stage

The proponent must consult/discuss with AKPMT when developing the draft proposal. During the proposal development, proponents should have a clear vision of the project inputs, process, outputs, outcomes, sustainability, and impact. Please refer to APPENDIX 8 for guiding questions in developing the AKCF project proposal.

2.3. PROPOSAL REVIEW AND APPROVAL PROCESS

Project proposal requesting for AKCF grant will be reviewed by both ASEAN and ROK. Proponent can be requested to revise the proposal several times at any stage of the proposal review approval process. Please note that comments and request to revise draft project proposal are not indication of proposal approval.



Project Review and Approval Process

Submission of Proposal

The proponent shall submit the proposal to proposal@akpmt.org with the subject of **[Submission] Project Title** in editable format (MS Word and Excel).

AKPMT Review (in consultation with the ROK Mission to ASEAN)

AKPMT reviews and conducts an initial screening of proposals in consultation with the ROK Mission to ASEAN. If the proposal is rejected or regarded as withdrawn at this stage, the proponent will receive a letter of regret from AKPMT.

ROK Preliminary Review

After the review by AKPMT, the ROK reviews the proposal with reviewing committee involving relevant Ministries and experts. AKPMT will inform the proponent and ASEC of ROK's decision. AKPMT will inform the proponent if further revisions/clarifications are required, and the proponent should revise the proposal accordingly.

ASEAN Appraisal and Approval

The proposal that obtained preliminary endorsement from the ROK will be sent to ASEC for ASEAN review and internal approval process. The process takes at least 88 working days for single sector projects, and 96 working days for cross-sector projects to obtain approval from the Committee of Permanent Representatives (CPR). The process follows the Standard Operating Procedures (SOP) on ASEAN Project Appraisal and Approval Process.

Final Approval of ROK

After obtaining CPR's approval, the ROK government will conduct final approval of the proposal. If the proposal is rejected, the proponent will receive a letter of regret from AKPMT.

Upon obtaining the final approval from the ROK Government, AKPMT will inform the proponent to submit the AKCF Project Initiation Brief and its annexes (APPENDIX 4, APPENDIX 4.1 and APPENDIX 4.2) and Information Disclosure Agreement (APPENDIX 5).

POST CPR Approval

In some circumstances, the project might require post CPR approval. AKCF follows ASEAN guidelines on post CPR approval. Refer to sub-chapter 5.4 of the ASEAN Cooperation Projects Design and Management Manual for further information on the ASEAN post CPR approval process and conditions.



Chapter 3

Project Implementation and Reporting



3.1. PROJECT INITIATION

The proponent could not start project activities until the official final approval by ROK is issued. ROK has the right to reject funding the initiative if the project implementation is not in accordance with the endorsed project proposals.

Upon obtaining the approval from ROK, the proponents are required to submit the Project Initiation Brief (PIB) and its annexes (APPENDIX 4, APPENDIX 4.1 and APPENDIX 4.2); and the Information Disclosure Agreement (Appendix 5) to ASEC through AKPMT. The submission will be the basis for fund disbursement. The Project Initiation Brief consists of the following:

3.1.1. PROJECT INITIATION BRIEF

Project Initiation Brief (PIB) is a document required for programmes/projects under AKCF. Once the approval is obtained, the proponent should develop PIB as the official announcement of the project. PIB will be uploaded on the AKCF website. Submitted reports and documentations of project activities are expected to be uploaded on the AKCF website during the whole cycle of project.

3.1.2. PROJECT ASSIGNMENT LIST

Project Assignment List (PAL) is an annex document to PIB. PAL is a matrix signed by the head of the proponent that provides details of the project's deliverables, disbursement rates and the date of expected financial tranches. PAL defines milestones for project implementation and budget disbursement. Each milestone will be composed of relevant outputs and activities stipulated in the proposal and relevant deliverables to show the progress of the programmes/projects. The first milestone should be the "Project Initiation," and the deliverable should be the "Project Initiation Brief (PIB)". PAL will be used as a basis for the Disbursement Letter issued by ASEC. The PAL is available in APPENDIX 4.1.

3.1.3. PROJECT IMPLEMENTATION PLAN

Project Implementation Plan (PIP) is an annex document to PIB. Proponent must list all project activities to be implemented under AKCF, all targeted tasks, deliverables, and achievements of the activities. PIP will be used by AKPMT to monitor the project progress and ensure that all deliverables in the Project Assignment List are achieved. PIP is available in APPENDIX 4.2.

The AKPMT may disclose the project information to the public, upon the agreement of proponents. Proponent shall provide their consent to disclose project information by filling out the **Information Disclosure Agreement** template (APPENDIX 5).

After proponents' submission of Project Initiation Brief and Information Disclosure Agreement to AKPMT, AKPMT will share the agreed PIB to a Desk Officer (DO) at ASEC to be further used as the basis in preparing the Disbursement Letter.

Initial Fund Disbursement

Upon receiving signed Disbursement Letter, the fund recipient is requested to return the Disbursement Letter with the countersignature, as well as the bank account information for the disbursement of the approved project to the DO. ASEC will disburse the approved budget in accordance with the agreed disbursement rate.

As prescribed in the ASEAN Standard Operating Procedure on Project Financial Disbursement and Reporting (SOP PFDR), the maximum initial disbursement rate shall be 90% for single year programmes/projects and 70% for multi-year programmes/projects. However, the proponent is recommended to arrange the disbursement tranches annually to coincide with the submission of Annual Interim Report. The last financial tranche should be 10% of the total budget as the final disbursement. The administration process to release financial tranche takes around 30 days.

3.2. PROJECT IMPLEMENTATION

Proponents should implement project activities in accordance with the Project Implementation Plan (PIP). The proponents should notify AKPMT prior to activity implementation at least one month in advance.

During project implementation, the proponents are required to submit a series of reports that showcase the progress of the project activities implementation and budget utilization. AKPMT has adopted ASEAN standard on project progress reporting. Please refer to the ASEAN Cooperation Project Design and Management Manual available in the ASEAN website.

The proponents should submit the following reports as part of the AKCF monitoring and evaluation requirements:

● Annual Interim Report

Proponents should submit the Annual Interim Report (APPENDIX 9) to relevant DO in the ASEAN Secretariat through AKPMT by 15 January which covers all budgetary expenditure from 1 January to 31 December of the previous year for ASEC's audit purpose.

The project's Annual Interim Report should also include the following documents:

- Project Interim Narrative Report;
- Project Interim Financial Report;
- Certified receipts of expenditure.

● Project Interim Report

In a case where the proponent scheduled financial tranche that not following ASEAN financial cycle, proponents should submit the Project Interim Report (APPENDIX 9) to a relevant DO in the ASEAN Secretariat through AKPMT. Project Interim Report explains the current progress of the project implementation which covers project progress from the last annual interim report. When developing the report, the proponent should reflect all stated outputs and deliverables stated in project proposal, project budget, project Work Plan and PAL.

The Project Interim Report should include the following documents:

- Project Interim Narrative Report;
- Project Interim Financial Report;
- Certified receipts of expenditure.

Annual Interim Report and Project Interim Reports will be the basis for subsequent tranches of fund disbursement. Proponents are recommended to coordinate the timeline of the Project Interim Report's submission to ensure timely disbursement of subsequent tranches. If the proponent is arranging financial tranche annually following the ASEAN financial cycle, the submission of Project Interim Report is not required.

Subsequent Tranche(s) of Fund Disbursement

Upon endorsement of the Annual Interim Report/Project Interim Report, the proponent could submit request for subsequent tranche of fund disbursement to DO through AKPMT to facilitate the disbursement of the approved amount in accordance with the agreed disbursement rate on the PAL and Disbursement Letter.

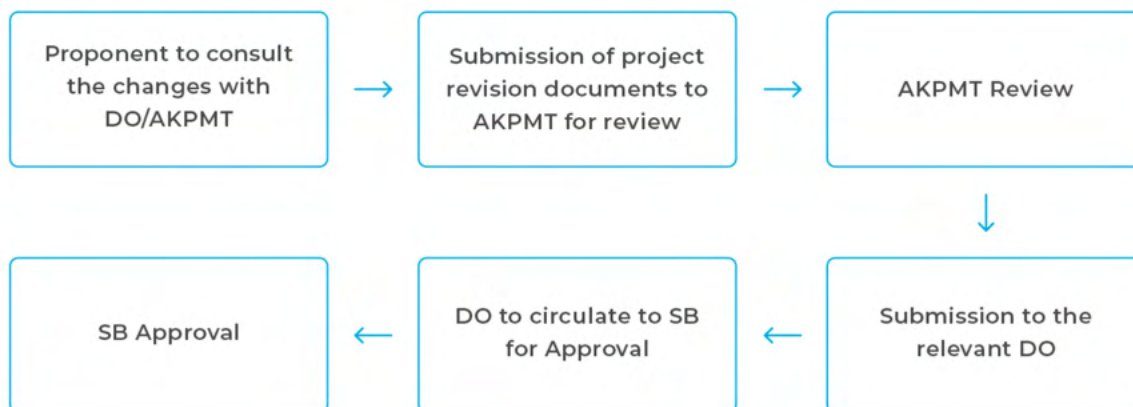
3.3. PROJECT ACTIVITIES REVISION

Throughout project implementation, proponents could request project activities revision. The proposed revision should be intended primarily to ensure effective achievement of the project results. Also, proponents must submit project activities revision request for any change that has budget implications. Please refer to Chapter 6, sub-chapter 6.7: "Modifying Project Implementation" of the ASEAN Cooperation Project Design and Management Manual.

Reasons for project activities change include, but are not limited to the following:

- Change of project needs
The AKCF funded projects are mostly long-term projects. Therefore, activities revision might be required due to new regional developments or based on results from project meetings and assessment, etc.
- Change of activities' details
The endorsed proposal listed details of project activities and events (meetings, assessments, consultations; also numbers of event participants, etc.). The project activities and events including its details might need to be adjusted during project implementation that leads to budget implications.
- Change of activities' locations
As each ASEAN city has a different per-diem rate, relocation of project event will require budget re-adjustment.
- Change of modalities
Proponent might require adjusting project activities delivery method that impacts the budget allocation and add/remove some budget lines. For example, changing the event delivery from offline to online due to pandemic leads to adding IT related expenditures, medical related expenses due to pandemic situation, etc.

- Change of partner(s)
Proponent needs to replace Implementing Agency (IA) or event organizer that has budget implication.
- Change of the project timeline
Due to unforeseen circumstances, the proponent might need to adjust the project activities timeline due to delay in project implementation and request for no-cost extension.
- Force Majeure
Proponent might need to change the project activities due to disaster, political turmoil, pandemic, etc.



Proponents should send project activities revision requests to the relevant DO in ASEC for the relevant Sectoral Body's endorsement **through AKPMT**. Any revisions of project activities need to be consulted a minimum of one month in advance with AKPMT. The proponent should submit the following documents to AKPMT:

- AKCF Project Revision Matrix
- Revised Proposal
- Project Budget template (consist of Revised Budget Sheet, Original Budget Sheet and Summary of Budget Revision Sheet)
- Revised Work Plan

The proponent must attach evidence of endorsement for project activities revision when submitting progress report and completion report

3.4. MONITORING AND EVALUATION

In accordance with AKCF guidelines, the proponents should include the following as part of Monitoring and Evaluation Process:

- **Brief Activity Report**

The proponent should submit a brief activity report with any type of visual documentation (photos, movie clips) within 14 calendar days after the completion of every activity to AKPMT for AKCF promotion purposes.

- **Annual Interim Report**

For multi-year programmes/projects, the proponent should submit Annual Interim Report by 15 January to a relevant DO in the ASEAN Secretariat through AKPMT for its preliminary review.

- **Establish Project Governance Mechanism**

In accordance with the ASEAN Cooperation Projects Design and Management Manual, the multi-year project should establish project governance mechanism in terms of Project Steering Committee (PSC) or mid-term review meeting to be held on a regular basis. The proponent is required to share information or update project stakeholders on the progress of project implementation. The arrangement of Project Governance Mechanism should be elaborated in project proposal.

- **AKPMT and ASEC Activities Participation**

Participation of the AKPMT and ASEC in the programmes/projects should be budgeted for the monitoring and evaluation of the programs/projects.

- **Compliance with ASEAN M&E mechanisms**

The proponent should comply with the existing ASEAN M&E Mechanism standard. Please refer to the ASEAN Cooperation Projects Design and Management Manual and consult with AKPMT during proposal development to ensure that the proper Monitoring and Evaluation mechanism is in place.

3.5. PROJECT COMPLETION

Submission of Project Completion Report

Within 60 calendar days of the completion of the programmes/projects activities, proponents are requested to submit two copies of the PCR, comprising of narrative report and financial report, to a relevant DO in ASEC through AKPMT. The narrative report of the PCR shall be verified by the Programme Cooperation and Project Management Division (PCPMD) of the ASEAN Secretariat. The template of PCR is available in APPENDIX 9 and APPENDIX 10.

In case where proponents have not submitted the reports for project completion, funding for the next project will be withheld until the pending report is settled.

Financial Report Verification

For the final Financial Report, Finance and Budget Division (FBD) of ASEC and AKPMT shall review the Financial Report and communicate the result to a Desk Officer (DO) at ASEC.

Any findings during the verification process should be followed up and settled (i.e. miscalculation of expenditures, deviation from the approved budget proposal, etc.) by the DO in consultation with FBD and AKPMT. If deviations from the approved budget are found during the verification process, proponents shall return any amounts paid to them in respect of claims which were not accounted for under the approved budget.

FBD informs the proponent/IA through DO of ASEC, of the amount of final disbursement from ASEC or unspent balance and/or interest earned from the project fund to be refunded to ASEC. Once all the follow-up actions have been taken and settled, FBD will inform DO and AKPMT.

Refund of Unspent Balance and Accrued Interest

The unspent balance of any project and activities under the funded project and any accrued interest earned from the project fund shall be returned to the AKCF account within 90 calendar days after the completion of the programmes/projects.



Chapter 4
AKCF Pro-Forma Cost



4.1. PERSONNEL COST

Newly Recruited staff

In case proponent/IA hires a new staff whose role is to take in charge of the AKCF funded project, they can budget direct Personnel Cost. For the new recruited staff, a ToR should be included as an annex in the project proposal. The recommended lumpsum ceiling for full time newly recruited staff under AKCF are:

- Senior Project Manager : USD 4,800
- Project Manager : USD 3,400
- Project Officer : USD 1,500
- Project Assistant : USD 1,000
- Project Secretariat : USD 750

If proponent hires a newly recruited part-time staff, the salary will be calculated based on the percentage of working hours, up to 50% of the salary of a newly recruited full-time staff.

The remuneration cost of all newly recruited staff should be included in the **Activity Cost**.

Existing Staff

The proponent can also budget the salary of an existing staff as a project team. The remuneration ceiling for an existing staff working under the project is maximum 50% of a newly recruited full-time staff. The remuneration cost of an existing member of staff should be included in the **Operational Cost**.

4.2. ACTIVITY COST

Travels

The travel cost should be based on the most direct and economical economy-class round-trip. The ceiling for each travel is as follows:

- Travels outside the region (ASEAN - ROK): USD 1,000
- Travels within the region: USD 800
- Domestic flights: USD 400
- Business class travel could be arranged for High Level officials who obtains an approval through prior consultation with AKPMT. The travel cost should be based on the most direct and economical business-class round-trip. The ceiling for each travel is as follows:
 - Travels outside the region (ASEAN to ROK or ROK to ASEAN): USD 3,000
 - Travels within the region: USD 2,000
 - Domestic flights: USD 1,000

** The travel costs above are ceilings. Actual expenditure will be based on actual receipts.*

Accommodations

The cost of accommodation should not exceed 50% of the United Nations Daily Subsistence Allowance (UN DSA) rates adopted by ASEC every January of the year. If there is no accommodation available under such an arrangement, the proponent should consult with AKPMT.

Per-diem

Per-diem will be arranged based on the UN DSA rate. The DSA rate shall be reduced based on the information provided in the administrative arrangements and programme of activities of the event as follows:

- By 50 percent if accommodation is provided. This reduction shall apply irrespective of the type of accommodation provided free of charge;
- By 15 percent if one meal (lunch or dinner) is provided;
- By 30 percent if all meals (lunch and dinner) are provided;
- By 80 percent if accommodation and all meals are provided; and
- By 40 percent where no actual expenditure for accommodation incurred.

Event (Conference, Workshop, or Exhibition)

Official lunch/dinner (Welcome/ Farewell/ Opening Ceremony) - The proponent can only charge one official lunch/dinner per event	USD 50/person/activity
Meeting package (venue, 1 lunch, 2 coffee break)	USD 60/person/day
Secretariat Support and Supplies*	Maximum USD 2,500/event (Telecommunications, ID card, banner, stationaries, rentals of electronic equipment, etc.)
Translation cost for project materials/publications	USD 25/page (A4 with 250 words/page)
Simultaneous interpretation	Maximum USD 800/person/day
Non-simultaneous interpretation	USD 600/person/day
Publications	USD 30/piece
Shipping of the project deliverables	USD 15/deliverable

Field visit	USD 50/person (including entrance fee, refreshment, and transportation)
Airport transfer	USD 40 (Airport-Hotel-Airport)

Consultant

When the proponent employs consultants, the rates and employment period shall be discussed with AKPMT. The ToR for a consultant should be included as an annex to the project proposal. The final rate of a consultant should be decided by AKPMT.

4.3. OPERATIONAL COST

It is recommended that the total amount of the Operational Cost shall not exceed 10% of the total budget before adding the Contingency Cost. If proponent needs more than 10% for the Operational Cost, the proponent shall consult with AKPMT in advance. The Operational Cost includes:

- Maintenance (utility bills, rental fee, etc.) cost
- Management Fees (transportation, telecommunication, internal meeting cost, etc.)
- Other operational costs (cancellation fee, transfer fee, etc.)
- Salary of Existing Staff: In case when the proponent/IA utilizes existing staff for the AKCF project, up to 50% of the salary scale of a new full-time staff in the Personnel Cost can be charged to the project budget.

4.4. CONTINGENCY COST

The Contingency Cost allocations should be maximum 10% of the subtotal of Activity Cost and Operational Cost. It can only be utilized for the expenditure occurred due to unexpected events, such as currency fluctuation, price increase, but cannot cover personnel and administrative costs. **Proponent must obtain prior endorsement from AKPMT for the utilization of the Contingency Cost.**

4.5. AUDIT COST

For project above USD 1 million, the audit fee is mandatory. The proponent should allocate USD 5,000-USD 10,000 annually for audit. However, the proponent is advised to consult with the AKPMT on appropriate amount for audit which shall be determined by the budget size and the complexity of the project.



Chapter 5

Frequently Asked Questions (FAQ)



GENERAL

a. What is AKCF Pro-Forma Cost?

AKCF Pro-Forma Cost is a set of references that is used as a standard to develop minimum amounts that can be adjusted within the range.

b. What is the budget proposal template (Annex 1 of ASEAN Cooperation Project Proposal Templates)?

The budget proposal template is required for proponent/IA to use for the preparation of the indicative budget in project formulation. It is part of the ASEAN Cooperation Project Proposal Templates. The prospective proponent could find the budget proposal template under APPENDIX 2 in the AKCF Manual.

c. Where can I find the AKCF proposal templates?

Please refer to APPENDIX 1-3 in the AKCF Manual. In order to apply for AKCF grant, the prospective proponent should submit the ASEAN Cooperation Project Proposal (APPENDIX 1), Budget Proposal (APPENDIX 2) and Indicative Work Plan (APPENDIX 3).

d. Does AKCF have its own proposal templates?

AKCF uses the most updated ASEAN Cooperation Project Proposal Template (available in ASEAN website) with some additional templates that need to be submitted as additional requirements which are APPENDIX 4; APPENDIX 4.1.; APPENDIX 4.2. and APPENDIX 5 in the Manual. Therefore, it is crucial for prospective proponents to consult with AKPMT prior to submission.

ACTIVITY

a. When can proponents start project activities?

Proponents can start project activities after receiving endorsement from both ASEAN and MOFA ROK. The AKCF will not cover any expenditure that occur prior to the date of the endorsement.

b. Can welcome/farewell dinner or opening ceremony be charged separately from the meeting package?

Yes. The AKCF can cover one official luncheon/dinner per each activity of the project. The cost for such occasion shall not exceed USD 50 per person for one official welcome/farewell dinner.

c. If an organizer cannot find a meeting venue for under USD 60 (meeting package), is it possible to use a venue for more than USD 60 if sufficient justification is provided (in advance)?

In principle, the organizer is expected to find a meeting venue within the specified rate. If not, please consult with AKPMT.

d. What can be covered under Secretariat Support and Supplies?

Rental of equipment (Laptop, PC, projector, printer, sound system, etc), hiring temporary staff (helper), backdrop, banners, consumables such as stationeries, papers, name tags, certificates for participants, toners/ink cartridges, etc. The detail should be elaborated in the budget.

e. Is it allowed to purchase office equipment/furniture/fixtures?

No. The AKCF only covers the rental cost of equipment.

f. Is the rate for Secretariat Support and Secretariat Supplies for per seminar/ workshop?

The rate is for one seminar/workshop regardless of the duration.

- g. Can the total amount of a meeting package be fully utilized if the actual number of participants/experts is decreased from that of the approved budget proposal?**

No. The amount of meeting package will follow the actual number of participants if it does not exceed the total approved budget for meeting package.

- h. What are unit costs applied to publication and the shipping of the project deliverables?**

Please use the unit cost of USD 30 for publication and USD 15 for shipping of the deliverables.

- i. Is a prior approval needed if the proponent wants to add more activities or make any adjustment of the budget lines of the approved budget?**

Yes, prior approval is needed if the proponent wants to revise activities. Under the current ASEAN regulation, all project activities revision requires re-endorsement from ROK through AKPMT and from relevant ASEAN Sectoral Body. Please refer to Chapter 3: "Project Implementation and Reporting"; under sub chapter 3: "Project Activity Revision" for the AKCF activity revision process. The proponent must submit the request approval a minimum one month in advance.

TRAVEL

- a. Is the AKCF Pro-Forma Cost for airfare entitlement or ceiling rate?**

The airfare listed on AKCF's Pro-Forma Cost is the ceiling for the most direct economy class round-trip in the region. The actual cost of the fare must be provided in the Financial Reports.

- b. What is the rate for a domestic flight?**

USD 400 is the ceiling for an economy class round-trip for a domestic flight.

- c. If AMS prefers/requests to take land/sea transportation, can the ceiling for domestic flight be used?**

Land/sea transportation will be estimated based on actual cost.

- d. Can airport tax be included in the budget proposal and claimed as part of incurred expenses?**

At the time of budget preparation, a specific budget line for airport tax should not be included. In case there is an expense for airport tax, it can be charged to airfare budget line. The supporting document of airport tax, including receipt and/or air ticket showing airport tax, should be attached with the air ticket to the Financial Report.

- e. Can participants request reimbursement for transportation fare from their home to the airport in their home country?**

No. The proponent could only budget airport transfer from the airport in the destination country to the hotel venue and vice versa.

- f. Can a connecting domestic flight to/from the international airport in the respective countries be regarded as an international flight if the route for the traveler outside the hosting country is the most direct to the project venue?**

Yes.

- g. Can visa fee be reimbursed?**

Visa fee could be reimbursed, and the proponent is requested to attach the necessary document (receipt, etc.) with the Financial Report. For those who need to travel to obtain a visa, the travel expenses/per-diem can be covered upon prior approval of the AKPMT.

- h. Can the cost of airport transfer for a traveler outside the hosting country be budgeted apart from the budget for per-diem?**
Yes. The proponent can arrange the airport transfer for the expert/participant with a maximum of USD 40 that covers the round trip between the airport and hotel for one project activity.
- i. If the venue and accommodation are different, can the cost of transportation be budgeted separately?**
Yes. If the venue of meeting/event and accommodation are not the same, the proponent can budget the cost of transportation from the item under Programme/Activity Cost. However, the transportation cost will cover the route from the designated hotel/accommodation to the venue and from the venue to the designated hotel/accommodation. Should the participants wish to stay outside of the designated accommodation, they should arrange and cover their own transportation costs.
- j. Can the AKCF grant cover travel insurance?**
The proponent could charge travel insurance, but the cost of travel insurance should be included in the total cost of airfare. Receipt of travel insurance is required.
- k. Can the AKCF grant cover expenses which are incurred by travel regulations such as PCR test, quarantine, etc.?**
Considering unexpected pandemic circumstances, a series of expenses might be incurred due to the travel regulations. Proponents should consult with AKPMT in advance.

PER-DIEM

- a. What is per-diem?**
Daily subsistence allowance provided for a traveler to cover the cost of hotel/accommodation, meals, laundry, tips, phone calls, local transportation within the destination city and other associated expenses.
- b. Who is entitled to receive per-diem?**
A person who travels outside his/her duty station and staying overnight to conduct activities or participate in the meeting/workshop/seminar related to the AKCF programmes/projects is entitled to receive it.
- c. How to calculate per-diem?**
The AKCF Pro-Forma Cost uses UN DSA rates as of January in the year of project implementation to calculate per-diem. Per-diem will be calculated based on the number of days for project activities plus one traveling day. The per-diem arrangement should follow the following mechanism:
- Accommodation: 50%
 - Lunch: 15%
 - Dinner: 15%

If lunch and dinner are provided, participants will only receive 20% of per-diem. If only lunch is provided, participant will receive 35% of per-diem. For the travel day, participants are entitled to receive 50% of per-diem.

Sample of per-diem Calculation

Proponent A will host a workshop in Jakarta for three days (i.e., 2-4 August 2021) inviting participants from outside Jakarta and Indonesia with estimated traveling date to Jakarta on 1 August 2021 and return on 5 August 2021. For this case, the traveling day for the participant is 1 August 2021*.

Based on the UN DSA rates, Jakarta DSA is USD 200. Therefore, there are some scenarios for A to calculate the per-diem:

- A. A covers accommodation only in Jakarta therefore A should deduct 50% of the DSA from 1 – 4 August 2021.
- B. A covers accommodation and lunch or dinner in Jakarta, therefore A should prepare 50% of the DSA for traveling day, and 35% of the DSA for the workshop day.
- C. A covers accommodation, lunch, and dinner, therefore A should prepare 50% of the DSA and 20% of the DSA for the workshop day.

No	Scenario	Travel Day	2 August	3 August	4 August	Total
1	A	100	100	100	100	400
2	B	100	70	70	70	310
3	C	100	40	40	40	220

**50% DSA for travelling day is with the assumption that accommodation is covered by the proponent and there is no meal provided at the destination city on the traveling day. Should there be meals provided, the DSA should be deducted 15% on each meal.*

d. What are the conditions where a person is not entitled to receive per-diem?

A person shall not be entitled to receive per-diem if the activity takes place in his/her duty station. AKPMT and proponents shall ensure that per-diem be given to eligible participants.

e. Can per-diem be given to a person who will not stay in a hotel provided by the organizer?

Participant could book their own hotel but needs to submit hotel receipt to receive 50% of per-diem. Per-diem will be deducted by 40% if no actual expenditure for accommodation is incurred.

f. Can we budget all necessary costs as separate items such as accommodation and meals instead of budgeting per-diem?

Yes, it can, if the total cost of the budget for these separate items does not exceed the UN DSA rates.

g. Can the consultants get per-diem in addition to their consultant fee?

Yes.

h. Is a receipt (supporting document) necessary for per-diem payment?

Yes. Signature of recipients receiving per-diem are necessary.

i. Can per-diem be adjusted to a higher/lower rate if the venue of an event is changed from the originally approved one in the proposal?

Yes, it can, if the proponent obtains prior approval from AKPMT. The proponent is requested to attach the DSA rates of the year of implementation in the Financial Report.

j. Should per-diem be adjusted to the actual UN DSA rates for the year of implementation and beyond when the rate has to be changed from that at the time of the budget proposal/approval?

Yes, the proponent is requested to explain the variance in the Financial Report submitted.

k. Where could we find the UN DSA rates for (city/country, state)?

The Proponent could find the UN DSA rates here <https://icsc.un.org/>.

PERSONNEL COST

a. What is the Personnel Cost?

Personnel Cost refers to remuneration for a project staff of the AKCF funded projects who are involved in day-to-day operation/management/administration of the project. They could be newly recruited staff. In case the proponent considers recruiting new staff for the project implementation, the recruitment plan and ToR should be included in the project proposal annexes. The remuneration of newly hired staff should be included in project activity cost, while remuneration cost of existing staff should be included in the Operational Cost.

b. Who can be project staff of the AKCF projects?

Project staff of the AKCF projects must be either ASEAN or ROK nationals.

c. What is the remuneration standard for the project staff?

For newly recruited staff, the salary scale should follow the recommended salary stipulated in the Pro-Forma Cost.

d. Could AKCF cover insurance of staff?

The AKCF grant could be utilized to cover insurance such as health and unemployed insurance as well as pension as part of remuneration package for a staff based on the requirement of the country where the staff is based. Prior consultation with AKPMT is highly recommended.

OPERATIONAL COST

a. What is the Operational Cost?

The Operational Cost is the expenses related to maintenance and administration of programmes/projects. It can be utilized to cover existing staff's salary, rental fee, maintenance fee, bank transfer fee, etc.

b. Can the proponent purchase any equipment or electronics such as a laptop or camera?

The AKCF could not be budgeted for any procurement of office equipment. The proponent could only charge the AKCF for the rental cost of equipment or electronics which are considered crucial for the project implementation.

CONTINGENCY COST

a. What type of cost can be charged to the Contingency Cost?

The Contingency Cost can only be utilized for the expenditure occurred due to unexpected events, such as currency fluctuation, price increase but cannot cover personnel and administrative costs.

b. What is the procedure to use the Contingency Cost?

Prior consultation with AKPMT is required to use the Contingency Cost. The approval email or letter should be attached to the Financial Report. The justification for the use of the Contingency Cost should be provided in the Financial Report.

c. If there is any remaining balance after the implementation of the programmes/projects, should it be returned?

Yes, the unspent amount from the approved budget should be returned.

PROJECT ACTIVITY REVISION

a. Can the proponent submit several project activities revision requests?

Yes, there is no limit of number to submit project activities revision requests. However, considering the length of time required for the endorsement, and the fact that the revision requires endorsement from ASEAN relevant sectoral body, it is recommended that the proponent submits several changes in one request. The proponent could make calculations of project changes annually and request endorsement of the changes at once.

b. When the proponent submits a project activities revision request, is the proponent required to resubmit Project Assignment List since the deliverables in the original Project Assignment List will be changed?

The Project Assignment List is developed as a basis to develop the Disbursement Letter. The project deliverable changes should be reflected in the Project Activities Revision Matrix.

c. Could the proponent change the disbursement rate and amount because of the changes in project activities?

No. Though the proponent submits the project activities revision, the disbursement rate and amount should not be changed. Otherwise, the proponent is required to resubmit PAL and a new Disbursement Letter will be re-issued.

d. Could the proponent charge unbudgeted budget line and use the contingency fund?

No. The proponent/IA could not charge any expenditure that does not have budget line in the approved project. In a case where there is any need for expenditure under new budget line, the proponent must submit Project Activity Revision first and obtain official endorsement both from ASEAN and ROK. AKCF has the right not to cover the expenditure that not budgeted even though the project is underspent. The utilization of the contingency fund requires endorsement from AKPMT.

e. Which entity will review and endorse project activities revision?

The complete information of AKCF Project Activities Revision is available in Chapter 3 of this Manual "Project Implementation and Reporting" sub-chapter 3 "Project Activities Revision". If the proponent wishes to submit project activity revision, the proponent should submit the Project Activities Revision Matrix (APPENDIX 6) and its annexes to AKPMT. AKPMT will review the request and the completion of documents. Upon completion of review, AKPMT will send the Project Activities Revision Matrix to DO in relevant ASEAN Division to be shared with relevant Sectoral Body. The relevant Sectoral Body through DO will inform AKPMT on the decision of the request, and AKPMT will inform the proponent. The proponent could only implement the project activities changes upon endorsement of project activities revision request.

f. Could a proponent request for project activities revision even before the project is implemented?

Yes, as long as there is a strong justification for the request. The proponent could submit project activities revision after the project approved. Please consult with AKPMT in advance.

OTHERS

a. Can lump sum amount be used in the budget?

No. The AKCF requires that every budget item should be presented clearly by unit cost, unit name, and quantity.

b. Is it allowed to include budget item not listed in AKCF Pro-Forma Cost?

Yes, however, AKPMT should be consulted prior to including such budget items.

c. Is it allowed to allocate the budget for gift/souvenirs?

The proponent is not allowed to purchase item to be given from an individual to another individual. However, the proponent is allowed to allocate the budget for souvenirs that distributed to all participants, speakers and resource persons as part of visibility goods. The souvenir must have ASEAN and AKCF logo and must clearly show the project/event name.

d. Can the AKCF cover cost for hiring interpreters/translators?

Yes. If the hired interpreters/ translators are resided outside of the host city, he/she is entitled to domestic airfare and accommodation.

e. Can the surplus of one specific budget line to be use to supplement other budget line during the project implementation?

No, but if it is deemed necessary, please consult with AKPMT in advance.

f. Can we make the budget with local currency?

No, it is mandatory to prepare the budget proposal in USD. However, budget using domestic currency can be included as attachment.

g. Can cancellation charges be covered by the AKCF?

Please note that proponent/IA shall take full responsibility for facility/service reservation, and they can do so at their own risk. The unutilized facilities/services that are chargeable shall be covered by proponent/IA, in principle. However, depending on the reason and subject to submission of supporting documents and their acceptance by ASEC/ROK, they may be covered by the AKCF. Proponent/IA is requested to provide the Financial Report with the explanation of the cancellation as well as the proof documents so that ASEC can carry out the verification. If that is acceptable, the AKCF can cover the cancellation charges. Proponents/IAs should be aware that such exceptional treatment applies only to special unforeseeable circumstances. A medical certificate should be included as part of supporting documents in case sponsored participants are not able to participate in an event due to his/her health condition.

h. Can private property such as cars be used to conduct project activities under the AKCF budget?

No. The AKCF does not cover the cost when the private property is used and will never accept liability for any kind of damage resulting from the use of private property.

i. What is the name of the item to be used in the Financial Report when the proponent/IA bears the cost overspent from the approved budget?

The item of "Contribution" is to be used in the Financial Report if the proponent covers the difference from their own source of fund.

j. What are the Accounting Standards to be complied with when preparing the Financial Report?

The Financial Report can use the following accounting standards: International Public Sector Accounting Standards (IPSAS), International Financial Reporting Standards (IFRS), or Generally Accepted Accounting Principles (GAAP).

k. What is the difference between Proponent and Implementing Agency?

Proponent refers to the institution that responsible for the utilization of the AKCF grant in each project. The proponent reports to AKPMT and ASEAN on the project progress and AKCF's grant utilization. The proponent could hire Implementing Agency(s) to implement project activities and the Implementing Agency(s) report to the proponent. In a case when the proponent hires an Implementing Agency, the proponent has the full responsibility of the fund utilization and quality of work of the IA.

l. Could one project have more than one proponent or Implementing Agency?

Yes. Each project could have multiple proponents. The project could be designed where each proponent will receive different amounts of the AKCF grant and each proponent will only be responsible for the utilization of the grant they receive. Each proponent could hire several Implementing Agencies, but the proponent will be responsible for each Implementing Agency that they hire.

m. Does the project need to have a Project Steering Committee (PSC)?

As stipulated in the ASEAN Cooperation Projects Design and Management Manual, all multi-year projects with a budget of more than USD 1 million should have a Project Steering Committee or mid-term review meeting that meets regularly or as required. In the meeting, the proponent should update project progress.

n. If the proponent already submitted the Project Progress Report in the middle of the year, does the proponent still need to submit the Annual Interim Report at the end of the year?

Yes. The proponent could organize themselves the period for submitting the Project Progress Report and it is reflected on the Project Assignment List. However, the proponent is still obligated to submit the Annual Interim Report which covers the period from 1st January to 31st December which follows the ASEAN budget cycle along with all certified receipts and evidence of expenditures. Therefore, it is recommended that the proponent submits the Project Progress Report annually together with the Annual Interim Report.



APPENDIX 1

ASEAN Cooperation

Project Proposal Template





ASEAN Cooperation Project Proposal

For assistance on how to complete this template, please refer to the "ASEAN Cooperation Projects Design and Management Manual" which can be downloaded at

1. PROJECT DETAILS

Proposal Identification Code:

(to be completed by the ASEAN Secretariat)

Project Title:

Provide a concise project title that encapsulates the essence of the proposed project and that reflects its main purpose-not just the project's key activity or event

Brief Project Description – 300 words max:

Provide a brief description of the proposed project to be placed on the first page of the proposal. The description must summarize the proposal's objectives and key outputs or activities. It should be succinct-no more than 300 words-while containing enough information for approving bodies to understand how the proposal might contribute to ASEAN's overall goals.

Recurring Project: Yes No

If Yes, Previous Project Identification Code:

Indicate if the proposed project is part of a series of projects that involve similar objectives, outputs, and activities.

Project Classification:

Indicate the Scope and Pillar

Scope: Single Sector Cross-Sector

Pillar: (Main) Blueprint: Connectivity IAI
(Main) Characteristic: Linkage:
Action Line(s): Strategy:
Action(s): Key Action(s):

Information below to be completed by the ASEAN Secretariat:

Nature of Cooperation: Confidence Building
Harmonisation
Special Assistance
Joint Effort
Regional Integration / Expansion

Type of Intervention Policy Initiative
Establishment of Institutional Mechanisms
Human Capacity Building

Project Duration: < 6 months 6-12 months > 12 months

Proposed Commencement Date: dd.mm.yyyy

Proposed Completion Date: dd.mm.yyyy

A project is considered to have commenced on the date that the Proponent or IA is informed of the approval and upon receipt of the first tranche of funds disbursement. A project is considered to have been completed when the project completion report and unspent balance, if any, has been received and verified by the ASEAN Secretariat. The proponent is required to submit the project completion report, which comprise of narrative and financial report, within 60 days after the project is fully implemented.

The report templates are available at <http://asean.org/resource/asean-project-templates/>

Participating ASEAN Member States: All 0

If not all (or not all in the same way), please indicate reason:

ASEAN cooperation projects are expected to involve the participation of every ASEAN Member State. If a project involves the participation of every ASEAN Member State but in different ways (e.g., through different levels of assistance) or does not involve every ASEAN Member State, please indicate the reason.

Sponsoring ASEAN Body

Sectoral Committee/Main Body:

Meeting Number/Date: / dd.mm.yyyy

Working Group/Sub-Committee:

Meeting Number/Date: / dd.mm.yyyy

The proponent may consult with ASEAN Secretariat to identify the most appropriate sponsoring ASEAN Body for the project.

Proponent's Name and Address:

Contact Person and Contact Details:

Implementing Agency's Name and Address (if different from above):

Contact Person and Contact Details:

Date of Proposal Submission: dd.mm.yyyy

Proposed Funding Source(s):

Consult with the ASEAN Secretariat, relevant ASEAN Sectoral Committee, or relevant ASEAN Body to identify a proposed funding source.

Proposed Project Budget (total in USD):

Information below to be completed by the PCPMD of the ASEAN Secretariat

Recommendation of the ASEAN Secretariat

Meeting No./Date : / dd.mm.yyyy

Action : Endorsed Not Endorsed

Approval of Committee of Permanent Representatives to ASEAN (CPR)

Meeting No./Date : / dd.mm.yyyy

Action : Endorsed Not Endorsed

2. PROJECT JUSTIFICATION, REGIONALITY AND BENEFICIARIES – 600 words max

(For more details, see the “ASEAN Cooperation Projects Design and Management Manual”)

- (a) **Current Problem** - In no more than 600 words, describe the problems in the region or Sector that the project seeks to address. Explain the cause of these problems. The description must be clearly linked to project's objectives.
- (b) **Regionality** - Show that the problem or issue affects more than one ASEAN Member State and requires regional action. This is essential if the project is to be considered as an ASEAN cooperation project.
- (c) **Project History** - List any related projects or activities, whether current or complete. Describe how this new proposal would complement them. For recurring projects, please include details of any outputs or lessons learned during the previous project.
- (d) **Beneficiaries** - Please state who and how many people would directly benefit from this project, and how many of these direct beneficiaries would be men and how many would be women. Proponents should also identify who will indirectly benefit from implementation.

3. PROJECT RESULTS

Overall Objective (impact)

The intended physical, financial, institutional, social, environmental, or other high-level development results, e.g., at the ASEAN Blueprint level, to which a project is expected to contribute.

Project Objective (outcome)	Indicators (to measure project achievements)	Sources/Mean of Verification	Risk/ Assumption
<i>Results the project intends to achieve via project output and activities, a.k.a., what are the project's final deliverables? What changes does the project intend to generate, e.g. in practices, policies, etc.</i>	<i>How will achieving project outputs be measured? Indicate realistic and measurable quantitative or qualitative factors.</i>	<i>How will data be collected to support indicators? What secondary sources are available? Does the project need to use primary data collection tools?</i>	<i>Risks: Which external factors might negatively affect the successful achievement of the project's objective? Assumptions: Which conditions need to hold true for the project objective to be successfully achieved?</i>

Outputs (direct project results) <i>What results will the project deliver directly, e.g., what products, services, or improvements of knowledge, skills, or attitudes for target groups will realise project objectives.</i>	Indicators (to measure project achievements) <i>How will achieving project outputs be measured? Indicate realistic and measurable quantitative or qualitative factors.</i>	Sources/Mean of Verification <i>How will data be collected to support indicators? What secondary sources are available? Does the project need to use primary data collection tools?</i>	Risk/ Assumption <i>Risks: Which external factors could negatively affect the successful achievement of the project outputs? Assumptions: Which conditions need to hold true for the project outputs to be successfully achieved?</i>
Main Activities: <i>List the actions or activities that the project will implement to achieve the above results or outputs.</i>			
<i>The project can have more than one result or output. Add rows as necessary.</i>			

4. PROJECT MANAGEMENT ARRANGEMENTS – 600 words max

- (a) **Management Arrangements** - Briefly describe the project's management structure, including responsibilities, coordination mechanisms, and the project-management reporting line. Include a description of the management role of sponsoring ASEAN Bodies or Committees, as needed.
- (b) **Human Resource Inputs** - Specify the type and number of personnel involved in the project. Include the terms of reference for each position in the annexes.
- (c) **Monitoring and Evaluation Arrangements** - Outlines must project how monitoring and reporting of the project will be done. Note that progress reports will be required for projects spanning two financial years, or that last longer than one year.

Please note that project evaluation is required for projects with budget of more than USD one million or more than one year duration, project evaluation should be budgeted for accordingly. For more details on progress reports and project evaluations as well as guidance on developing the monitoring framework, please refer to Chapter 6 of the ASEAN Cooperation Projects Design and Management Manual and the Monitoring Framework's Matrix (tool 7 of the Toolbox in Annex 3).

5. PROJECT SUSTAINABILITY – 300 words max

State how the outputs and benefits of a project will be sustained after project is completed.

6. GENDER AND OTHER CROSS CUTTING ISSUES – 300 words max

- (a) **Gender** - Indicate how gender-related issues will be taken into account during project implementation, specifically addressing how women and men would equally benefit from the project, and whether the proposed project has allocated resources for this purpose. Proposals must ensure that projects ensure equal opportunities for participation where appropriate, and how this will be monitored. For more details, please see the “ASEAN Cooperation Projects Design and Management Manual ” section 4.3.6.a.
- (b) **Other Cross Cutting Issues** - State how these cross-cutting issues will be addressed by the project, as applicable. Other cross-cutting issues include:
1. environmental sustainability;
 2. inclusion of marginalised groups such as children, people with disabilities, or elderly people, among other things;
 3. human rights; and
 4. technology or social innovation and ICT issues.

7. POTENTIAL RISKS

Outline all significant potential external risks or threats in the Project Results along with corresponding mitigation strategies using the following table:

Risk / threat	Mitigation strategy

Annex 1 – Budget Proposal

Using the format provided, outline budget input costs under relevant subheadings. Include a project evaluation budget for projects that have an estimated budget of more than USD 1 million or that will last longer than one year. For more details on project evaluations, see the “ASEAN Cooperation Projects Design and Management Manual ”.

Annex 2 – Indicative Work Plan

Using the format provided, develop a work plan that sets out a timeframe for each of the project's main activities. The work plan must cover the entire period of the project.

Annex 3 – Notation on Additional Supporting Documents

List additional supporting documents that will be submitted with the project proposal that will enhance understanding of the proposal and its overall strategy, e.g., reports, memoranda of understanding, etc.



APPENDIX 2
Budget Proposal



BUDGET PROPOSAL

Project title:

Implementing Agency:

Duration/Period:

SAMPLE

Budget Line	Description	Unit Cost (USD)	Quantity 1	Unit 1	Quantity 2	Unit 2	Total Cost (USD)
I. PROGRAMME/ACTIVITY COST							
A. Airfare							
A.1	International Airfare - Participants	3,000.00	18	Person	1	time	54,000.00
Total Budget for Airfare							54,000.00
B. Per diem							
B.1	Per diem	200.00	25	Person	6	Day	30,000.00
Total Budget for Per Diem							30,000.00
C. Meeting Package / Workshop / Seminar							
C.1	Meeting Packages, Lunch / Dinner / Meal / Receptions	35.00	30	Person	12	time	12,600.00
C.2	Secretaries supplies	25.00	30	Person	1	time	750.00
Total Budget for Meeting Package / Workshop / Seminar							13,350.00
D. Consultant/Expert							
D.1	International Consultant/Expert	571.00	1	Person	4	Day	2,284.00
D.2	Regional Consultant/Expert	381.00	1	Person	5	Day	1,905.00
Total Budget for Consultant/Expert							4,189.00
E. XXXX							
E.1	XXXX	45.00	50	XXXX	1	time	2,250.00
E.2	XXXX	1,000.00	1	Lumpsum	1	time	1,000.00
Total Budget for XXXX							3,250.00
F. XXXX							
F.1	XXXX	1,000.00	1	Lumpsum	3	Year	3,000.00
Total Budget for XXXX							3,000.00
SUB TOTAL OF PROGRAMME COST (I)							107,789.00
II. OPERATIONAL COST							
G. Administrative							
G.1	Office Room Rental	500.00	1	Unit	12	Month	6,000.00
G.2	Office Supplies	100.00	1	Lumpsum	12	Month	1,200.00
Total Budget for Administrative							7,200.00
H. Personnel							
H.1	Sallary Assistant Programme Manager	2,000.00	1	Person	12	Month	24,000.00
H.2	Project Administrative Assistant	700.00	3	Person	12	Month	24,200.00
Total Budget for Personnel							49,200.00
SUB TOTAL OF OPERATIONAL COST (II)							56,400.00
SUB TOTAL (I + II)							164,189.00
Contingency 10% (III)							16,418.90
TOTAL (I + II + III)							180,607.90



APPENDIX 3

Indicative Work Plan





INDICATIVE WORKPLAN
 [project name]
 [proponent]
 [implementation period]

Objective/ Output	Planned Activities	Time-frame																Budget (USD)
		Month 1				Month 2				Month 3				Month 4				
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	
Objective 1																		
Output 1																		
Output 2																		
Output 3																		
Output 4																		



APPENDIX 4

Project Initiation Brief



AKCF Project Initiation Brief

1. Project Title:

2. Project Description

Please describe your project briefly. The description will be used to promote your project to the public. The description should be less than 300 words.

3. Introduction of Proponents/Implementing Agencies

Please provide information on your organization in consideration of the relevance to the project maximum 2 pages. Every proponent or implementing agency should provide the information, which includes organization overview, the number of staff members, annual budget if available, priority areas, experience of working with ASEAN if any, and a link to your organization's website. In addition to the narrative, please provide a high-resolution image of your organization and logo. This information will be posted in the AKCF website for promotional purposes.

4. Information on the programme/project management teams

Please provide information on the programme/project management teams of the programme/project, including contact information, organigram, and TOR of each team member. TOR will not be disclosed to the public.

5. Project Keyword

Please provide a maximum of 5 keywords for your project. The keyword will be used as hashtags of project documents in AKCF's website and AKCF's SNS pages.

Annex 1. Project Assignment List

Using the Project Assignment List provided in the AKCF Manual, please update your project assignment list in consideration of the date of approval of the project and your organization's situation

Annex 2. Project Implementation Plan

Using the template provided in the AKCF website (<http://www.aseanrofund.com>), develop your project implementation plan (PIP). The PIP should match the project assignment table. Each activity under "the project results" chapter of the proposal should be elaborated into several stages, including the preparation process.



APPENDIX 4.1:
Project Assignment List



PROJECT ASSIGNMENT LIST*

Programme/Project title:

Proponent/Implementing Agency:

No.	Milestone	Outputs & Activities	Deliverables	Disbursement Rate (%)	Expected Submission Date
1.	Project Initiation		Project Initiation Brief		
...	Interim Report		Project interim report		
	Final Reporting		Project completion report	10%	

Date:

Name/Title:

(Signature)

1. Milestones are specific points along a project timeline composed of several outputs, activities, and deliverables. In AKCF projects, disbursement will be made when proponents fulfill the conditions in each milestone.
2. Deliverable is a tangible or intangible good or service produced as a result of outputs/activities. A deliverable could be a report, a document, or any other building block of an overall project.
3. The first milestone should be "Project Initiation". Outputs & activities shall be empty, and deliverables shall be "Project Initiation Brief."
4. Expected submission date should be adjusted when the proponent sends the signed disbursement letter to ASEC considering the potential delay caused by the approval process.
5. The final milestone should be "Final Reporting," and the 10% of the budget will be disbursed based on the actual expenditure.



APPENDIX 4.2

Project Implementation Plan



ASEAN-Republic of Korea Cooperation Fund Project Implementation Plan (AKCF PIP)/ Quarterly Report

Project Title																		 Planned
Proponent(s)																		 Progress
Date of Project	dd/mm/yy																	 Delay
Date of Update	dd/mm/yy																	 Completed
Approved Budget																		 Milestone
Amount Disbursed																		
Amount Spent																		
Output	Activity and Task	Start	End	Progress (%)	Jan Feb Mar Apr May Jun Jul Aug Sept Oct Nov Des													
					1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	1 2 3 4	
Output 1	Activity 1.1	dd/mm/yy	dd/mm/yy															
	Task 1.1.1																	
	Task 1.1.2																	
	Task 1.1.3																	
	Task 1.1.4																	
	Activity 1.2																	
	Task 1.2.1																	
	Task 1.2.2																	
	Task 1.2.3																	
	Task 1.2.4																	
	Activity 1.3																	
	Task 1.3.1																	
	Task 1.3.2																	
	Task 1.3.3																	
	Task 1.3.4																	
	Output 2																	
	Activity 2.1																	
	Task 2.1.1																	
	Task 2.1.2																	
	Task 2.1.3																	
	Task 2.1.4																	
	Activity 2.2																	
	Task 2.2.1																	
	Task 2.2.2																	
	Task 2.2.3																	
	Task 2.2.4																	
	Activity 2.3																	
	Task 2.3.1																	
	Task 2.3.2																	
	Task 2.3.3																	
	Task 2.3.4																	



APPENDIX 5

Information Disclosure Agreement



Programme/Project Title:

By obtaining consent, *[the proponent's name]* agrees to disclose information related to the programme/project as checked below.

Type of Documents	Agree (V)
Narrative of Project Proposal	
Indicative Budget of Project Proposal	
Work Plan of Project Proposal	
Narrative of Project Report (Interim, Completion)	
Financial Report (Interim, Completion)	
Project Implementation Plan	
Progress Report	
...	

Date:

Name and Position:

(Signature)



APPENDIX 6

AKCF Project Activities Revision Matrix



AKCF PROJECT ACTIVITY REVISION MATRIX

PROJECT NAME :
 PROJECT CODE :
 PROPONENT :
 DATE OF SUBMISSION :

APPROVED ACTIVITIES				REVISED ACTIVITIES			
No	ACTIVITY NAME AND DESCRIPTION	TIMELINE	BUDGET	ACTIVITY NAME AND DESCRIPTION	PROPOSED TIMELINE	PROPOSED PBUDGET	JUSTIFICATION
	Contains information of the project activity as written in the endorsed project proposal that the proponent wishes to change/cancel	Contains information when the activity should be implemented according to the endorsed proposal	Contains information the budget of the activity according to the endorsed proposal	Contains information of the newly proposed activities. The description should be detail and mentioned any relevant information of the change such as the size, method, implementation arrangement of the new proposed activity etc. In a case where the original activity is cancelled, this part could be left empty. However, the proponent still required to fill in the justification	Contains information when the new proposed activity is expected to be held	Contain information on the proposed budget of the new activity. The Proponent should provide detail budget breakdown. In a case where the budget also taken from other activities, the information should also be included	Contains information why the proponent wishes to change/cancel the project activity



APPENDIX 7

Budget Revision Request Matrix



BUDGET REVISION REQUEST

Project title:

Implementing Agency:

Approved Budget:

Duration/Period:

SAMPLE

Budget Line	Description	Approved Budget	Proposed Budget	Variation	Remarks
I. PROGRAMME/ACTIVITY COST					
A. Airfare					
A.1	International Airfare - Participants	54,000.00	54,000.00		
Total Budget for Airfare		54,000.00	54,000.00		
B. Per diem					
B.1	Per diem	30,000.00	30,000.00		
Total Budget for Per Diem		30,000.00	30,000.00		
C. Meeting Package / Workshop / Seminar					
C.1	Meeting Packages, Lunch / Dinner / Meal / Receptions	12,600.00	12,000.00	▼	
C.2	Secretaries supplies	750.00	700.00	▼	
Total Budget for Meeting Package / Workshop / Seminar		13,350.00	12,700.00		
D. Consultant/Expert					
D.1	International Consultant/Expert	2,284.00	2,500.00	▲	
D.2	Regional Consultant/Expert	1,905.00	1,900.00	▼	
Total Budget for Consultant/Expert		4,189.00	4,400.00		
E. XXXX					
E.1	XXXX	2,250.00	2,250.00		
E.2	XXXX	1,000.00	1,000.00		
Total Budget for XXXX		3,250.00	3,250.00		
F. XXXX					
F.1	XXXX	3,000.00	3,000.00		
Total Budget for XXXX		3,000.00	3,000.00		
SUB TOTAL OF PROGRAMME COST (I)		107,789.00	107,350.00		
II. OPERATIONAL COST					
G. Administrative					
G.1	Office Room Rental	6,000.00	6,000.00		
G.2	Office Supplies	1,200.00	1,039.00	▼	
Total Budget for Administrative		7,200.00	7,039.00		
H. Personnel					
H.1	Sallary Assistant Programme Manager	24,000.00	26,800.00	▲	
H.2	Project Administrative Assistant	25,200.00	23,000.00	▼	
Total Budget for Personnel		49,200.00	49,800.00		
SUB TOTAL OF OPERATIONAL COST (II)		56,400.00	56,839.00		
SUB TOTAL (I + II)		164,189.00	164,189.00		



APPENDIX 8

Proposal Development Guiding Questions



Prior to the submission of a complete set of project proposals to AKPMT, the proponents should conduct take a serious consideration of the inputs, process, output, outcome and impact of the project and ensure that those five elements are clearly visible in the project proposal. The proponent should be mindful that the readers of the submitted proposal might not familiar with the issue. The proponent could use following questions as a guide when developing the proposal and ensure that the project proposal addresses the following questions:

INPUTS

- Has the project proposal clearly indicated direct and indirect beneficiaries from the project implementation?
- Has the project proposal listed sufficient human resources and materials to implement project activities, their roles, and responsibilities, which are stipulated clearly in the attached ToR?
- Has the proposal shown a sound and efficient budget to implement the project activities in accordance with the AKCF Pro-Forma Cost?
- Has the proposal clearly stipulated resources and participation of both ASEAN and ROK nationals/institutions?
- Has the proponent considered the gender balance in project activities implementation and beneficiaries' participation?
- Has the proponent taken into consideration the regional issues, including cultural differences in the proposals?

PROCESS

- Has the proposal shown a clear and achievable timeline for activities' implementation?
- Has the proposal clearly explained and listed the roles and responsibilities of each stakeholder?
- Have the project proposal documents been completely collated (ensure the use of the latest ASEAN Cooperation Project Proposal Templates including the annexes of Budget Proposal, Indicative Work Plan and ToR, if any)?
- Has the proposal listed detailed information on the project activities (such as numbers of meetings, events, expected number of participants, etc.)?

OUTPUT

- Has the proposal stipulated clear and achievable outputs by taking into consideration the timeline, budget, and resources of the project?
- Has the proposal stated project activities which have a sound logical sequence to achieve the outputs?
- Will the proposal activities and outputs contribute to strengthening the collaboration between ASEAN and ROK?

OUTCOME

- Has the proposal clearly addressed and contributed to the achievement of the ASEAN Blueprints and specific ASEAN Sectoral Body's Work Plans?

- Will the project outcome benefit both ASEAN and ROK?
- Has the proponent considered the means of verification on the non-tangible outputs and outcomes (level of collaboration, capacity building, knowledge sharing, information distribution) and has it been clearly stated in the proposal?

SUSTAINABILITY

- How does the proposal ensure that outputs of the project could be sustained after the completion of the project?
- How does the proponent ensure that the outputs (platforms, networks, publications, knowledge, capacity) of the project could continue to be utilized after the completion of the project?
- Has the proponent considered risks and threats that might hinder the project implementation? Has the proponent considered how to correspond and mitigate the risks?

IMPACT

- Will the project contribute to strengthening collaboration between ASEAN and ROK?



APPENDIX 9

ASEAN Cooperation Project Report





ASEAN Cooperation Project Report

For Multi-Year Projects :

Annual Interim Report

(complete Section A)

For End of Project :

Completion Report

(complete Section B)

1. PROJECT DETAILS

Proposal Identification Code:

Project Title:

Sponsoring ASEAN Body:

Implementing Agency's Name and Address:

Contact Person and Contact Detail:

Authorized Signature

Funding Source:

Approval Date:

Approved Project Budget:

Commencement Date:

Date of Disbursement:

Reasons for deviations, if applicable:

Planned Completion Date:

(for Annual Interim Reports and Completion Reports).

Completion Date:

(for Completion Reports. Provide reasons for any deviations).

Report Prepared By:

Date of Report Preparation:

SECTION A: ANNUAL INTERIM REPORT

Budget Spent:

2. PROJECT PROGRESS

(For more details, see the “ASEAN Cooperation Projects Design and Management Manual”)

(a) Progress in Implementation

(Describe the progress and, if applicable, highlight any problems or challenges that might endanger project completion).

(b) Progress toward Achievement of Objectives

(Provide a brief assessment of the likelihood in achieving project objectives and, if applicable, highlight any difficulties).

(c) Work Plan Adjustments

(If applicable, describe reasons for any changes made to project objectives or activities).

(d) Budget Implications

(If applicable, describe budget implications of work plan adjustments).

Annex A.1: Annual Financial Report

(Use the financial report template, Annex A, from the Standard Operating Procedures for Project Financial Disbursement and Reporting).

Annex A.2: Output Documents

(Attach relevant documents, only to the extent needed to understand the report’s contents, e.g., a list of participants or workshop proceedings).

SECTION B: COMPLETION REPORT

3. PROJECT RESULTS

(a) Direct Beneficiaries

(Provide details on numbers and types—either planned or reached—of participants and explain reasons for any deviations, as needed).

(b) Achievements

Results	Indicators		Reasons for Deviations
	Planned	Achieved	
Objective:			
Objective:			
Objective:			
Objective:			

(Using the table, assess project achievements against the planned result and explain any deviations).

(c) Plan Adjustments

(If applicable, describe reasons for any changes to objectives, outputs, and activities during implementation).

(d) Project Outcome

(Describe how the project has contributed to ASEAN Community Blueprints).

4. PROJECT SUSTAINABILITY

(State how sustainability of the results was ensured during project implementation).

5. GENDER AND OTHER CROSS-CUTTING ISSUES

(Outline how gender or other cross-cutting issues have been addressed during project implementation).

6. OVERALL PROJECT ASSESSMENT

(Outline two or three key findings and lessons learned. For projects with more than one year's duration, or with a budget of over 1 million USD, include key findings and recommendations from the project evaluation and attach a full evaluation report).

7. FINANCIAL ANALYSIS

	Planned	Actual	Variance
Total Project Revenue:			
Other Contributions:			
Total Eligible Project Costs:			
Total Balance:			

(Using the table, assess project achievements against the planned result and explain any deviations).

Annex B.1 – Project Financial Report

Use the financial report template, Annex A, of the Project Financial Disbursement and Reporting/PFDR)

Annex B.2 – Output Documents

(List down and attach the output documents of the project or provide hyperlink if the documents are uploaded online)

To be completed by ASEC

Financial Completion Report (including budget proposal, financial summary, financial report, and attachments) :

Additional Output Documents attached, e.g., list of participants, agendas, programmes of activities, proceedings, operational Manuals, etc :



APPENDIX 10

Financial Report Template



FINANCIAL REPORT

Project title: Workshop - Capacity Building on xxxxxxxx
 Implementing Agency: ASEC
 Duration/Period: 01 - 07 May 2012

SAMPLE

Reference number of invoices/receipts in the supporting documents.
 For example: total airfare consist of 6 invoice (inv. 01 - 06). These Ref. No. must also be put on the invoice/receipt (i.e. by hand writing)

- All item under actual expenses should be in line with those on the approved budget. Any deviation from budget need to be communicated to the ASEAN Secretariat
 - Actual expenses should also be support by proper documentation, such as: invoices, receipts, etc. Please refer to 'Compulsory'

Budget Line	Description	Reference Number	Approved Budget (X)	Actual Expense (Y)	Balance (X - Y)
FUND RECEIVED ON (date: dd/mm/yyyy)					180,607.90
I. PROGRAMME/ACTIVITY COST					
A. Airfare					
A.1	International Airfare - Participants	Ref. 01 - 06	54,000.00	51,600.00	2,400.00
Total Budget for Airfare			54,000.00	51,600.00	2,400.00
B. Per diem					
B.1	Per diem	Ref. 07 - 20	30,000.00	30,000.00	-
Total Budget for Per Diem			30,000.00	30,000.00	-
C. Meeting Package / Workshop / Seminar					
C.1	Meeting Packages, Lunch / Dinner / Meal / Receptions	Ref. 21 - 23	12,600.00	12,600.00	-
C.2	Secretaries supplies	Ref. 24	750.00	620.00	130.00
Total Budget for Meeting Package / Workshop / Seminar			13,350.00	13,220.00	130.00
D. Consultant/Expert					
D.1	International Consultant/Expert		2,284.00	2,284.00	-
D.2	Regional Consultant/Expert		1,905.00	1,905.00	-
Total Budget for Consultant/Expert			4,189.00	4,189.00	-
E. XXXX					
E.1	XXXX		2,250.00	2,000.00	250.00
E.2	XXXX		1,000.00	750.00	250.00
Total Budget for XXXX			3,250.00	2,750.00	500.00
F. XXXX					
F.1	XXXX		3,000.00	1,800.00	1,200.00
Total expense for Sustainability of XXXX			3,000.00	1,800.00	1,200.00
SUB TOTAL OF PROGRAMME COST (I)			107,789.00	103,559.00	4,230.00
II. OPERATIONAL COST					
G. Administrative					
G.1	Office Room Rental		6,000.00	3,000.00	3,000.00
G.2	Office Supplies		1,200.00	1,200.00	-
Total expense for Administrative			7,200.00	4,200.00	3,000.00
H. Personnel					
H.1	Salary Assistant Programme Manager		24,000.00	24,000.00	-
H.2	Project Administrative Assistant		25,200.00	25,200.00	-
Total expense for Personnel			49,200.00	49,800.00	-
SUB TOTAL OF OPERATIONAL COST (II)			56,400.00	53,400.00	3,000.00
SUB TOTAL (I + II)			164,189.00	156,959.00	7,230.00
Contingency 10% (III)			16,418.90	2,000.00	14,418.00
TOTAL (I + II + III)			180,607.90	159,959.00	21,648.90

Amount of the fund received by the implementing agency

The use of contingency should be communicated prior to the usage

The unspent amount must be returned to ASEC within 90 days after project is completed

AKCF ASEAN-KOREA
COOPERATION
FUND 한 - 아세안 협력기금



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