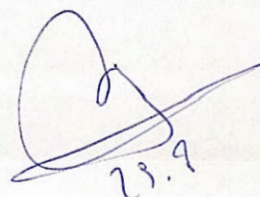


**DCI-ASIE/2013/023-870**

**Financing Agreement  
between  
the European Union  
and  
the Association of Southeast Asian Nations (ASEAN)**

**"EU Support to Higher Education  
in ASEAN Region (EU SHARE)"**



Handwritten signature and date 29.9

10th CLASS OF WORK, ETC.

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# **FINANCING AGREEMENT**

## **Special Conditions**

The European Union, hereinafter referred to as "**the EU**", represented by the European Commission, hereinafter referred to as "**the Commission**",

of the one part, and

The Association of Southeast Asian Nations (ASEAN), hereinafter referred to as "**the Beneficiary**",

of the other part,

have agreed as follows:

### **ARTICLE 1 - NATURE AND PURPOSE OF THE OPERATION**

1.1. The EU shall contribute to the financing of the following programme:

CRIS Decision number: DCI-ASIE/2013/23870

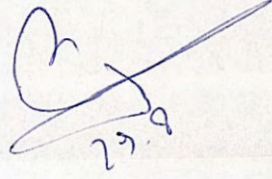
Title: EU Support to Higher Education in ASEAN Region (EU SHARE)

hereinafter referred to as "the programme", which is described in the Technical and Administrative Provisions.

1.2 This programme shall be implemented in accordance with this Financing Agreement and the annexes thereto.

### **ARTICLE 2 - TOTAL ESTIMATED COST AND THE EU'S FINANCIAL CONTRIBUTION**

2.1 The total cost of the programme is estimated at 10,300,000 euro.

A handwritten signature in blue ink, followed by the date "27.9" written below it.

2.2 The EU undertakes to finance a maximum of 10,000,000 euro. The breakdown of the EU's financial contribution into budget headings is shown in the budget included in the Technical and Administrative Provisions.

### **ARTICLE 3 - THE BENEFICIARY'S CONTRIBUTION**

3.1 The Beneficiary undertakes to co-finance the programme with zero euro. The breakdown of the Beneficiary's financial contribution into budget headings is shown in the budget included in the Technical and Administrative Provisions.

3.2 Where there is a non-financial contribution by the Beneficiary, detailed arrangements for the delivery of such contribution shall be set out in the Technical and Administrative Provisions.

### **ARTICLE 4 - IMPLEMENTATION**

4.1 By derogation to Article 3 of the General Conditions, the programme shall be implemented by the Commission acting for and on behalf of the Beneficiary.

4.2 The following clauses of the General Conditions shall not be applicable: Articles 1.3, 5, 6, 7, 8.2, 8.3, 11, 16.2, 17, 19.4, 20.6, 22.3, 22.4 and 22.6.

4.3 The following clauses of the General Conditions shall be replaced by the following:

4.3.1 Article 2.2: Wherever there is a risk of overrunning the global amount set in the Financing Agreement, the Commission may either scale down the project/programme or draw on the Beneficiary's own resources, after its approval, or on other non-EU resources.

4.3.2 Article 2.3: If the project/programme cannot be scaled down, or if the overrun cannot be covered by other resources including those of the Beneficiary, the Commission may decide to grant additional EU financing. Should it take such a decision, the excess costs shall be financed, without prejudice to the relevant EU rules and procedures, by the release of an additional financial contribution to be set by the Commission.

4.3.3 Article 18.1: Every project/programme financed by the EU shall be subject to the appropriate communication and information operations. These operations shall be defined with the approval of the Commission.

4.3.4 Article 19.1: The Beneficiary shall take appropriate measures to prevent irregularities and fraud and, on request of the Commission, bring prosecutions to recover funds wrongly paid. The Beneficiary shall inform the Commission of any measure taken.

4.3.5 Article 19.3: The Beneficiary shall immediately inform the Commission of any element brought to its attention which arouses suspicions of irregularities or fraud.

## **ARTICLE 5 – PERIOD OF EXECUTION**

5.1 The period of execution of the Financing Agreement as defined in Article 4 of the General Conditions shall commence on the entry into force of the Financing Agreement and end 84 months after this date.

5.2 The duration of the operational implementation phase is fixed at 60 months.

5.3 The duration of the closure phase is fixed at 24 months.

## **ARTICLE 6 - ADDRESSES**

All communications concerning the implementation of this Financing Agreement shall be in writing, refer expressly to the programme and be sent to the following addresses:

### **a) for the Commission**

The Delegation of the European Union to Indonesia, Brunei Darussalam and ASEAN  
Intiland Tower, 16<sup>th</sup> Floor  
Jl. Jend. Sudirman 32,  
Jakarta 10220, Indonesia

### **b) for the Beneficiary**

ASEAN Secretariat  
70A Jalan Sisingamangaraja  
Jakarta, 12110, Indonesia

## **ARTICLE 7 - ANNEXES**

7.1 The following documents shall be annexed to this Financing Agreement and form an integral part thereof:

Annex I: General Conditions

Annex II: Technical and Administrative Provisions

7.2 In the event of a conflict between the provisions of the Annexes and those of the Special Conditions of the Financing Agreement, the provisions of the Special Conditions shall take precedence. In the event of a conflict between the provisions of Annex I and those of Annex II, the provisions of Annex I shall take precedence.



## ARTICLE 8 – ENTRY INTO FORCE OF THE FINANCING AGREEMENT

The Financing Agreement shall enter into force on the date on which it is signed by the last party.

Done in three original copies in the English language, two copies being handed to the Commission and one to the Beneficiary.

FOR THE COMMISSION

FOR THE BENEFICIARY

Dirk Meganck  
Director for Asia, Central Asia, Middle  
East/Gulf and Pacific  
Directorate General for Development and  
Cooperation – EuropeAid

Le Luong Minh  
Secretary-General of ASEAN

Signature

Date

29.8.2013

Signature

Date

28-3-2014



## **ANNEX I - GENERAL CONDITIONS**

### **TITLE I - PROJECT/PROGRAMME FINANCING**

#### **ARTICLE 1 – GENERAL PRINCIPLE**

- 1.1 The EU's financial contribution shall be limited to the amount specified in the Financing Agreement.
- 1.2 The provision of the EU financing shall be subject to fulfilment of the Beneficiary's obligations under this Financing Agreement.
- 1.3. The expenditure incurred by the Beneficiary before the entry into force of the Financing Agreement is not eligible for the EU financing.

#### **ARTICLE 2 - COST OVERRUNS AND COVERING THEM**

- 2.1 Individual overruns of the budget headings of the Financing Agreement shall be dealt with by reallocating funds within the overall budget, in accordance with Article 22 of these General Conditions.
- 2.2 Wherever there is a risk of overrunning the global amount set in the Financing Agreement, the Beneficiary shall immediately inform the Commission and seek its prior approval for the corrective measures planned to cover the overrun, proposing either to scale down the project/programme or to draw on its own or other non-EU resources.
- 2.3 If the project/programme cannot be scaled down, or if the overrun cannot be covered either by the Beneficiary's own resources or other resources, the Commission may, at the Beneficiary's duly substantiated request, decide to grant additional EU financing. Should the Commission take such a decision, the excess costs shall be financed, without prejudice to the relevant EU rules and procedures, by the release of an additional financial contribution to be set by the Commission.

## **TITLE II - IMPLEMENTATION**

### **ARTICLE 3 – GENERAL PRINCIPLE**

The project/programme shall be implemented under the responsibility of the Beneficiary with the approval of the Commission.

### **ARTICLE 4 - PERIOD OF EXECUTION**

4.1 The period of execution of the Financing Agreement shall comprise two phases:

- an operational implementation phase, in which the principal activities are carried out. This phase shall commence on the entry into force of the Financing Agreement and end with the opening of the closure phase;
- a closure phase, during which final audits and evaluation are carried out and contracts and programme estimates for the implementation of the Financing Agreement are technically and financially closed. This phase shall end at the latest 24 months after the end of the operational implementation phase.

4.2 Costs related to the principal activities shall be eligible for EU financing only if they have been incurred during the operational implementation phase. Costs related to final audits and evaluation and closure activities shall be eligible up to the end of the closure phase.

4.3 Any balance remaining from the EU contribution will be automatically decommitted no later than six months after the end of the period of execution.

4.4 In exceptional and duly substantiated cases, a request may be made for the extension of the operational implementation phase and correlatively of the period of execution. If the extension is requested by the Beneficiary, the request must be made at least three months before the end of the operational implementation phase and approved by the Commission before that latter date.

4.5 In exceptional and duly substantiated cases, and after the end of the operational implementation phase, a request may be made for the extension of the closure phase and correlatively of the period of execution. If the extension is requested by the Beneficiary, the request must be made at least three months before the end of the closure phase and approved by the Commission before that latter date.

## **TITLE III – PAYMENTS TO BE MADE BY THE COMMISSION TO THIRD PARTIES**



## **ARTICLE 5 – DEADLINE FOR PAYMENTS TO BE MADE BY THE COMMISSION TO THIRD PARTIES**

- 5.1 When the Commission is making payments related to contracts implementing the Financing Agreement and awarded by the Beneficiary, the Beneficiary shall undertake to provide the Commission with the payment requests or invoice no later than 15 calendar days before the payment deadline for the initial pre-financings specified in the contract. In case of further pre-financing for grants, and interim and final payments, the Beneficiary shall undertake to provide the Commission with the payment request or invoice not later than 30 calendar days before the expiry of the payment deadline specified in the contract. The Beneficiary shall notify the Commission of the date of registration of this request. The payment request is not admissible if at least one essential requirement is not met. The time limit for payments may be suspended at any time by the Commission by informing the Beneficiary, that the payment request can not be met, either because the amount is not due or because the appropriate supporting documents have not been produced. If information which puts in doubt the eligibility of expenditure appearing in a payment request, comes to the notice of the Commission the Commission may suspend the time limit for payment for the purpose of further verification, including an on-spot check, in order to ascertain, prior to payment, that the expenditure is indeed eligible. The suspension should be communicated to the Beneficiary as soon as possible. The time limit for payment shall resume once the payment request becomes admissible.
- 5.2 The deadline referred to in paragraph 1 shall also apply when payment is conditional on approval of a report. The approval of any report is included in the payment deadline specified in the contract. To this end, the Beneficiary has to approve the report and provide the Commission with the payment request or invoice within the deadline set above in article 5.1. When the Beneficiary does not approve the report he shall send, as soon as possible, to the contractor or grant beneficiary a document formally suspending the deadline for payment and explaining the reasons for suspension. Suspension is effective from the sending of the notification. The contractor or grant beneficiary must provide clarifications, modifications or further information within 30 days of the notification. The time limit for payment begins to run again from the date on which the clarifications are registered.
- 5.3 In the event of any delay in forwarding payment requests attributable to the Beneficiary, the Commission shall not be obliged to pay the contractor the late-payment interest provided for in contracts, which will be payable by the Beneficiary. The contractor is entitled to payment of late-payment interest, unless he is a government department or public body in an EU Member State.

## **TITLE IV – PAYMENTS TO BE MADE BY THE BENEFICIARY TO THIRD PARTIES AND DISBURSEMENT TO BE MADE BY THE COMMISSION THROUGH PROGRAMME ESTIMATES**

### **ARTICLE 6 – GENERAL PRINCIPLE**

- 6.1 When the Beneficiary is making payments to third parties, programme estimates must be drawn up and adopted beforehand.
- 6.2 The programme estimate is a document laying down the programme of measures to be carried out and the human and material resources required, the corresponding budget and the detailed technical and administrative implementing arrangements for decentralised execution of a project/programme over a specified period by direct labour and/or by means of public procurement and/or the award of grants.
- 6.3. All programme estimates implementing the Financing Agreement must respect the procedures and standard documents laid down by the Commission, in force at the time of the adoption of the programme estimates in question.

### **ARTICLE 7 - DISBURSEMENT**

- 7.1 The Commission shall transfer funds no later than 45 calendar days after the date on which it registers an admissible payment request from the Beneficiary. The payment request is not admissible if at least one essential requirement is not met. The time limit for payments may be suspended by the Commission by informing the Beneficiary, at any time during the period referred to above, that the payment request can not be met, either because the amount is not due or because the appropriate supporting documents have not been produced. If information which puts in doubt the eligibility of expenditure appearing in a payment request comes to the notice of the Commission, the Commission may suspend the time limit for payment for the purpose of further verification, including an on-spot check, in order to ascertain, prior to payment, that the expenditure is indeed eligible. The suspension should be communicated to the Beneficiary as soon as possible. The time limit for payment shall resume once the payment request becomes admissible.
- 7.2 The Commission shall make payments to a bank account denominated in euro and opened at a financial institution accepted by the Commission.
- 7.3 The Beneficiary shall guarantee that funds paid by the Commission by way of pre-financing can be identified in this bank account.

- 7.4 Transfers in euro shall, if necessary, be converted into the Beneficiary's national currency as and when payments have to be made by the Beneficiary, at the bank rate in force on the day of payment by the Beneficiary.
- 7.5 The funds paid by the Commission to this bank account shall yield interest or equivalent benefits. The Beneficiary shall notify the Commission of interest or equivalent benefits yielded by those funds at least once a year.
- 7.6 Interest or equivalent benefits yielded by the funds paid of more than two hundred fifty thousand euro shall be repaid to the Commission within 45 days of receipt of the Commission's request.
- 7.7 For a programme estimate which has not given rise to any transfer of funds within three years of its signature, the corresponding committed amount shall be decommitted.

## **TITLE V - AWARD OF PROCUREMENT AND GRANT CONTRACTS**

### **ARTICLE 8 – GENERAL PRINCIPLES.**

- 8.1 All contracts implementing the Financing Agreement must be awarded and implemented in accordance with the procedures and standard documents laid down and published by the Commission for the award of procurement and grant contracts , in force at the time of the launch of the procedure in question.
- 8.2 The Beneficiary shall use the language of this Financing Agreement for the award of procurement and grant contracts ,
- 8.3 In cases of decentralised contracts, the Beneficiary will inform the Commission when a candidate, tenderer or applicant is in a situation of exclusion from participation in award procedures according to the relevant provisions of the Financial Regulation applicable to the general budget of the European Union or when a contractor has been guilty of making false declarations or has made substantial errors or committed irregularities and fraud, or has been found in serious breach of its contractual obligations.

In such cases, without prejudice to the power of the Commission to exclude an entity from future procurement and grant contracts financed by the EU according to the Financial Regulation applicable to the general budget of the European Union, financial penalties to contractors mentioned in the provision on "Administrative and Financial Penalties" of the General Conditions of

decentralised contracts may be imposed to the contractors by the Beneficiary if this is allowed by its national law. Such financial penalties shall be imposed following an adversarial procedure and ensuring the right of defence of the contractor.

- 8.4 The Beneficiary undertakes to take every appropriate measure to remedy any practices of active or passive corruption whatsoever at any stage of the procedure for the award of contracts or grants. "Passive corruption" shall mean the deliberate action of an official, who, directly or through an intermediary, requests or receives advantages of any kind whatsoever, for himself or for a third party, or accepts a promise of such an advantage, to act or refrain from acting in accordance with his duty or in the exercise of his functions in breach of his official duties, which has, or would have, the effect of harming the EU's financial interests. "Active corruption" shall mean the deliberate action of whosoever promises or gives, directly or through an intermediary, an advantage of any kind whatsoever to an official, for himself or for a third party, to act or refrain from acting in accordance with his duty or in the exercise of his functions in breach of his official duties, which has, or would have, the effect of harming the EU's financial interests.

#### **ARTICLE 9 - DEADLINE FOR THE SIGNATURE OF THE CONTRACTS IMPLEMENTING THE FINANCING AGREEMENT**

- 9.1 Except for those components of this Financial Agreement implemented under Joint Management or Indirect Centralised Management, the contracts implementing the Financing Agreement shall be signed by both parties within three years of the entry into force of the Financing Agreement. That deadline may not be extended.
- 9.2 The above provision shall not apply to:
- audit and evaluation contracts, which may be signed later;
  - addenda to contracts already signed;
  - contracts concluded after early termination of an existing contract and
  - cases of change of entity charged with budget execution tasks
- 9.3 At the end of the three years of the entry into force of the Financing Agreement, any balance for which contracts have not been signed, except those referred to in Article 9.2 here above, will be decommitted
- 9.4 The above provision shall not apply to any balance of the contingency reserve.
- 9.5 A contract which has not given rise to any payment within three years of its signature shall be automatically terminated and its funding shall be decommitted.



## **ARTICLE 10 - ELIGIBILITY**

- 10.1 Participation in invitations to tender for works, supply or service contracts and in calls for proposals shall be open on equal terms to all natural and legal persons of the Member States of the EU and, in accordance with the specific provisions in the basic acts governing the cooperation sector concerned, to all natural and legal persons of the beneficiary third countries or of any other third country expressly mentioned in those acts.
- 10.2 It may be decided, on the basis of the specific conditions laid down in the basic acts governing the cooperation sector concerned, to allow third-country nationals other than those referred to in paragraph 1 to tender for contracts.
- 10.3 Goods and supplies financed by the EU and necessary for the performance of works, supply and service contracts and procurement procedures launched by the grant beneficiaries for the execution of the action financed must originate in countries eligible to participate in the terms laid down in the previous two paragraphs, except when it is provided otherwise in the basic act.

## **ARTICLE 11 – PUBLICATION OF INFORMATION**

- 11.1 The Beneficiary undertakes to publish each year in a dedicated and easily accessible place of its internet site the title of each contract financed by the Financing Agreement, the name and nationality of the grant beneficiary or successful tenderer as well as the amount of the corresponding grant or contract.
- 11.2 If such internet publication is impossible, the information shall be published by any other appropriate means, including the official journal of the Beneficiary. Publication shall take place during the first half of the year following the closure of the year in respect of which the contracts and grants were awarded by the Beneficiary. The Beneficiary shall communicate to the Commission the address of the place of publication and reference shall be made to this address in the dedicated place of the internet site of EuropeAid . If the information is published otherwise, the Beneficiary shall give the Commission full details of the means used.



## **TITLE VI - RULES APPLICABLE TO THE PERFORMANCE OF CONTRACTS**

### **ARTICLE 12 - ESTABLISHMENT AND RIGHT OF RESIDENCE**

- 12.1 Where justified by the nature of the contract the Beneficiary shall entitle natural and legal persons participating in invitations to tender for works, supply or service contracts with a provisional right of establishment and residence in the Beneficiary's territory(ies). This right shall remain valid for one month after the contract is awarded.
- 12.2 The Beneficiary shall also entitle contractors (procurement and grant contracts) and natural persons whose services are required for the performance of the contract and members of their family with similar rights during the implementation of the project/programme.

### **ARTICLE 13 - TAX AND CUSTOMS PROVISIONS**

- 13.1 The Beneficiary shall apply to procurement contracts and grants financed by the EU the most favoured tax and customs arrangements applied to States or international development organisations with which it has relations.
- 13.2 Where a Framework Agreement is applicable, which includes more detailed provisions on this subject, these provisions shall apply as well.

### **ARTICLE 14 - FOREIGN EXCHANGE ARRANGEMENTS**

- 14.1 The Beneficiary undertakes to authorise the import or purchase of the foreign currency necessary for the implementation of the project. It also undertakes to apply its national foreign exchange regulations in a non-discriminatory manner to the contractors allowed to participate referred to in Article 10 of these General Conditions.
- 14.2 Where a Framework Agreement is applicable, which includes more detailed provisions on this subject, these provisions shall apply as well.

### **ARTICLE 15 – USE OF DATA FROM STUDIES**

Where the Financing Agreement involves the financing of a study, the contract related to this study, signed for the implementation of the Financing Agreement, shall govern the

ownership of that study and shall include the right for the Beneficiary and the Commission to use data in the study, to publish it or to disclose it to third parties.

#### **ARTICLE 16 - ALLOCATIONS OF AMOUNTS RECOVERED UNDER CONTRACTS**

- 16.1 Without prejudice to the responsibilities of the Beneficiary, the Commission may, in accordance with the relevant provisions of the Financial Regulation applicable to the general budget of the European Union formally establish an amount as being wrongly paid under a contract financed under this Financing Agreement and proceed to its recovery by any means.
- 16.2 Amounts recovered by the Beneficiary from payments wrongly effected, from financial guarantees lodged on the basis of procedures of award of contracts or under a contract financed under this Financing Agreement, as well as from financial penalties imposed by the Beneficiary on candidate, tenderer, contractor or grant beneficiary, shall be returned to the Commission. The damages granted to the Beneficiary shall also be returned to the Commission.

#### **ARTICLE 17 - FINANCIAL CLAIMS UNDER CONTRACTS**

The Beneficiary undertakes to confer with the Commission before taking any decision concerning a request for compensation made by a contractor and considered by the Beneficiary to be justified in whole or in part. The financial consequences may be borne by the EU only where the Commission has given its prior approval. Such prior approval is also required for any use of funds committed under the present Financing Agreement to cover costs arising from disputes relating to contracts.

### **TITLE VII - GENERAL AND FINAL PROVISIONS**

#### **ARTICLE 18 – VISIBILITY**

- 18.1 Every project/programme financed by the EU shall be subject to the appropriate communication and information measures. Unless otherwise agreed, the Beneficiary shall take the necessary measures to ensure the visibility of the EU funding for the project/programme. These measures shall be defined under the responsibility of the Beneficiary with the approval of the Commission.
- 18.2 These communication and information measures shall follow the rules in the Communications and Visibility Manual for EU External Actions laid down and published by the Commission, in force at the time of the measures.

## **ARTICLE 19 – PREVENTION OF IRREGULARITIES, FRAUD AND CORRUPTION**

19.1 The Beneficiary undertakes to check regularly that the operations financed with the EU funds have been properly implemented. It shall take appropriate measures to prevent irregularities and fraud and, if necessary, bring prosecutions to recover funds wrongly paid.

19.2 "Irregularity" shall mean any infringement of the Financing Agreement, implementing contracts and programme estimates or of EU law resulting from an act or omission by an economic operator, which has, or would have, the effect of prejudicing the general budget of the EU, either by reducing or losing revenue accruing from own resources collected directly on behalf of the EU, or by an unjustified item of expenditure.

"Fraud" shall mean any intentional act or omission concerning:

- the use or presentation of false, incorrect or incomplete, statements or documents which has as its effect the misappropriation or wrongful retention of funds from the general budget of the EU;
- non-disclosure of information in violation of a specific obligation, with the same effect;
- the misapplication of such funds for purposes other than those for which they are originally granted.

19.3 The Beneficiary shall immediately inform the Commission of any element brought to its attention which arouses suspicions of irregularities or fraud and of any measure taken to deal with them.

19.4 As stated in Article 8.3, in cases of decentralised contracts, the Beneficiary will inform the Commission when a contractor has been guilty of making false declarations or has made substantial errors or committed irregularities and fraud, or has been found in serious breach of its contractual obligations.

Without prejudice to the power of the Commission to exclude a natural or legal person from future procurement and grant contracts financed by the EU according to the Financial Regulation applicable to the general budget of the European Union financial penalties to contractors mentioned in the provision on "Administrative and Financial Penalties" of the General Conditions of decentralised contracts may be imposed to contractors by the Beneficiary if this is allowed by its national law. Such financial penalties shall be imposed, following an adversarial procedure and ensuring the right of defence of the contractor.

- 19.5 The Beneficiary shall immediately inform the Commission of the name of the economic operators whom have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the EU's financial interests.
- 19.6 The Beneficiary undertakes to take every appropriate measure to remedy any practices of active or passive corruption whatsoever in the implementation of the related contracts. Definitions in Article 8.3 apply herein.

If the Beneficiary does not take the appropriate measures to remedy any practices of corruption or fraud mentioned under this article, the Commission may adopt itself such measures including the recovery of the EU funding by any means.

#### **ARTICLE 20 - VERIFICATIONS AND CHECKS BY THE COMMISSION, THE EUROPEAN ANTI-FRAUD OFFICE (OLAF) AND THE EUROPEAN COURT OF AUDITORS**

- 20.1 The Beneficiary agrees to the Commission, OLAF and the European Court of Auditors conducting documentary and on-the-spot checks on the use made of EU funding under the Financing Agreement (including procedures for the award of contracts and grants) and carrying out a full audit, if necessary, on the basis of supporting documents of accounts and accounting documents and any other documents relating to the financing of the project/programme, throughout the duration of the agreement and for seven years after the date of the last payment.
- 20.2 The Beneficiary also agrees that OLAF may carry out on-the-spot checks and verifications in accordance with the procedures laid down by EU law for the protection of the EU's financial interests against fraud and other irregularities.
- 20.3 To that end, the Beneficiary undertakes to grant officials of the Commission, OLAF and the European Court of Auditors and their authorised agents access to sites and premises at which operations financed under the Financing Agreement are carried out, including their computer systems, and to any documents and computerised data concerning the technical and financial management of those operations, and to take every appropriate measure to facilitate their work. Access by authorised agents of the Commission, OLAF and the European Court of Auditors shall be granted on conditions of strict confidentiality with regard to third parties, without prejudice to public law obligations to which they are subject. Documents must be accessible and filed in a manner permitting easy inspection, the Beneficiary being bound to inform the Commission, OLAF or the European Court of Auditors of the exact location at which they are kept.
- 20.4 The checks and audits described above shall also apply to contractors and subcontractors who have received EU funding.

20.5 The Beneficiary shall be notified of on-the-spot missions by agents appointed by the Commission, OLAF or the European Court of Auditors.

20.6 The Beneficiary shall keep the following financial and contractual supporting documents

Procurement procedures:

- Forecast notice with proof of publication of the procurement notice and any corrigenda
- Nomination of shortlist panel
- Shortlist report (incl. annexes) and applications
- Proof of publication of the shortlist notice
- Letters to non-shortlisted candidates
- Invitation to tender or equivalent
- Tender dossier including annexes, clarifications, minutes of the meetings, proof of publication
- Nomination of the evaluation committee
- Tender opening report, including annexes
- Evaluation / negotiation report, including annexes and bids received<sup>1</sup>
- Notification letter
- Supporting documents
- Cover letter for submission of contract
- Letters to unsuccessful candidates
- Award / cancellation notice, including proof of publication
- Signed contract, amendments, riders and relevant correspondence

Calls for proposals and direct award of grants:

- Nomination of the evaluation committee
- Opening and administrative report including annexes and applications received<sup>2</sup>
- Letters to successful and unsuccessful applicants
- Concept note evaluation report
- Letters to successful and unsuccessful applicants
- Evaluation report of the full application or negotiation report with relevant annexes
- Eligibility check and supporting documents
- Letters to successful and unsuccessful applicant with approved reserve list
- Cover letter for submission of contract
- Award/cancellation notice with proof of publication
- Signed contract, amendments, riders and relevant correspondence

In case of decentralised operations:

- In addition to all of the above –mentioned supporting documents also all relevant documentation relating to payments and recovery orders.

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<sup>1</sup> Elimination of unsuccessful bids five years after the closure of the procurement procedure.

<sup>2</sup> Elimination of unsuccessful applications three years after the closure of the grant procedure.



## **ARTICLE 21 – CONSULTATION BETWEEN THE COMMISSION AND THE BENEFICIARY**

- 21.1 The Beneficiary and the Commission shall consult each other before taking any dispute relating to the implementation or interpretation of this Financing Agreement further.
- 21.2 Where the Commission becomes aware of problems in carrying out procedures relating to management of this Financing Agreement, it shall establish all necessary contacts with the Beneficiary to remedy the situation and, take any steps that are necessary, including, where the Beneficiary does not, or is unable to, perform the duties incumbent on it, temporarily taking the Beneficiary's place
- 21.3 The consultation may lead to the amendment, suspension or termination of the Financing Agreement.

## **ARTICLE 22 – AMENDMENT OF THE FINANCING AGREEMENT**

- 22.1 Any amendment to the Special Conditions, Annex II and Annex III to the Financing Agreement shall be made in writing and be the subject of an addendum.
- 22.2 If the request for an amendment comes from the Beneficiary, the latter shall submit that request to the Commission at least three months before the amendment is intended to enter into force, except in cases which are duly substantiated by the Beneficiary and accepted by the Commission.
- 22.3 For technical adjustments which do not affect the objectives and results of the project/programme and alterations in matters of detail which do not affect the technical solution adopted, and with no reallocation of funds, the Beneficiary shall inform the Commission of the amendment and its justification in writing as soon as possible and apply that amendment.
- 22.4 The use of contingency reserve shall be subject to the Commission's prior written approval.
- 22.5 The specific cases of the extension of the operational implementation phase or closure phase are governed by Article 4 (4) and (5) of these General Conditions.
- 22.6 Where the Commission considers that the Beneficiary ceases to satisfy the decentralisation criteria and without prejudice to Articles 23 and 24 of these General Conditions, the Commission may decide to retake the financial implementation tasks entrusted to the Beneficiary in order to continue the implementation of the project/programme on behalf, and for the account, of the Beneficiary after informing the latter in written form

## ARTICLE 23. SUSPENSION OF THE FINANCING AGREEMENT

23.1 The Financing Agreement may be suspended in the following cases:

- The Commission may suspend the implementation of the Financing Agreement if the Beneficiary breaches an obligation under the Financing Agreement, and notably if it ceases to satisfy the decentralisation criteria laid down, where relevant, in the Special Conditions
- The Commission may suspend the implementation of the Financing Agreement if the Beneficiary breaches any obligation set under the procedures and standard documents laid down and published by the Commission for the award and implementation of contracts and grants.
- The Commission may suspend the Financing Agreement if the Beneficiary breaches an obligation relating to respect for human rights, democratic principles and the rule of law and in serious cases of corruption.
- The Financing Agreement may be suspended in cases of force majeure, as defined below. "Force majeure" shall mean any unforeseeable and exceptional situation or event beyond the parties' control which prevents either of them from fulfilling any of their obligations, not attributable to error or negligence on their part (or the part of their contractors, agents or employees) and proves insurmountable in spite of all due diligence. Defects in equipment or material or delays in making them available, labour disputes, strikes or financial difficulties cannot be invoked as force majeure. A party shall not be held in breach of its obligations if it is prevented from fulfilling them by a case of force majeure of which the other party is duly informed. A party faced with force majeure shall inform the other party without delay, stating the nature, probable duration and foreseeable effects of the problem, and take any measure to minimise possible damage.

23.2 No prior notice shall be given of the suspension decision.

23.3 The Commission may take any appropriate precautionary measure before suspension takes place.

23.4 When the suspension is notified, the consequences on the ongoing contracts and programme estimates or contracts and programme estimates to be signed will be indicated.

23.5 A suspension of the Financing Agreement is without prejudice to the suspension of payments by the Commission for the sake of ensuring sound financial management or protecting the EU's financial interests.

## **ARTICLE 24 – TERMINATION OF THE FINANCING AGREEMENT**

- 24.1. If the issues which led to the suspension of the Financing Agreement have not been resolved within a maximum period of 180 days, either party may terminate the Financing Agreement at 30 days' notice.
- 24.2. Where a Financing Agreement has not given rise to any payment within three years of its signature or no implementing contract has been signed within this period, that Financing Agreement will be terminated.
- 24.3 When the termination is notified, the consequences on the ongoing contracts and programme estimates or contracts and programme estimates to be signed will be indicated.

## **ARTICLE 25 - DISPUTE-SETTLEMENT ARRANGEMENTS**

- 25.1 Any dispute concerning the Financing Agreement which cannot be settled within a six-month period by the consultations between the parties provided for in Article 21 of these General Conditions may be settled by arbitration at one of the parties' request.
- 25.2 In this case the parties shall each designate an arbitrator within 30 days of the request for arbitration. Failing that, either party may ask the Secretary-General of the Permanent Court of Arbitration (The Hague) to designate a second arbitrator. The two arbitrators shall in their turn designate a third arbitrator within 30 days. Failing that, either party may ask the Secretary-General of the Permanent Court of Arbitration to designate the third arbitrator.
- 25.3 Unless the arbitrators decide otherwise, the procedure laid down in the Permanent Court of Arbitration Optional Rules for Arbitration Involving International Organisations and States shall apply. The arbitrators' decisions shall be taken by a majority within a period of three months.
- 25.4 Each party shall be bound to take the measures necessary for the application of the arbitrators' decision.





## **ANNEX II TO FINANCING AGREEMENT N° DCI-ASIE/2013/023-870**

### **TECHNICAL AND ADMINISTRATIVE PROVISIONS**

<b>BENEFICIARY COUNTRY / REGION</b>	<b>Asia Region</b>		
<b>REQUESTING AUTHORITY</b>	<b>Association of South East Asian Nations (ASEAN)</b>		
<b>BUDGET HEADING</b>	<b>BGUE-B2013-19.100101</b>		
<b>TITLE</b>	<b>EU Support to Higher Education in ASEAN Region (EU SHARE)</b>		
<b>TOTAL COST</b>	<b>EUR 10 300 000</b> <b>EU contribution: EUR 10 000 000</b> <b>Other contributions: EUR 300 000</b>		
<b>AID METHOD/ MANAGEMENT MODE</b>	<b>Project approach – Non-Decentralised Management</b> <b>Direct centralised management</b>		
<b>DAC-CODE</b>	<b>11420</b>	<b>SECTOR</b>	<b>Higher Education</b>

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## **1. DESCRIPTION**

European Union Support to Higher Education in ASEAN Region (EU SHARE) programme will support institutions in ASEAN that are developing regional higher education frameworks of Quality Assurance, Qualification Frameworks and credit transfer. Through this five-year programme, the EU will share its experience and expertise on Bologna Process<sup>1</sup> and the development of European Higher Education Area (EHEA) which are relevant to institutions in ASEAN. These frameworks will contribute to mutual recognition, enhance the quality, regional competitiveness and internationalisation of ASEAN higher education institutions.

An initial logical framework is attached. It may be updated or adapted without an amendment to the financing agreement as long as these modifications do not change the objectives of the project.

### **1.1. Objectives**

The overall objective of the programme is to strengthen regional cooperation, enhance the quality, regional competitiveness and internationalisation of ASEAN higher education institutions contributing to an ASEAN Community in 2015 and beyond.

The purpose of the programme is (1) to contribute to harmonisation of ASEAN higher education area through the formulation of ASEAN higher education frameworks taking into account the EU experience and (2) to support mutual recognition and student mobility among higher education institution in ASEAN to strengthen people-to-people connectivity.

The programme is in line with the priority areas of the EU-ASEAN Multi Annual Indicative Programme of 2011-2013 to support student and academics mobility and research collaboration approaching the establishment of ASEAN Community by 2015 and responding to ASEAN 5-Year Work Plan on Education 2011-2015 in the field of higher education.

The ultimate beneficiaries of this programme are students, higher education institutions and workers in the ASEAN region benefiting from the utilisation and application of the regional frameworks.

The target groups are institutions in ASEAN that are in charge of Qualification Framework, Quality Assurance and credit transfer such as ASEAN Task Force on ASEAN Qualification Reference Framework, ASEAN Quality Assurance Network (AQAN) and ASEAN University Network (AUN).

The proposed action will improve the governance of higher education institutions both at the national and regional levels of ASEAN through the application of regional frameworks and increased transparency and readability of qualifications among the higher education institutions in ASEAN. Particular attention will be given to the gender balance for short-term scholarship awards to ensure that the awards are equally awarded to qualified men and women. For student mobility due attention will be given to topics such as environment, good governance, democracy, human rights, education and health related subjects.

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<sup>1</sup> The Bologna Process was launched 1999 by ministers in charge of higher education from 29 European countries. It aims at the establishment of a European Higher Education Area by 2010 making European higher education more compatible and comparable as well as more competitive and more attractive for European and citizens and scholars from other continents. Today, the Bologna Process brings together 47 countries.

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## 1.2. Expected results

The main underlying principles of the programme are as follows:

- The programme will focus on supporting ASEAN institutions that are developing regional higher education frameworks;
- The EU will share its experience and expertise in developing the Bologna Process and implementation of the European Higher Education Area. The programme will focus on specific aspects of the Bologna Process which are relevant to higher education in ASEAN;
- Like the Bologna Process, harmonisation of higher education in ASEAN does not aim to change the national education systems but rather to provide tools to connect them. The application of the regional frameworks is voluntary by each ASEAN Member State and higher education institution.

The expected results are:

1. Policy dialogue on strategic issues of harmonisation of ASEAN higher education enhanced;
2. ASEAN Qualification Reference Framework and ASEAN Regional Quality Assurance further developed and supported;
3. ASEAN Credit Transfer System (ACTS) and ASEAN-EU Credit Transfer System (AECTS) further developed and tested through mobility with scholarships.

The indicative operational implementation period of this action is 60 months. The duration of the grant contracts and the operational timetable of activities will be defined in the submitted proposals, in accordance with the published Guidelines for Applicants. The Call for proposal is foreseen to be launched in the 4th trimester of 2013.

## 1.3. Activities and implementation timetable

The main activities which are expected to contribute to the results may include:

***Result no.1: Policy dialogue on strategic issues of harmonisation of ASEAN higher education implemented.***

- Facilitate the discussion on the development of ASEAN higher education;
- Identify and address strategic issues of harmonisation of higher education in ASEAN with key stakeholders and prepare action plans for implementation, taking into account experiences such as the Bologna Process, European Higher Education Area, etc.;
- Identify strategic needs for institutional capacity building of higher education in ASEAN and formulate training / capacity building plans and implement the plans accordingly;
- Identify research topics and conduct study for the implementation of harmonisation of higher education, which lead to policy briefings and recommendations;
- Assess the needs for technical assistance to support ASEAN Member States such as, but not limited to, Cambodia, Lao PDR, Myanmar and Viet Nam (CLMV) in relation to the preparation and follow-up of regional policy dialogues activities;
- Provide support to declarations in relation to issues of harmonisation of higher education in ASEAN.

***Result no.2: ASEAN Qualification Reference Framework and ASEAN Regional Quality Assurance further developed and supported.***

- (a) ASEAN Qualification Reference Framework

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- Provide EU expertise and facilitate the formulation of the ASEAN Qualification Reference Framework in cooperation with the Australia and New Zealand supported project: "Capacity Building for National Qualification Framework (NQF)";
- Provide in-depth review on the ASEAN Qualification Reference Framework and discuss the recommendations and draw action plans with relevant stakeholders, including but not limited to the Task Force on ASEAN Qualification Reference Framework;
- Upon the completion of the formulation of the Framework, provide support for the dissemination of and pilot trial of ASEAN Qualification Reference Framework;
- Conduct a review and evaluation on the pilot implementation of the ASEAN Qualification Reference Framework and draw up recommendations for further improvements;
- Identify the needs for capacity building of relevant institutions for the implementation of pilot ASEAN Qualification Reference Framework, prepare action plans;
- In parallel with the development of the ASEAN Qualification Reference Framework, identify the needs for capacity building and support of selected ASEAN Member States, such as Cambodia, Lao PDR, Myanmar and Viet Nam countries, for the development of their National Qualification Framework and using the ASEAN Qualification Reference Framework as a reference.

• **(b) ASEAN Quality Assurance**

- Support ASEAN Quality Assurance Network (AQAN) to seek closer harmonization of the national quality assurance frameworks of the member countries through workability-expansion of the ASEAN Quality Assurance Framework in Higher Education;
- Support AQAN to promote and share good practices of quality assurance in higher education in the region;
- Identify the needs for capacity building and support for relevant institutions and selected ASEAN Member States, such as, but not limited to, Cambodia, Lao PDR, Myanmar and Viet Nam, on either National and/or Regional Quality Assurance;
- Facilitate sharing of ASEAN Quality Assurance and EU experience in Quality Assessment and capacity building of Quality Assurance systems development and assessors with relevant stakeholders;
- Support existing ASEAN institution to develop instruments and processes of Quality Assessment at Institutional Level in cooperation with relevant EU partners as a reference for ASEAN Quality Assurance Framework in Higher Education.

***Result no.3: ASEAN Credit Transfer System (ACTS) and an ASEAN-EU Credit Transfer System (AECTS) further developed and enabled through mobility with scholarships.***

• **(a) ASEAN credit transfer system (ACTS)**

- Evaluate and review the existing credit transfer systems in ASEAN such as ASEAN University Network - ASEAN Credit Transfer Systems (AUN ACTS);
- Provide assistance to improve and expand current credit transfer systems in reference to AUN ACTS;

- Develop a common platform for on-line credit transfer systems among ASEAN and ASEAN-EU participating universities;
- Pilot the implementation of the expanded and common platform for on-line credit transfer system through short-term exchange with credits for under-graduate and post-graduate courses from higher education institutions intra ASEAN with scholarships;
- Identify training needs, prepare and implement training plans to improve the capacity of participating universities to be part of existing credit transfer systems;
- Promote and increase the visibility of ASEAN credit transfer programmes to stakeholders;
- Conduct meetings / workshops to share good practices of credit transfer system in ASEAN and EU.

**(b) ASEAN –European Union Credit Transfer System (AECTS)**

- Conduct studies, workshops and discussion on the concept of ASEAN-European Union Credit Transfer System (AECTS) allowing for credit transfer among participating universities in ASEAN and European Union;
- Identify training needs, prepare training plans and implement the plans to improve the capacity of participating universities both in ASEAN and EU to implement the AECTS;
- Pilot implementation of the newly developed ASEAN-European Union Credit Transfer System (AECTS) through short-term exchange with credits for under-graduate and post-graduate courses from higher education institutions in ASEAN to the European Union, review and evaluate its implementation;
- In view of internationalisation of higher education, the programme will in the long-term promote reciprocal arrangement of students' mobility among ASEAN-EU universities.

**(c) ACTS and AECTS Student Mobility with scholarships<sup>2</sup>**

- Set up procedures and criteria for the selection of universities and students<sup>3</sup> to take part in the short-term exchange with credits for under-graduate and post-graduate courses under the ASEAN credit transfer systems and AECTS;
- Put in place a mechanism for the selection of students that guarantees the transparency of the selection process and an equitable treatment of the individual applications largely based on academic quality and merits;
- Tackle cross-cutting issues like gender-balance, equal opportunities and the participation of disadvantaged groups such as students with special needs and economically disadvantaged students;
- Foresee measures aiming at preventing possible brain-drain effect.

<sup>2</sup> Student application for short-term scholarships and credit recognition will use the web-based system of ASEAN Credit Transfer System for intra ASEAN mobility and to be developed ASEAN-EU Credit Transfer System (AECTS) for ASEAN to EU mobility. The applications are open to students from all ASEAN countries eligible under the DCI Regulation. Reflecting the views and ownership of the ASEAN stakeholders there will be a component for ASEAN to EU mobility. Complementarity will be ensured between this component and the envisaged Erasmus for All programme. The majority of scholarships will be allocated for intra-ASEAN mobility.

<sup>3</sup> Exchange students can come from all ASEAN countries. Students from ASEAN MS, except Brunei Darussalam and Singapore, are eligible for receiving scholarships funds from this programme in line with the DCI Regulation.



## **2. LOCATION AND DURATION**

### **2.1. Location**

The primary location will be in Jakarta, Indonesia, where the ASEAN Secretariat is located. Activities will take place in ASEAN Member States and in the EU when students exchange and training are concerned.

### **2.2. Duration**

The execution period of the Agreement will be as specified in Article 5 of the Special Conditions.

## **3. IMPLEMENTATION**

### **3.1 Organisational set-up and responsibilities**

The project will be implemented by the European Commission through the EU Delegation in Indonesia.

All contracts and payments are made by the Commission on behalf of the Beneficiary.

The EU Delegation will launch one Call for Proposals leading to one grant contract. Eligible grant beneficiaries would be public or private bodies active in the field of higher education from ASEAN and EU countries which fall under the category of non-profit organisations. Although partnerships are allowed, all aspects of activities will be managed by one organisation.

The partnerships composition must include recognised HEIs from ASEAN and EU countries providing courses at undergraduate and masters' level. Exchange students must come from countries that are eligible for DCI funding. Majority of scholarships will be allocated for intra-ASEAN scholarships.

A Project Steering Committee shall be set up by the European Commission in co-ordination with the ASEAN Secretariat to oversee and validate the overall direction and policy of the project. The Project Steering Committee will, among others, provide policy guidance and facilitate overall programme implementation, provide inputs and direction for the Calls for Proposals, facilitate co-ordination between all institutions and groups involved in the programme, review and endorse monitoring and progress reports and participate in all monitoring and evaluation processes. The project steering committee shall meet at least once a year.

The project steering committee shall be made up of:

- a representative of the ASEAN Secretariat, chairing the committee,
- a representative of the EU Delegation in Indonesia, co-chairing the Committee
- other members to be determined at the start-up of the programme.

### 3.2 Reporting

The grant beneficiaries will regularly (at least yearly) report on the use of EU funds and provide *ad hoc* information. The report on programme implementation shall also focus on project results, obstacles, lessons learnt and any information useful for improving the programming and implementation.

### 3.3 Budget

The total project cost is estimated at EUR 10,300,000, of which EUR 10,000,000 shall be financed from the general budget of the European Union and EUR 300,000 shall be co-financed by the grant beneficiaries. Grant beneficiaries are required to provide at least 3% co-financing. Students will not be required to co-finance their scholarships..

#### Indicative Budget by category

Category Breakdown	EC Contribution (€)	Other Contributions (€)	Total Cost (€)	Contracting authority / paying authority
<b>1. Grant contracts</b> - Policy Dialogues, Qualification Framework, Quality Assurance, Credit Transfer System (results 1, 2, 3.a and 3.b) - Student mobility with scholarships (result 3.c)	<b>9,600,000</b> (of which 4,700,000 for results 1, 2, 3.a and 3.b; and 4,900,000 for result 3.c)	<b>300,000</b>	<b>9,900,000</b>	<b>European Commission</b>
<b>2. Services</b>	<b>400,000</b>	<b>0</b>	<b>400,000</b>	
2.1. Visibility	200,000	0	200,000	<b>European Commission</b>
2.2 Evaluation and Audit	200,000	0	200,000	<b>European Commission</b>
<b>TOTAL</b>	<b>10,000,000</b>	<b>300,000</b>	<b>10,300,000</b>	

In-kind contribution will be provided by the ASEAN Secretariat in the form of allocation of an office space, facilitation and coordination in supporting the implementation of the initiatives supported by the programme.

All contracts and payments are made by the EU Delegation.

The amount of individual scholarships will be set in line with existing programmes. The amount of scholarships for ASEAN-EU mobility will be similar to Erasmus Mundus scholarships or the forthcoming Erasmus for All, while the amount for intra-ASEAN mobility will be less.

The costs related to the organisation of activities for Result no. 3 "ASEAN Credit Transfer System (ACTS) and an ASEAN-EU Credit Transfer System (AECTS) further developed and tested through mobility with scholarships" will be set in line with ongoing programmes in this

domain, such as the intra-ACP academic mobility scheme, or other programmes in the ASEAN region.

#### **4. MONITORING AND EVALUATION**

##### ***4.1 Monitoring***

Regular monitoring will be a continuous process as part of the Commission's and ASEAN Secretariat responsibilities. Semi-annual progress reports will be produced by the grant contractors and will include progress and results on all activities, including those in the implementation of specific activities at the regional and national levels. In addition, the grant contractors will be requested to establish an internal monitoring system that will be regularly fed.

The Commission may carry out Results Oriented Monitoring (ROM) via independent consultants, starting from the sixth month of project activities, which will be finalised at the latest 6 months before the end of the operational implementation phase.

##### ***4.2 Evaluation***

- a) The Commission may carry out external evaluations via independent consultants, contracted through Framework Contracts, as follows:
  - possibly, a mid-term evaluation;
  - a final evaluation, at the beginning of the closing phase;
  - possibly an ex-post evaluation.
- b) The Beneficiary and the Commission shall analyse the conclusions and recommendations of the mid-term evaluation and jointly decide on the follow-up action to be taken and any adjustments necessary, including, if indicated, the reorientation of the project. The reports of the other evaluation and monitoring missions will be given to the Beneficiary, in order to take into account any recommendations that may result from such missions.
- c) The Commission shall inform the Beneficiary at least one month in advance of the dates foreseen for the external missions. The Beneficiary shall collaborate efficiently and effectively with the monitoring and/or evaluation experts, and *inter alia* provide them with all necessary information and documentation, as well as access to the project premises and activities.

Provision is also made for an ex-post audit carried out by external auditors recruited directly by the Commission through Framework Contracts in accordance with EU rules and procedures on specifically established terms of reference.

#### **5. COMMUNICATION AND VISIBILITY**

Next to visibility activities of the grant contracts, specific visibility activities will be implemented through the signature of a specific Visibility Framework Contract which will be contracted by the EU Delegation to ensure impact and coherence. All visibility activities will be in line with the priority areas as set out in the Regional Strategy Paper and Guidelines for EU Visibility Actions. The activities will primarily be linked to the EU SHARE programme, but will also, when relevant, include education activities in general as well as activities within other

EU focal sectors in Indonesia and general EU visibility, when this is deemed beneficial for the overall EU visibility strategy in Indonesia and ASEAN.

EU Delegations and relevant EU Member States Embassies in ASEAN countries will be kept informed about project implementation activities and progress. These regular contacts will also serve as a channel for the EU Delegation to be involved in country-specific visibility activities and to strengthen the policy dialogue with relevant agencies.

## **6. APPENDICES**

### Appendix 1 – Logical Framework



**Appendix 1 - Logical Framework – EU Support to Higher Education in ASEAN Region (SHARE) - DCI-ASIE/2013/023-870**

<b>Intervention Logic</b>	<b>Objectively Verifiable Indicators of Achievement</b>	<b>Sources and means of Verification</b>	<b>Assumptions</b>
<b>Overall Objective</b>			
To strengthen regional cooperation, enhance the quality, regional competitiveness and internationalisation of ASEAN higher education institutions contributing to an ASEAN Community in 2015 and beyond.	<ul style="list-style-type: none"> <li>Improved human resource skills within higher education institutions to align them better with regional frameworks and standards.</li> <li>Increased international cooperation and students mobility among higher education institutions intra ASEAN and between ASEAN and EU</li> </ul>	Internal and external assessment report from relevant HE agencies and attested by relevant external institutions.	There is a continued momentum and support from ASEAN Education (ASED) Ministers Meeting, Senior Officials Meeting on Education (SOM-ED) and other relevant stakeholders for the formulation of regional harmonized frameworks for HEIs.
<b>Specific Objective</b>			
<p>(1) To contribute to harmonisation of ASEAN higher education area through the formulation of ASEAN higher education frameworks taking into account the EU experience</p> <p>(2) To support mutual recognition and student mobility among higher education institution in ASEAN and EU and to strengthen people-to-people connectivity.</p>	<ul style="list-style-type: none"> <li>Policy dialogues implemented, strategic issues on harmonisation of higher education identified and followed-up.</li> <li>The formulation of ASEAN Qualification Reference Framework finalised and implemented.</li> <li>The formulation of ASEAN Regional Quality Assurance finalised and implemented.</li> <li>ASEAN credit transfer system enhanced and ASEAN – EU Credit Transfer System developed and piloted.</li> </ul>	Reports from ASEAN Secretariat, regional qualification working group, EU SHARE project and external monitoring and evaluation	Commitment and support from all stakeholders is provided.
<b>Expected Results</b>			
1. Policy dialogue on strategic issues of harmonisation of ASEAN higher education enhanced;	<ul style="list-style-type: none"> <li>The type and number of institutional capacity building and training conducted on higher education in ASEAN;</li> </ul>	Reports from Rectors Conference, workshops, seminars, trainings, policy dialogue working groups / task force, project holders and external monitoring and evaluation	All stakeholders are committed and actively participate in the policy dialogue.

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	<ul style="list-style-type: none"> <li>▪ The number of study and research topics on harmonisation of higher education identified and implemented;</li> <li>▪ The number of policy brief and recommendations produced as a result of the implementation of study and research;</li> <li>▪ The type of technical assistance provided to ASEAN Member States such as, but not limited to, Cambodia, Lao PDR, Myanmar and Viet Nam (CLMV) in relation to the preparation and follow-up of regional policy dialogues activities;</li> <li>▪ The number of declarations supported by the programme on issues of harmonisation of higher education in ASEAN;</li> </ul>		
2. ASEAN Qualification Reference Framework and ASEAN Regional Quality Assurance further developed and supported;	<p>(a) <i>ASEAN Qualification Reference Framework</i></p> <ul style="list-style-type: none"> <li>▪ The type and number of EU expertise provided for the formulation and finalisation of the ASEAN Qualification Reference Framework;</li> <li>▪ In-depth review on the ASEAN Qualification Reference Framework produced and recommendations and action plans formulated;</li> <li>▪ Dissemination of and pilot trial of ASEAN Qualification Reference Framework implemented;</li> <li>▪ Pilot implementation of the ASEAN Qualification Reference Framework reviewed and recommendations for further improvements formulated;</li> <li>▪ Capacity building of relevant institutions for the implementation of pilot ASEAN Qualification Reference Framework implemented;</li> </ul>	Reports from projects, AQAN, workshops, seminars, trainings, policy dialogue working groups / task force, project holders and external monitoring and evaluation	Relevant institutions in charge for regional frameworks continually supportive, actively participate in the formulation process, finalization and pilot stage of regional frameworks.

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	<ul style="list-style-type: none"> <li>Capacity building and support provided to ASEAN Member States, such as Cambodia, Lao PDR, Myanmar and Viet Nam countries, for the development of their National Qualification Framework.</li> </ul> <p><i>(b) ASEAN Regional Quality Assurance</i></p> <ul style="list-style-type: none"> <li>The type of support provided to ASEAN Quality Assurance Network (AQAN) to seek closer harmonization of the national quality assurance frameworks of the member countries through workability-expansion of the ASEAN Quality Assurance Framework in Higher Education;</li> <li>The type of support provided to AQAN to promote and share good practices of quality assurance in higher education in the region;</li> <li>The type and number of capacity building provided to relevant institutions and selected ASEAN Member States, such as, but not limited to, Cambodia, Lao PDR, Myanmar and Viet Nam, on either National and/or Regional Quality Assurance.</li> <li>The number of dissemination sessions of AUN Quality Assurance and EU experience in Quality Assessment and capacity building of Quality Assurance systems;</li> <li>The number of expertise provided to AUN to develop instruments and processes of Quality Assessment at Institutional Level.</li> </ul>	<p>Reports from ASEAN University Network (AUN), AUN Rectors' Meeting [policy and stakeholders level], AUN-QA CQOs' Meeting [implementation level], EU SHARE project and external monitoring and evaluation.</p>	<p>Active support and collaboration of AUN and AQAN with the EU SHARE team for the implementation of their respective plans and priorities.</p>
<p>3. ASEAN Credit Transfer System (ACTS) and an ASEAN-EU Credit Transfer System (AECTS) further developed and tested through mobility with scholarships.</p>	<p><i>(a) ASEAN credit transfer system</i></p> <ul style="list-style-type: none"> <li>Evaluation conducted on the review of existing credit transfer systems in ASEAN such as ASEAN University Network - ASEAN Credit Transfer Systems (AUN ACTS);</li> </ul>	<p>Reports from ASEAN Secretariat, ASEAN University Network (AUN), Coordinator of ACTS - University of Indonesia, EU SHARE project and external monitoring and evaluation.</p>	<p>Continued commitment from relevant agencies involved in ACTS to continually improve the mobility system and expand the university memberships.</p>

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	<ul style="list-style-type: none"> <li>▪ The ASEAN credit transfer systems expanded to include more universities;</li> <li>▪ A common platform for on-line credit transfer systems among ASEAN and ASEAN-EU participating universities developed;</li> <li>▪ The number of trainings conducted to improve the capacity of participating universities to be part of existing credit transfer systems;</li> <li>▪ The number of students participated in mobility intra ASEAN universities for under graduate and post-graduate levels using the ASEAN credit transfer systems.</li> </ul> <p><i>(b) ASEAN –European Union Credit Transfer System (AECTS)</i></p> <ul style="list-style-type: none"> <li>▪ ASEAN-European Union Credit Transfer System (AECTS) developed and piloted;</li> <li>▪ The number of training and capacity building conducted to implement AECTS;</li> <li>▪ The number of students and universities participated for under graduate and post-graduate levels using the ASEAN – European Credit Transfer Systems.</li> </ul> <p><i>(c) Criteria for ACTS and AECTS Student Mobility with scholarships</i></p> <ul style="list-style-type: none"> <li>▪ Procedures and criteria for the selection of students and universities to take part in the short-term exchange with credits for under-graduate and post-graduate courses under the ACTS and AECTS developed and implemented</li> </ul>		
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Activities		
Intervention Logic	Inputs and Costs	Assumptions
<ul style="list-style-type: none"> <li>Organising Policy Dialogue on strategic issues of ASEAN higher education</li> <li>Supporting relevant organisations and institutions in ASEAN to formulate and implement Qualification Framework and Quality Assurance</li> <li>Promoting and supporting university partnerships allowing for intra ASEAN and ASEAN-EU mobility for credit transfer and recognition</li> <li>Conducting visibility actions to raise awareness on higher education cooperation.</li> </ul>	<ul style="list-style-type: none"> <li>Calls for Proposals for the organisation of Policy Dialogue, supporting QF and QA formulation and Credit Transfer System through mobility with scholarships: EUR 9,600,000.</li> <li>The services component covering visibility, evaluation and audit amounting to EUR 400 000 will be directly implemented by the European Commission through the EU Delegation in Indonesia.</li> <li>Total EU Contribution: EUR 10 000 000.</li> </ul>	<ul style="list-style-type: none"> <li>Continued commitment and support from all stakeholders</li> <li>Information on the Call for Proposals are well disseminated</li> <li>Information on opportunity for individual mobility are well disseminated</li> </ul>





Activity		Description	
1	1.1	1.1.1	1.1.1.1
	1.2	1.2.1	1.2.1.1
2	2.1	2.1.1	2.1.1.1
	2.2	2.2.1	2.2.1.1
3	3.1	3.1.1	3.1.1.1
	3.2	3.2.1	3.2.1.1
4	4.1	4.1.1	4.1.1.1
	4.2	4.2.1	4.2.1.1
5	5.1	5.1.1	5.1.1.1
	5.2	5.2.1	5.2.1.1
6	6.1	6.1.1	6.1.1.1
	6.2	6.2.1	6.2.1.1
7	7.1	7.1.1	7.1.1.1
	7.2	7.2.1	7.2.1.1
8	8.1	8.1.1	8.1.1.1
	8.2	8.2.1	8.2.1.1
9	9.1	9.1.1	9.1.1.1
	9.2	9.2.1	9.2.1.1
10	10.1	10.1.1	10.1.1.1
	10.2	10.2.1	10.2.1.1
11	11.1	11.1.1	11.1.1.1
	11.2	11.2.1	11.2.1.1
12	12.1	12.1.1	12.1.1.1
	12.2	12.2.1	12.2.1.1
13	13.1	13.1.1	13.1.1.1
	13.2	13.2.1	13.2.1.1
14	14.1	14.1.1	14.1.1.1
	14.2	14.2.1	14.2.1.1
15	15.1	15.1.1	15.1.1.1
	15.2	15.2.1	15.2.1.1
16	16.1	16.1.1	16.1.1.1
	16.2	16.2.1	16.2.1.1
17	17.1	17.1.1	17.1.1.1
	17.2	17.2.1	17.2.1.1
18	18.1	18.1.1	18.1.1.1
	18.2	18.2.1	18.2.1.1
19	19.1	19.1.1	19.1.1.1
	19.2	19.2.1	19.2.1.1
20	20.1	20.1.1	20.1.1.1
	20.2	20.2.1	20.2.1.1
21	21.1	21.1.1	21.1.1.1
	21.2	21.2.1	21.2.1.1
22	22.1	22.1.1	22.1.1.1
	22.2	22.2.1	22.2.1.1
23	23.1	23.1.1	23.1.1.1
	23.2	23.2.1	23.2.1.1
24	24.1	24.1.1	24.1.1.1
	24.2	24.2.1	24.2.1.1
25	25.1	25.1.1	25.1.1.1
	25.2	25.2.1	25.2.1.1
26	26.1	26.1.1	26.1.1.1
	26.2	26.2.1	26.2.1.1
27	27.1	27.1.1	27.1.1.1
	27.2	27.2.1	27.2.1.1
28	28.1	28.1.1	28.1.1.1
	28.2	28.2.1	28.2.1.1
29	29.1	29.1.1	29.1.1.1
	29.2	29.2.1	29.2.1.1
30	30.1	30.1.1	30.1.1.1
	30.2	30.2.1	30.2.1.1
31	31.1	31.1.1	31.1.1.1
	31.2	31.2.1	31.2.1.1
32	32.1	32.1.1	32.1.1.1
	32.2	32.2.1	32.2.1.1
33	33.1	33.1.1	33.1.1.1
	33.2	33.2.1	33.2.1.1
34	34.1	34.1.1	34.1.1.1
	34.2	34.2.1	34.2.1.1
35	35.1	35.1.1	35.1.1.1
	35.2	35.2.1	35.2.1.1
36	36.1	36.1.1	36.1.1.1
	36.2	36.2.1	36.2.1.1
37	37.1	37.1.1	37.1.1.1
	37.2	37.2.1	37.2.1.1
38	38.1	38.1.1	38.1.1.1
	38.2	38.2.1	38.2.1.1
39	39.1	39.1.1	39.1.1.1
	39.2	39.2.1	39.2.1.1
40	40.1	40.1.1	40.1.1.1
	40.2	40.2.1	40.2.1.1
41	41.1	41.1.1	41.1.1.1
	41.2	41.2.1	41.2.1.1
42	42.1	42.1.1	42.1.1.1
	42.2	42.2.1	42.2.1.1
43	43.1	43.1.1	43.1.1.1
	43.2	43.2.1	43.2.1.1
44	44.1	44.1.1	44.1.1.1
	44.2	44.2.1	44.2.1.1
45	45.1	45.1.1	45.1.1.1
	45.2	45.2.1	45.2.1.1
46	46.1	46.1.1	46.1.1.1
	46.2	46.2.1	46.2.1.1
47	47.1	47.1.1	47.1.1.1
	47.2	47.2.1	47.2.1.1
48	48.1	48.1.1	48.1.1.1
	48.2	48.2.1	48.2.1.1
49	49.1	49.1.1	49.1.1.1
	49.2	49.2.1	49.2.1.1
50	50.1	50.1.1	50.1.1.1
	50.2	50.2.1	50.2.1.1
51	51.1	51.1.1	51.1.1.1
	51.2	51.2.1	51.2.1.1
52	52.1	52.1.1	52.1.1.1
	52.2	52.2.1	52.2.1.1
53	53.1	53.1.1	53.1.1.1
	53.2	53.2.1	53.2.1.1
54	54.1	54.1.1	54.1.1.1
	54.2	54.2.1	54.2.1.1
55	55.1	55.1.1	55.1.1.1
	55.2	55.2.1	55.2.1.1
56	56.1	56.1.1	56.1.1.1
	56.2	56.2.1	56.2.1.1
57	57.1	57.1.1	57.1.1.1
	57.2	57.2.1	57.2.1.1
58	58.1	58.1.1	58.1.1.1
	58.2	58.2.1	58.2.1.1
59	59.1	59.1.1	59.1.1.1
	59.2	59.2.1	59.2.1.1
60	60.1	60.1.1	60.1.1.1
	60.2	60.2.1	60.2.1.1
61	61.1	61.1.1	61.1.1.1
	61.2	61.2.1	61.2.1.1
62	62.1	62.1.1	62.1.1.1
	62.2	62.2.1	62.2.1.1
63	63.1	63.1.1	63.1.1.1
	63.2	63.2.1	63.2.1.1
64	64.1	64.1.1	64.1.1.1
	64.2	64.2.1	64.2.1.1
65	65.1	65.1.1	65.1.1.1
	65.2	65.2.1	65.2.1.1
66	66.1	66.1.1	66.1.1.1
	66.2	66.2.1	66.2.1.1
67	67.1	67.1.1	67.1.1.1
	67.2	67.2.1	67.2.1.1
68	68.1	68.1.1	68.1.1.1
	68.2	68.2.1	68.2.1.1
69	69.1	69.1.1	69.1.1.1
	69.2	69.2.1	69.2.1.1
70	70.1	70.1.1	70.1.1.1
	70.2	70.2.1	70.2.1.1
71	71.1	71.1.1	71.1.1.1
	71.2	71.2.1	71.2.1.1
72	72.1	72.1.1	72.1.1.1
	72.2	72.2.1	72.2.1.1
73	73.1	73.1.1	73.1.1.1
	73.2	73.2.1	73.2.1.1
74	74.1	74.1.1	74.1.1.1
	74.2	74.2.1	74.2.1.1
75	75.1	75.1.1	75.1.1.1
	75.2	75.2.1	75.2.1.1
76	76.1	76.1.1	76.1.1.1
	76.2	76.2.1	76.2.1.1
77	77.1	77.1.1	77.1.1.1
	77.2	77.2.1	77.2.1.1
78	78.1	78.1.1	78.1.1.1
	78.2	78.2.1	78.2.1.1
79	79.1	79.1.1	79.1.1.1
	79.2	79.2.1	79.2.1.1
80	80.1	80.1.1	80.1.1.1
	80.2	80.2.1	80.2.1.1
81	81.1	81.1.1	81.1.1.1
	81.2	81.2.1	81.2.1.1
82	82.1	82.1.1	82.1.1.1
	82.2	82.2.1	82.2.1.1
83	83.1	83.1.1	83.1.1.1
	83.2	83.2.1	83.2.1.1
84	84.1	84.1.1	84.1.1.1
	84.2	84.2.1	84.2.1.1
85	85.1	85.1.1	85.1.1.1
	85.2	85.2.1	85.2.1.1
86	86.1	86.1.1	86.1.1.1
	86.2	86.2.1	86.2.1.1
87	87.1	87.1.1	87.1.1.1
	87.2	87.2.1	87.2.1.1
88	88.1	88.1.1	88.1.1.1
	88.2	88.2.1	88.2.1.1
89	89.1	89.1.1	89.1.1.1
	89.2	89.2.1	89.2.1.1
90	90.1	90.1.1	90.1.1.1
	90.2	90.2.1	90.2.1.1
91	91.1	91.1.1	91.1.1.1
	91.2	91.2.1	91.2.1.1
92	92.1	92.1.1	92.1.1.1
	92.2	92.2.1	92.2.1.1
93	93.1	93.1.1	93.1.1.1
	93.2	93.2.1	93.2.1.1
94	94.1	94.1.1	94.1.1.1
	94.2	94.2.1	94.2.1.1
95	95.1	95.1.1	95.1.1.1
	95.2	95.2.1	95.2.1.1
96	96.1	96.1.1	96.1.1.1
	96.2	96.2.1	96.2.1.1
97	97.1	97.1.1	97.1.1.1
	97.2	97.2.1	97.2.1.1
98	98.1	98.1.1	98.1.1.1
	98.2	98.2.1	98.2.1.1
99	99.1	99.1.1	99.1.1.1
	99.2	99.2.1	99.2.1.1
100	100.1	100.1.1	100.1.1.1
	100.2	100.2.1	100.2.1.1