

DAĞITIM YERLERİNE



**Tarih** : 13/02/2023  
**Sayı** : 6450225777-E.297  
**Konu** : Güneydoğu Asya Uluslar Birliği

İlgi : 10/02/2023 tarihli ve 4484500 sayılı yazı.

Sanayi ve Teknoloji Bakanlığı Sanayi Bölgeleri Genel Müdürlüğü tarafından Kuruluşumuza iletilen "Güneydoğu Asya Uluslar Birliği" konulu yazı ekte sunulmuştur.

Bilgilerinizi ve söz konusu yazının katılımcılarınıza duyurulmasını rica ederim.

Saygılarımla,

*e-imzalıdır*

O. Fatih SOYSAL  
Genel Sekreter

Ek :

- 1- 10/02/2023 tarihli ve 4484500 sayılı yazı (1 Sayfa)
- 2- Sektörel Diyalog Ortaklığımız Çerçevesinde Yürütülebilecek Projeler (4 Sayfa)
- 3- Sektörel Diyalog (4 Sayfa)
- 4- Turkey Sectoral Dialogue Partnership - Practical Cooperation Areas (6 Sayfa)
- 5- Information Note (13 Sayfa)
- 6- Cooperation Project (10 Sayfa)

Dağıtım:

İŞLETME AŞAMASINDAKİ ORGANİZE SANAYİ BÖLGESİ  
MÜDÜRLÜKLERİ

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T.C.  
DIŐIŐLERİ BAKANLIĐI  
Çok Taraflı Siyasi İŐler Genel M¼d¼rl¼Đ¼  
(ASYA)

Sayı : E-49209522-210.01-35547169  
Konu : ASEAN ile Sekt¼rel Diyalog  
OrtaklıĐımız çerçevesinde  
y¼r¼t¼lebilecek projeler

01.02.2023

DAĐITIM YERLERİNE

İlgi: 05.02.2020 tarih ve 21364333-210-2020/30934228 sayılı yazımız.

1. Malumları olduĐu üzere, ¼lkemizin G¼neydoĐu Asya Uluslar BirliĐi (ASEAN) ile iliŐkileri 2017 yılından bu yana "Sekt¼rel Diyalog OrtaklıĐı" stat¼s¼nde s¼rd¼r¼lmekte olup, s¼z konusu stat¼ çerçevesinde iŐbirliĐi yap¼labilecek alanları ieren "Pratik İŐbirliĐi Alanları" (PİA) belgesinde yer verilen baŐlıklarda ortak projelerin hayata geirilebilmesini teminen "T¼rkiye-ASEAN Sekt¼rel Diyalog OrtaklıĐı Fonu" tesis edilmiŐtir.

S¼z konusu fona her yıl imk¼nlar ¼lç¼s¼nde ekleme yapılarak projelerin finansmanı iin yeterli kaynak temin edilmeye alıŐılmaktadır. Fondan bug¼ne kadar toplam 17 proje iin yaklaŐık 1 milyon ABD Doları kullanılmıŐtır.

2. Kurumlarımızın s¼z konusu fondan yararlanabilmeleri iin PİA belgesinde yer alan konularda, standart bir formatta hazırlanacak projelerin BakanlıĐımız aracılıĐıyla ASEAN Sekretaryasına sunulması y¼ntemi izlenmektedir. Aynı Őekilde, ASEAN ¼lkelerinin kurumlarınca iletilen projeler ise Sekretarya tarafından ¼lkemizin deĐerlendirmesine sunulmaktadır.

Projeler ilgili kurumlarca deĐerlendirilmekte, varsa gereken deĐiŐiklikler yapılmakta ve bilahare onaylanarak uygulama safhasına geirilmektedir. Onaylanan projelerin finansmanı iin gereken meblaĐ Makam onayının ardından BakanlıĐımızca ASEAN Sekretaryasına iletilmektedir. S¼resi bir yıldan az olan projeler iin ilk aŐamada proje tutarının %90'ı, yapılacak mahsup ve mali denetim sonrasında ise kalan %10'unun serbest bırakılması kural olarak benimsenmiŐtir.

Öte yandan, m¼mk¼n olduĐunca ok sayıda projenin hayata geirilebilmesini teminen, projede ¼nerilen masraf kalemlerinden bir kısmının (orneĐin, projeye dahil olan T¼rk personelin yol ve harcırah giderleri gibi harcamaların), projeyi hazırlayan kurum b¼tesinden karŐılanması cihetine gidilmekte ve proje sahibi kurumlarımızın projeye mali aıdan belli ¼lç¼de katkı saĐlamaları teŐvik edilmektedir.

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Proje tekliflerinin karşılıklı fayda anlayışıyla hazırlanması, maliyetin makul şekilde belirlenmesi, somut adımlar ve gerçekçi bir uygulama takvimi içermesi, sonuçlarının ölçülebilir olması, projenin kabul edilmesi bakımından önem arz etmektedir.

Proje önerilerinin belirlenmesi ve hazırlanmasında rehber niteliğinde olan PIA belgesi, projelerin başvuru ve uygulama aşamalarında takip edilecek süreçlere ilişkin güncel Bilgi Notu ve Proje Teklif Şablonu ekte takdim kılınmıştır. Öte yandan, projelerin hazırlanması safhasında Bakanlığımızın ilgili birimince destek sağlanmakta ve ASEAN Sekretaryasından ilave bilgi temin edilmesi mümkün olabilmektedir.

3. Kurumlarımızca proje sunulmasının, ASEAN ile ilişkilerimizde nihai hedefimiz olan "Diyalog Ortaklığı" statüsünün elde edilmesi yolunda nitelikli katkı sağlamanın yanısıra, ülkemizin bölgedeki olumlu imajının pekiştirilmesine ve görünürlüğüne daha da artırılmasına imkân verdiği görülmektedir. Bu çerçevede, kurumlarımızın ASEAN üyesi ülkelerin kurumlarıyla birlikte hayata gerçekleştirilecek projeler geliştirmeleri Bakanlığımızca teşvik edilmekte ve desteklenmektedir.

Bilgilerine ve yukarıda maruz hususlar çerçevesinde, "Türkiye-ASEAN Sektörel Diyalog Ortaklığı Fonu" imkânlarından yararlanılması suretiyle proje hazırlanması hususunu takdirlerine saygılarımla arz ederim.

Kezban Nilvana DARAMA YILDIRIMGEÇ  
Bakan a.  
Büyükelçi, Genel Müdür  
ASYA

**Ekler:** 3 adet

Dağıtım: Dağıtım Listesi (30 Adet)

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**Dağıtım Listesi:**

Adalet Bakanlığı - Dış İlişkiler ve Avrupa Birliği Genel Müdürlüğü  
Aile ve Sosyal Hizmetler Bakanlığı - Avrupa Birliği ve Dış İlişkiler Dairesi Başkanlığı  
Devlet Arşivleri Başkanlığı  
Dijital Dönüşüm Ofisi Başkanlığı  
İnsan Kaynakları Ofisi Başkanlığı  
Yatırım Ofisi Başkanlığı  
Çevre, Şehircilik ve İklim Değişikliği Bakanlığı - Avrupa Birliği ve Dış İlişkiler Genel Müdürlüğü  
Enerji ve Tabii Kaynaklar Bakanlığı - Dış İlişkiler Genel Müdürlüğü  
Gençlik ve Spor Bakanlığı - Uluslararası Organizasyonlar ve Dış İlişkiler Genel Müdürlüğü  
Hazine ve Maliye Bakanlığı - Dış Ekonomik İlişkiler Genel Müdürlüğü  
Hazine ve Maliye Bakanlığı - Mali Suçları Araştırma Kurulu Başkanlığı  
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Dış Ekonomik İlişkiler Kurulu Başkanlığı  
Türkiye Bilimsel ve Teknolojik Araştırma Kurumu Başkanlığı  
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T.C.  
**SANAYİ VE TEKNOLOJİ BAKANLIĞI**  
**Avrupa Birliği Ve Dış İlişkiler Genel Müdürlüğü**

Sayı :E-89580468-730.01-4481566  
Konu :ASEAN ile Sektörel Diyalog  
Ortaklığımız çerçevesinde  
yürütülebilecek projeler

07/02/2023

**DAĞITIM YERLERİNE**

İlgi : Dışişleri Bakanlığının 01.02.2023 tarihli ve 35547169 sayılı yazısı.

İlgi yazıda; ülkemizin Güneydoğu Asya Uluslar Birliği (ASEAN) ile ilişkilerinin 2017 yılından bu yana "Sektörel Diyalog Ortaklığı" statüsünde sürdürülmekte olduğu, söz konusu statü çerçevesinde işbirliği yapılabilecek alanları içeren "Pratik İşbirliği Alanları" (PİA) belgesinde yer verilen başlıklarda ortak projelerin hayata geçirilebilmesini teminen "Türkiye-ASEAN Sektörel Diyalog Ortaklığı Fonu'nun" tesis edildiği, söz konusu fona her yıl imkanlar ölçüsünde ekleme yapılarak projelerin finansmanı için yeterli kaynağın temin edilmeye çalışıldığı ve fondan bugüne kadar toplamda 17 proje için yaklaşık 1 milyon ABD Doları kullanıldığı belirtilmektedir.

Yazıda devamla, söz konusu fondan yararlanabilmek için PİA belgesinde yer alan konularda, standart bir formatta hazırlanacak projelerin Dışişleri Bakanlığı aracılığıyla ASEAN Sekretaryasına sunulması yönteminin izlendiği, aynı şekilde, ASEAN ülkelerinin kurumları tarafından iletilen projelerin de Sekretarya tarafından ülkemizin değerlendirmesine sunulduğu kaydedilmektedir.

Devamla, iletilen projelerin ilgili kurumlarca değerlendirildiği, varsa gereken değişikliklerin yapıldığı ve bilahare onaylanarak uygulama safhasına geçirildiği belirtilmektedir. Onaylanan projelerin finansmanı için gereken meblağın Makam onayının ardından Dışişleri Bakanlığı tarafından ASEAN Sekretaryasına iletildiği, süresi bir yıldan az olan projeler için ilk aşamada proje tutarının %90'ının, yapılacak mahsup ve mali denetim sonrasında ise kalan %10'unun serbest bırakılmasının kural olarak benimsendiği ifade edilmektedir.

Öte yandan, mümkün olduğunca çok sayıda projenin hayata geçirilebilmesini teminen, projede önerilen masraf kalemlerinden bir kısmının (örneğin, projeye dahil olan Türk personelin yol ve harcırah giderleri gibi harcamaların), projeyi hazırlayan kurum bütçesinden karşılanması cihetine gidildiği ve proje sahibi

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kurumların projeye mali açıdan belli ölçüde katkı sağlamalarının teşvik edildiği

Bu çerçevede, kurumlar tarafından proje sunulmasının, ASEAN ile ilişkileri

"Diyalog Ortaklığı" statüsünün elde edilmesi yolunda nitelikli katkı sağlamanın yanı sıra, ülkemizin bölgedeki olumlu imajının pekiştirilmesine ve görünürlüğünün daha da artırılmasına imkân verdiği, bu çerçevede, ilgili kurumların ASEAN üyesi ülkelerin kurumlarıyla birlikte hayata gerçekleştirilecek projeler geliştirmelerinin Dışişleri Bakanlığı tarafından teşvik edildiği ve desteklendiği ifade edilmektedir.

Bu kapsamda, proje tekliflerinin karşılıklı fayda anlayışıyla hazırlanması, maliyetin makul şekilde belirlenmesi, somut adımlar ve gerçekçi bir uygulama takvimi içermesi, sonuçlarının ölçülebilir olması, projenin kabul edilmesi bakımından önem arz etmektedir. Proje önerilerinin belirlenmesi ve hazırlanmasında rehber niteliğinde olan PİA belgesi, projelerin başvuru ve uygulama aşamalarında takip edilecek süreçlere ilişkin güncel Bilgi Notu ve Proje Teklif Şablonu ekte takdim kılınmıştır. Öte yandan, projelerin hazırlanması safhasında Dışişleri Bakanlığının ilgili birimince destek sağlanmakta ve ASEAN Sekreteryasından ilave bilgi temin edilmesi mümkün olabilmektedir.

Bilgilerinizi ve yukarıda yer alan hususlar dikkate alınarak ekli dosyada yer alan Bakanlığımız görev ve sorumluluk alanlarını ilgilendiren konularda "Türkiye-ASEAN Sektörel Diyalog Ortaklığı Fonu" imkânlarından yararlanılması suretiyle proje hazırlanması hususunu takdirlerinize arz ederim.

Hande MERÇAN AYGEN  
Genel Müdür V.

Ek:

- 1- ASEAN Cooperation Project Proposal
- 2- ASEAN-Turkey Sectoral Dialogue Partnership - Practical Cooperation Areas (2019-2023)
- 3- Information Note

Dağıtım:

Kalkınma Ajansları Genel Müdürlüğüne  
Milli Teknoloji Genel Müdürlüğüne  
Sanayi Bölgeleri Genel Müdürlüğüne  
Sanayi Genel Müdürlüğüne  
Stratejik Araştırmalar ve Verimlilik Genel Müdürlüğüne  
Teşvik Uygulama ve Yabancı Sermaye Genel Müdürlüğüne

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## DAĞITIM LİSTESİ

Geređi:

Kalkınma Ajansları Genel Müdürlüğü

Milli Teknoloji Genel Müdürlüğü

Sanayi Bölgeleri Genel Müdürlüğü

Sanayi Genel Müdürlüğü

Stratejik Arařtırmalar ve Verimlilik Genel  
Müdürlüğü

Teşvik Uygulama ve Yabancı Sermaye Genel  
Müdürlüğü

## EK LİSTESİ

- 1- ASEAN Cooperation Project Proposal
- 2- ASEAN-Turkey Sectoral Dialogue Partnership - Practical Cooperation Areas (2019-2023)
- 3- Information Note

**ASEAN-Turkey Sectoral Dialogue Partnership:  
Practical Cooperation Areas (2019-2023)**

These Practical Cooperation Areas are aimed at implementing the shared commitments for an enhanced, deeper, and mutually beneficial ASEAN–Turkey Sectoral Dialogue Partnership to further substantiate the cooperation with a focus on practical areas where ASEAN and Turkey have expertise and mutual interests:

**Political-Security Cooperation**

**Counter-Terrorism, Violent Extremism, Radicalisation and Transnational Crimes;  
Peace and Reconciliation**

1. Explore the possibility of conducting information and intelligence exchange on security challenges;
2. Explore the possibility of sharing experiences and best practices in countering terrorism, preventing violent extremism and curbing the rise of radicalisation, including in anti-money laundering and countering terrorism financing; the prosecution, rehabilitation and reintegration of Foreign Terrorist Fighters (FTFs), the sharing of intelligence and information on the recruitment and movement of FTFs, and in countering the use of internet, including social media, for terrorist purposes;
3. Explore the possibility of capacity building cooperation and collaboration (ASEAN) and intensify communication, including exchange of visits, to develop joint cooperation in countering terrorism and other transnational crimes;
4. Encourage cooperation to promote moderation, tolerance and understanding to prevent and to counter terrorism and violent extremism;
5. Explore the possibility of sharing experiences and exchanging best practices in the area of preventing and combating transnational crimes including on legal matters and law enforcement;
6. Explore the possibility of sharing experiences and best practices in promoting peace and reconciliation, including with the ASEAN Institute for Peace and Reconciliation (ASEAN-IPR) in accordance with its Terms of Reference;

7. Explore the possibility of sharing experiences and best practices in addressing humanitarian aspects of landmines and explosive remnants of war in the region, including capacity building and support the ASEAN Regional Mine Action Centre (ARMAC) to achieve this goal;
8. Explore the possibility to share experiences and best practices in ensuring cyber security between the relevant national authorities responsible for cyber security.

## **Economic Cooperation**

### **Trade and Investment**

9. Support the promotion of trade and investment relations between ASEAN and Turkey;
10. Explore the possibility of cooperation to promote e-commerce between ASEAN and Turkey;
11. Promote industrial sectors for mutual cooperation, business-to-business contacts, including through exchange of visits of chambers of commerce and exchange of visits of investment support offices, technical committees, workshops, conferences, seminars, business fora, participation in each other's trade fairs/expositions and other relevant activities.

### **Public Private Partnership**

12. Explore the possibility of sharing experiences and best practices in planning and implementing Public Private Partnership projects;
13. Explore the possibility of sharing experiences and best practices on Public Private Partnership in the area of infrastructure construction;

### **Micro, Small and Medium Enterprises**

14. Support capacity building in entrepreneurial skills and MSMEs development;

### **Tourism**

15. Support capacity building in the field of hospitality and tourism development;

16. Encourage greater flows of tourists between ASEAN and Turkey, such as through joint promotional campaigns; cooperation in sharing of data and tourism statistics; and support for the development of cultural and heritage resources as tourism attractions.

### **Mining**

17. Explore the possibility of sharing experiences and best practices on mining investments;

### **Energy and Renewable Energy**

18. Promote cooperation on research and development in the field of energy and renewable energy, including support to the implementation of ASEAN Plan of Action for Energy Cooperation (APAEC) 2016-2025;

### **Science and Technology, Innovation, Research and Development**

19. Explore the possibility of sharing experiences and best practices on standardisation, conformity assessment and metrology;
20. Explore the possibility of sharing experiences and best practices on digital transformation of the manufacturing industry;
21. Explore the possibility of sharing experiences and information and explore the possibility of developing cooperation concerning the high performance growth of ASEAN economies in the Global Innovation Index;
22. Promote cooperation on research and development in the field of Science and Technology in the areas of mutual interests and benefits, including support to the implementation of ASEAN Plan of Action on Science, Technology and Innovation (APASTI) 2016-2025;
23. Promote cooperation on research and development in the area of information and communication technology.

### **Food and Agriculture**

24. Promote the exchange of experts for skills training and other initiatives;

25. Explore the possibility of sharing experiences and best practices in sustainable agriculture, and food processing and food safety;
26. Explore cooperation on the development of standards and qualifications related to agriculture, including through comparability and benchmarking.

## **Socio-Cultural Cooperation**

### **Disaster Management**

27. Support capacity building and sharing of best practices and experiences on disaster risk reduction and management, namely disaster prevention and mitigation, disaster preparedness, humanitarian assistance and disaster relief/response, and disaster recovery, rehabilitation and reconstruction, as well as climate change adaptation and mitigation, through the realisation of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Priority Programmes and the One ASEAN One Response;
28. Explore the possibility for cooperation between the Disaster and Emergency Management Authority of Turkey and the ASEAN Coordinating Centre for Humanitarian Assistance on disaster management (AHA Centre) to strengthen ASEAN's capacity in disaster management, including the implementation of the 'ASEAN Declaration on One ASEAN One Response: ASEAN Responding to Disasters as One in the Region and Outside the Region'; and collaboration among private sectors in ASEAN and Turkey in fostering public-private partnerships in support of One ASEAN One Response;
29. Promote the exchange of experts for skills training and other initiatives.

### **Sustainable Development**

30. Support the implementation of the United Nations 2030 Agenda for Sustainable Development in ASEAN, and complementarities between the ASEAN Vision 2025 and the SDGs, through exchange of best practices and capacity building initiatives.

## **Culture**

31. Promote greater awareness of each other's traditions, arts, heritage and cultures, through regularly held cultural festivals, art exhibitions (except for those of cultural heritage), film festivals, workshops and other cultural events and activities;
32. Promote creative industry cooperation in areas such as, music, craft, cuisine, etc.;
33. Encourage assistance and support for the protection, conservation and restoration of cultural and historical heritage;
34. Promote human resource development and training in the field of culture, including through the exchange of experiences on the hosting of large-scale cultural activities;
35. Promote people-to-people contacts, networking and exchange of visits between government officials, artists, students, youth, academicians, scholars, librarians, media, community representatives, as well as diplomats;
36. Explore possible cooperation in co-production of films, TV shows, and other forms of new media to promote inter-cultural awareness and foster people-to-people interaction, understanding and ties through film festivals and exchanges of media personnel;
37. Encourage the translation and publication of literary works from their own languages to the others;
38. Encourage the collaboration and direct contacts between public libraries for the purpose of exchanging information materials and publications.

## **Education, Skills Training and Youth Development**

39. Promote cooperation on human resource development, in the areas of mutual benefits and interests, including through students and youth exchange programs, training of teachers and education practitioners, higher education, scholarship programmes, research and sharing best practices and experiences;

40. Promote cooperation in technical and vocational education and training through consultations, information sharing, exchange programmes and capacity building.

### **ASEAN Smart Cities Network**

41. Explore the possibility of supporting ASEAN Smart Cities Network through mutually accepted initiatives.

### **Connectivity**

42. Explore the possibility of cooperation to support the implementation of the Master Plan on ASEAN Connectivity (MPAC) 2025.

### **Narrowing Development Gap**

43. Explore the possibility of cooperation to support the implementation of the Initiative for ASEAN Integration (IAI) Work Plan III.

### **Follow-Up Mechanism**

The implementation of this Practical Cooperation Areas will be reviewed by the ASEAN-Turkey Joint Sectoral Cooperation Committee (AT-JSCC) Meeting and an annual progress report on the implementation of the Practical Cooperation Areas shall be submitted to the AT-JSCC. ASEAN and Turkey may make amendments to this Priority Plan as it may find appropriate at any time.

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## INFORMATION NOTE

### ASEAN Project Management Framework (PMF) Documents

1. ASEAN cooperation projects are proposed and sponsored by ASEAN Committees, Bodies, or entities that support ASEAN Community integration efforts and may involve collaborations with ASEAN External Partners. It is important that ASEAN cooperation projects adhere to the principles of the ASEAN Charter, including the principle of equality of treatment of ASEAN Member States. For a project to be considered as an ASEAN cooperation project, it must:
  - a) address challenges at the regional level and create synergies with other projects that address the same issues,
  - b) benefit ASEAN and engage all ASEAN Member States,
  - c) align with ASEAN Community Blueprints and other relevant ASEAN documents, and be endorsed by either the relevant ASEAN Sectoral Committee or ASEAN Body, or the Committee of the Permanent Representatives to ASEAN (CPR), or both.
2. The purpose of this Information Note is to provide general information on the ASEAN Project Management Framework Documents, namely the ASEAN Cooperation Projects Design and Management Manual, the Standard Operating Procedure for ASEAN Project Appraisal and Approval (SOP PAA), the Guidelines on Implementation and Monitoring of ASEAN Cooperation Projects and the Guidelines on Closing ASEAN Cooperation Projects. The SOP and Guidelines are considered internal ASEAN documents while the Manual and templates are available for public at the ASEAN website with the following link <https://asean.org/resource/asean-project-templates/>.
3. The ASEAN Secretariat regularly improves the the ASEAN Project Management Framework (PMF) to enable the ASEAN Secretariat to manage efficient, reliable and comprehensive Result Based Management (RBM) processes, procedures, and systems for its clients that link project results to higher-level ASEAN objectives.

#### I. ASEAN Cooperation Projects Design and Management Manual

4. The ASEAN Cooperation Projects Design and Management Manual, along with its Annexes was developed to promote results-based approaches and provide comprehensive guidance to stakeholders.
5. Whether simple or complex, or single- or multi-year, ASEAN cooperation projects take many different formats and cover all three Pillars. These endeavours have important similarities. Projects must have clear results and contributions as well as impeccable financial management, as they are typically funded by ASEAN, ASEAN Member States, or ASEAN's Dialogue Partners, Sectoral Dialogue Partners, Development Partners, as well as other external partners. From the proposal development stage to the completion report, projects must be developed and implemented according to ASEAN guidelines or those agreed to by ASEAN and its external partners. Most importantly, projects must be designed and implemented to realise the maximum benefit to their intended beneficiaries, and must also directly support ASEAN's goals and objectives. Such undertakings are never easy. Therefore, the ASEAN Secretariat has developed this Manual, which has seven chapters.

6. Chapters One and Two describe the Manual's purpose, offer an overview of ASEAN development cooperation, and describe collaboration with ASEAN External Partners and the flow of the ASEAN cooperation project lifecycle. Chapter Three explores how results-based management principles must be used to guide project design, development, planning, implementation, monitoring, reporting, and evaluation. Chapters Four through Seven offer a description of the processes, references, and general guidelines for developing, implementing, and managing ASEAN cooperation projects according to results-based principles.
7. The Manual will streamline the ASEAN cooperation project management process by assembling, in one document, a multitude of rules, regulations, policies and standard operating procedures. All the documents contained in the Manual have been harmonised and internally referenced in a consistent way. Unfamiliar acronyms and terms have been better explained. Complex cross-department requirements have been made clear. Users of the Manual can find out—with ease—what they must do, who must approve their ideas and the procedures and timeframes involved. The Manual includes information on the appraisal and approval process, implementation and monitoring, and completion of ASEAN Cooperation Projects.
8. The Manual will also educate its users. Annex 5 of the Manual, dubbed "The Toolbox" contains 13 sections that offer a short course in project design and management in the ASEAN context. The subjects covered include conducting stakeholder assessments; conducting problem and objective tree analyses; explaining intervention logic; guidance on risk analysis; developing indicators and a monitoring framework; and an exploration of data collection methods, such as surveys, interviews and focus group discussions. The Toolbox is available for public and can be accessed through the following link <https://asean.org/storage/Programming-Manual-Toolbox.pdf>
9. The Toolbox offers users—who will come from a variety of professional, educational, and linguistic backgrounds—a basic orientation to the contemporary concepts of project management in a development context. It also offers users a foundation to develop ASEAN cooperation projects that meet ASEAN's requirements that they be results based, transparent, effective, regional, and serve their beneficiaries.
10. The Manual also offers templates to streamline the creation of project proposals and project completion reports. The templates provide a format, along with examples, to ensure that proposals and reports meet ASEAN's programmatic, financial, and management standards. Several chapters of the Manual have been dedicated to step-by-step explanations of how to complete the templates, with instructions written in clear language and several examples have been provided.
11. Finally, all this information has been presented clearly, with a minimum of bureaucratic language, to make processes transparent as well as understandable to its culturally diverse users. The Manual is available for public and can be accessed through the following link <https://asean.org/storage/ASEAN-Cooperation-Projects-Design-and-Management-Manual.pdf>.

## **II. Standard Operating Procedure for ASEAN Project Appraisal and Approval (SOP PAA)**

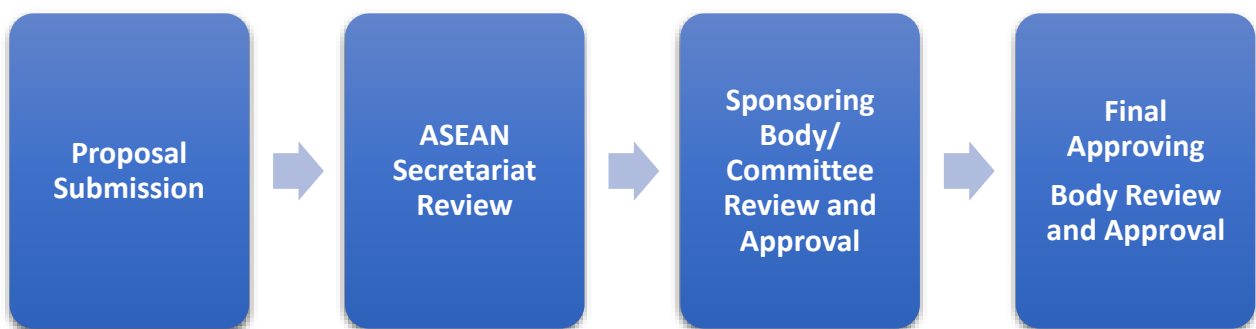
12. The SOP PAA seek to establish a comprehensive, efficient, and effective appraisal and approval mechanism for ASEAN cooperation projects. Projects appraised and approved through the ASEAN established SOP PAA are automatically recognised as ASEAN cooperation projects. In general, the SOP PAA shall apply in full to:
- a) Projects seeking funding support from the ASEAN Development Fund (ADF) and the ASEAN Cultural Fund (ACF);
  - b) Projects seeking funding support from ASEAN External Partners' funds that are:
    - i. Administered by the ASEAN Secretariat as ASEAN-Dialogue Partner Trust and Project Funds (TPF); or
    - ii. Administered by the ASEAN Secretariat but outside of the ASEAN-Dialogue Partner (DP) TPF.
  - c) Projects seeking funding support from Trust or Project Funds established by Sectoral Bodies with or without funding support from Dialogue Partners that do not have their own established appraisal and approval process.
13. ASEAN cooperation projects funded by the individual ASEAN Member State (AMS) shall, in principle, go through the main elements of the SOP PAA, namely: appraisal by the ASEAN Secretariat through the Proposal Appraisal Meeting (PAM) and Project Appraisal Committee (PAC) or similar review mechanism, the endorsement of an ASEAN Sponsoring Body, and final approval by the relevant approving body or the CPR.
14. Multi-year programmes funded by Dialogue Partners, Sectoral Dialogue Partners, and Development Partners shall, in principle, go through the main elements of the SOP PAA. Sub-projects and activities under multi-year programmes shall be approved by the established governance mechanism, such as a Project Steering Committee.
15. Projects and programmes to be funded by Sectoral Dialogue Partners and Development Partners whose funds are not managed by the ASEAN Secretariat, shall, in principle, go through the SOP PAA, particularly the ASEAN Secretariat's review and the relevant Sectoral Body's endorsement.
16. Projects and programmes to be funded by other external partners, including multilateral and international organisations such as the Asian Development Bank, the World Bank, and United Nations agencies, shall, in principle, go through the project appraisal and approval process, particularly the ASEAN Secretariat's review and the relevant Sectoral Body's endorsement.

### **Proposal Development**

17. The Proponent shall refer to the prescribed ASEAN Cooperation Project Proposal template (and or the agreed template with the external partner). The Proponent shall refer to the ASEAN Cooperation Projects Design and Management Manual, on the general guidance on how to fill-up the project proposal template, which is accessible in the following link: <http://asean.org/resource/asean-project-templates/>
18. As such, Proponents submitting a project proposal for the ASEAN cooperation project are required to:

- a. Ensure that the project is aligned with the ASEAN Community Blueprints and relevant ASEAN documents;
- b. Identify the sponsoring ASEAN body in the project proposal per consultations with the ASEAN Secretariat;
- c. Seek guidance from the relevant ASEAN Sponsoring Body through the concerned Desk Officer at the ASEAN Secretariat during the development of the project proposal;
- d. Consult and seek inputs from the relevant Programme Management Team (PMT) if applicable prior to submitting the project proposal for the ASEAN Secretariat's appraisal and approval process;
- e. Consult and seek input from the ASEAN Secretariat for projects seeking funding from the ADF, the ACF, and Sectoral Body TPF;
- f. Attach the interim or completion reports of previous project phases when submitting recurring or next-phase project proposals and take into account the results, feedback, and inputs from the former during the design of the latter. Next-phase project proposals shall be processed as regular project proposals through the appraisal and approval process; and
- g. Identify the proposed source of funding before submitting the project proposal for appraisal. Proponents may coordinate with the ASEAN Secretariat and relevant established PMT (if any) or relevant Mission of Dialogue Partners to ASEAN (if applicable).

**Figure 1: Main Elements of Project Appraisal and Approval for ASEAN Cooperation Projects**



The project appraisal and approval process, starting proposal submission up to obtaining the approval from CPR as a final approving body, will take up to 88 working days for single Sector projects and 96 working days for cross-Sectoral projects. However, if the final approving body is a DP, the process will take additional days up to 45 calendar days.

### **Proposal Submission**

19. Proponents submitting a proposal for an ASEAN cooperation project are required to adhere to the ASEAN project appraisal and approval process (if applicable).
  - a. Proponents from AMS may submit proposals through an ASEAN Member State

(ASEAN National Secretariats, line agencies, ASEAN bodies), a relevant Sectoral Division, Programme Cooperation & Project Management Division (PCPMD), or any of the External Relations Divisions (ERD) of the ASEAN Secretariat, or during a meeting of an ASEAN Body (committee/working group/expert group).

- b. Proponents from External Partners may submit proposals directly through ERD or a relevant Sectoral Division, with a copy provided to the PCPMD.
- c. Project proposals shall be submitted using the ASEAN Project Proposal template, electronically, and in Microsoft Word (narrative) and Excel (budget and workplan) format.
- d. Proposals shall be submitted to the ASEAN Secretariat at least 88 working days prior to the intended project commencement date.

### **Project Appraisal and Approval**

#### ASEAN Secretariat Review

20. The ASEAN Secretariat review mechanism for project proposals comprises the PAM and PAC. PAM shall focus on adherence of the project proposal to the ASEAN Cooperation Project Proposal template, as well as on the clarity of each section of the template, including benefits and the participation of the AMS, objectives, outputs, indicators, means of verification, and also the management of the project. While PAC shall focus on the project's relevance, regionality, attainment of results, cost-efficiency, impact, sustainability and other relevant strategic issues pertaining to the project. For project with poor quality or incomplete information, the ASEAN Secretariat shall send the proposal back to the project proponent for revision. The overall ASEAN Secretariat review process shall take a maximum of 14 working days.

#### ASEAN Sponsoring Body(s) Endorsement

21. The ASEAN Secretariat submits the proposal for review and endorsement by the ASEAN Sectoral Body(s). For cross-sectoral project, the ASEAN Secretariat shall submit the proposal to the Relevant ASEAN Co-Sponsoring Body for support and the Lead ASEAN Sponsoring Body for endorsement. The overall ASEAN Sponsoring Body(s) endorsement process shall take a maximum of 18 working days for single-sector projects and 26 working days for cross-sectoral projects.

22. If the proposal received comments from the ASEAN Secretariat and the ASEAN Sponsoring Body, the ASEAN Secretariat shall send the project proposal and the appraiser's comments to the Proponent for revision. The Proponent shall return the revised project proposal to the ASEAN Secretariat within 10 working days. Upon request from the Proponent, the revision time can be extended up to 30 working days and another 20 working days, after which the proposal appraisal will be terminated. The Proponent may opt to re-submit the reformulated proposal to the ASEAN Secretariat after the deadline, but in such cases, the proposal shall be considered as a new submission.

#### Final Approving Body(s) Approval

23. The ASEAN Secretariat shall submit the proposal to the CPR who act on behalf of ASEAN as the final approving body. If the proposal received comments from the CPR, the ASEAN Secretariat shall send the project proposal and the comments to the Proponent for

revision. The overall Final Approving Body(s) approval process shall take a maximum of 18 working days if there is no revision needed.

24. For projects seeking funding from ASEAN-Dialogue Partner/Sectoral Dialogue Partner Trust Funds, once the CPR approval is secured, the ASEAN Secretariat shall submit the approved project proposal to the respective DP/SDP for approval, either through the Country Coordinator or directly to the DP/SDP. DP/SDP shall respond to the project proposal within 45 calendar days. If the DP/SDP provides inputs to the project proposal, the Proponent shall return the amended proposal within 10 working days (2 weeks). If the relevant DP/SDP does not respond within 45 calendar days, the project proposal shall be considered rejected by the DP/SDP. ERD shall inform the Proponent accordingly.

#### **Post CPR Approval**

25. If the project proposal is revised by Dialogue Partner/Sectoral Dialogue Partner, and if the change(s) to the project proposal fulfil 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 cost 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 a
  - 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.

### **III. Guidelines for the Implementation and Monitoring of ASEAN Cooperation Projects**

26. Once the final approving body/ies approve an ASEAN cooperation project, it goes to the implementation stage, where the Implementing Agency (IA) implements the project based on the approved project proposal. The IA is then expected to implement the project to reach the intended project results effectively. The guidelines were developed to address the common questions received on implementation and monitoring and outline the requirements and procedures to implement and monitor projects to ensure accountability of implementing agencies/proponents in implementing approved projects funded by Trust Project Funds (TPFs) under the custody of the ASEAN Secretariat.
27. The Guidelines complement the existing PMF documents and apply to all ASEAN cooperation projects for which funds were disbursed by the ASEAN Secretariat, and appraised and approved through the SOP-PAA. Current and future funds that may or may not be managed by the ASEAN Secretariat and do not yet have project implementation and monitoring guidelines may also use the Guidelines, provided that it is agreeable to both ASEAN and the External Partners.

28. The eligibility of Implementing Agencies (IA) in the ASEAN cooperation project as follows:

- IA is the legal entity nominated by the Proponent that receives project funding from the ASEAN Secretariat and which then implements the approved project based on the final approved project scope, budget and timeline.
- IA is responsible for the achievement of the project's objectives and intended results, project monitoring and reporting and the submission of the required project reports.
- IA can be ministries and government-affiliated organisations and entities from AMS and External Partners; non-profit making organisations and entities whose proposals have been endorsed by or jointly proposed with a relevant ministry with both AMS and External Partners; organisations and entities selected through a competitive bidding process; the ASEAN Secretariat; & others as approved by the final approving body of the funding source.

29. The proponent and IA will be notified by the ASEAN Secretariat after the proposal is approved by the final approving body. The SOP on Project Financial Disbursement and Reporting (PFDR) spells out the requirements and procedures for financial disbursement, financial oversight, and financial accountability by all Implementing Agencies/Proponents for approved projects funded by Trust/Project Funds under the ASEAN Secretariat's custody from inception to closure of the project. Delay in the commencement of the project beyond three months shall be reported to the ASEAN Secretariat Desk Officer (DO) facilitating the project. The DO shall coordinate with the ASEAN Sponsoring Body and the concerned External Partner or Project Management Team (PMT). The delay should have a justifiable reason and shall be subject to the availability of funding as defined by the governance mechanism of the funding source.

### **Project Implementation and Monitoring**

30. The IA is responsible for managing project implementation. More specifically:

- a. The IA is required to implement the project according to the approved project proposal, in terms of scope, budget, time frame and work plan.
- b. IAs are advised to carry out the following activities and mechanisms during the implementation of the project:
  - 1) Governance mechanism. Especially for multi-year projects, it is advised to establish a clear governance mechanism for the project. The mechanism should be proposed during the project design and further discussed and finalized at the inception stage. The governance mechanism, e.g., a steering committee, is tasked with overseeing and providing policy guidance during implementation. The steering committee can be composed of representatives from the sponsoring body, the ASEAN Secretariat and or External Partners and will meet regularly to discuss project implementation and provide timely decisions or recommendations to the final approving body of the Fund. If the IA and the proponent are not the same, the proponent is expected to be part of the governance mechanism. Projects with durations less than one year may also consider establishing a governance mechanism if relevant.
  - 2) Inception meeting or workshop. The activity aims to provide basic information to

project stakeholders on the objectives, expected results, activities, work plan, and monitoring plan. The inception meeting also aims to discuss and clarify the governance mechanism of the project, including roles and responsibilities of each stakeholder involved in the project. Resource persons from ASEAN Secretariat or the relevant Project Management Team (PMT) can be invited to this meeting to provide input and technical advice on project implementation. The output of the inception meeting is an agreed project implementation arrangement among stakeholders and a finalized work plan and monitoring plan based on the approved project proposal and budget. Especially in case of a delay in project commencement, it is strongly advised to organise an inception meeting, in order to confirm, at a minimum, the budget and work plan.

- 3) A midterm review meeting or workshop to discuss and share information to project stakeholders on the progress of the implementation of the project. The output will be a midterm review report, which may include documented project performance in terms of effectiveness and efficiency and other relevant key findings. If applicable, also include any implementation changes, with or without budget and timeline implications. This report should follow Section A of the Project Completion Report Template. The report is submitted to the designated ASEAN Secretariat DO, with a copy to PCPMD. A midterm review meeting or workshop is strongly recommended for projects with a duration of one year or more. However, shorter-term projects may also consider holding a midterm exercise.
- 4) End-of-project-review meeting or workshop. This activity aims to discuss and inform project stakeholders on the achievements of the project and to document lessons learned and recommendations for a similar project or to help set the future direction of a next-phase project. The output is an end-of-project-review report that highlights the project achievements, lessons learned, and recommendations. This report can follow Section B of the Project Completion Report Template.
- 5) The IA is responsible for coordinating with the relevant DO on the overall implementation of the approved project and to participate in the governance mechanism of the project.
- 6) The IA is responsible, through the proponent, to secure approval of any change requests, and, for changes with budget implications, to seek approval from the relevant ASEAN Sponsoring Body (ASB) and the Fund, through the ASEAN Secretariat and the concerned PMT.
- 7) The IA is required to report to DO when the date of the last activity was completed. The IA will send an email to the DO on the completion of the last activity of the project within a week after the activity was completed. The same information can also be shared in advance by the IA to the DO in the interim report of the project (if applicable).
- 8) The IA is fully responsible for monitoring and reporting the progress of the project and ensuring that the project is implemented as efficiently and effectively as possible, and is ultimately able to achieve its objectives and required outputs as stated in the approved project proposal. If the IA is the same as the Proponent,



then the IA should be held responsible. If the IA is not the Proponent, then both the IA, as the entity who received the funding and implemented the project, and the Proponent, as the one who nominated the IA, are both responsible. The DO shall monitor the achievement of important project milestones (commencement, ongoing, implemented, and completed) and report progress to the ASEAN Sponsoring Body with copies to the PCPMD and PMT, if applicable.

- 9) Projects where ASEAN Secretariat is the Implementing Agency shall follow the rules and procedures of the ASEAN Secretariat in establishment of the project team, setting up the office, procurement, and implementation. The DO shall have supervision of the project and its project activities and liaise with the relevant ASEAN Secretariat Divisions in carrying out project implementation, monitoring, and reporting. This may include having an approved project charter, project management plan, and staffing pattern.

### **Project Progress and Completion Reporting**

31. The prescribed procedure and reporting requirements shall follow the SOP-PFDR and the Guidelines for Closing ASEAN Cooperation Projects.
32. If the IA is different from the Proponent, the IA shall prepare the progress and completion reports and forward to the proponent or the governance mechanism for review and feedback. Upon approval and confirmation, the IA will submit the progress and completion reports to ASEAN Secretariat through the DO. In that case, progress and completion reports shall be accompanied by a confirmation letter from the Proponent.
33. DOs shall remind proponents and IAs of their responsibilities to submit the relevant reports as outlined above.

### **Changes during Project Implementation**

34. In case there are changes to be made during the implementation of the project (e.g. change in implementation arrangements, activities, workplan 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 effective achievement of the project results. The need for change generally transpires from project monitoring, e.g. when the monitoring findings highlight that the activities conducted will not optimally contribute in achieving the expected project results, as per the project plan. The reasons for such deviations can be valid, and review and analysis of the findings (e.g. during a mid-term review meeting) should lead to proposed changes and improvements in the project implementation.
35. The following changes require re-approval of the ASEAN Sponsoring Body, subject to consultation with the relevant PMT/ DP Mission:
  - 1) Changes that have implications on the original approved budget (e.g. budget re-appropriation, changes in budget line items without budget increase). The re-approval is mandatory for funds which have guidelines/ manual that states so.
  - 2) Changes to the timeframe (to a maximum of six months from the original completion date) constitute a no-cost extension.

- 3) Changes in management and implementation arrangements (e.g., changes to the Proponent or IA, ASEAN Sponsoring Body, or Working Group), as well as revisions to the scope and intended beneficiaries of the project.
- 4) Properly justified changes in expected key outputs or outcome level results that do not have budget implication.

36. The following changes require re-approval of the Committee of the Permanent Representatives to ASEAN, and the relevant External Partner:

- 1) Project changes that exceed the original approved budget.

37. The process for seeking approval of changes under paragraph 35 are as follows:

- 1) IA should bring the issue for decision and endorsement by the project governance mechanism (if any).
- 2) IA shall inform the DO, through the proponent, of the proposed changes, with 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.
- 3) ASEAN Secretariat DO shall inform the relevant PMT of the proposed changes as well as PCPMD for ADF and ACF, for their records. In absence of the PMT, the ERD shall be informed.
- 4) DO shall facilitate seeking approval of the proposed changes from the endorsing ASB.
- 5) The IA will start implementation of the approved changes.

38. The process for seeking approval of changes as under paragraph 36 will be as follows:

- 1) IA should bring the issue for decision and endorsement by the project governance mechanism (if any).
- 2) IA shall inform the ASEAN Secretariat DO through the proponent of the proposed changes with 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 60 days prior to the proposed changes.
- 3) DO shall consult the proposed changes with the relevant PMT or ERD, the concerned Mission of the External Partner (in the absence of the PMT) and PCPMD for ADF and ACF, for their initial review and clearance.
- 4) DO shall facilitate seeking the approval of the proposed changes from the endorsing ASB
- 5) Once approval from ASB has been obtained, the DO requests that the PCPMD obtain CPR approval, or Sub-Committee on Development Cooperation (SCDC) for ADF and ACF.
- 6) For projects funded by External Partners, upon CPR approval, the DO shall seek

the approval of the concerned External Partner through the ERD or the concerned Mission of the External Partner

- 7) After getting approval from the concerned External Partner, the DO shall inform the proponent or IA, and send a copy to the PCPMD and Finance and Budget Division (FBD) of the ASEAN Secretariat.
- 8) The IA will start the implementation of the approved changes.

Any unspent balance of funds disbursed shall be returned, in accordance with the SOP-PFDR.

### **Early Project Termination**

39. In the case of early project completion, where all project deliverables have been achieved, the normal completion process can be followed (see Guidelines for Closing ASEAN Cooperation Projects).

40. In case a project needs to be terminated earlier than the approved completion date without having achieved all project deliverables, the process for seeking approval will be as follows:

- 1) IA should bring the issue for decision and endorsement by the project governance mechanism (if any).
- 2) IA shall prepare an official letter to request early project termination. The letter should state the current status of the project, which key outputs and outcomes have been achieved and which have not been achieved (based on monitoring results), the justifications for early project termination, budget implication, and the proposed early termination date of the project.
- 3) IA shall send this official letter to the DO through the proponent of the proposed early project termination with copy to the PCPMD and FBD. The IA has to submit the official letter together with the project proposal, budget and revised workplan at least 60 days prior to the proposed date of the early project termination.
- 4) DO shall consult the proposed early project termination with the relevant PMT (if available), concerned Mission (through the ERD) or PCPMD (for ADF and ACF) for their initial review and clearance.
- 5) Upon clearance from relevant PMT/concerned Mission/PCPMD, the DO shall facilitate seeking approval of the proposed early project termination from the endorsing ASB.
- 6) After endorsement from the ASB, the DO shall seek formal approval of the concerned External Partner through the concerned Mission or CPR Working Group / SCDC for ADF and ACF.
- 7) After getting approval from the External Partner or CPRWG / SCDC, the DO shall inform the IA/proponent.
- 8) The IA will implement the early project termination.

41. On evaluation, a project with more than a one-year implementation timeframe or a budget of over USD 1 million needs to be evaluated. Such a project proposal should include a budget for project evaluation. The key findings and recommendations of the

project evaluation are to be reflected in the PCR and the Evaluation Report need to be annexed to the PCR.

#### IV. Guidelines on Closing ASEAN Cooperation Projects

Figure 2: Closing ASEAN Cooperation Projects



42. The Guidelines on Closing ASEAN Cooperation Projects outline the requirements and procedures to close ASEAN cooperation projects to ensure accountability and the good governance of funds used. The Guidelines apply to all ASEAN cooperation projects for which funds were disbursed by the ASEAN Secretariat and which were appraised and approved using the SOP-PAA.
43. An ASEAN cooperation project shall be considered closed if it fulfils the following requirements:
- a. The original signed hard and soft copies, in Microsoft Word format, of the narrative component of the Project Completion Report (PCR) have been received and verified by the ASEAN Secretariat. The PCR shall include copies of the project outputs or deliverables and the evaluation report (if applicable) as stated in the approved project proposal; and
  - b. The original signed financial component of the Project Completion Report has been received and fully accepted by the ASEAN Secretariat, and unexpended funds have been returned to the ASEAN Secretariat.
44. The required ASEAN Cooperation Project Completion Report template, composed of both narrative and financial components, shall be completed and submitted by the Proponent or Implementing Agency (IA) to the ASEAN Secretariat within 60 days after the project has been fully implemented and the outputs or deliverables have been finalised. If the IA is different from the Proponent, the IA must first submit the PCR to the Proponent for review and approval. If the Proponent or IA does not submit the PCR within 60 days of project completion, the ASEAN Secretariat shall remind Proponent and IA of their responsibilities to submit the relevant reports. The ASEAN Secretariat shall send regular fortnightly reminders to the Proponent or IA.
45. The ASEAN Secretariat shall review the narrative component of the PCR based on the review sheet to ensure the following:
- a. The PCR fulfils all elements required in the ASEAN Cooperation Project Report template.

- b. The project's results are in line with the objectives and expected outputs stated in the project proposal, and that the Proponent or IA has reported results based on the approved indicators from the project proposal and has provided justification for any deviation or variance.

The ASEAN Secretariat shall also check the financial component of the PCR against the approved budget and verify if the utilisation of funds is supported by proper documentation.

- 46. Comments or inputs from the ASEAN Secretariat, if any, on the PCR shall be conveyed to the Proponent or IA. Within 10 working days after receiving the reviewed PCR from the ASEAN Secretariat, the Proponent or IA shall revise the PCR, respond to queries by the ASEAN Secretariat, and provide additional supporting documents, as requested.
- 47. In the event that the proponent or IA does not submit the revised PCR within 10 working days, the ASEAN Secretariat shall send weekly reminders to the Proponent or IA. Once the Proponent or IA submits the revised PCR, the ASEAN Secretariat shall conduct a final check on the revised PCR, as well as on the completeness of supporting documents.
- 48. After its final review, the ASEAN Secretariat shall submit the PCR and relevant documents, outputs, and deliverables to the relevant ASEAN Sponsoring Body. The ASEAN Sponsoring Body shall review the meaningful contributions and relevance of the project results to the appropriate Sectoral Work Plan and Blueprint based on the final outputs and outcomes, and indicate their approval. If the PCR found to be fully acceptable by the ASEAN Sponsoring Body and the ASEAN Secretariat, the ASEAN Secretariat shall inform the Proponent or IA of the acceptance of the PCR.
- 49. Any unspent balance of disbursed funds shall be returned 90 days after the project completion date at the latest. Any interest earned from the funds by the Proponent or IA should be included in the financial report and returned to the ASEAN Secretariat with the unspent balance. After the unspent balance, as well as any earned interest, has been received, the ASEAN Secretariat will accordingly mark the project as complete. The ASEAN Secretariat shall also inform the Proponent/IA that the project has been completed and the project account closed.
- 50. The ASEAN Secretariat shall distribute the Project Completion Report, relevant document outputs and deliverables to the concerned ASEAN Sponsoring Body, and concerned External Partners and inform them that the project is considered closed. The ASEAN Secretariat shall archive the Project Completion Report and related project output documents.

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<p><b>(Main) Blueprint:</b></p> <p>A.1. Engaged Stakeholders in ASEAN processes</p> <p>A.2. Empowered People and Strengthened Institutions</p> <p>B.1. Reducing Barriers</p> <p>B.2. Equitable Access for All</p> <p>E.1. Towards an Open and Adaptive ASEAN</p> <p>E.2. Towards a Creative, Innovative and Responsive ASEAN</p> <p><b>(Main) Characteristic: ASCC</b></p> <p><b>Action Line(s):</b></p> <p><b>Action(s):</b></p>	<p><b>Connectivity</b> <input type="checkbox"/></p> <p><b>Linkage:</b></p> <p><b>Strategy:</b></p> <p><b>Key Action(s):</b></p>
<p>Information below to be completed by the ASEAN Secretariat:</p> <p>Nature of Cooperation: <i>Confidence Building</i> <input type="checkbox"/></p> <p><i>Harmonisation</i> <input type="checkbox"/></p> <p><i>Special Assistance</i> <input type="checkbox"/></p> <p><i>Joint Effort</i> <input type="checkbox"/></p> <p><i>Regional Integration / Expansion</i> <input type="checkbox"/></p> <p>Type of Intervention: <i>Policy Initiative</i> <input type="checkbox"/></p> <p><i>Establishment of Institutional Mechanisms</i> <input type="checkbox"/></p> <p><i>Human Capacity Building</i> <input type="checkbox"/></p>	
<p>Project Duration: &lt; 6 months <input type="checkbox"/> 6-12 months <input type="checkbox"/> &gt; 12 months <input checked="" type="checkbox"/></p> <p>Proposed Commencement Date: xx.xx.202x</p> <p>Proposed Completion Date: xx.xx.202x</p>	
<p>Participating ASEAN Member States: All <input checked="" type="checkbox"/></p> <p>If not all (or not all in the same way), please indicate reason:</p> <p>All Member States are expected to participate in the project as the project will grant scholarship from each of the members.</p>	
<p><b>Sponsoring ASEAN Body</b></p> <p><b>Sectoral Committee/Main Body:</b> Meeting Number/Date: / xx.xx.202x</p> <p><b>Working Group/Sub-Committee:</b> Meeting Number/Date: / xx.xx.202x</p>	

**yorum [PCPMD1]:** The proposed commencement and completion dates here differ from the implementation period stated in Annex 2-indicative work plan (2022-2025).

If the project intends to commence in September 2022, the Proponent to consider adjusting the proposed commencement and completion date accordingly with a more realistic date. Please consider the appraisal/approval process of at least 83 working days for a single sector project and at least 88 working days for a cross-sectoral project, plus 45 days approval period from the funding's External Partner.

**yorum [PCPMD2]:** The meeting number and dates are for the date of endorsement from the ASEAN Sponsoring Body and Working Group to the proposal, which has not happened yet. Propose to remove the date for the actual date once the relevant ASB and WG endorse the proposal.

<b>Proponent's Name and Address:</b> <b>Email:</b> <b>Mobile:</b> +905xx xxx xxxx <b>Phone:</b> +90312 xxx xxxx
<b>Implementing Agency's Name and Address</b> (if different from above):  Contact Person and Contact Details:
<b>Date of Proposal Submission:</b> 25.04.202xx
<b>Proposed Funding Source(s):</b> ASEAN-Turkey Fund
<b>Proposed Project Budget (total in USD):</b>
<i>Information below to be completed by the PCPMD of the ASEAN Secretariat</i> <b>Recommendation of the ASEAN Secretariat</b> Meeting No./Date : / dd.mm.yyyy Action : <input type="checkbox"/> Endorsed <input type="checkbox"/> Not Endorsed
<b>Approval of Committee of Permanent Representatives to ASEAN (CPR)</b> Meeting No./Date : / dd.mm.yyyy Action : <input type="checkbox"/> Endorsed <input type="checkbox"/> Not Endorsed
<b>2. PROJECT JUSTIFICATION, REGIONALITY AND BENEFICIARIES – 600 words max</b> <b>Current Problem.</b>

**orum [PCPMD3]:** Please indicate the total proposed budget amount as stated in Annex 1-Budget and the information if the funding will be a cost-sharing among AMS, Proponent, and ATF.



**(a) Project History**

**yorum [PCPMD4]:** Any previous ASEAN- Türkiye projects related to this project? If none, the Proponent may explain that this is a first-time scholarship project under ASEAN- Türkiye Cooperation. The Proponent may also wish to add if there has been any previous discussion with ASEAN on the subject. It will help the project provide the history from the ASEAN regionality's point of view.

(b) Beneficiaries –

**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.*

<b>Project Objective (outcome)</b>	<b>Indicators (to measure project achievements)</b>	<b>Sources/Mean of Verification</b>	<b>Risk/ Assumption</b>
<i>Results the project intends to achieve via project output and</i>		<i>How will data be collected to support indicators? What</i>	<i>Risks: Which external factors might negatively</i>

**orum [PCPMD5]:** Please ensure the project outcome, output, and activities mentioned in this section align with those stated in the Annex 2-Workplan.

*ASEAN Cooperation Project Proposal Template  
Approved at 2/2021 CPR Meeting on 9 February 2021*

<p><i>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></p>	<p><i>How will achieving project outputs be measured? Indicate realistic and measurable quantitative or qualitative factors.</i></p>	<p><i>secondary sources are available? Does the project need to use primary data collection tools?</i></p>	<p><i>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></p>
<p><b>Outputs (direct project results)</b> <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></p>	<p><b>Indicators (to measure project achievements)</b> <i>How will achieving project outputs be measured? Indicate realistic and measurable quantitative or qualitative factors.</i></p>	<p><b>Sources/Means of Verification</b> <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></p>	<p><b>Risk/ Assumption</b> <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></p>

**Forum [PCPMD6]:** Please quantify the indicators, i.e. how many (or how many %) students will pass/graduate from the Master, Research, and Language programme as indicated in the 'Regionality' section.

<p><b>Main Activities:</b> <i>List the actions or activities that the project will implement to achieve the above results or outputs.</i></p> <p><b>4. PROJECT MANAGEMENT ARRANGEMENTS – 600 words max</b> <b>(a) Management Arrangements</b> – <i>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.</i></p>				

**(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).

**yorum [PCPMD7]:** The project duration spans three financial years. Aside from a completion report upon completion of the last activity, other reporting obligation includes:

1. Interim reports following each financial year of the ASEAN Secretariat, including updates on the achievement of project outputs, challenges faced during implementation and the required adjustment, and fund utilisation.
2. A project evaluation report at the end of the project, whether the project contributes to the achievement of the ASEAN-Turkiye cooperation target, etc. It can be assigned to an external evaluator. The budget for evaluation should be included in the project's proposed budget.

Please consider including the reporting arrangement above in this section.

**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:*

<b>Risk / threat</b>	<b>Mitigation strategy</b>

**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.*