



ASEAN - China Cooperation Fund  
**(ACCF) MANUAL**  
The Comprehensive Guide to the ACCF

ACCF Management Team (AMT)  
ASEAN Secretariat



# ASEAN–China Cooperation Fund (ACCF) Manual

The Comprehensive Guide to the ACCF  
(Working Paper v.1)

**Prepared by**  
ACCF Management Team (AMT),  
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## Acknowledgment

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# ACCF AT A GLANCE

ASEAN-China Cooperation Fund (ACCF) is launched in 1997 to support ASEAN Community Integration and promotes people-to-people connections by providing fund support for the cooperation and development programmes/projects initiated by ASEAN Members State (AMS), ASEAN’s bodies and entities associated with ASEAN, ASEAN Secretariat (ASEC), and the People’s Republic of China.

	<p><b>Establishment ASEAN-China Relations</b></p> <ul style="list-style-type: none"> <li>➤ Dialogue Relations 1991;</li> <li>➤ Strategic Partnership 2003;</li> </ul>		<p><b>Programme/Project-based approach</b></p> <ul style="list-style-type: none"> <li>➤ Funding: More than 40 Million USD, as of the end of 2021,</li> <li>➤ Funded Projects: More than 280 projects.</li> <li>➤ Flagship Programmes/Projects;             <ol style="list-style-type: none"> <li>1. ASEAN-China Young Leader Scholarship Programme (ACYLS) 2018-2023</li> <li>2. China-ASEAN Public Health Cooperation Initiative: Programme on Public Health Emergency Preparedness Capacity (PROMPT)</li> <li>3. China-ASEAN-UNDP SDG symposium</li> <li>4. and, etc.</li> </ol> </li> <li>➤ Contributed 6 million USD to ASEAN Covid-19 Responding Fund.</li> </ul>			
	<p><b>Strategic Frameworks</b></p> <ul style="list-style-type: none"> <li>➤ ASEAN Community Vision 2025;</li> <li>➤ Master Plan on ASEAN Connectivity (MPAC) 2025;</li> <li>➤ Initiative for ASEAN Integration (IAI) Work Plan;</li> <li>➤ ASEAN-China Strategic Partnership Vision 2030;</li> <li>➤ ASEAN-China Strategic Partnership for Peace and Prosperity (2021-2025);</li> <li>➤ Plan of Action (PoA) to implement the Joint Declaration on ASEAN-China;</li> </ul>		<p><b>Cooperation Areas</b></p> <table border="1" style="width: 100%;"> <tr> <td data-bbox="568 927 785 1433"> <ul style="list-style-type: none"> <li>➤ Agriculture;</li> <li>➤ Education;</li> <li>➤ Environmental;</li> <li>➤ HRD;</li> <li>➤ ICT;</li> <li>➤ Mekong River Basin Development;</li> <li>➤ IAI;</li> </ul> </td> <td data-bbox="785 927 1031 1433"> <ul style="list-style-type: none"> <li>➤ People-to-People;</li> <li>➤ Science &amp; Technology;</li> <li>➤ Trade&amp; Investment;</li> <li>➤ Tourism;</li> <li>➤ Transport Linkage.</li> </ul> </td> </tr> </table>		<ul style="list-style-type: none"> <li>➤ Agriculture;</li> <li>➤ Education;</li> <li>➤ Environmental;</li> <li>➤ HRD;</li> <li>➤ ICT;</li> <li>➤ Mekong River Basin Development;</li> <li>➤ IAI;</li> </ul>	<ul style="list-style-type: none"> <li>➤ People-to-People;</li> <li>➤ Science &amp; Technology;</li> <li>➤ Trade&amp; Investment;</li> <li>➤ Tourism;</li> <li>➤ Transport Linkage.</li> </ul>
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## Abbreviations and Acronyms

ACCF	ASEAN-China Cooperation Fund
AMT	ASEAN-China Cooperation Fund Management Team
AEC	ASEAN Economic Community
AMS	ASEAN Member States
APSC	ASEAN Political-Security Community
ASEAN	Association of Southeast Asian Nations
ASCC	ASEAN Socio-Culture Community
ASEC	ASEAN Secretariat
CLMV	Cambodia, Lao PDR, Myanmar, and Viet Nam
CPR	Committee of Permanent Representatives to ASEAN
DO	Desk Officer
EA	Expected Accomplishment
FBD	Finance and Budget Division of ASEC
HRD	Human Resource Development
IA	Implementing Agency
IAI	Initiative for ASEAN Integration
ICT	Information Communication Technology
IO	International Organisation
M&E	Monitoring and Evaluation
MOFA	Ministry of Foreign Affairs
MOV	Mean of Verifications
MPAC	Master Plan on ASEAN Connectivity 2025
MTR	Mid-Term Review
NPO	Non-profit Organisation
OVI	Objectively Verifiable Indicator
PCPMD	Programme Cooperation and Project Management Division
PCR	Project Completion Report
PFDR	Project Financial Disbursement and Reporting
PoA	Plan of Action
China	People's Republic of China
SOP PAA	Standard Operating Procedures for the ASEAN Project Appraisal and Approval

# Introduction

## **How to use this manual:**

**This ACCF Manual, along with its Annexes, was developed to promote results-based approaches of the ASEAN Cooperation Programmes/Projects and provide comprehensive guidance to ACCF's stakeholders.**

### **I. Purpose of the ACCF Manual**

The ACCF Manual is an operational manual that intends to facilitate the day-to-day work of immediate stakeholders of the ACCF. As described in the following sections, the manual is to help stakeholders to have a better understanding of the procedures and financial practices.

It provides general information on operational rules and practical references that apply to programmes/projects funded by the ACCF for a common understanding among various stakeholders.

### **II. Target Audiences**

#### *All Stakeholders involved in ACCF management.*

This manual serves as a reference for potential proponents, implementing agencies (IA), and other stakeholders at both regional and national levels. It also aims to provide potential proponents with clear guidance on how to formulate and implement the ACCF funded projects.



# Chapter 1: Overview of the ACCF

## 1.1 ACCF Background

ASEAN Member States and China are close neighbours linked by mountains, rivers, and seas. Since the establishment of dialogue relations in 1991 and strategic partnership in 2003, the two sides have stepped up efforts to consolidate political and strategic mutual trust, deepen trade and economic cooperation, enhance connectivity and strengthen people-to-people exchanges, and have achieved fruitful results spanning across a wide array of areas.

At the special summit to commemorate the 30th anniversary of China-ASEAN dialogue relations, which was held in In November 2021, national leaders of ASEAN and China agreed to elevate their ties to a comprehensive strategic partnership. This will make a new milestone in the history of ASEAN China relations and will inject new impetus into the peace, stability, prosperity, and development of the ASEAN region and the world.

Building upon this partnership, in 1997, the Government of the People's Republic of China launched the ASEAN-China Cooperation Fund (ACCF). ACCF intends to fund activities in promoting cooperation between ASEAN and China in areas such as agriculture, Information Communication Technology (ICT), Human Resource Development (HRD), trade, tourism, people-to-people exchange, education, science, and technology, and the environment. Including but not limited to conducting workshops, seminars, personnel training, and exchange of visits and other functional areas. Over the past decades, ACCF has funded hundreds of projects and programmes between ASEAN and China and has been playing a significant role in enhancing functional cooperation between China and ASEAN in various fields. Since its establishment, ACCF-Flagship Programmes/Projects are ASEAN-China Young Leader Scholarship Programme (ACYLS) 2018-2023, China-ASEAN Public Health Cooperation Initiative: Programme on Public Health Emergency Preparedness Capacity (PROMPT), and China-ASEAN-UNDP SDG symposium.

## 1.2 ACCF Logo

### Meaning of the ACCF Logo:

- The Colours mean the diversity in ASEAN and China;
- The encircled Red and Yellow Semi-Circles are deformations of “A”- represents ASEAN and “C”- represents China, showing the determination of ASEAN Member States and China to move forward, hand-in-hand, to bring mutual understanding and beneficial cooperation; the colours of the logo and white background are representing in four-colours from ASEAN and China flags;
- The ACCF letters mean the dynamic motion from each of ASEAN Member State and China;
- The Chinese words and “ASEAN-China Cooperation Fund” represent the strong will of the Chinese Government to support ASEAN.

### Using the ACCF Logo:

The proponent/IA will promote ACCF support through project outcomes, outputs, and activities by ensuring sufficient visibility of support from ACCF to the broader audience and beneficiaries.

The ACCF Logo is available for download at the ACCF website ([www.accf-asean-china.com](http://www.accf-asean-china.com)) or upon request by email. When proponent/IA carries out ACCF’s project/programme, they should present the ACCF Logo in all documents, project reports, meeting materials, and other kinds of promotional materials to indicate support from the ACCF. Using the ACCF Logo in activities and projects shall consult with the AMT on a case-by-case basis. Please contact AMT with any queries.



## 1.3 ASEAN - China Cooperation Fund Management Team (AMT)

The ASEAN-China Cooperation Fund Management Team (AMT) was established in September 2019 at ASEAN Secretariat, Jakarta, to work for the effective utilization, management, and execution of the ASEAN-China Cooperation Fund projects. Guided by the Standard Operating Procedure (SOP) on Project Appraisal and Approval and the SOP on Project Financial Disbursement and Reporting (PFDR) of the ASEAN Secretariat, the AMT shall work closely with the ASEAN Secretariat in the transparent use of project fund under ACCF.

## **The mandate of the AMT includes:**

- To be the focal contact point for general inquiries about ACCF;
- Receiving and reviewing proposals from the People’s Republic of China (“China”) and ASEAN Member States;
- Tracking the appraisal and approval of submitted projects;
- Releasing of funds to implementing agency of approved projects;
- Consultation with potential partners, proponents/IAs, e.g. ASEAN Members State (AMS), ASEAN’s bodies and entities associated with ASEAN, UN agencies, Think-Tanks, other international organizations, and dialogue partners for the formulation of quality proposals in line with the demand and priority of ASEAN;
- Coordination with the ASEAN Secretariat, Ministry of Foreign Affairs of the People’s Republic of China (Hereafter, MOFA of China), Mission of the People’s Republic of China to ASEAN (Hereafter, China Mission), and partners from ASEAN and China for the formulation, implementation, monitoring and evaluation, as well as, reporting of programmes/projects;
- To promote cooperation between ASEAN’s bodies and entities associated with ASEAN, AMSs, and China in a wide range of aspects e.g. trade & investment flow, research & studies, personnel exchange, awareness & understanding among ASEAN and Chinese people, preparedness for a public health emergency, etc;
- As part of Fund Management responsibilities, AMT provides a full circle of project management and consultation to the Proponent/IA and undertakes periodic simplified monitoring of selected ACCF-supported projects/programmes;
- Monitoring implementation, reporting the progress, and assisting with the completion of projects;
- Evaluating the programmes/projects as needed;
- Promotion of the ACCF to relevant stakeholders, including socialization of the Fund and the mechanisms to tap into it and providing advice on project proposal preparation and management and its principles.

### **1.4 Ownership of the ACCF Project outputs**

The outputs (moveable or immovable) of the ACCF programmes/projects are owned by ASEAN and ACCF. The use of project deliverables and outputs should be consulted with ASEC and MOFA of China through AMT.

# Chapter 2: Application for ACCF

## 2.1 Eligibility for the ACCF

### 2.1.1 Definition of Proponent and Implementing Agency (IA)

- Proponent: Project Initiator/Formulator;
- Implementing Agency (IA): The party/legal entity that receives funding through the ASEC and utilises it to implement approved projects. The IA may be the Proponent, or other agency or entity.

### 2.1.2 Eligibility of Proponent and Implementing Agency (IA)

ASEAN	ASEC, ASEAN’s bodies and entities associated with ASEAN, AMS government agencies, ASEAN Intergovernmental Organisation, Ministries, Government-affiliated Organizations, Non-profit Organisation (NPOs), and Universities/Institutions whose proposals have been endorsed or jointly proposed by a relevant ministry.
China	Ministries, Government-affiliated Organisations, Government agencies, Public Associations, Foundations, Non-profit Organisations, and Universities/Institutions whose proposals have been endorsed or jointly proposed by a relevant ministry. (all subject to prior endorsement by the government of People’s Republic of China)
International Organisation (IO)	Subject to consultation with ASEC and China Mission Through AMT

\*Individuals or for-Profit Organisations are not eligible to be proponents of ACCF programmes/projects.

### 2.1.3 Eligibility of Programmes/Projects for Application

Projects eligible for application should meet the following qualifications:

- The programmes/projects should contribute to the enhancement of the cooperative relationship between ASEAN and China;
- 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 Community Vision 2025;
- The programmes/projects should be in line with the ASEAN - China Strategic Partnership Vision 2030, the Plan of Action to Implement the Joint Declaration on ASEAN - China Strategic Partnership for Peace and Prosperity (2021-2025), and guidance from the annual ASEAN-Summit meeting declarations/communique;
- The programmes/projects should generally engage all ASEAN Member States (AMSS) and China. For the Initiative for ASEAN Integration (IAI) Work Plan projects, only Cambodia, Lao PDR, Myanmar, and Viet Nam (CLMV) can be the beneficiaries of the ACCF-funded projects. In terms of the IAI accredited Project, at least 2 countries from CLMV countries should be the main beneficiaries;
- Both ASEAN and China nationals/institutions should take part in the implementation arrangement of the programmes/projects;
- The programmes/projects should not be the replication of existing or past ones, and;
- Priority will be given to multi-year programmes/projects.

# Chapter 3: Proposal Formulation

The proponents should follow the below flowchart of the full procedure to display a step-by-step approach from the concept note preparation to the completion and evaluation of the Project. (Figure 1)



**Figure 1: Procedure of the ACCF Supported Project**

## 3.1 Preparation of Concept Note

The proponents are encouraged to prepare a concept note to be submitted to the AMT for preliminary review. The suggested points in the Concept Note are provided in Appendix C.

## 3.2 Consultation

The proponents shall have a consultation with the China Mission or AMT prior to submitting a full project proposal. DO shall confirm that consultation with China Mission or/ and AMT have been undertaken when submitting the Proposal to PCPMD.

## 3.3 Preparing the Full Proposal

Proponents are required to use the ASEAN Cooperation Project Proposal Template,

Budget Template, and Work Plan Template for proposal formulation and following the guidelines provided in the ASEAN Cooperation Projects Design and Management Manual<sup>1</sup> on the ASEAN website.

### 3.3.1 Proposal Formulation

- ACCF-supported projects follow the ASEAN Secretariat (ASEC) fiscal year, which is from January to December;
- The proponents are requested to annex the Terms of Reference (TOR)<sup>2</sup> of IA to the ASEAN Cooperation Project Proposal, including sub-contractor information and the detailed allocation of budget, where applicable. The proponents are also expected to select a qualified IA in accordance with their own rules and regulations. Otherwise, the ASEAN Secretariat Financial and Administrative Rules and Procedures (AFARP) shall be applied. The proponents should provide their selection criteria and the justification of selection in the proposal;
- The budget calculation should be made based on rationale and careful justification. Each budget item in the budget proposal shall follow the ACCF Pro-forma Cost, where applicable. Other costs that are not stated in the Pro-forma Cost should be consulted with AMT;
- In principle, programmes/projects with a budget of USD 800,000 and above shall be subject to external audit requirements at the end of the project. Relevant audit arrangements and costs should be included in the work plan and budget. An audit report should be provided along with the narrative and financial component of the Project Completion Report (PCR) together to ASEC and AMT in due course;
- The project proposal should state the obligation of submitting relevant project reports in a timely manner according to the nature of the project, including the Annual Interim Report and Project Completion Report (PCR), along with original invoices and receipts or certified true copies (in English or translation reference).

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1. ASEAN Cooperation Projects Design and Management Manual, ASEAN Cooperation Project Template and related documents are available at the homepage ASEAN website ([www.asean.org](http://www.asean.org))

2. Please see template for the ToR of IA/Consultant/Expert in Appendix G

### 3.3.2 Document required for Application

Application for ACCF should include:

- 1) ASEAN Cooperation Project Proposal (Full format),
- 2) Annex 1: Budget Proposal,
- 3) Annex 2: Indicative Work Plan.

The above templates are available on the homepage of the ASEAN website ([www.asean.org](http://www.asean.org))\_(Appendix D) AMT may request additional documents or information for the project proposals that meet the following criteria:

- (i) Programme approach;
- (ii) Result-oriented;
- (iii) Multi-year;
- (iv) Two or more activities;
- (v) High cost (if over 500,000 USD);
- (vi) The rationale of budget lines (Supporting material, Vendors Quotation, etc.);
- (vii) Foreign exchange policies of the project implementation country (compulsory foreign exchange conversion, the limit on outgoing foreign exchange amount, etc.

### 3.4 Proposal Review and Approval Process

#### 3.4.1 Submission of Proposal

Both ASEAN-initiated and China-initiated Programmes/Projects are subject to submission to AMT for pre-review and seeking AMT preliminary approval. The proponents shall submit the proposal via email to [accfmt@asean.org](mailto:accfmt@asean.org) using the templates from ASEAN Cooperation Project (in MS format); including the required documents: Annex 1, and Annex 2. (Refer to the list in 3.3.2).

- The AMT reviews and conducts an initial screening of the proposal in consultation with the relevant parties within 28 calendar days. If the proposal is rejected or regarded as withdrawn at this stage, the proponent will receive a letter/email of regret from the AMT.
- The proponents may be requested to revise the proposal at every stage of this pre-approval process. The time for revision is not counted in the formal project appraisal duration.



- If the proponent does not submit the revised proposal within 14 calendar days after they receive a revision request, it is considered the withdrawal of the proposal. Within the period, the proponents can request an extension for a maximum of an additional 14 calendar days.
- If there is any revision in the project proposal, the proponent shall re-submit the amended proposal with its annexes in a clean version to AMT to obtain the official pre-approval process.

After AMT pre-assessment and pre-approval, proponents of the ASEAN-initiated project are expected to submit the proposal to ASEAN Secretariat through an ASEAN Member State (ASEAN National Secretariats, line agencies, ASEAN bodies) for ASEAN Project Appraisal and Approval Process. The proponent may submit the proposal directly to the ASEAN Secretariat or through the ASEAN Member States. For the China-initiated project, the proponent is expected to submit the Proposal through MOFA of China for further process.

ASEAN-initiated and China-initiated proposals should be reviewed and approved by each side, respectively. The ASEAN-initiated and China-initiated project is proceeding to the next step(s) differently.

### **3.4.2 China review and approval**

The China-initiated proposal shall be submitted to MOFA of China through the proper official channel for review and approval after it obtains preliminary endorsement from the AMT. China Mission will then notify and submit the approved project to ASEAN Secretariat for a formal appraisal and approval process following the Standard Operating Procedures for the ASEAN Project Appraisal and Approval (SOP-PAA).

### **3.4.3 ASEAN Review and approval**

The proposal from the ASEAN side shall be submitted to ASEC for its formal approval process after it obtains preliminary endorsement from the AMT. The proposal has to go through the major elements of the SOP-PAA which are the ASEC review, endorsement of the ASEAN Sponsoring Body, and final approval by the Committee of Permanent Representatives to ASEAN (CPR).

Please refer to the process that follows the SOP-PAA in the ASEAN Cooperation Projects Design and Management Manual.

Overall, the project appraisal and approval process, starting from proposal submission by the Proponent to ASEAN Secretariat until obtaining the approval from CPR should be completed at least 88 days for a single-sectoral project and 96 working days for the cross-sectoral projects prior to the intended implementation date. This includes 30 days for revisions of the project proposal by the proponent.

### 3.5 Final Approval

- ASEAN-initiated project/programme;

After the CPR approval, the proposal will be submitted to China Mission and copied to AMT for the Chinese Government's final assessment and approval. China Mission will inform the Permanent Mission of the Country Coordinator for ASEAN-China dialogue relations of the final result in a formal way (Verbal Note). The final review and approval process will take 42 calendar days. If the proposal is rejected, the proponent will receive a letter of regret from AMT, on behalf of China side.

If there is a revision request by the China side (China Mission), the proponent shall return the amended proposal within 10 working days.

- China-initiated Project/Programme.

After the Chinese Government's pre-approval, the proposal will be submitted to ASEC for the appraisal and approval process. Meanwhile, AMT will jointly work with ASEC relevant divisions to assist the proponent in finalizing the proposal.

After the CPR approval, the proposal will be submitted to China Mission for the Chinese Government's final assessment and approval. China Mission will inform the Permanent Mission of the Country Coordinator for ASEAN-China dialogue relations of the final result in a formal way (Verbal Note). The final review and approval process will take 42 calendar days. If the proposal is rejected, the proponent will receive a letter of regret from AMT, on behalf of China side.

If there is a revision request by the China side (China Mission), the proponent shall return the amended proposal within 10 working days.

### Post CPR Approval

If the project proposal is revised and change(s) to the project proposal fulfill any of the

criteria which required resubmission to the CPR, then the proposal shall be submitted for the Post CPR Approval process. The following are the criteria for post-CPR approval:

- a. Upward or downward revision of the total project budget of more than 25 percent from the initial funding amount,
- b. Change in the ASEAN Sponsoring Body or Working Group,
- c. Revision to the scope and intended beneficiary (s) of the project,
- d. Revision to the project's objectives and intended outputs,
- e. Change in management and implementation arrangements, as deemed necessary by the ASEAN Secretariat, or
- f. Change in the funding source.

For such projects, the ASEAN Secretariat shall inform and submit the revised project proposal to the ASEAN Sponsoring Body(s) and the CPR for re-approval.

# Chapter 4: Project Implementation

## 4.1 Fund Disbursement and Project Commencement

### 4.1.1. Fund Disbursement

After the project proposal has been approved, the proponent and the IA will be notified. The approved project proposal becomes the basis for implementing the project by the nominated IA. The IA will sign a fund disbursement letter with the ASEAN Secretariat to assume responsibility for implementing the project and as part of accountability to report on the received funds. The IA must ensure that the project's implementation is consistent with the approved project proposal.

IA also needs to state briefly the budget implementation ratio of the total received budget in the request letter to ASEC and AMT for allocation of the next tranche budget.

### 4.1.2. Budget Reallocation

The AMT will review the rationality and necessity of the project budget according to the proposal and work plan submitted by the Proponent. AMT may require the proponent/IA to provide supporting documents to verify the budget items. Those documents include and are not limited to expenditure criteria, quotation, vendor selection process, qualification of beneficiaries, etc.

The fund recipient should manage the fund professionally and spend the fund based on the approved budget lines (i.e. along with each budget item, and within the approved budget for each budget item). The fund recipient shall not misuse the fund for other purposes than the project implementation.

In case there are changes to be made during the implementation of the project (e.g. change in implementation arrangements, activities, work plan, and budget) the IA is required to seek approval from the relevant approving body through the relevant DO. The proposed changes should be intended primarily to ensure the effective achievement of the project results. IA shall inform the DO, through the proponent, of the proposed changes, with a copy to PCPMD. The IA has to submit the revised project proposal, budget, and work plan, along with the relevant reasons for the change, at least 30 days prior to the proposed changes. The proponent/IA should obtain prior

approval from the final approving body at least 5 working days before implementing the changes. All changes are subject to prior endorsement by AMT.

The proponent/IA is required to describe the implications of any adjustments which were made to the project's planned budget and attach the revised budgetary breakdown. Any budget reallocation between sectors and items should be subjected to AMT approval.

Please note: Budget for personnel such as air tickets, hotel accommodations, per-diem, etc., are not allowed to be reallocated to cover the insufficient operational cost.

#### **4.1.3. Usage of Contingency**

Contingency Cost can only be utilised for the expenditure that occurred due to unexpected events, such as currency fluctuation, and price increases but cannot cover personnel and administrative cost. The proponent/IA is required to submit an application to AMT, with justification for the usage of contingency. The Proponent/IA has to obtain prior approval from AMT for the utilization of the Contingency Cost. The said application should be no later than the end of the project implementation.

#### **4.1.4. Return of Unutilized Fund**

The proponent/IA shall return any unutilised funds and interest earned within 90 days of the project's completion to the ASEAN Secretariat. After the proponent/IA returned the unutilised fund to ASEAN Secretariat, the DO shall promptly inform AMT.

The PFR is verified by the ASEAN Secretariat. Any findings during the verification process should be followed up and settled by the DO in consultation with FBD and AMT. If deviations from the approved budget are found during the verification process, the proponents shall refund any amounts received which were not accounted for under the approved budget.

The proponent/IA shall take responsibility for value loss due to the failure to return the unspent fund.

#### **4.1.5. ACCF project disbursement tranches**

ACCF project disbursement tranches are as follows:

Type A: Activities and events-based Type Project Proposal

\*e.g. Workshop, Seminar, Training, Forum, Meeting, Visiting or Exchange programme, Scholarship, Field trip, etc.

Initial funding amounting to 50% of the total fund will be disbursed, the proponent/ IA can request for disbursement of 30% of the total fund as a second tranche upon submission of the relevant progress report, and the final balance of 20% to be settled upon submission of the ASEAN Project Reports (including PCR both narrative and financial components).

#### Type B: Research / Publication-based Type Project Proposal

\*e.g. Policy Brief, Policy Recommendation, Outlook Report, Publication, Research document/paper, Assessment report, etc.

Initial funding amounting to 30% of the total fund will be disbursed (after framework, outlines, or content/abstract are approved), The proponent / IA can request for disbursement of 50% of the total fund as a second tranche upon submission of the relevant progress report, the final balance of 20% to be settled upon submission of the ASEAN Project Reports (including PCR and PFR).

Project type will be determined by AMT to the submitted Programme/project.

*\*Sample of Fund Disbursement Letter is in Appendix I.*

#### **4.1.6. Project Commencement**

The project is considered to have “commenced” as of the date the Implementing Agency/ Proponent is informed of the approval and upon receipt of the first disbursement.

### **4.2 Project Implementation**

The IA manages and conducts the project activities in accordance with the approved project proposal, budget, indicative work plan, and ASEAN Cooperation Project Guidelines, including the requirements for financial disbursement and project reporting.

In case substantial change or revision is needed, for instance, method format, subject, budget, and time-frame are made in the implementation. The IA is required to inform/ consult the relevant DOs through the Proponent for seeking endorsement from the relevant ASEAN Sectoral Committee / ASEAN Body, the CPR, and AMT, and the DO shall inform the AMT accordingly. (Please refer to ASEAN Cooperation Projects Design and Management Manual.)

## Chapter 5: Project Monitoring and Reporting

Project monitoring and reporting are essential components of the project's implementation. The IA is fully responsible for the implementation of the approved monitoring plan and reporting mechanism to ensure that the project is implemented as efficiently and effectively as possible, and is ultimately able to achieve its objectives and required outputs.

### 5.1 Project Monitoring

#### 5.1.1 Internal Monitoring by the Proponent / IA

The proponent/IA should be responsible for monitoring the progress of the project's activities in close coordination with the DOs of ASEC and AMT. The monitoring by IA should capture tangible outputs, which should be reported in the reports.

The Project's expected achievements/results/outputs will be monitored and analysed. To capture the outputs, various monitoring methods can be used, e.g., questionnaires, surveys, reviews, interviews, site visits, focus group interviews/consultations, experiments, and reports.

#### 5.1.2 Regular Monitoring by ASEAN, and the AMT

As part of monitoring, IA is encouraged to coordinate closely with DOs of the ASEC and the AMT during the period of project implementation. The monitoring report, if any, should be shared through DOs of ASEC and AMT for review.

Regarding the Monitoring & Evaluation (M&E), in Appendix J, the IAs are encouraged to consult with AMT for advice, guidance, and clarification procedures at the earliest stage for project development.

For multi-year projects, the proponent/IA should submit an interim project report, including a narrative and a financial report (with the supporting documents)<sup>3</sup> to ASEC and AMT, within 30 days after the project reaches the period of every 12 months. Any such progress report should aim to furnish the ASEC and the ASEAN Sponsoring Body with information regarding the progress of the project's implementation. The report should also address problems or challenges encountered during the implementation

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3. Financial report templates set out in Annex A of the Project Financial Disbursement and Reporting/PFDR Section.

of the project, as well as all the changes or adjustments which have been made to the planned activities and results. The report should also discuss the potential implications of such changes or adjustments with regard to the project budget.

For short-term projects (less than 12 months), Proponent/IA shall submit the PCR (narrative and financial report) to the ASEAN Secretariat and copy it to AMT within 60 days of the project completion date, as regulated in Guidelines for Closing ASEAN Cooperation Projects.

Besides, Proponent (IA) is also expected to provide the AMT hard copy of the reports together with the soft copy of the photos reflecting the entire event or activities of the programme/project.

### **5.1.3. AMT On-Site Monitoring**

The AMT may carry out needful field monitoring with AMT's budget or be listed in the project budget if needed.

## **5.2 Reporting**

The Proponent/IA is required to prepare and submit the project reports including financial reports using the ASEAN Cooperation Report Templates. (Appendix E, F)

The annual interim report shall be submitted within 30 days of the end of the ASEC fiscal year<sup>4</sup> while PCR is within 60 days of the project being fully implemented.

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4. ASEC fiscal year is January - December



# Chapter 6: Project Completion and Evaluation

## 6.1 Project Completion

The *Project Implemented Date* is the final project activity mentioned in the Indicative Work Plan that is conducted. The Proponents are requested to submit the original version of the Project Completion Report (PCR) including the Project Evaluation Report, and Financial Report (and its complete supporting documents) within 60 days after the project is fully implemented, to DOs of ASEC and the copy version to the AMT.

### Final Financial Report Verification

Finance and Budget Division (FBD) of ASEC verifies the financial supporting documents and informs the Proponents/IA through DOs of ASEC, of the amount of final disbursement from ASEC or unspent balance and/or any interest earned from the project fund to be refunded to ASEC. Any findings during the verification process should be communicated by FBD through DOs of ASEC (i.e. lack of supporting documents, miscalculation of expenditure, deviation from the approved budget proposal, etc.). Once all the follow-up actions have been taken and settled, FBD will inform the DOs of the ASEC, and the AMT, by which the verification is considered completed.

If the deviation(s) from the approved budget proposal have been found during the verification process, the proponent may be requested to refund the amount paid for the unapproved/overspent budget items, and the deviation(s) may be taken into account as disadvantages by AMT in consideration of the proponent in carrying out the future project.

In the case where the proponent has not submitted its PCR and its final financial report, funding for the next project will be withheld until the pending report is settled

### Narrative of Project Completion Report

The narrative component of the PCR shall be verified by the Programme Cooperation and Project Management Division (PCPMD) of the ASEAN Secretariat.

## 6.2 Project Evaluation

The AMT conducts a project evaluation by using the “ACCF-Supported Project Evaluation

Form” (Annex J), the proponent/IA may request to report the project evaluation based on comments, inputs, and recommendations made by the ASEAN Sponsoring Body and the ASEC.

## Chapter 7: Contacts

ASEAN – China Cooperation Fund (ACCF) Management Team (AMT)  
The ASEAN Secretariat  
70A Jl. Sisingamangaraja, Jakarta 12110, Indonesia  
Tel: +62-21-724-3372, Fax: +62-21-739-8234  
E-mail: [accfmt@asean.org](mailto:accfmt@asean.org)  
Website: <http://accf-asean-china.com/>

The ASEAN Secretariat  
Programme Cooperation and Project Management Division (PCPMD)  
70A Jl. Sisingamangaraja, Jakarta 12110, Indonesia  
Tel: (+62 21) 726 2991, 724 3372, Fax: (+62 21) 739 8234, 724 3504, 720 0848  
Email: [pcpmd@asean.org](mailto:pcpmd@asean.org)  
Website: [www.asean.org](http://www.asean.org)

Mission of the People’s Republic of China to ASEAN  
32nd floor, the East Building,  
Jl. Lingkar Mega Kuningan Blok E3.2 Kav. 1, Jakarta 12950  
Tel: +62-21-2952-7092, Fax: +62-21-2952-7091  
Website: <http://asean.chinamission.org.cn/eng/>

# Appendix

## Appendix A: ASEAN-China Strategic Partnership Vision 2030

- Available at <https://asean.org/asean-china-strategic-partnership-vision-2030/>

## Appendix B: Plan of Action to Implement the ASEAN-China Strategic Partnership for Peace and Prosperity (2021-2025)

- Available at <https://asean.org/wp-content/uploads/2012/05/ASEAN-China-POA-2021-2025.pdf>

## Appendix C: Concept Note Template

The Concept Note may include the following points in at least 3 pages, but are not limited to:

- 1) Title of Project;
- 2) Proponent/ Implementing Entity (Please also include the Project leader/manager/officer name and contact information);
- 3) Background, Objectives, and Justification;
- 4) Relationship to:
  - (i) ASEAN Community Vision 2025;
  - (ii) Master Plan on ASEAN Connectivity (MPAC) 2025;
  - (iii) Initiative for ASEAN Integration (IAI) Work Plan IV;
  - (iv) ASEAN - China Strategic Partnership Vision 2030; and
  - (v) Plan of Action to Implement the Joint Declaration on ASEAN - China Strategic Partnership for Peace and Prosperity (2021-2025), and Sustainable Development Goals.
- 5) Expected Accomplishments (EA) - *Suggested at least two*;
- 6) Indicators of Achievement - *One or two per EA; coding should be clearly linked to EAs*;
- 7) Key Components & Activities with Timeframe – *Coding should be clearly linked to EAs*;
- 8) Indicative budget.

## Appendix D: ASEAN Cooperation Project Proposal Templates

- 1) ASEAN Cooperation Project Proposal Template
  - 2) Annex 1 Project Proposal – Budget Template
  - 3) Annex 2 Project Proposal – workplace Template
- Available at [www.asean.org](http://www.asean.org).

## **Appendix E: ASEAN Cooperation Project Annual Interim Report and Project Completion Report (PCR) Template**

- Available at <https://asean.org/wp-content/uploads/ASEAN-Cooperation-Project-Report-Template.doc>

## **Appendix F: ASEAN Cooperation Project Financial Report (PFR) Template**

- Available at <http://www.asean.org/wp-content/uploads/2012/05/Financial-Report-Template.xlsx>

## **Appendix G: Additional Documents for the Proposal**

- **ToR of IA/Experts/Consultants;**

The ToR may include the following points, but not limited to:

- 1) Title of the Project;
- 2) The specific title of the post;
- 3) Tasks to be undertaken;
- 4) Expected outputs;
- 5) Duration and Consultation/Professional Fee;
- 6) Qualifications/Requirements, Special skills, Specific knowledge;
- 7) Relevant experiences to the post;
- 8) CV.

## **Appendix H: ACCF Pro-forma Cost**

ACCF Pro-forma Cost is a set of references that are used as a standard to develop a budget proposal for ACCF-supported projects. The rates listed in the Pro-forma Cost are the maximum amounts that can be adjusted within the range.

- **Personnel Cost;**

- New Project's Full-Time Staff (per work month)

In case of which the proponent/IA recruits new full-time staff engaging specifically for the ACCF-funded project, the proponent/IA can budget direct personnel costs. For the newly recruited staff, the ToR should be included as annexes in the project proposal. The proponent can recruit a maximum of 2 new full-time staff for the management of the programme/project, which will be or can be considered on a case-by-case basis. Prior consultation with AMT is required if the proponent intends to employ additional full-time staff or recruit staff with higher rates. The duration of employment shall follow the duration of the project.

- Programme / Project Manager US\$1,500-2,500 per month
- Programme / Project Officer US\$1,000-1,500 per month
- Programme / Project Administrative /Financial Assistant US\$600-1,000 per month
- Programme / Project Secretariat (part time) US\$300-600 per month

○ Consultant and Expert (per work month / per day / per event)

In the case in which the proponent/IA employs consultant (s), the rates and employment period shall be discussed with the AMT on a case-by-case basis, and the ToR should be included as annexes in the project proposal. The consult and expert rate shall be assessed on a case-by-case basis, with reasonable rationale and quotation when available.

- **Operational Cost;**

The total operational cost is up to 7% of the budget amount before contingency, it includes:

- Management Fee
- Salary of management personnel or team;
  - Note: Salary of Existing Staff: In case the proponent/IA utilises existing staff for the ACCF project, up to 50% of the salary scale of new full-time staff in the Personnel Cost can be charged to the project budget.
- Secretariat/Admin support and supplies (e.g. transportation, telecommunication, event organizer, hiring temporary staff, stationery, rental of equipment)
- Other operational costs (audit fee, cancellation fee, transfer fee, etc.).

Note:

- i. The proponent may request to provide the proponent/IA's financial rules and regulations regarding the operation cost.
- ii. Over 7% of Operation cost request is subject to obtaining AMT approval on a case-by-case basis.

- **Activity Cost;**

- 1) Travel (per person)**

- a) By most timely, direct, and economical economy-class round-trip.
      - i. Flight within the AMS region US\$800  
(Round trip, Economy class)
      - ii. Flight Between AMS and China US\$1,000  
(round trip, Economy class)
      - iii. International flights across continents case-by-case basis
    - b) By most direct business-class round-trip as a special case and assessed on a case-by-case basis. The business class will need to have prior approval and it is only available for minister-level (DSG and above).

- 2) Accommodation:** Applied UN rate

- 3) Per-diem:** Applied UN rate

- a) The Per-diem will be arranged based on the UN DSA rate.
    - b) Per-Diem will be given based on the number of days or project activities, plus one traveling day.
    - c) The DSA rate shall be reduced based on the information provided in administrative arrangements and the programme of activities of the event as follows:
      - i. By 50% if accommodation is provided. This reduction shall apply irrespective of the type of accommodation provided free of charge;
      - ii. By 15% if one meal (lunch or dinner) is provided;
      - iii. By 30% if all meals (lunch and dinner) are provided;
      - iv. By 80% if accommodation and all meals are provided;
      - v. By 40% where no actual expenditure for accommodation was incurred.

- 4) Event (Workshop, Conference, Exhibition)**

- a) Meeting package
      - i. Full-day US\$60 per person per day  
(Consist of: Venue, 2 coffee breaks, lunch)
      - ii. Half-day US\$30 per person per half-day  
(Consist of: Venue, 1 coffee break)

- b) Secretariat Support and Supplies US\$1,000 per event (ceiling)  
(Consist of: telecommunications, banner, stationery, rental of electronic equipment, and hiring temporary staff)

For expenditure exceeding proforma costs, the proponent should consult AMT in advance.

- **Contingencies** Up to 5% of total budget amount.

\*Remark:

- The ACCF, in general, is unable to support the social and/or entertainment expenses such as welcome/farewell dinner, reception, gift/souvenirs, and others. Unless they get approved in advance.
- In case of further inquiries on a budget plan, the proponent/IA should consult AMT in advance. AMT will consider all programme/project budget justifications on a case-by-case basis.

- **Foreign Currency Policy**

a) **Functional and presentation currency**

The financial statements are presented in USD, which is the Project's functional and presentation currency.

b) **Transactions and balances**

Transactions in currency other than USD are translated into USD using the exchange rates prevailing at the dates of the transactions or valuation, where items are re-measured. Exchange gains and losses resulting from the settlement of such transactions and the translation at year-end exchange rates of monetary assets and liabilities denominated in a currency other than USD are recognised in the statements of activities.

c) **Foreign exchange risk**

Foreign exchange risk is the risk that the future cash flows of a financial instrument will fluctuate because of changes in the foreign exchange rate. To reduce the foreign exchange loss risk, the proponent/IA shall apply the guidelines below:

- i. If it is not the national mandatory foreign exchange policy, IA is advised not to convert or not convert the full ACCF project budget into local currency

- until implementation commencement.
- ii. If the project budget needed to be converted to local currency for the project implementation, IA shall fill the Monitoring and Evaluation form provided by AMT with the foreign exchange rate of the budget received and the balance returned when project implementation is complete.
  - iii. FBD will inform AMT, when:
    - i. Amount inconsistency between budget CPR approved and returned from proponent/IA of the withdrawal project due to foreign exchange fluctuation.
    - ii. Enquires on budget gain or loss of a completed project(s) raised from foreign exchange conversion(s).



Ref. No.

**Disbursement Letter**

[Dear...]

**Subject:** \_\_\_\_\_(Name of Project)

\_\_\_\_\_(Name of ASEAN's approving body) agreed that \_\_\_\_\_(Name of Implementing Agency) will be responsible for the implementation of the Project, and that the Project will be financed by the \_\_\_\_\_(Name of the Fund).

In this regard and pursuant to the Terms of References (TOR) of \_\_\_\_\_(Name of the Fund), the ASEAN Secretariat would like to propose the following arrangements for the disbursement of the funds for the purpose of the implementation of the Project.

Project Title:

Approved amount:

Location:

Payment will be done as follows:

Payment	Amount	% of Total	Remarks
Initial Payments			Upon receipt by ASEC of this letter duly signed by the Implementing Agency
			Upon request of Proponent
Final Payment			Upon submission of all project completion reports
Total		100%	

Appendices considered as an integral part of this agreement.

App – 1 Description of activities as per approved project document and approved budget

App – 2 Reporting Arrangement

If \_\_\_\_\_(Name of Implementing Agency) agrees to the above arrangements, this letter and your reply letter, agreeing on the above arrangement shall constitute our basis on the implementation of the Project.

Sincerely

DSG or Name and Title of Authorised Officer

Implementing Agency

Ref. No.



### ACCF-Supported Project Evaluation Form

This project evaluation form is an integral part of ACCF's project management. For Proponent / Implementing Agency to evaluate your performance of the project. Please complete this evaluation form within 60 days after project completion and submit it to AMT for reference.

Project Title	
Proponent	
Implementing Agency/Country	
Project Date of Commencement/Completion	
Foreign exchange rate (Project starting)	
Foreign Exchange rate (Project completion)	
Approved Budget (USD)	
Actual Expense (USD)	
Project Brief Introduction	

The following grading system shall apply in all areas of evaluation:

Category	Points
Far Exceeds Expectations	5
Exceeds Expectations	4
Meets Expectations	3
Partially Meets Expectations	2
Does Not Meet Expectations/Unsatisfactory	1



Please rate your score and complete the evaluation in 2 parts as below:

Project Results (Project Objectives/Outcomes/Outputs)				
Part I	Key Performance/Development Objectives	Rating	Reasons for giving this rate	For AMT remarks
A.				
B.				
C.				
D.				
Total				

\*Project Results from Key Performance list based on Project Proposal.

Budget Control Performance				
Part II	Key Performance/Development Objectives	Rating	Reasons for giving this rate	For AMT remarks
A.	Effectively managed and controlled the total project cost			
B.	Cost estimates were accurate with appropriate detail			
C.	Outcome(s) in line with what stated in Project proposal			
Total				

For AMT:

Proponent Signature:

Date of Submission:

AMT Acknowledgement:



**NOTE:**

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