



**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**

11th – 13th September 2018
Trat Province (Fisheries Refugia Site), Thailand

PROJECT BUDGETING AND REPORTING

This paper highlights the requirements, and responsibility of the national lead Agency for budgeting and reporting of the progress of activities to the Project Coordinating Unit (PCU). Following the UN Environment standard monitoring, reporting and evaluation processes and procedures, the substantive and financial project reporting requirements are summarized in **Appendix 8** of the approved Project Document. There is some part of task by national lead agency that agreed in either the Letters of Agreement (LoA) or Letter of Intent (LOI) between SEAFDEC and the National Executing Entities for the Fisheries Refugia Project as follow;

LOA/LOI (TASKS BY THE NATIONAL LEAD AGENCY)

- e) Plan and implement activities based on the results framework, work plan and timetable contained in the National Project Document aimed at achieving the national-level goals and objectives for the SEAFDEC/UNEP/GEF Fisheries Refugia Project in [COUNTRY NAME];
- f) Prepare and facilitate endorsement, by the National Fisheries Refugia Committee (NFRC), of quarterly costed work plans to guide the execution of national and site-based activities of the project;
- g) Submit endorsed quarterly national costed work plans together with a cash advance request in the format attached as **Annex 2** to this document (LOA/LOI) to the Project Coordinating Unit at SEAFDEC at least five (5) working days before the commencement of each quarter (i.e. Quarter 1 is January-March; Quarter 2 is April-June; Quarter 3 is July-September; Quarter 4 is October-December).
- h) Prepare and submit quarterly progress reports (**Annex 3**), expenditure reports (**Annex 4**), and cash advance requests (**Annex 2**) for endorsement by the NFRC and subsequent submission to the Project Coordinating Unit at SEAFDEC at least five (5) working days before the end of each quarter;
- i) Prepare annual progress reports on national-level activities (**Annex 5**) and results of efforts to establish operational management of priority fisheries refugia sites in [INSERT COUNTRY NAME];
- j) Maintain accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available to ensure that all expenditures are in conformity with the provisions of the National Project Document and costed work plans endorsed by the National Fisheries Refugia Committee. For each disbursement, proper supporting documentation shall be maintained, including original invoices, bills, and receipts pertinent to the transaction.
- k) Provide SEAFDEC with certified periodic financial statements, reports on co-financing received (**Annex 6**).

Appendix 8: Summary of reporting requirements and responsibilities

M&E COMPONENT/ ACTIVITY	RESPONSIBILITY ASSIGNMENT		MEANS OF ASSESSMENT/ MONITORING/DATA SOURCE
	INSTITUTION/ AGENCY	PROJECT/ AGENCY OFFICER	
Monitoring			
Preparation of the Overall Project Plan of Operations (PPO), Work-plans and Time-tables, budgets, Risk and IW indicator tables	SEAFDEC/PCU	Project Director	Project Document Resolutions of the Project Steering Committee Meetings
Preparation of individual country/regional work plans: Cambodia (C) Indonesia (I) Malaysia (M) Philippines (P) Thailand (T) Viet Nam (V) Regional (R)	National Agency/Regional Project Coordination Unit: C: Department of Fisheries Conservation, Fisheries Administration I: Directorate General of Capture Fisheries, MMFA M: Department of Fisheries, Malaysia P: National Fisheries Research and Development Institute T: Department of Fisheries, Thailand V: Directorate of Fisheries, Viet Nam R: PCU/SEAFDEC	National Focal Points & Project Director: C: Mr. Ouk Vibol I: xxx (to be confirmed) M: Mrs. Tan Geik Hong P: Mr. Joeren Yleana T: Ms. Praulai Nootmorn V: xxx (to be confirmed) R: Project Director	Project Document Resolutions of the National Fisheries <i>Refugia</i> Committee Meetings Resolutions of the Project Steering Committee Meetings
Preparation of Overall Project Progress Reports	SEAFDEC/PCU UNEP-DEWA	Project Director UNEP Task Manager	Project Coordination Unit's reports to PSC & UNON

M&E COMPONENT/ ACTIVITY	RESPONSIBILITY ASSIGNMENT		MEANS OF ASSESSMENT/ MONITORING/DATA SOURCE
	INSTITUTION/ AGENCY	PROJECT/ AGENCY OFFICER	
Preparation of country and regional component quarterly progress reports: Cambodia (C) Indonesia (I) Malaysia (M) Philippines (P) Thailand (T) Viet Nam (V) Regional (R)	National Agency/Regional Project Coordination Unit: C: Department of Fisheries Conservation, Fisheries Administration I: Directorate General of Capture Fisheries, MMFA M: Department of Fisheries, Malaysia P: National Fisheries Research and Development Institute T: Department of Fisheries, Thailand V: Directorate of Fisheries (D-Fish) R: PCU/SEAFDEC	National Focal Points & Project Director: C: Mr. Ouk Vibol I: xxx (to be confirmed) M: Mrs. Tan Geik Hong P: Mr. Joeren Yleana T: Ms. Praulai Nootmorn V: xxx (to be confirmed) R: Project Director	Component Coordination Units reports to PSC and PCU
Preparation of Expenditure Statements (including co-financing): Cambodia (C) Indonesia (I) Malaysia (M) Philippines (P) Thailand (T) Viet Nam (V) Regional (R)	National Agency/Regional Project Coordination Unit: C: Department of Fisheries Conservation, Fisheries Administration I: Directorate General of Capture Fisheries, MMFA M: Department of Fisheries, Malaysia P: National Fisheries Research and Development Institute T: Department of Fisheries, Thailand V: Directorate of Fisheries (D-Fish) R: PCU/SEAFDEC	National Focal Points & Project Director: C: Mr. Ouk Vibol I: xxx (to be confirmed) M: Mrs. Tan Geik Hong P: Mr. Joeren Yleana T: Ms. Praulai Nootmorn V: xxx (to be confirmed) R: Project Director	UNON-IMIS

M&E COMPONENT/ ACTIVITY	RESPONSIBILITY ASSIGNMENT		MEANS OF ASSESSMENT/ MONITORING/DATA SOURCE
	INSTITUTION/ AGENCY	PROJECT/ AGENCY OFFICER	
Preparation of counterpart contribution reports: Cambodia (C) Indonesia (I) Malaysia (M) Philippines (P) Thailand (T) Viet Nam (V) Regional (R)	National Agency/Regional Project Coordination Unit: C: Department of Fisheries Conservation, Fisheries Administration I: Directorate General of Capture Fisheries, MMFA M: Department of Fisheries, Malaysia P: National Fisheries Research and Development Institute T: Department of Fisheries, Thailand V: Directorate of Fisheries (D-Fish) R: PCU/SEAFDEC	National Focal Points & Project Director: C: Mr. Ouk Vibol I: xxx (to be confirmed) M: Mrs. Tan Geik Hong P: Mr. Joeren Yleana T: Ms. Praulai Nootmorn V: xxx (to be confirmed) R: Project Director	Reports on co-financing to the PSC
On-site supervision of Component Activities: Cambodia (C) Indonesia (I) Malaysia (M) Philippines (P) Thailand (T) Viet Nam (V) Regional (R)	National Agency/Regional Project Coordination Unit: C: Department of Fisheries Conservation, Fisheries Administration I: Directorate General of Capture Fisheries, MMFA M: Department of Fisheries, Malaysia P: National Fisheries Research and Development Institute T: Department of Fisheries, Thailand V: Directorate of Fisheries, Viet Nam (D-Fish) R: PCU/SEAFDEC	National Focal Points & Project Director: C: Mr. Ouk Vibol I: xxx (to be confirmed) M: Mrs. Tan Geik Hong P: Mr. Joeren Yleana T: Ms. Praulai Nootmorn V: xxx (to be confirmed) R: Project Director	On-site data collection
UNEP-DEWA Supervision Missions	PCU UNEP-DEWA	UNEP Task Manager	On-site data collection Mission reports

M&E COMPONENT/ ACTIVITY	RESPONSIBILITY ASSIGNMENT		MEANS OF ASSESSMENT/ MONITORING/DATA SOURCE
	INSTITUTION/ AGENCY	PROJECT/ AGENCY OFFICER	
Evaluation			
Meetings of the PSC	SEAFDEC/PCU (acting as Secretariat of the Committee)	Project Director UNEP Task Manager	Minutes of the meetings of the PSC
Meetings of the RSTC	SEAFDEC/PCU (acting as Secretariat of the Committee)	Project Director UNEP Task Manager	Minutes of the meetings of the RSTC
Mid-Term Management Review	UNEP-EOU in consultation with the SEAFDEC/PCU, and participating institutions and stakeholders	Independent consultant	On-site data collection Project Manager review
Final Evaluation	UNEP-EOU in consultation with the PCU, and participating institutions and stakeholders	Independent consultant	On-site data collection Consultant report
Annual Project Implementation Review (PIR)	UNEP with the assistance of participating Institutions	Project Director in consultation with UNEP Task Manager	On-site data collection PIR reports

Annex 2:

ANNEX 2

AGREED PAYMENT PROCESSING FORM

SEAFDEC/UNEP/GEF PROJECT ENTITLED
"ESTABLISHMENT AND OPERATION OF A REGIONAL SYSTEM OF FISHERIES REFUGIA IN
THE SOUTH CHINA SEA AND GULF OF THAILAND"

[INSERT COUNTRY NAME]

1. BANKING INFORMATION

Funds for the project entitled "Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand" (hereafter referred to as the South China Sea Fisheries Refugia Initiative) in [INSERT COUNTRY NAME] are to be transferred to the following bank account:

Name of Bank: [INSERT BANK NAME]
Country of Bank: [INSERT COUNTRY]
Address of Bank: [INSERT ADDRESS OF BANK]
Account Title: [INSERT ACCOUNT TITLE]
Account Number: [INSERT BANK ACCOUNT NUMBER]
Routing Instructions: [INSERT ROUTING INSTRUCTIONS E.G. SWIFT CODE]

2. RELEASE OF FUNDS AND AUDITING

i. The initial cash advance, will be made upon final clearance of the Memorandum of Understanding by the Head of Lead Agency and the Southeast Asian Fisheries Development Center (SEAFDEC).

ii. Subsequent payments will be made at three monthly intervals upon receipt by the Project Co-ordinating Unit of an expenditure statement signed by a duly authorised official, and a narrative progress report together with a cash advance request in the agreed formats.

iii. The Lead Agency shall report the end year expenditure accounts at 31 December, certified by a duly authorised official, but, in addition, SEAFDEC requires that the end of year expenditure account should be reported in an opinion by a recognised firm of public accountants (for a government, by Government auditors), which shall be dispatched to SEAFDEC by 31 March. In particular, the auditors should be asked to report whether, in their opinion:

- Proper books of account and records have been maintained;
- All project expenditures are supported by vouchers and adequate documentation; and,
- Expenditures have been incurred in accordance with the objectives outlined in the Memorandum of Understanding.

3. USE OF GEF GRANT FUNDS TRANSFERRED TO THE NOMINATED BANK ACCOUNT

Funds (US dollars) transferred to the bank account indicated in Part 1 of this form will be used solely for the purpose of executing national activities of the South China Sea Fisheries Refugia Initiative in [INSERT COUNTRY NAME].

4. CERTIFYING OFFICERS



Prepared by:

Authorised by:

Approved by:

[Insert Name]
National Focal Point
[Insert Position]
[Insert Ministry Name]
[Insert Country Name]
Date: [Insert Date]

[Insert Head of Lead Agency's
Name]
[Insert Position]
[Insert Ministry Name]
[Insert Country Name]
Date: [Insert Date]

Mr. XXXXXXXXX
Project Director
South China Sea Fisheries
Refugia Initiative
SEAFDEC
Date: [Insert Date]

Annex 3:

Annex 3: Quarterly-Progress-Report

**SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER
SOUTH CHINA SEA FISHERIES REFUGIA INITIATIVE
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: _____

Annex 4 a:

THREE-MONTHLY (QUARTERLY) PROJECT EXPENDITURE ACCOUNT FOR NATIONAL LEAD AGENCIES
Project Statement of allocation (Budget), expenditure and balance (Expressed in US\$) covering the period
from January to March 2017

National Lead Agency: Insert Name of National Lead Agency

MoU Number: SEAFDEC/UNEP/GEF/Country/MoU Number

Project Title: South China Sea Fisheries Refugia Initiative

Project commencing: January 2017

Project ending: December 2021

NB: The expenditures should be reported in line with the specific object of expenditures as per project budget		Project budget allocation for the 3-month period (Insert dates)	Expenditure incurred for the three-month period (Insert dates)	Unspent balance of budget for the three-month period (Insert dates)
Object of Expenditure in accordance with UNEP Budget codes		Amount (1)	Amount (2)	Amount (1-2)
Code	Description	Jan-Mar 2017	Jan-Mar 2017	Jan-Mar 2017
1000	PROJECT PERSONNEL COMPONENT			
1100	Project Personnel			
1101	Insert object of expenditure (add lines as required)	0.00		
1199	Total	0.00		
1999	Component Total	0.00		
3000	TRAINING COMPONENT			
3300	Meetings/conferences			
3301	Insert object of expenditure (add lines as required)	0.00		
3999	Component Total	0.00		
5000	MISCELLANEOUS COMPONENT			
5200	Reporting costs			
5201	Insert object of expenditure (add lines as required)	0.00		
5299	Total	0.00		
5999	Component Total	0.00		
9999	Project Total	0.00		

Annex 5 (a): Progress Towards Achieving the Project Objectives : Project Objectives and Outcomes

Project objective and Outcomes	Description of indicator ¹	Baseline level ²	Mid-term target ³	End-of-project target	Level at 30 June 20..
Objective⁴	1.				
	2.				
	3.				
Outcome 1: <i>(describe)</i>					
Outcome 2: <i>(describe)</i>					
Outcome 3: <i>(describe)</i>					
Outcome 4: <i>(describe)</i>					
Outcome 5:					

¹ Add rows if your project has more than 3 key indicators per objective or outcome.

² Depending on selected indicator, quantitative or qualitative baseline levels and targets could be used (see Glossary included as Annex 1).

³ Many projects did not identify Mid-term targets at the design stage therefore this column should only be filled if relevant.

⁴ Add rows if your project has more than 4 objective-level indicators. Same applies for the number of outcome-level indicators.

Annex 5 (b): Progress Towards Achieving the Project Objectives: Project Implementation Progress

Outputs ⁵	Expected completion date ⁶	Implementation status as of 30 June 20.. (%)
Output 1: <i>(describe)</i>		
Activity 1: <i>(describe)</i>		
Activity 2:		
Activity 3:		
Output 2:		
Activity 4:		
Activity 5:		
Activity 6:		
Output 3:		
Activity 7:		
Activity 8:		
Activity 9:		
Output 4:		
Activity 10:		
Activity 11:		
Activity 12:		
Output 5:		
Activity 13:		
Activity 14:		
Activity 15:		
Activity 16:		

⁵ Outputs and activities as described in the project logframe or in any updated project revision.

⁶ As per latest workplan (latest project revision)

Annex 6: Co-financing Report

**SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER
SOUTH CHINA SEA FISHERIES REFUGIA INITIATIVE
ANNUAL REPORT OF COFINANCING**

(Year _____)

+

(f) OTHER IN-KIND AND CASH CO-FINANCING TO THE PROJECT		
Sources of co-financing	In-kind Contribution (in person days)	Cash Contribution (in US\$)