



MEKONG  
INSTITUTE



# Mekong – ROK Cooperation Fund (MKCF) Management Manual



Prepared by Mekong Institute  
GMS Intergovernmental Organization

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## **1. Introduction: How to use this Manual**

### **1.1. Purpose**

The purpose of the Mekong-ROK Cooperation Fund (MKCF) Manual is to provide general information on operational rules and practices that are applicable to MKCF.

### **1.2. Target Audience**

All actors involved in the MKCF.

This manual serves as a reference guide for Project Proponents and Project Implementing Agencies (PIAs) of the MKCF and as an introduction to the MKCF for new arrivals.

## 2. Overview of the the MKCF

### 2.1. Background

- Following the launch of the Mekong - ROK partnership in 2011, the MKCF was established in 2013 to encourage and support cooperation in six priority areas<sup>1</sup> outlined in the *Han River Declaration* of 2011.
- It was agreed among five Mekong countries (Cambodia, Lao PDR, Myanmar, Viet Nam and Thailand) and the ROK that the MKCF will be financed through an annual contribution from the ROK to MI and will be managed by MI in accordance with the *Terms of Reference* (TOR) adopted at the 3rd Mekong – ROK Foreign Ministers’ Meeting in July 2013 in Bandar Seri Begawan, Brunei Darussalam. Moreover, at the 5th Mekong – ROK Foreign Ministers’ Meeting in August 2015 in Kuala Lumpur, Malaysia, the Ministers recognized the need for a more efficient management of the MKCF and agreed to task MI to act as a Coordinator for the MKCF.

### 2.2. MKCF Logo

- The MKCF logo was created with the view to enhancing the visibility of the MKCF to the wider public. The logo was created by Mekong Institute and represents the cooperation among the constituent states of the Mekong countries and the ROK. The logo should be utilized in the MKCF supported projects such as in project reports, publications, meeting/training materials, physical assets or equipment.



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<sup>1</sup> 1. Infrastructure, 2. Information Communication Technology (ICT), 3. Green Growth, 4. Water Resource Development, 5. Agriculture and Rural Development, 6. Human Resource Development

### 3. Applying for the MKCF

#### 3.1. General Information

- The Fund provides a grant for projects that are of regional in nature<sup>2</sup>. Such project is aligned with the priorities of the country to address national issues that facilitate regional integration process. It can be implemented in a single country. However benefits should be shared among the countries in the Mekong region and the ROK.
- In other words, the regional project should address the needs of several Member States in the Mekong region. Such projects can consider national development objectives but are developed per regional development objectives as well.

#### 3.2. The MKCF's Six Priority Areas

- The Fund provides grants to support catalytic and innovative activities in the six priority sectors: (1) Infrastructure, (2) Information Communication Technology (ICT), (3) Green Growth, (4) Water Resource Development, (5) Agriculture and Rural Development, and (6) Human Resource Development.

The aim of the projects in the infrastructure sector is to develop capacities on regional project management related to infrastructure. In ICT sector, projects related to the use of ICT for regional disaster risk management/climate change adaptation (e.g. early warning are envisaged. For Green Growth sector, projects related to greener growth models, benefiting from both economic and environmental performance are encouraged. Water Resource Development sector emphasizes on regional water resources management. Innovative projects to develop regional agricultural value chain are encouraged under Agriculture and Rural Development sector and Human Resource Development sector is to promote regional cooperation in education and skill development, trade, and business.

- Some examples of the projects for each priority sectors can be:

Sector	Examples of the projects
(1) Infrastructure	<ul style="list-style-type: none"><li>▪ Capacity building on regional project management related to infrastructure (road, power communication, etc.)</li></ul>
(2) Information Communication Technology (ICT)	<ul style="list-style-type: none"><li>▪ Use of ICT for regional disaster risk management/climate change adaptation (e.g. early warning system)</li><li>▪ Estimation of crop production with ICT</li><li>▪ Regional agriculture market information system</li><li>▪ Database development</li><li>▪ E-commerce</li><li>▪ Developing alliances with the Mekong countries on ICT infrastructure / regional connectivity</li><li>▪ Regional research &amp; training on ICT</li></ul>
(3) Green Growth	<ul style="list-style-type: none"><li>▪ Projects related to Environmental and resource productivity, The natural asset base, Environmental dimension of quality of life, Economic opportunities and policy responses, etc.</li></ul>
(4) Water Resource Development	<ul style="list-style-type: none"><li>▪ Regional water resources management</li><li>▪ Infrastructure development related research (e.g. the regional effects of</li></ul>

<sup>2</sup> Benefits more than one country in the Mekong region (Cambodia, Laos, Myanmar, Viet Nam and Thailand)

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	<ul style="list-style-type: none"> <li>▪ hydropower development)</li> <li>▪ Water governance</li> </ul>
<b>(5) Agriculture and Rural Development</b>	<ul style="list-style-type: none"> <li>▪ Developing a regional agricultural value chain</li> </ul>
<b>(6) Human Resource Development</b>	<ul style="list-style-type: none"> <li>▪ Promoting regional trade and investment</li> <li>▪ Promoting regional cooperation in education and skill development</li> <li>▪ Facilitating safe labor migration within the GMS</li> <li>▪ Strengthening regional institutional linkage and mechanisms for regional cooperation</li> <li>▪ Building Cooperative Alliance for Technical and Vocational Education and Training (TVET) / Career and Technical Education (CTE)</li> <li>▪ Capacity building for SMEs and entrepreneurs to create job opportunity and facilitate successful trade and investment in the GMS</li> </ul>

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### 3.3. Eligible Requirements of Proponent

- Government agencies/Autonomous Organization from CLMVT and organizations from the ROK can submit requests for assistance.
- Non-governmental organizations, academic institutions, and training institutes from Cambodia, Lao PDR, Myanmar, Viet Nam, Thailand (CLMVT) and the ROK can submit requests for funding.
- Experience in implementing development projects for at least 5 years.
- Assistance to individuals will not be provided.
- UN Agencies and other International Non-Governmental Organizations/International Development banks are not eligible as direct recipient of the fund. However, such organizations may associate with Mekong countries based organizations to provide technical support/guidance to conduct collaborative work with Mekong based organization as the lead proponent.

### 3.4. Budget / Duration

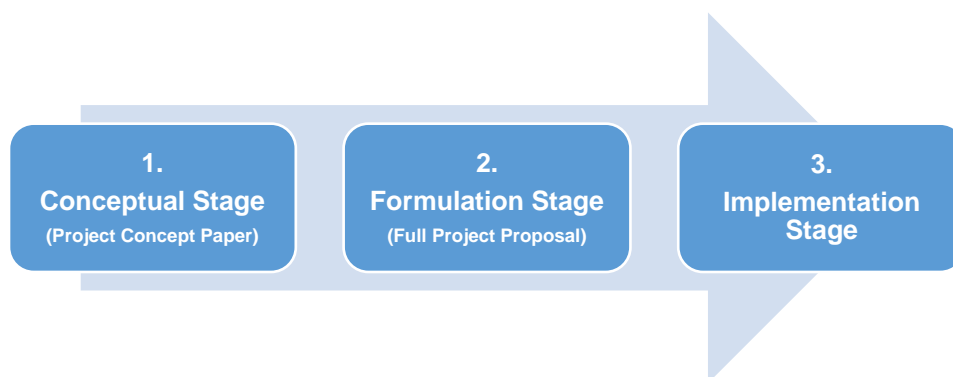
The contribution of the Fund per project proposal is a minimum of 200,000 USD and a maximum of 500,000 USD per year.

- The fund encourages projects promoting 3-way (triangular) or 4-way (quadripartite) collaboration with other donors, including the Mekong River Commission (MRC), Japan, United States (US), etc. Extra-budgetary funds should be leveraged, when needed, to facilitate such projects.
- The fund provides grants for joint activities with a regional or international entity, formalized through a cooperation agreement and is considered as regional.
- Activities which are not eligible for funding include construction of buildings and payment of rent or utilities.
- The time frame of a project should be more than 6 months and less than 3 years.

## 4. Project Proposal Formulation

### 4.1. Overview

- After the Call for Project Proposals is announced, the potential proponents should follow the following procedure. The announcement of project proposal submission will be made on the websites of the Governments of the Mekong countries, Mekong Institute (MI) and through a network of MI in the Mekong countries.



Country	Focal point in the MOFA	Contact information
Cambodia	Mr. Lors Socheata	<a href="mailto:Socheatalors18@yahoo.com">Socheatalors18@yahoo.com</a> <a href="mailto:lors_socheata@yahoo.com">lors_socheata@yahoo.com</a>
Lao PDR	Ms. Phonphilom Douangmalalay	<a href="mailto:phone.dml@gmail.com">phone.dml@gmail.com</a> mekong.dialoguepartners@gmail.com
Myanmar	Ms. May Thazin Tun	<a href="mailto:srcd.myanmar@gmail.com">srcd.myanmar@gmail.com</a>
Viet Nam	Ms. Hoang Huyen Ngoc	<a href="mailto:ngochoang.mofa@gmail.com">ngochoang.mofa@gmail.com</a>
Thailand	Mr. Wasin Keatparitus	<a href="mailto:keatparitus@gmail.com">keatparitus@gmail.com</a> <a href="mailto:wasink@mfa.go.th">wasink@mfa.go.th</a>
ROK	Ms. Mi Jung IM	<a href="mailto:rokmekong2014@mofa.go.kr">rokmekong2014@mofa.go.kr</a>

(1) Proponents need to submit a Project Concept Paper to the MOFAs of the respective Mekong countries.

(2) The Focal Point of each MOFA in CLMVT and the ROK will collect and screen Project Concept Papers according to criteria (e.g. objectives of the MKCF etc.) before forwarding these to MI.

(3) MI will review the Project Concept Papers to shortlist according to the criteria.

(4) The Approval Body at the MOFA-ROK selects the project concept papers that will be developed into a full project proposal.

(5) MI notifies the selected Project Concept Papers to the 6 Senior Official Meeting (SOM) leaders (5 Mekong Countries and ROK) for their information and support.

(6) Proponents of the selected Project Concept Papers will be contacted by MI to submit full project proposals to MI. In the case revisions are requested on the submitted full project proposal, MI will inform the proponent to revise and submit within a specific date.



(7) The project concept papers short listed for full proposals do not necessarily guarantee award of final selection of the project. The shortlisted proposals are subject to review and will go through a process of evaluation before submitting to six Mekong – RoK SOM for endorsement. Shortlisted proposals may be disqualified if not found to be in compliance with the requirements of the full proposal.

(8) The 6 SOM leaders endorse the full project proposals that will be funded by the MKCF in the form of a SOM letter. Following the endorsement, MI will inform the Project Implementing Agency to sign and submit an Agreement on Fund Disbursement to MI.

(9) MI will request for approval from the ROK to release the 1st installment (50%). MI will disburse the installment after receiving the approval letter from the ROK. The Project Implementing Agency (PIA) will open bank account (USD) in local commercial bank in the name of the project. PIA will inform the date of launch of the project within 15 days of receipt of the first installment. At the project launching meeting, PIA will introduce the project, work plan for any revision and ToR of project team, MI will introduce the monitoring and reporting guidelines.

(10) Once the Mid-term Report (the Progress and Financial Reports) are received and reviewed by MI, the 2nd installment (40%) MI will be disbursed.

(11) Upon completion of the project, the Project Implementing Agency will submit a Final Report (including the Financial Report) to the respective MOFAs and MI within 60 days after completion of the project.

(12) The final installment of 10% will be released on satisfactory completion of all activities of the project with clear exit strategy.

(13) Following the review of the Final Report, if necessary, MI can request correction and revision, and any unspent balance of the fund should be returned to MI's MKCF account.

<b>Bank Name</b>	Bangkok Bank
<b>Bank Address</b>	147 Prachasamosorn Rd. Muang, Khon Kaen 40000, Thailand
<b>Branch</b>	Prachasamosorn Road
<b>Currency</b>	USD
<b>Account Name</b>	MEKONG-ROK COOPERATION FUND
<b>Bank Account</b>	840-101-0019-118355-501
<b>Receiver address</b>	123 Khon Kaen University Mittraparb Rd. Muang, Khon Kaen 40002
<b>SWIFT</b>	BKKBTHBK

#### 4.2. Preparation of the Project Concept Paper (Appendix 1)

Proponents should submit a project concept paper as per the structure below:

##### A. Cover page (1 page)

- i. Name and address of Organization
- ii. Contact person (name, telephone, fax, and email)
- iii. Title of proposed project/sector
- iv. Country(Countries)/region
- v. Total project cost
- vi. Duration of project
- vii. Signature, name, title of the authorized representative of the Organization (applicant)

##### B. Technical (3 pages maximum)

- i. **Introduction:** Provide a brief background on the specific development challenge or opportunity the project will address. Indicate the nature of the issue including a description of the target population and its regional implication<sup>3</sup>.
- ii. **Objective:** State the short and long-term objectives of the project and how objectives relate to specific challenges or opportunities in the specific sector<sup>4</sup> in the country and Mekong region. Also, explain how the project promotes cooperation between the Mekong countries and the ROK and contributes to the sustainable development of the Mekong region.
- iii. **Description of Specific Activities:** Provide the 1) method(s) of approach 2) brief description of the activities to achieve the stated objective(s) 3) how the regional challenges or opportunity will be addressed 4) potential Partners in the Mekong region and role of the partners in the project.
- iv. **Anticipated Results:** Describe the expected outputs, outcomes and impact upon completion of the project.
- v. **Monitoring Framework:** Provide indicative measures to monitor and evaluate the results of the project and how the results will benefit or be shared in the Mekong region.

##### C. Financial (2 pages maximum)

- i. **Financial Statement:** Provide a brief statement as to why the proposed activities are feasible both technically and financially.
- ii. **Estimated Cost:** Provide an estimated budget (total cost), year wise (for multi-year project) and cost share.

##### D. Attachments

- i. Any additional documents that provide information on previous experience in implementing development projects, institutional capabilities, and biography of the core project team.

The concept paper must be written in English, typed, single spaced with 12-sized Times New Roman font. The concept paper should not exceed 6 pages. The 6 pages do not include the attachments. The attachments must be concise and in a separate file.

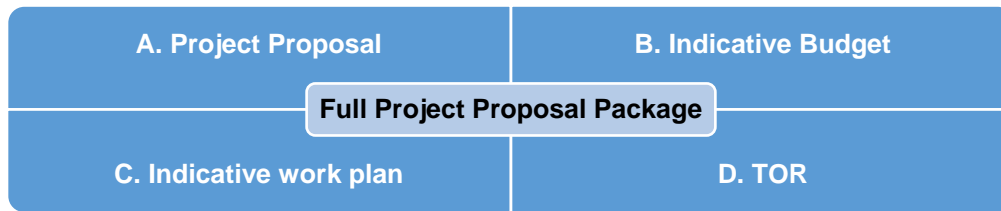
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<sup>3</sup> Mekong region (Cambodia, Laos, Myanmar, Viet Nam and Thailand)

<sup>4</sup> The Fund provides grants to support catalytic and innovative activities in the six priority sectors: (1) Infrastructure, (2) Information Communication Technology (ICT), (3) Green Growth, (4) Water Resource Development, (5) Agriculture and Rural Development, (6) Human Resource Development.

The concept papers will be reviewed based on their relevance, feasibility, and sustainability.

#### 4.3. Full Project Proposal



##### A. Project Proposal (Appendix 2)

The full proposal will include, but not limited to the following points:

- i. Problem to be addressed
- ii. Background, problem analysis, and justification
- iii. Objective and success criteria
- iv. Outputs
- v. Indicative work plan
- vi. Management and implementation arrangements
- vii. Budget and funding arrangements

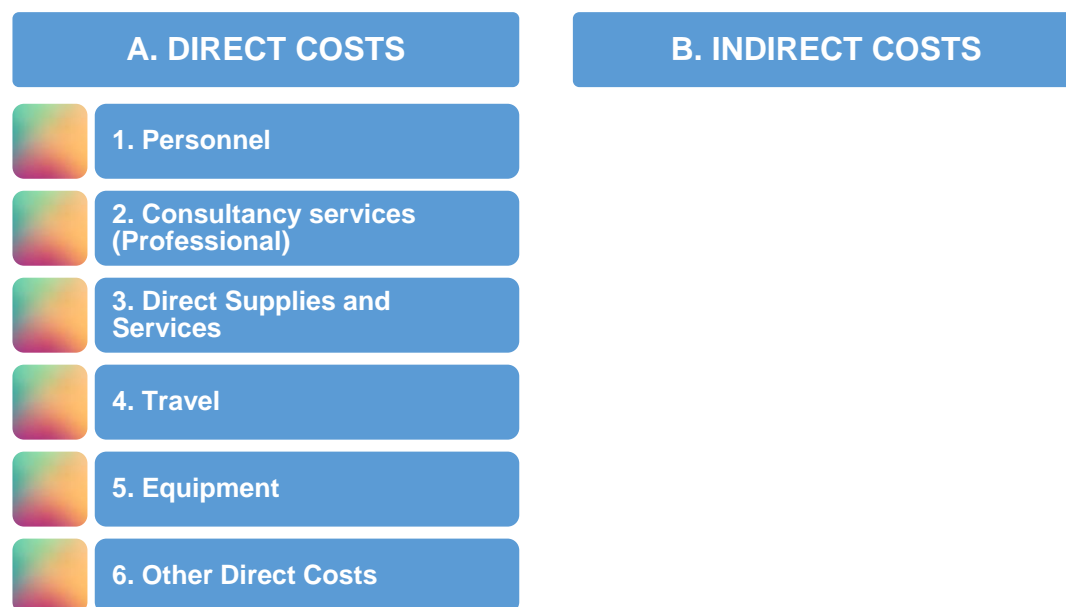
The proposal must be written in English, typed, single spaced with 12-sized Times New Roman font.

The proposal must be a development cooperation project with a focus on specific developmental problems, be innovative and unique and be independently originated and developed by the proponent. The project should fulfill the regional criteria to benefit more than one Mekong country.

## B. Indicative Budget (Appendix 3)

### I. Budget Arrangements (in USD)

- Adequate provisions for the cost of all proposed activities and personnel. Cost breakdown by line item specifying clearly for each cost item covers:
  - Unit cost (unit price in USD)
  - Quantity of items and
  - Total cost for each item
- The budget should show the detail for all costs categorized.
- The budget must show:
  - Description of each element of cost
  - Number of units of direct costs, and indirect costs (if approved)
  - Unit cost of each item (unit price in USD)
  - Sub-total for each category of costs and Total cost for each item



### II. Project Category and Cost Norm

Project Category	Cost	Remarks
<b>A. DIRECT COSTS:</b> are related to project activities		
<b>1. Personnel:</b>		
<ul style="list-style-type: none"> <li>▪ In case of which the proponent/PIA recruits new full-time staff engaged specifically for the MKCF funded project.</li> <li>▪ For all personnel, indicate the percentage level of efforts. For the newly recruited staff, the ToR should be included as annexes in the project proposal.</li> </ul>		
Senior Project Manager:	Max. USD 4,800/month	
Project Manager:	Max. USD 3,400/month	

Project Officer:	Max. USD 1,500/month
Project Assistant:	Max. USD 1,000/month
Project Secretariat:	Max. USD 750/month
<b>2. Consultancy services (Professional):</b>	
<ul style="list-style-type: none"> <li>▪ The ToR should be included as annexes in the project proposal.</li> <li>▪ All expenses related to acquiring the services of a consultant for a specific activity within the project. <ul style="list-style-type: none"> <li>(i) design of capacity development program, e.g. curriculum development, training packages, and etc.; (ii) delivery of capacity development program; (iii) reporting and information dissemination; (iv) design of technical and policy study   research; (v) delivery of training and workshop; (vi) field survey and data collection; (vii) project documentation; (xiv) and other activities agreed by the Republic of Korea (RoK) through Mekong Institute (MI) to be performed by a. International Expert: An individual subject expert; or one is from an internationally or regionally recognized organization; b. National Expert: An individual subject expert; or one is from nationally recognized organization, Institute/University etc.</li> </ul> </li> <li>▪ The costs include (all for consultant only): <ul style="list-style-type: none"> <li>- Consultant fee/Remuneration</li> <li>- Reports, communication materials, and publications</li> <li>- Airfare</li> <li>- Ground transportation</li> <li>- Accommodation</li> </ul> </li> </ul>	
<b>2.1. International and National Consultant/Remuneration fee</b>	<ul style="list-style-type: none"> <li>- Max: US\$ 300/Working Day (the fee may differ depending on the position and ranking of the personnel)</li> </ul>
<b>2.2. Reports, communication materials, and publications</b>	<ul style="list-style-type: none"> <li>- Equivalent to 2 working days</li> </ul>
<b>2.3. Airfare</b>	<ul style="list-style-type: none"> <li>- Economy class</li> <li>- Actual costs</li> </ul>
<b>2.4. Ground transportation</b>	<ul style="list-style-type: none"> <li>- Base rental price per day subject to the market rate applied in each location in each country</li> </ul>
<b>2.5. Accommodation</b>	<ul style="list-style-type: none"> <li>- &lt;For traveling within the Mekong region&gt; Max: US\$ 139/night</li> <li>- &lt;For traveling to the ROK&gt;</li> </ul>

	Max US\$ 207/night	
<b>3. Direct Supplies and Services:</b>		
<ul style="list-style-type: none"> <li>▪ Includes all direct supplies and services costs that are required to carry out the project.</li> <li>▪ The costs include: <ul style="list-style-type: none"> <li>- Venue for the event (meeting, training, etc.)</li> <li>- Coffee breaks</li> <li>- Lunch</li> <li>- Translation services</li> <li>- Training materials</li> <li>- Design and printing of certificates, photo, videos, etc.</li> <li>- Others relevant and allowable</li> </ul> </li> </ul>		
<b>3.1. Meeting/Training Package</b> (consists of venue, coffee breaks, and lunch)	<ul style="list-style-type: none"> <li>- Full day: US\$ 50/Pax</li> <li>- Half-day: US\$ 25/Pax</li> </ul>	
<b>3.2. Translation services</b>	<ul style="list-style-type: none"> <li>- Max: US\$ 11/page (350 words/page)</li> <li>- &lt;For Simultaneous Translation&gt; Max: US\$ 200/Working Day</li> </ul>	
<b>3.3. Other expenditures under Category 3</b>	<ul style="list-style-type: none"> <li>- Actual basis applied to each location in each country.</li> </ul>	
<b>4. Travel (for the PIA and/or participants of the event):</b>		
<ul style="list-style-type: none"> <li>▪ International travel costs must be related to the project activities and incurred by the PIA and/or participants who work/participate on/for the project.</li> <li>▪ Participants are required to travel on the most direct and economical flights. Moreover, travel costs budgeted in line with planned activities and specified in the detailed budget.</li> <li>▪ The costs include (all for the PIA and/or participants of the event only): <ul style="list-style-type: none"> <li>- Airfare (economy class)</li> <li>- Ground transportation</li> <li>- Accommodation</li> <li>- Per Diem</li> <li>- Travel issuance</li> </ul> </li> <li>▪ Classification Level by Country <ul style="list-style-type: none"> <li>- Level A: the Republic of Korea</li> <li>- Level B: Viet Nam, Thailand</li> <li>- Level C: Cambodia, Lao PDR, Myanmar</li> </ul> </li> <li>▪ For special circumstances, the proponent can provide up to 150% of the limit after upon approval from the ROK MOFA. Otherwise, only the maximum amount approved by the ROK MOFA will be covered; any amount above the approved amount will not be covered by the Fund.</li> <li>▪ All flight seating must be economy class. For special cases, seating call can be rearranged if approved by the ROK MOFA beforehand.</li> <li>▪ <b>Note:</b> Local travel costs should be placed in the 'Other Direct Costs' category.</li> </ul>		
<b>4.1. Airfare</b>	<ul style="list-style-type: none"> <li>- Economy class</li> </ul>	<ul style="list-style-type: none"> <li>- For roundtrip airfare from a</li> </ul>

	- Actual costs	Mekong country to the ROK, the Fund will cover up to 1,000 USD for an economy seat. - For roundtrip airfare within the Mekong region, the Fund will cover up to 800 USD.
<b>4.2. Ground transportation</b>	- Base rental price per day subject to the market rate applied in each location in each country.	
<b>4.3. Accommodation</b>		
▪ Top Executive		
Level A	Max: US\$ 207/night	
Level B	Max: US\$ 139/night	
Level C	Max: US\$ 100/night	
▪ Executive		
Level A	Max: US\$ 160/night	
Level B	Max: US\$ 112/night	
Level C	Max: US\$ 79/night	
▪ Team Director		
Level A	Max: US\$ 137/night	
Level B	Max: US\$ 91/night	
Level C	Max: US\$ 75/night	
▪ Staff		
Level A	Max: US\$ 123/night	
Level B	Max: US\$ 77/night	
Level C	Max: US\$ 71/night	
<b>4.4. Per Diem/Food</b>		
▪ Top Executive		
Level A	Max: US\$ 40/day/night & Food Expense: Max US\$ 99/day	
Level B	Max: US\$ 40/day/night & Food Expense: Max US\$72/day	
Level C	Max: US\$ 40/day/night & Food Expense: Max US\$61/day	
▪ Executive		
Level A	Max: US\$ 35/day & Food Expense: Max US\$ 78/day	
Level B	Max: US\$ 35/day & Food Expense: Max US\$58/day	
Level C	Max: US\$ 35/day & Food Expense: Max US\$49/day	
▪ Team Director		
Level A	Max: US\$ 30/day & Food Expense: Max US\$ 59/day	
Level B	Max: US\$ 30/day & Food Expense: Max US\$44/day	

Level C	Max: US\$ 30/day & Food Expense: Max US\$37/day	
▪ Staff		
Level A	Max: US\$ 26/day & Food Expense: Max US\$ 49/day	
Level B	Max: US\$ 26/day & Food Expense: Max US\$37/day	
Level C	Max: US\$ 26/day & Food Expense: Max US\$30/day	
<b>4.5. Travel insurance</b>	Actual costs	
<b>5. Equipment:</b>		
<ul style="list-style-type: none"> <li>▪ Purchase of equipment, including office equipment, is requested to consult with the Ministry of Foreign Affairs of the Republic of Korea for prior approval. Purchase of equipment that are deemed necessary for the successful implementation of the project will be permitted.</li> <li>▪ Actual costs</li> <li>▪ Costs of equipment and goods should not exceed <u>10%</u> of the total project budget. For special cases, send a letter explaining why purchase of equipment is necessary for project implementation</li> </ul>		
<b>6. Other Direct Costs:</b>		
<ul style="list-style-type: none"> <li>▪ Includes all other project costs that do not fall under the definition of Personnel, Consultancy services, Direct Supplies and Services, Travel and Equipment. Those costs directly related to performance of the activities described in the grant proposal (application). Such costs must be reasonable, competitive and allowable as specified in expenditure categories.</li> </ul>		
<b>B. INDIRECT COSTS:</b> are in support of all activities of the organization (e.g. salaries and benefits of personnel which support and administer the project, such as admin assistants, clerks, accountants, etc.) Indirect costs include overhead and administrative costs which are not directly attributable to the proposed grant activity.		
<b>1. Management fee</b>	<ul style="list-style-type: none"> <li>- Max: <u>10%</u> of the total approved budget</li> <li>- Indirect cost budgeted will be considered on a case-by-case basis</li> </ul>	<p>The amount could also be allocated to:</p> <ul style="list-style-type: none"> <li>- The budget for the salary of existing staff should be included in Management Fee (In case of which the proponent/PIA is utilizing existing staff as full-time staff dedicated to the MKCF project, up to 50% of the salary scale in the <b>Personnel Cost (A-1)</b> can be charged).</li> <li>- Internal audit/accounting team cost, meeting cost, DSA/local transport for members of project working group meeting etc. If needed but subject to approval from MI</li> </ul>

C. Indicative work plan (Appendix 4)

D. TOR (Appendix 5)



## 5. Procurement

### 5.1. Principles

Competition	Efficient and Effective Procurement	Impartiality, Transparency, and Accountability	Procurement Ethics	Eligibility
-------------	-------------------------------------	--	--------------------	-------------

- **Competition**
  - Procurement shall be carried out in an open competitive basis to the maximum practical extent. All eligible bidders shall be given equal opportunity to compete in providing goods and/or services to the MKCF recipients.
- **Efficient and Effective Procurement**
  - Procurement shall be conducted in a manner that maximizes the efficient use of the MKCF's resources and ensures that the goods and/or services procured effectively meet the requirements of the MKCF recipients.
- **Impartiality, Transparency, and Accountability**
  - Procurement shall be conducted in an impartial, transparent and accountable manner, and all eligible bidders shall be given the same information. Fairness and transparency in the procurement process require that all suppliers and consultants competing for a specific contract do not derive a competitive advantage from having provided services related to the contract in question. Therefore, the procuring entity/project management unit shall, when practicable, make available to prospective bidders all reasonable and material information that would, in that respect, give a supplier or consultant a competitive advantage.
- **Procurement Ethics**
  - All procurements should not be in violation of the national laws and regulations on procurement<sup>5</sup>, including Conflict of Interest, Code of Conduct for Suppliers. Furthermore, the MKCF considers a conflict of interest to be a situation in which a party has interests that could improperly influence that party's performance of official duties or responsibilities, contractual obligations, or compliance with applicable laws and regulations. The MKCF through MI will take appropriate action to manage such conflicts of interest, or rejects a tender or proposal for award in case it determines that a conflict of interest has flawed the integrity of any procurement process.
- **Eligibility**
  - An eligible supplier or consultant is an organization or an individual that complies with national laws on procurement and is determined by the procuring entity to be a supplier or consultant who is legally and financially capable of providing the goods or services in the country or countries where such goods or services are to be provided.

## 5.2. Misprocurement

- If procurement is not carried out as agreed or prescribed, the MKCF through MI shall declare misprocurement and cancel that portion of the MKCF allocated to the goods and / or services that have been misprocured.

## 5.3. Methods of Procurement

### ▪ **Open tendering and request for proposals**

- The objective of open tendering is to provide all eligible suppliers or consultants with timely and adequate notification of requirements and an equal opportunity to bid for the required goods or services. In turn, this is expected to lead to competitive pricing, product innovation, and performance improvements. The project implementing agency shall open all tenders at the stipulated time and place, and tenders received after the stipulated deadline may be rejected, as stipulated in the procurement document. Open tendering may be conducted by issuing a request for proposals, especially when it needs to consider the financial aspects of proposals separately, and only after completing the examination and evaluation of the technical, quality and performance characteristics of the proposals.

### ▪ **Restricted tendering**

Procurement may be undertaken by means of restricted tendering when:

- The subject matter of the procurement, by reason of its highly complex or specialized nature, is available only from a limited number of suppliers or consultants; or
- The time and cost required to examine and evaluate a large number of tenders would be disproportionate to the value of the subject matter of the procurement.

### ▪ **Request for quotations**

Procurement may be undertaken by means of a request for quotations from approximately three suppliers or consultants, to assure competitive prices, for the procurement of readily available goods or services, or standard specification commodities of small value. Requests for quotations shall indicate the description and quantity of the goods or services, as well as the desired delivery (or completion) time and place. The evaluation of quotation shall follow the basic principles provided in these Procurement Regulations. Quotations may be submitted by letter, facsimile or by electronic means. The terms of the accepted offer shall be incorporated in a purchase order or brief contract.

### ▪ **Single-source procurement**

Single-source procurement may be undertaken in the following exceptional circumstances:

- The subject matter of the procurement is available only from a particular supplier or consultant, or a particular supplier or consultant has exclusive rights in respect of the subject matter of the procurement, such that no reasonable alternative or substitute exists, and the use of any other procurement method would therefore not be possible;
- In exceptional cases when there is an extremely urgent need for the subject matter of the procurement, such as in response to natural disasters, and engaging in any other method of procurement would be impractical because of the time involved in using those methods;
- The procuring entity, having procured goods, equipment, technology or services from a supplier or consultant, determines that additional supplies or services must be procured from

that supplier or consultant for reasons of standardization or because of the need for compatibility with existing goods, equipment, technology or services, taking into account the effectiveness of the original procurement in meeting the needs of the procuring entity/project management unit, the limited size of the proposed procurement in relation to the original procurement, the reasonableness of the price and the unsuitability of alternatives to the goods or services in question;

- The procuring entity determines that the use of any other method of procurement is not appropriate for the protection of essential security interests or confidential information; or
- When the estimated value of the procurement contract is regarded as a low value under the applicable regulation.

## 6. Financial Management and Disbursement

### 6.1. Financial Management and Disbursement Arrangements

- Financial management and disbursement arrangements required under this Manual aim to achieve the following objectives:
  - To enhance transparency in financial management and use of funds to ensure that project resources are spent in full compliance with the covenants under the Agreement on Fund Disbursement with efficiency and effectiveness;
  - To provide clarified requirements and procedures for project management and implementation, including Monitoring and Evaluation (M&E) tasks.
- The funds shall be spent for intended purposes as specified in the Agreements on Fund Disbursement. To this end, all selected organizations (fund recipients) must adopt adequate financial management controls:
  - A separate bank account (or subaccount) in United States Dollars (USD) held at financial institutions (commercial banks)<sup>6</sup> for the purpose of depositing and expending the grant fund disbursed must be established.
  - The account name must be the official name of the PIA and/or title of the project ect.
  - No other funding shall be deposited into this account, and no expenditures which are not for eligible costs under the approved fund shall be paid from this account.
  - No funds disbursed under the approved fund may be transferred to other bank accounts owned by the recipients that contain funds from any other sources.
- A disbursement schedule is prepared for each fund. This schedule details the content of, and due date for each report the PIA is required to submit under the Agreement on Fund Disbursement. In addition, the schedule specifies the amount of payment and the indicative disbursement date for each scheduled funding. The payments schedule is included in the Agreement on Fund Disbursement.
- The first installment, which covers 50% of the amount of the approved fund, is disbursed after both MI and a PIA have signed the Agreement on Fund Disbursement, and MI has received an official authorization of the ROK MOFA.
- The subsequent payment, which covers the 50%, is conditional on the receipt of Mid-term Report due at the date indicated in the Agreement of Fund Disbursement. In case of under expenditure, the balance should be returned to the MI.
- All funds will be denominated and funded in United States Dollars (US\$).

### 6.2. Financial Documentation

- Fund receipts and expenditures are requested to be properly accounted and recorded in the financial management systems of a PIA. The following are the key documents that must be maintained and easily accessible for supervision, M&E, and audit purposes:

---

<sup>6</sup> Financial institutions must fully meet the requirements: (i) Be financially sound; (ii) Be audited regularly, and receive satisfactory reports; (iii) Be able to perform a wide ranges of banking services satisfactorily; (iv) Be able to provide detailed bank statements; (v) be part of satisfactory correspondent banking network; and (vi) charge reasonable fees for banking services.

- Bank statements showing transactions of fund receipts and payments including per diem;
- Supporting documents, including procurement contract, invoice, receipt, payment voucher, travel documents, training and workshop-related documents, minutes/ToR for consultancy services, and others evidencing that project activities are in progress or fully completed;
- 
- Financial reports
- Fund Agreements and Disbursement Letters

Project Category	Financial Documents	Remarks
<b>A. DIRECT COSTS:</b> are related to project activities		
<b>1. Personnel:</b>		
<b>1.1. Personnel</b> (Senior Resource Person and Subject expert)	- Time sheet - Detailed session summary	- Proof of university degree or work experience may be requested
<b>1.2. Personnel</b> (facilitator)	- Time sheet - Detailed Session summary	- Proof of university degree or work experience may be requested
<b>2. Consultancy services (Professional):</b>		
<b>2.1. International and National Consultant/Remuneration fee</b>	- Copy of Agreement or Contract or Special Service Agreement (S SA) - Original (or Certified Copy of) Bank Transfer Slip or Receipt signed by Consultant	- Proof of university degree or work experience may be requested
<b>2.2. Reports, communication materials, and publications</b>	- Copy of Agreement or Contract or Special Service Agreement (S SA) - Original (or Certified Copy of) Bank Transfer Slip or Receipt signed by Consultant	- Proof of university degree or work experience may be requested
<b>2.3. Airfare</b>	- Boarding Pass(es) / ticket(s) - Original (or Certified Copy of) Invoice and/or Receipts	
<b>2.4. Ground transportation</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>2.5. Accommodation</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>3. Direct Supplies and Services:</b>		
<b>3.1. Meeting/Training Package</b> (consists of venue, coffee breaks and lunch)	- Original (or Certified Copy of) Invoice and/or Receipts	

	- Meeting/training minutes or report	
<b>3.2. Translation services</b>	- Copy of Agreement or Contract or Special Service Agreement (SSA)  - Original (or Certified Copy of) Invoice and/or Receipts	
<b>3.3. Other expenditures under Category 3</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>4. Travel (for the PIA and/or participants of the event):</b>		
<b>4.1. Airfare</b>	- Boarding Pass(es) / ticket(s)  - Original (or Certified Copy of) Invoice and/or Receipts	
<b>4.2. Ground transportation</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>4.3. Accommodation</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>4.4. Per Diem/Food</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>4.5. Travel issuance</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>5. Equipment:</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>6. Other Direct Costs:</b>	- Original (or Certified Copy of) Invoice and/or Receipts	
<b>B. INDIRECT COSTS</b>		
<b>1. Management fee</b>		
* All invoice and/or receipt should be attached on the provided Receipt format (Appendix 8-10).		

**6.3. Financial Reports**

- The **Mid-term Financial Report** must show the amount budgeted for each line item, the amount expended against each budget line as of the date of the report, including the remaining balance in each line. Totals must be shown for each of the three columns with explanations for material and irregular variances. Also, financial reports must also indicate bank account balance against received and disbursed amounts, which are reconciled with the bank statements issued by designated financial institutions.

- The **Final Financial Report** is the consolidation of the Mid-term Financial Report that must accurately present all financial information on grant fund receipt and use of funds for intended purposes. The structure of the final financial report is the same as the mid-term financial report.
- All supporting documents as indicated below shall be submitted to MI as an integral part of the financial reports and attached by (i) Approved Proposal with approved budget; (ii) Copy of agreed work plan, and (iii) Copy of Disbursement Letter.

## 7. Result-Based Monitoring Implementation and Performance

### 7.1. Reporting

- MI has adopted the model of results-based monitoring and evaluation (M&E) system based on a well-constructed results framework. The system will use guidelines for systematic result-based M&E of progress and performance and outcomes, including reporting formats, field visits data collection, case studies for reporting, organized learning, and sharing input to policy dialogue.
- Result-based M&E of Project Implementing Agency will be undertaken on the basis of their periodic progress/performance and financial reporting as well as regular monitoring visits.
- MI will assist the PIA to efficiently implement the awarded funds through establishing a quality assurance system to assure that implementation is moving in the right direction toward achievement and accomplishment of designed objectives and results in a timely manner.
- Project Implementing Agency will be required to submit a Quarterly Monitoring Report) and Mid-term Progress Report. The reports should be against the respective results indicators. Reporting deadlines will be specified in the Agreement on the Fund Disbursement. All reports and related documents must be in English and should document the project activities and generated results and outcomes, lessons learnt and the expenditures up to the date of the report.
- All of the reports must be written in English, typed, single spaced with 11-sized Times New Roman font.

### 7.2. Mid-term Progress Report

- A Mid-term Progress Report shall contain a description of the work accomplished to date, generated results and outcomes, lessons learnt; problems addressed during project implementation, describe strategies designed to overcome the problems, and a brief outline of the activities planned for the remaining project period.
- Any problems, e.g. concerns and issues, arising out of the project implementation that was not anticipated should immediately be brought to the attention of MI. If action is needed or requested, MI will discuss with PIA to determine what actions may be taken within the reporting/project implementation periods.

### 7.3. Final Report

- The Final Report should cover all of the above for the period covered by the report in which the funded activities were carried out, information with which to evaluate the project achievements and impact, a statement of all the eligible costs, and a full summary statement of the fund's receipts and expenditures and payments received.
- The Final Report should include evidence that the full scope of work set in the indicative work plan has been successfully conducted, including, among other items, (i) a technical narrative summarizing the project's outcomes against the results framework, (ii) practical recommendations resulting from the accomplished work, and (iii) an account of outreach and dissemination activities undertaken. Also, the PIA should submit any training or meeting materials that were circulated to the participants.



#### 7.4. Monitoring Visits

- MI will assign focal person(s) to oversight, follow-up with PIA, and visit the PIA during the project implementation. The purpose of these monitoring visits is to discuss the progress based on the information the PIA has provided in the proposal and the indicative work plan. These monitoring visits also provide an opportunity for providing technical assistance, coaching and mentoring the PIA. The visits serve an integral part of the capacity development approach.
- Monitoring visits will allow MI to monitor physical/technical progress, and the administrative, financial and internal control systems of the grantees, and assess the results of technical assistance or capacity development provided to the PIA.
- MI will conduct site visits to the PIA office to help and support the compliance in accounting, financial, procurement, and controls requirements in line with the Generally Accepted Accounting Principles (GAAP) and International Audit Standards (IAS). This will ensure the effective and efficient use of donor funds and proper management of resources while providing technical assistance and capacity development support as needed.

## 8. Internal and External Audits

- All expenditures will be externally audited by an independent and reliable audit firm with international affiliation. The external financial audit of each grant fund is an integral part of the consolidated audited financial statements of MI.
- An external audit shall review not only the expenditures of the PIA during the project period and audit the schedule of receipts and expenditures of the grant funds, but will also check the existence, adequacy, and effectiveness of internal control system. Receipts for expenditures of grant funds in the audit report should be reconciled with the amounts reported by the PIA. If inconsistencies are found, payments to the PIA may be suspended while MI conducts investigation.
- The audit report on the project financial statements must be supported by a Management Letter. Schedule of required report and external audit report is described in the following table.

REPORT	SUBMISSION
Mid-term report (Progress and financial reports)	As indicated in the Agreement on Fund Disbursement
Final report (Completion and financial reports)	No later than sixty (60) calendar days after the completion of project
Annual External Audit Report with a Management Letter	To be notified by MI
Final External Financial Audit Report with a Management Letter	To be notified by MI

- The reporting requirements can be summarized in the following chronological order by (i) Mid-term Progress Report, (ii) Final Report. The PIA shall maintain books, records, documents, and other evidence relating to the Fund in accordance with International Accounting Standards, International Reporting Standards and International Standards on Auditing. The PIA shall assume full responsibility for effective and proper administration of funds. The PIA's original accounting, financial and procurement records, as well as all fund documents (including narrative reports, Agreement on Fund Disbursement, and amendments) shall be made available to MI, external auditors, and the ROK.

## Appendix 1: Project Concept Paper

### A. Cover page (1 page)



### Mekong-ROK Cooperation Fund (MKCF) Project Concept Paper

<b>1.1. Name and Address of Organization</b>	
<b>1.2. Contact Person</b>	
- Name	
- Telephone	
- Fax	
- email	
<b>1.3. Title of Proposed Project / Sector</b>	
<b>1.4. Country(ies) / Region</b>	
<b>1.5. Total Project Cost</b>	
<b>1.6. Duration of Project</b>	
<b>1.7.</b>	
- Signature	
- Name	
- Title	

### B. Technical (3 pages )

<b>1.1. Introduction</b>	<i>Provide a brief background on the specific development challenge or opportunity the project will address. Indicate the nature of the issue including a description of the target population and its regional implication<sup>7</sup>.</i>
<b>1.2. Objective</b>	<i>State the short and long-term objectives of the project and how objectives relate to specific challenges or opportunities in the specific sector<sup>8</sup> in the country and Mekong region. Also explain how the project promotes cooperation between the Mekong countries and the ROK and contributes to the sustainable development of the Mekong region.</i>
<b>1.3. Description of Specific Activities</b>	<i>Provide the 1) method(s) of approach 2) brief description of the activities to achieve the stated objective(s)</i>

<sup>7</sup> Mekong region (Cambodia, Laos, Myanmar, Vietnam and Thailand)

<sup>8</sup> The Fund provides grants to support catalytic and innovative activities in the six priority sectors: (1) Infrastructure, (2) Information Communication Technology (ICT), (3) Green Growth, (4) Water Resource Development, (5) Agriculture and Rural Development, (6) Human Resource Development.

	<p>3) how the regional challenges or opportunity will be addressed</p> <p>4) potential Partners in the Mekong region and role of the partners in the project.</p>
<b>1.4. Anticipated Results</b>	<i>Describe the expected outputs, outcomes and impact upon completion of the project.</i>
<b>1.5. Monitoring Framework</b>	<i>Provide indicative measures to monitor and evaluate the results of the project and how the results will benefit or be shared in the Mekong region.</i>

**C. Financial (2 pages )**


<b>1.1. Financial Statement</b>	<i>Provide a brief statement as to why the proposed activities are feasible both technically and financially.</i>
<b>1.2. Estimated Cost</b>	<i>Provide an estimated budget (total cost), year wise (for multi-year project) and cost share.</i>

**D. Attachments**

*Any additional documents that provide information on past experience in implementing development projects, institutional capabilities and biography of the core project team.*

Appendix 2: [full proposal package] Project proposal

**(1) Summary page**

	
<b>Project Classification (check all that applies)</b>	
<input type="checkbox"/> Infrastructure <input type="checkbox"/> Information Communication Technology (ICT) <input type="checkbox"/> Green Growth <input type="checkbox"/> Water Resource Development <input type="checkbox"/> Agriculture and Rural Development <input type="checkbox"/> Human Resource Development	
<b>Project Title</b>	
-	
<b>Brief Description of the Project</b>	
-	
<b>Country / Region</b>	
-	
<b>Estimated Budget</b>	
xxx USD	
<b>Proponent</b>	
Name	
Address	
<b>Date of Submission</b>	dd/mm/yyyy

(2)



Mekong-Rok Cooperation Fund (MKCF)  
Project Proposal

Brief Project Information	
1.1. Project Title	
1.2. Country (ies) / Region	
1.3. Date of Submission	
1.4. Proponent Contact Details	
Contact person, position	-
Organization	-
Email address	-
Telephone number	-
Mailing address	-
1.5. Project Area (check all that applies)	
<input type="checkbox"/> Infrastructure <input type="checkbox"/> Information Communication Technology (ICT) <input type="checkbox"/> Green Growth <input type="checkbox"/> Water Resource Development <input type="checkbox"/> Agriculture and Rural Development <input type="checkbox"/> Human Resource Development	
Project Milestone	
Estimated implementation start date	<u>dd/mm/yyyy</u>
Estimated implementation end date	<u>dd/mm/yyyy</u>
Project lifespan	_____ years _____ months
Description of Financial Elements	
Estimated cost	
Background / Justification	
Problems (to be addressed)	
1. 2. 3.	
Project Objective	
<i>Is it relevant to (1) national (2) regional priorities and (3) consistency to the MKCF Priorities?</i>	
Project Description / Implementation Arrangement	
<i>Describe the main activities (Refer to (3) Indicative Work Plan) Provide information on how the activities are linked to objectives that the project intends to achieve</i>	
Value Added for the MKCF Involvement/Impact Potential	
<i>Please specify why the MKCF involvement is critical for the project and the potential of the project to contribute to the achievement of the Fund's objectives</i>	

<b>Exit Strategy</b>					
<i>Explain how the project sustainability will be ensured in the long run, after the project is implemented with support from the MKCF</i>					
<b>Outcomes, Outputs, Activities and Inputs at Project level</b>					
Expected Result	Indicator	Means of Verification	Target		Remarks
			Mid-term	Final	
<b>Project outcomes</b>					
1.					
2.					
3.					
...					
<b>Project outputs (that contribute to outcomes)</b>					
1.					
2.					
3.					
...					
Activities	Description				
1.1.					
1.2.					
2.1.					
2.2.					
...					

**Appendix 3: [proposal package] Indicative budget**

- excel file will be provided.



Appendix 4: [proposal package] Indicative Work Plan

	MONTH																							
TASK	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Output 1.	- e.g. conduct the 1 <sup>st</sup> training																							
Activity 1.1.	- training curriculum development - Budget: xxx USD																							
		X	X																					
Activity 1.2.																								
Activity 1.3.																								
...																								
Output 2.																								
Activity 2.1.																								
Activity 2.2.																								
Activity 2.3.																								



Appendix 5: [proposal package] TOR

TERMS OF REFERENCE OF KEY PROJECT CONTRACTED PERSONNEL

No.	Name	Organization	Position	e-mail / phone	Remarks
1	Dr./Mr./Ms.				e.g. TOR No. 1
2					
3					
4					

\* Note: Please add more rows when needed.

TERMS OF REFERENCE

TOR No. 1	
Position	
Job Level	
Duty Station	
Responsibilities	
Requirements	
Date	DD/MM/YY

TOR No. 2	
Position	
Job Level	
Duty Station	
Responsibilities	
Requirements	
Date	DD/MM/YY

## Appendix 6: Agreement on Fund Disbursement (to be signed)



### Mekong – ROK Cooperation Fund (MKCF) Agreement on Fund Disbursement

Project Implementing Agency (xxx) will be responsible for implementing the project titled xxx supported by the MKCF as follows:

<b>Project Title</b>			
<b>Project Implementing Agency</b>	name of the agency	<b>Project director</b>	full name title email address phone number
<b>Project commencement date</b>	Insert the date for the first activity in the indicative work plan of the approved proposal	<b>Project implemented date</b>	Insert the date for the final activity in the indicative work plan of the approved proposal
<b>Mid-term Progress Report Submission date</b>	DD/MM/YY	<b>Final report Submission date</b>	DD/MM/YY

The total budget approved and endorsed for this project is xxx USD. (*insert name of the PIA*) agrees that MI disburses the 1<sup>st</sup> and 2<sup>nd</sup> installments to the bank account given as below, and in case of failure to provide the required financial documents, (*insert name of the PIA*) is obligated to return the respective amount to MI's MKCF account. Moreover, the remaining balance allocated for one budget item cannot be used for other disbursements and should be returned back to the MKCF account as well.

Payment	Amount (USD)	% of the total budget	Remarks
1 <sup>st</sup> installment		50%	Once signed 'Agreement of fund disbursement' is received by MI
2 <sup>nd</sup> installment		40%	Once the mid-term report is received and confirmed by MI
Final installment		10%	Upon satisfactory completion of all activities of the project with clear exit strategy
<b>Total</b>		100%	

<b>Name of the Bank</b>	
<b>Address of the Bank</b>	
<b>Swift Code</b>	

<b>Recipient's account name</b>	The account should <b>Not</b> be a personal one.
<b>Recipient's account number</b>	
<b>Recipient's address</b>	

Project director's name Title, Department Name of the Project Implementing Agency	Mr. Madhurjya Kumar Dutta Coordinator of the MKCF and Director of the Trade & Investment Facilitation Department, Mekong Institute	Dr. Watcharas Leelawath Executive Director Mekong Institute
Signature_____	Signature_____	Signature_____
Date_____ - _____	Date_____ - _____	Date_____ - _____



Appendix 7: [Receipt format] (1) Purchase Receipt

Purchase Receipt (Ref. number: _____)				
Project Title / Country :				
Project director :				
Project Duration :				
No.	Item (eg. Flight ticket / Computer)	Description (eg. Purpose)	Amount	Date
Purchased as above.				
Project director's name :				
Project director's signature :				
Date:				
Receipt				
<p><b>Please attach the original receipt here.</b> <b>In case of purchasing a flight ticket, the boarding pass should be provided here also.</b> <b>You can use a separate A4 paper if needed.</b></p>				

Appendix 8: [Receipt format] (2) Outward Remittance Receipt

Outward Remittance Receipt (Ref. number: _____)
<b>Project Title / Country :</b>
<b>Project director :</b>
<b>Project Duration :</b>
Bank name of the recipient : Account number of the recipient: Currency : Amount :
Receipt
<b>Please attach the original bank slip here. You can use a separate A4 paper if needed.</b>



Appendix 9: [Receipt format] (3) Cash Payment Receipt


<b>Cash Payment Receipt</b> (Ref. number: _____)
<b>Project Title / Country :</b>
<b>Project director :</b>
<b>Project Duration :</b>
Name of the recipient :
Affiliation of the recipient :
Position of the recipient :
Nationality :
Passport Number :
Total amount paid (e.g. honorarium) :
I hereby verify that I received the amount specified above for _____.
Recipient's name :
Recipient's signature :
Date :

**Appendix 10: Workshop / Meeting Minutes**

Workshop / Meeting Minutes (Ref. number: _____)				
Project Title / Country :				
Project director :				
Project Duration :				
Date	dd / mm / yy time		Venue	
Title of the workshop / meeting	(e.g. Logistics Management And Supply Chain)			
Subjects Discussions				
Remarks				
Participant	Name	Affiliation	e-mail/ contact number	Signature

## Appendix 11: Mid-term Progress Report

### (1) Progress Report

 <p style="text-align: center;"><b>Mekong – ROK Cooperation Fund (MKCF)</b> <b>Mid-term Progress Report</b></p>	
<b>A. Brief Project Information</b>	
1.1. Project title	
1.2. Country (ies) / region	
1.3. Project area	
<input type="checkbox"/> Infrastructure <input type="checkbox"/> Information Communication Technology (ICT) <input type="checkbox"/> Green Growth <input type="checkbox"/> Water Resource Development <input type="checkbox"/> Agriculture and Rural Development <input type="checkbox"/> Human Resource Development	
1.4. Implementation start/end date	
Implementation start date	<u>dd/mm/yyyy</u>
Implementation end date	<u>dd/mm/yyyy</u>
Project lifespan	_____ years _____ months
<b>B. Prepared by</b>	
Name:	-
Title:	-
Department:	-
Name of the Implementing Agency:	-
Signature:	-
Date:	-
<b>C. Update on progressive implementation of the project</b>	
<i>Provide information on the current status and progress made under the grant in terms of the achievements/milestones reached to-date as compared to the work plan</i> Xxx	
<b>D. Problems Encountered/Deviations</b>	
<i>Address problems encountered in the course of the project and suggest reasons, if any and solutions</i> xxx	
<b>E. Work plan for the remaining activities</b>	
Use the format in Appendix 3	

**(2) Mid-term Financial report**

- excel file will be provided.




**Mid-term Financial Report**

Implementing Agency					
Project Title					
Grant Start Date	dd/mm/yy				
Grant End Date	dd/mm/yy				
Grant Amount (USD)					
<b>Budget and Report Summary</b>					
1st installment received on					
Total expenditure as of					
dd/mm/yy					
Balance as of dd/mm/yy					
<b>Reporting Period</b>					
dd/mm/yy - dd/mm/yy					
Budget line <sup>9</sup>	Description	Ref. number	Approved budget (x) USD	Actual expenditure (y) USD	Balance (x-y) USD
Category 1 (e.g. Consultant and Expert)					0
1.1. xxx					0
...					0
Category 2 (e.g. Operational Cost)					0
2.1. xxx					0
...					0
Category 3					0

3.1.						0
...						0
Total (USD)			0	0		0

## Appendix 12: Final report

### (1) Final report

 <p style="text-align: center;"><b>Mekong – ROK Cooperation Fund (MKCF)</b> <b>Final Report</b></p>																			
<b>A. Brief Project Information</b>																			
1.1. Project title																			
1.2. Country (ies) / region																			
1.3. Project area																			
<input type="checkbox"/> Infrastructure <input type="checkbox"/> Information Communication Technology (ICT) <input type="checkbox"/> Green Growth <input type="checkbox"/> Water Resource Development <input type="checkbox"/> Agriculture and Rural Development <input type="checkbox"/> Human Resource Development																			
1.4. Implementation start/end date																			
Implementation start date		dd/mm/yyyy																	
Implementation end date		dd/mm/yyyy																	
Project lifespan		_____ years _____ months																	
1.5. Approved project budget (USD)																			
1.6. Date of 1 <sup>st</sup> and 2 <sup>nd</sup> installments																			
1 <sup>st</sup> installment																			
2 <sup>nd</sup> installment																			
<b>B. Prepared by</b>																			
Name:		-																	
Title:		-																	
Department:		-																	
Name of the Implementing Agency:		-																	
Signature:		-																	
Date:		-																	
<b>C. Project outputs</b>																			
<p>- Briefly describe the project objective(s) and tangible outputs that were achieved.</p> <p>- Attach the output document(s) like Program Agenda, <b>Workshop / Meeting Minutes, Questionnaires, List of Participants, Photos</b> etc.</p> <p>- Attach any other assessment report drafted for the project</p> <p>xxx</p>																			
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;"></th> <th style="width: 30%;">Indicator</th> <th style="width: 20%;">Achieved</th> <th style="width: 30%;">Remarks</th> </tr> </thead> <tbody> <tr> <td><b>Project output 1.</b></td> <td></td> <td style="text-align: center;">o/x</td> <td></td> </tr> <tr> <td><b>Project output 2.</b></td> <td></td> <td></td> <td></td> </tr> <tr> <td>...</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>					Indicator	Achieved	Remarks	<b>Project output 1.</b>		o/x		<b>Project output 2.</b>				...			
	Indicator	Achieved	Remarks																
<b>Project output 1.</b>		o/x																	
<b>Project output 2.</b>																			
...																			
<b>D. Project outcomes</b>																			

- Briefly describe the project outcomes that were achieved.

	Indicator	Achieved	Remarks
Project outcome 1.		o/x	
Project outcome 2.			
...			
<b>E. Contribution towards developing the Mekong Countries and deepening the Mekong-ROK cooperation</b>			
xxx			
<b>F. Overall Project Assessment</b>			
<i>- Outline two or three key findings or lessons learned arising from the implementation of the project.</i> <i>- If applicable, provide explanation for any adjustments made for project implementation</i> <i>- Provide guidance to the design and implementation of future or related projects.</i>			
xxx			
<b>G. Financial Analysis</b>			
xxx			
<b>H. Project Completion Check List</b>			
xxx			
<b>I. By Mekong Institute</b>			
xxx			

Name xxx

Title xxx

TIF

Mekong Institute

Signature

Date

**(2) Financial report**

- excel file will be provided.



**Final Financial Report**

Implementing Agency					
Project Title					
Grant Start Date	dd/mm/yy				
Grant End Date	dd/mm/yy				
Grant Amount (USD)					
<b>Budget and Report Summary</b>					
2nd installment received on					
Total expenditure as of					
dd/mm/yy					
Balance as of dd/mm/yy					
<b>Reporting Period</b>					
dd/mm/yy - dd/mm/yy					
Budget line <sup>10</sup>	Description	Ref. number	Approved budget (x) USD	Actual expenditure (y) USD	Balance (x-y) USD
Category 1 (e.g. Consultant and Expert)					0
1.1. xxx					0
...					0
Category 2 (e.g. Operational Cost)					0
2.1. xxx					0
...					0
Category 3					0



3.1.					0
...					0
Total (USD)			0	0	0

## Appendix 13: Quarterly Monitoring Form

### Quarterly Monitoring Form

Project title :

Project Objective :

Implementing Agency / Country :

Funded by :

Project commencement date :

Project completion date

Mid-term report submission date :

Final report submission date

Approved Budget :

Reporting Period :

Output/Activities/Tasks	Planned												Progress	Remarks	Fund Utilization		
	Year:														Approved amount	Actual Expenditure	
	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan					

<i>Please add</i>																		
Output 2																		
Activity 2.1																		
Activity 2.2																		
<b>Total</b>																		

Approved by  
Project Team Leader  
Date:

Prepared by  
Administration Officer in charge  
Date:

Name:

Name:

Note: Progress including completed, ongoing, postponed, cancelled

## Appendix 14: Quarterly Cash Book

Cash book for the period from date/month/year To date/month/year												
Date	Ref. No.	Description	Contractors/ Suppliers	Cash Debit	Cash Credit	Cash Balance	EXPENSES					
							Cat.01 Personnel	Cat.02 Consultancy services (Professional)	Cat.03 Direct Supplies and Services	Cat.04 Travel (for the PIA and/or participants of the event)	Cat.05 Equipment	Cat.06 Other Direct Costs
1	2	3	4	5	6	7	8	9	10	11	12	13
		1st installment received by MI										
		Personnel (facilitator)	Project team		xxxx		xxxx					
		International and National Consultant/Remuneration fee	company name or individual consultant name		xxxx			xxxx				
		Reports, communication materials, and publications	XYZ printing						xxxx			
		Airfare	XYZ Travel/Airways						xxxx			
		Ground transportation	XYZ Car Rent						xxxx			
		Accommodation	Mekong Hotel						xxxx			
		Meeting/Training Package (consists of venue, coffee breaks and lunch)	XYZ Training centre						xxxx			
		Translation services	XYZ Translation Service						xxxx			

		Other expenditures under Category 3							xxxx			
		Airfare										
		Ground transportation										
		Accommodation										
		Per Diem/Food										
		Travel insurance										
		<b>Balance this Month / Expense per Category</b>		-	-	-						
		<b>Total Expenses this Quarter</b>										