



**The 2nd Regional Scientific and Technical Committee Meeting for
the SEAFDEC/UN Environment/GEF Project on Establishment and Operation of
a Regional System of Fisheries *Refugia* in the South China Sea and Gulf of Thailand**

21st – 23rd May 2019
Thansur Sokha Hotel, Kampot Province (Fisheries Refugia Site), Cambodia

FINANCIAL REPORT

Prepared by PCU

I. INTRODUCTION

1. This paper aims to guide the country on the quarterly reporting of expenditure and request for Cash advance as well as the timeline for submission of the said report to ensure that budget transferring from the PCU will be reached country in time. As the process for requesting the Cash advance from country to PCU is linked to the request from PCU to UNEP, therefore delay of reporting at country level may affect to delay of transferring budget from the UNEP to the PCU. In this connection, the PCU will better service and monitor the activity-based expenditures as well as ensuring the smooth operation to the project. Please be noted that some countries has already done and followed the guide, but in case some countries also need to follow the processes as guide in this paper.

II. Process of Quarterly Request for Cash Advance

Timeline	Process on Quarterly Catch Advance Request	Required Documents
1 week before end of the quarter: - March, - June, - September, - December		<ol style="list-style-type: none"> 1) Expenditures Report (App. 1) 2) Progress Report (App.2) 3) All Technical Papers (refers to App.2) 4) Proposed Budget line-based Expenditure (App.3) 5) Cash Advance Request (App.4)
1-2 weeks of the next quarter		<ol style="list-style-type: none"> 1) Quarterly expenditure statement and unliquidated obligations report (us\$) 2) Co-finance Report (Annually) 3) Cash Advance Statement & details of the estimated disbursement for the next quarter 4) Progress Report (Annually)

2. Refers to the process on quarterly catch advance request as appeared on above, the relevant countries are requested to submit the request **at least one week** before end of the quarter (in March, June, September, December).
3. The documents required for Cash Advance request that the relevant countries have to submit to the PCU are as follows:

- a. Expenditures Report (App. 1)
 - b. Progress Report (App.2)
 - c. All Technical Papers (refers to App.2) using the covered page template as App. 3
 - d. Proposed Budget line-based Expenditure (App.4)
 - e. Cash Advance Request (App.5)
4. The PCU will consolidate all expenditures reports that have been submitted by countries and preparing for all required documents: such as 1) Quarterly expenditure statement and unliquidated obligations report, 2) Cash Advance Statement & details of the estimated disbursement for the next quarter, 3) Progress Report (Annually), and 4) Co-finance Report (Annually) to the UNEP for overall Cash Advance for the following quarter.
 5. Regarding these above mentioned, the PCU requests for all cooperation from Country to understand the process for requesting the Cash Advance.

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Appendix 1: Expenditures Report

THREE-MONTH PROJECT EXPENDITURE ACCOUNT FOR NATIONAL LEAD AGENCIES						
Project Statement of allocation (Budget), expenditure and balance (Expressed in US\$) covering the period						
from MM to MM / YYYY						
National Lead Agency:			Directorate of Fisheries			
MoU:			SEAFDEC/UNEP/GEF/Viet Nam			
Project Title:			South China Sea Fisheries Refugia Initiative			
Project commencing:			January 2017			
Project ending:			December 2020			
NB: The expenditures should be reported in line with the specific object of expenditures as per project budget			Project budget allocation	Expenditure incurred	Unspent balance of budget	
			for the 3-month period	for the 3-month period	for the 3-month period	
			Amount (1)	Amount (2)	Amount (1-2)	
Object of Expenditure in accordance with UNEP Budget codes			Component/Activity	MM - MM/YYYY	MM - MM/YYYY	MM - MM/YYYY
Code	Description					
10 PROJECT PERSONNEL COMPONENT						
1100	Project Personnel w/m					
1101				0		0
1199	Sub-Total			0	0	0
1200	Consultants w/m					
1201				0		0
1202				0		0
1299	Sub-Total			0	0	0
1600	Travel on official business (above staff)					
1601				0		0
1602						
1603				0		0
1604				0		0
1605				0		0
1606				0		0
1607				0		0
1608				0		0
1699	Sub-Total			0	0	0
Component Total				0	0	0
20 SUB-CONTRACT COMPONENT						
2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)					
2101	N/A					
2199	Sub-Total					
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)					
2201				0		0
2299	Sub-Total			0		0
2300	Sub-contracts (commercial purposes)					
2301	N/A					
2399	Sub-Total					
Component Total				0	0	0
30 TRAINING COMPONENT						
3200	Group training (study tours, field trips, workshops, seminars, etc)					
3201						
3202				0		0
3203				0		0
3204				0		0
3205						
3299	Sub-Total			0	0	0
3300	Meetings/conferences (give title)					
3301	N/A					
3399	Sub-Total					
Component Total				0	0	0
40 EQUIPMENT & PREMISES COMPONENT						
4100	Expendable equipment (items under \$1,500 each, for example)					
4101				0		0
4199	Sub-Total			0	0	0
4200	Non-expendable equipment (computers, office equip, etc)					
4201				0		0
4299	Sub-Total			0	0	0
4300	Premises (office rent, maintenance of premises, etc)					
4301	N/A					
4399	Sub-Total					
Component Total				0	0	0
50 MISCELLANEOUS COMPONENT						
5100	Operation and maintenance of equip.					
5101	N/A					
5199	Sub-Total					
5200	Reporting costs (publications, maps, newsletters, printing, etc)					
5201						
5299	Sub-Total			0		0
5300	Sundry (communications, postage, freight, clearance charges, etc)					
5301				0		0
5399	Sub-Total			0	0	0
5400	Hospitality and entertainment					
5401	N/A					
5499	Sub-Total					
5500	Evaluation (consultants fees ETC)					
5501	N/A					
5599	Sub-Total					
Component Total				0	0	0
TOTAL COSTS				0	0	0
Prepared by			Approved by			
XXXXXXXXXXXXXXXXXX			XXXXXXXXXXXX			
Position:			Position:			
As Project Accountant			As NFP for Viet Nam			
Date: DD/MM/YYYY			Date: DD/MM/YYYY			
Sign:			Sign:			

Appendix 2

THREE MONTHLY PROGRESS REPORT

SECTION 1 - BACKGROUND INFORMATION

- 1.1 Project Title:
- 1.2 Agreement: SEAFDEC/UNEP/GEF/Country
- 1.3 Responsible Office: UNEP/GEF Project Coordinating Unit, SEAFDEC
- 1.4 Lead Agency (Supporting Organization): Name of Lead Agency
- 1.5 Reporting Period: Quarterly Period
- 1.6 Focal Point Name: Name of Focal Point

SECTION 2 - PROJECT STATUS

2.1 Status of the Implementation of the Activities and Outputs Listed Under the Workplan in the Memorandum of Understanding (check appropriate box)

- Project activities and outputs listed in the Project workplan for the reporting period have been materially completed and the responsible Office is satisfied that the project will be fully completed on time (give reasons for minor variations as Section 3 below).
- Project activities and outputs listed in the Project Workplan for the reporting period have been altered (give reasons for alterations: lack of finance; project reformulated; project revisions; other at Section 3 below).
- Project activities and outputs listed in the Project Workplan for the reporting period have not been fully completed and delays in project delivery are expected (give reasons for variations in Section 3.1 and new completion date in Section 3.2 below).
- Insufficient detail provided in the Project Workplan.

2.2 List Actual Activities/Outputs Achieved in the Reporting period: (check appropriate box)

(a) MEETINGS (Duplicate this box for each meeting individually)

Committee Mtg. Consultation Mtg. Training Seminar/Workshop Others

Title _____

Venue and dates _____

Convened by _____ Organized by _____

Report issued as doc. No/Symbol _____ Languages _____ Dated _____

Please indicate: No. of participants' _____ and attach **annex** giving names, gender of participants and meeting summary.

Please indicate co-financing as follows:

Source _____
 Cash (US\$) _____
 In-Kind (person days) _____

(b) PRINTED MATERIALS (Duplicate this box for each printed item)

Committee Report Technical Publication Technical Report Others

Title: _____

Author(s)/Editor(s) _____
 Publisher _____
 Symbol (ISBN/I _____
 Date of publication _____

(When technical reports/publications have been distributed, **attach distribution list**)

Please indicate co-financing as follows:
 Source _____
 Cash (US\$) _____
 In-Kind (person days) _____

(c) TECHNICAL INFORMATION PUBLIC INFORMATION (posters, leaflets, broadcasts etc.) (Duplicate this box for each item)

Description _____
 Dates _____

Please indicate co-financing as follows:
 Source _____
 Cash (US\$) _____
 In-Kind (person days) _____

(d) SERVICES (surveys, technical assistance etc.) (Duplicate this box for each item)

Description _____

Dates _____

Please indicate co-financing as follows:
 Source _____
 Cash (US\$) _____

In-Kind (person days) _____

(e) **OTHER OUTPUTS** (Duplicate this box for each item)

Description: _____
Dates _____

Please indicate co-financing as follows:
Source:
Cash (US\$):
In-Kind (person days): _____

SECTION 3 - PROJECT DELIVERY

3.1 Summary of the Problems Encountered in Project Delivery (if any)

























3.2 Actions Taken or Required to Solve the Problems (identified in Section 3.1 above)

SECTION 4 - PROJECT COORDINATING UNIT ASSISTANCE REQUIRED

4.1 Describe specific assistance you would like the PCU to provide in the next quarter.

Signed: _____
Name: _____
Designation: _____

APPENDIX 3: HEADING OF TECHNICAL PAPER FOR EACH COUNTRY

 FOR CAMBODIA			
 FOR INDONESIA			
 FOR MALAYSIA			
 FOR PHILIPPINES			
 FOR THAILAND			
 FOR VIET NAM			

Appendix 4: Proposed Budget-line Expenditures for Next Quarter

THREE-MONTH PROJECT EXPENDITURE ACCOUNT FOR NATIONAL LEAD AGENCIES
Project Statement of proposed allocation (Budget), (Expressed in US\$) covering the period
from MM to MM / YYYY

National Lead Agency: Directorate of Fisheries
MoU: SEAFDEC/UNEP/GEF/Viet Nam
Project Title: South China Sea Fisheries Refugia Initiative
Project commencing: January 2017
Project ending: December 2020

NB: The expenditures should be reported in line with the specific object of expenditures as per project budget

Object of Expenditure in accordance with UNEP Budget codes				Proposed Project budget allocation for the 3-month period Amount (1) MM - MM/YYYY
Code	Description	Component/ Activity		
10 PROJECT PERSONNEL COMPONENT				
1100	Project Personnel w/m			
1101				
1199	Sub-Total			0
1200	Consultants w/m			
1201				
1202				
1299	Sub-Total			0
1600	Travel on official business (above staff)			
1601				
1602				
1603				
1604				
1605				
1606				
1607				
1608				
1699	Sub-Total			0
Component Total				0
20 SUB-CONTRACT COMPONENT				
2100	Sub-contracts (MoU's/LA's for UN cooperating agencies)			
2101	N/A			
2199	Sub-Total			
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)			
2201				
2299	Sub-Total			0
2300	Sub-contracts (commercial purposes)			
2301	N/A			
2399	Sub-Total			
Component Total				0
30 TRAINING COMPONENT				
3200	Group training (study tours, field trips, workshops, seminars, etc)			
3201				
3202				
3203				
3204				
3205				
3299	Sub-Total			0
3300	Meetings/conferences (give title)			
3301	N/A			
3399	Sub-Total			
Component Total				0
40 EQUIPMENT & PREMISES COMPONENT				
4100	Expendable equipment (items under \$1,500 each, for example)			
4101				
4199	Sub-Total			0
4200	Non-expendable equipment (computers, office equip, etc)			
4201				
4299	Sub-Total			0
4300	Premises (office rent, maintenance of premises, etc)			
4301	N/A			
4399	Sub-Total			
Component Total				0
50 MISCELLANEOUS COMPONENT				
5100	Operation and maintenance of equip.			
5101	N/A			
5199	Sub-Total			
5200	Reporting costs (publications, maps, newsletters, printing, etc)			
5201				
5299	Sub-Total			0
5300	Sundry (communications, postage, freight, clearance charges, etc)			
5301				
5399	Sub-Total			0
5400	Hospitality and entertainment			
5401	N/A			
5499	Sub-Total			
5500	Evaluation (consultants fees ETC)			
5501	N/A			
5599	Sub-Total			
Component Total				0
TOTAL COSTS				0

Prepared by
XXXXXXXXXXXXXX
Position:
As Project Accountant
Date: DD/MM/YYYY
Sign:

Approved by
XXXXXXXXXXXXXX
Position:
As NFP for Viet Nam
Date: DD/MM/YYYY
Sign:

Appendix 5: Cash Advance Request Form

CASH ADVANCE REQUEST					
Statement of cash advance as at		31/3/2019			
And cash requirements for the three month period ending		30/6/2019			
Name of National Lead Agency		Directorate of Fisheries			
MoU No.		SEAFDEC/UNEP/GEF-VIET NAM/LOI DATE 3 MAY 2019			
Project title :		ESTABLISHMENT AND OPERATION OF A REGIONAL SYSTEM OF FISHERIES REFUGIA IN South China Sea and Gulf of Thailand			
I Cash Statement :					
1	Opening Cash Balance as at	3-May-19	US\$	0	
2	Cash advances received			-	
3	Total cash advanced to date		US\$	-	
4	Less : total cumulative expenditures incurred				
	Period:		US\$	-	
	Total expenditure as at		US\$	-	
5	Closing cash balance as at	30/6/2019	US\$	-	
II Cash requirements forecast					
6	Estimated disbursements for period ending	June 30, 2019	US\$	34,800.00	
7	Less : closing cash balance (item 5, above)		US\$	-	
8	Total cash requirements for the period ending	June 30, 2019	US\$	34,800.00	
Prepared by			Request approved by :		
Name : Insert Name		Insert Name			
Insert Role		National Focal Point			
Date:		Date:			
Remark :					