



**TECHNICAL COOPERATION PROJECT FOR CAPACITY BUILDING
OF
HO CHI MINH CITY UNIVERSITY OF TECHNOLOGY
TO
STRENGTHEN UNIVERSITY COMMUNITY LINKAGE
(PHASE 2)**

FINANCIAL MANAGEMENT GUIDELINES (BATCH 3)

SUPREM-HCMUT

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Form 4	Financial Report
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Form 8	Record of Transportation
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Form 10	Activity Report
Form 11	Joint Research Report

CHAPTER 1: OBJECTIVES

The research teams selected for Joint Research under SUPREM-HCMUT are provided with research funds. Planning and implementation of research funds is part of research management, and the research teams are requested to take the full responsibility to utilize the allocated funds effectively to pursue the research activities planned in their Joint Research Detail Plan.

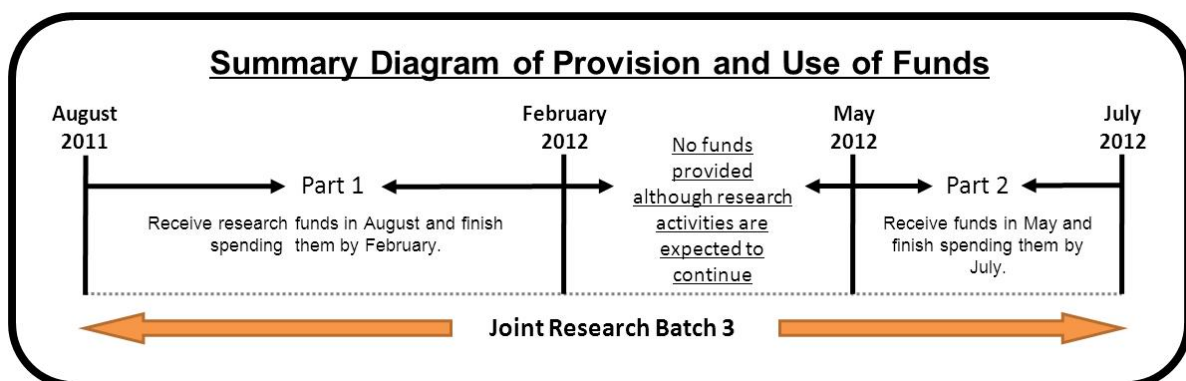
This guideline explains procedures and regulations of financial management of research funds under SUPREM-HCMUT.

CHAPTER 2: BUDGET ALLOCATION

The total amount is to be divided into the number of research teams selected for the Joint Research Batch 3. The amount allocated to each team is incorporated in the Agreement to be signed by JICA Team Leader and Research Team Leader, witnessed by the Vice Rector of HCMUT as the Project Manager.

The budget for each research team comes in two parts: Part-1 (August 2011 – February 2012) and Part-2 (May 2012 – July 2012) (see the diagram below). After each part, respective research teams are required to settle the account with submission of all necessary documents to and repayment of balance (if any) to JICA Team.

NB: **No research funds** will be provided by JICA or in other words no JICA funds can be spent or used **during the period between Part-1 and Part-2**. Seek alternative financial sources to cover for ongoing research activities.



CHAPTER 3: APPLICABLE ITEMS

3.1 ITEMS COVERED BY SUPREM-HCMUT FUNDS

In principle, SUPREM-HCMUT funds can be used on the following items. The section below defines and explains about each of these items according to the rules under SUPREM-HCMUT.

- Research equipment
- Software and software license
- Consumables
- Reference materials
- Traveling cost
- Outsourcing
- Rental equipment
- Hiring of manual/unskilled workers
- Rental car
- Other

3.1.1 Research Equipment

Research equipment refers to a set of tools, devices, machines, kit, etc. necessary for carrying out proposed research activities. It is an item which is **VND5,000,000 or more in unit price** (cost per item).

3.1.2 Software and Software License

Software is a set of programs and data that direct the operations of a computer system to carry out proposed research activities. Software license is a legal instrument controlling the usage of software.

3.1.3 Consumables

Under SUPREM-HCMUT, consumables refer to items with **the unit price of less than VND 5,000,000** which are necessary for carrying out proposed research activities. In this sense, items such as electric goods, factory products and machines are also categorized into “consumables” provided that these items are less than VND5,000,000 in unit price. Parts of equipment, of which the durability is less than one (1) year, are also considered “consumables”.

3.1.4 Reference Materials

Reference materials refer to literature, textbooks and academic journals relevant to proposed research activities.

3.1.5 Traveling Cost

Under SUPREM-HCMUT, traveling cost refers to **daily, accommodation and transportation expenses** incurred when traveling to target provinces in order to carry out proposed research activities. Keep in mind the following points:

- Traveling cost is **payable only to the members of a SUPREM-HMUT research team** (those whose names are listed in the Detail Plan) who **travel to/from/within their team’s target province**. If new research members are added, inform JICA Team in writing ahead of time.
- Traveling cost is payable only at the pre-fixed rates (see the following table), regardless of the actual cost spent for traveling.

Traveling Cost (Fixed)

Updated: 01/11/2010

Type of Cost/Allowance	VND
Daily (per day)	150,000
Accommodation (per night)	300,000
Transportation (per one-way)	
Ho Chi Minh City - Tien Giang	50,000
Ho Chi Minh City - An Giang	120,000
Ho Chi Minh City - Dong Nai	48,000
Ho Chi Minh City - Binh Duong	45,000
Ho Chi Minh City - Lam Dong	140,000

NB: When traveling by rental car, transportation allowance is not provided.

- Traveling cost is **not payable** to those members belonging to **private sector organizations** such as companies/firms.
- **The amount of budget that can be spent for traveling cost and car rental combined should be no more than 20%** of the total amount of budget provided to each research team.

Traveling Cost + Car Rental < 20% of the total budget provided

- Traveling cost (daily allowance, accommodation allowance and transportation) is borne by JICA Project Office and not paid out of the joint research funds when the research team travels to sites with its overseas research partner.
- Traveling cost is covered only when accurate Receipt(s) of Traveling Cost (see **Form 3** in this Financial Management Guidelines) together with accurate Visiting Report(s) (see **Form 2**) are submitted.

3.1.6 Outsourcing

Outsourcing is the use of and payment for skilled workers from outside the research team to do a job which cannot be carried out by the research team members themselves.

In principle, **research activities, such as analysis and tests, should be carried out by the members of joint research team themselves.** In case it is not possible to do so with justified reasons, the research team should consult JICA Team.

Note that the amount of budget that can be spent for outsourcing should be **no more than 20%** of the total amount of funds provided to each research team.

Budget spent for outsourcing < 20% of the total budget provided

3.1.7 Rental Equipment

Rental equipment refers to an equipment which is not available in the research team's laboratory or/and HCMUT and therefore rented from a company outside of HCMUT for a fee.

3.1.8 Hiring of Manual/Unskilled Workers

Manual or unskilled workers can be hired to carry out simple labor work necessary for proposed research activities only if the workload is beyond the capability of the research team members to handle among themselves. Note that it is not permitted for the team members to be the “manual workers” and receive remunerations.

In principle, **research activities including manual labor such as digging and hauling should be carried out by the joint research team members themselves**. In case it is not possible to do so with justified reasons, the research team should consult JICA Team.

3.1.9 Rental Car

Cars or trucks can be rented from car rental companies if it is necessary to travel with a large number of people or visit places where public transportation is not available or transfer equipment and materials which cannot be carried on public transportation between HCMC and the target province. Keep in mind the following points:

- In principle, there have to be **at least three (3) passengers to rent a vehicle** except when carrying equipment and materials which cannot be carried on public transportation.
- When traveling by a rented vehicle, transportation allowance is not provided.
- **The amount of budget that can be spent for traveling cost and car rental combined should be no more than 20%** of the total amount of research funds provided to each research team.

Traveling Cost + Car Rental < 20% of the total budget provided

3.1.10 Other

Other items which do not fall into any of the categories above (3.1.1 - 3.1.10) can be purchased only if they are considered relevant to and necessary for carrying out the proposed research activities. **NB: Purchase or use of these uncategorized items should be consulted with JICA Team first.** Make sure the items intended to be purchased are not listed in **3.2 ITEMS NOT COVERED BY SUPREM-HCMUT FUNDS** (see below).

3.2 ITEMS NOT COVERED BY SUPREM-HCMUT FUNDS

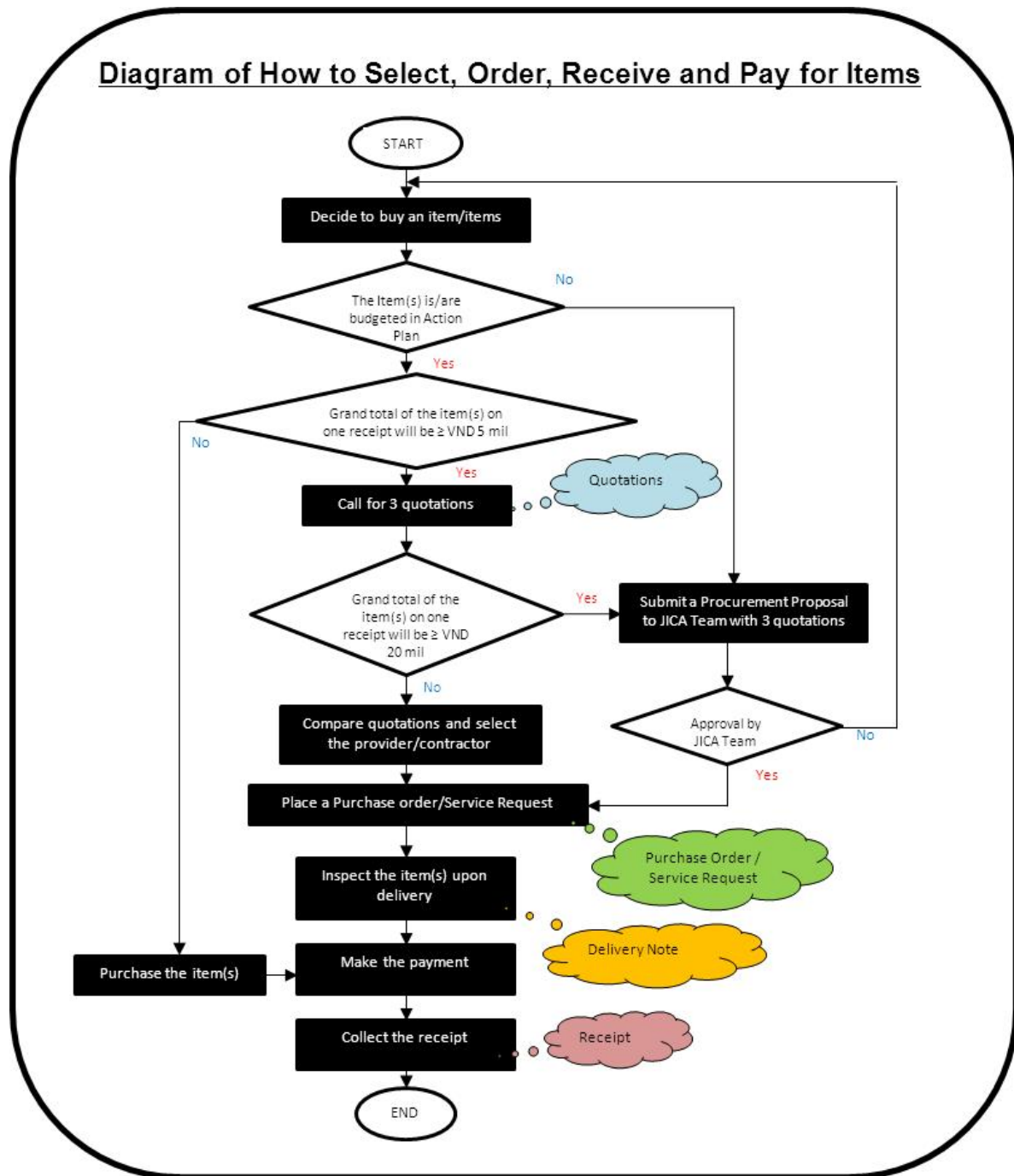
Items that **CANNOT** be covered by SUPREM-HCMUT are as follows:

- Monthly utility bills
- Telephone bills
- Salaries/wages/remunerations for research team members
- Lecture fee and honorarium
- Food and drinks (including refreshments for meetings/seminars)
- Cost for holding meetings/seminars
- Cost for participating in conferences, including registration fee, transportation, insurance, accommodation and daily expenses - NB: Cost for one person per research team to attend one international conference held in Japan or one of the ASEAN-member countries per batch is covered by JICA separately from the joint research funds provided to each team. Contact JICA Team for more details.
- Cost for publishing papers in journal – NB: Cost for one paper per research team per batch to be published in one international academic journal is covered by JICA separately from the joint research funds provided to each team. Contact JICA Team for more details.
- Cost of traveling to places other than the partner province(s) in principle
- Furniture
- Vehicle
- Real property (land, office space)
- Other items considered not to be directly relevant to the proposed research activities

CHAPTER 4: DISBURSEMENT PROCEDURE AND DOCUMENTATIONS

4.1 DISBURSEMENT PROCEDURE

There is a financial procedure which must be followed every time an item needs to be purchased. The procedure is shown in the following diagram:



4.2 REQUIRED DOCUMENTS

The following documents are required, depending on the category of each item to be purchased (see **Table 1** in this Financial Management Guidelines for more details):

- Quotations
- Procurement Proposal
- Purchase Order/Service Request
- Contract
- Delivery Note/Contract Termination
- Visiting Report
- Bill of Wage Payment and Working Record
- Certificate of Unit Price
- Record of Transportation
- Receipt

4.2.1 Quotations

The following points should be studied and taken into account:

- Quotations have to be submitted when **the grand total (i.e. the sum of prices/costs including tax) on one receipt will be VND5,000,000 or more.** (Note: **Items purchased from a same vendor on a same date should be listed on one receipt.**) See an example below:

Items	Unit Price (VND)	Quantity	Amount (VND)
Item A	400,000	1	400,000
Item B	3,500,000	1	3,500,000
Item C	50,000	9	450,000
Item D	250,000	3	750,000
		Total	5,100,000
		VAT	510,000
		Grand Total	5,610,000

Note: In this case, the grand total is over VND5,000,000 and therefore, quotations are required.

- **Three (3) quotations** are required in principle. In case it is impossible to obtain three quotations, consult JICA Team.

- The prices have to be given in **Vietnamese Dong (VND)**. **Purchasing items from companies based outside of Vietnam is not recommendable.**

Grand total on one receipt is equal to or greater than VND5,000,000
 → Submit three quotations priced in VND

- **Down payment or advanced payment** (either in part or whole) is **not permitted**, in principle. In case it is not avoidable, consult JICA Team in advance.
- Quotations must clearly mention whether the prices are **VAT-inclusive (in which case the tax rate of 5% or 10% should be mentioned) or exclusive.**
- When an item is originally sold in USD and the company applies its own exchange rate to convert to VND, make sure the price on the quotation is updated (reflecting the most updated exchange rate) so that the price in all relevant documents (quotation - (procurement proposal) - purchase order - delivery note - receipt) will be consistent.

4.2.2 Procurement Proposal

The following points should be studied and taken into account:

- Procurement Proposal should be submitted when the **grand total (i.e. the sum of prices/costs including tax) on one receipt will be VND20,000,000 or more.** (Note: **Items purchased from a same vendor on a same date should be listed on one receipt.**) See an example below:

Items	Unit Price (VND)	Quantity	Amount (VND)
Item A	10,000,000	1	10,000,000
Item B	250,000	5	1,250,000
Item C	800,000	4	3,200,000
Item D	5,100,000	2	10,200,000
		Total	24,650,000
		VAT	2,465,000
		Grand Total	27,115,000

Note: In this case, the grand total is over VND20,000,000 and therefore, a procurement proposal is required.

Grand total on one receipt is equal to or greater than VND20,000,000
 → Submit a procurement proposal for approval before the purchase

- **Procurement Proposal should be submitted, regardless of the grand total on the receipt, when the item(s) to be purchased is/are not mentioned in the Detail Plan.**
- JICA Team checks the proposal submitted and notifies its decision (approval or non-approval) within a week. The research team should wait until they receive an approval to purchase the proposed item(s).
- Fill-out form is available (see **Form 1**).

4.2.3 Purchase Order/Service Request

The following points should be studied and taken into account:

- A purchase order (or “service request” for outsourcing and equipment rental) should be prepared, signed and sent to the selected vendor by the research team leader (or a team member in case the leader is absent) after comparing the quotations. **In principle, the company offering the lowest price should be selected on a priority basis.**
- Fill-out form is available (see **Form 6**).

4.2.4 Contract (Photocopy)

The following points should be studied and taken into account:

- Contract prepared by the vendor/contractor is needed when renting equipments
- The following information should be clearly mentioned in the contract:
 - Full name and signature of the team leader (or a team member in case the leader is absent)
 - Full name and signature of the contractor/company
 - Start and end date (i.e. duration) of the contract
 - Details of the contract (descriptions of the name/type/model of the rented equipment, descriptions of contracted jobs)
 - Date the contract was signed

4.2.5 Delivery Note/Contract Termination

The following points should be studied and taken into account:

- Delivery note (or “contract termination” for outsourcing and equipment rental) should be issued by the vendor/contractor.
- **A delivery note should be attached to the receipt and submitted to JICA Team if the details of purchased items (e.g. name of item/service, model number, quantity, unit price and amount) are not provided on the receipt.**
- Upon delivery, the Research Team should inspect the delivered item(s) (Check: brand, model number, quantity, condition)
- **After the inspection, the delivery note should be signed** by the team leader and in case the leader is absent, it should be signed by a team member appointed by the team leader.

4.2.6 Visiting Report

The following points should be studied and taken into account:

- A visiting report should be prepared when visiting the partner province for research activities.
- **Only one (1) visiting report per trip/per group** needs to be submitted.
- Fill-out form is available (see **Form 2**).

4.2.7 Bill of Wage Payment and Working Record

The following points should be studied and taken into account:

- Should be filled out when the team hires a manual worker.
- **One (1) manual worker fills out one (1) Bill of Wage Payment and Working Record.**
- This form/document is **regarded as a receipt**.
- No identification or photo of the laborer is required/attached to the form
- Fill-out form is available (see **Form 7**).

4.2.8 Certificate of Unit Price

The following points should be studied and taken into account:

- Should be submitted together with the Bill of Wage Payment and Working Record when hiring a manual worker
- **One (1) Certificate of Unit Price should be prepared for each manual worker before he/she starts the assigned work.**
- Unit price (VND per day) for each manual worker is set by the research team. There is no upper limit to how much the team decides to pay each manual worker. However, the minimum wage set by the government of Vietnam, current market price in the work location, work contents and the amount/length of work should be taken into account in order to give an appropriate unit price.
- Fill-out form is available (see **Form 9**).

4.2.9 Record of Transportation

The following points should be studied and taken into account:

- Whenever the team uses a rental car, one (1) Record of Transportation, which is filled out by the driver/car rental company, needs to be submitted together with the receipt.
- Fill-out form is available (see **Form 8**).

4.2.10 Receipt

The following points should be studied and taken into account:

- For any payment a receipt is an absolute must.
- Receipt must have **the name of the vendor and signature of the person in charge**.
- Receipt must have the **issuing date**.
- Receipt should have the vendor's stamp/seal if available.
- Receipt should be **addressed to the research team leader with his or her official name** as it appears in the Agreement.
- Receipt must have the **details of purchased items (i.e. name of item, model number, quantity, unit price, total amount)**. Otherwise, a delivery note must be attached.
- **Items purchased from a same vendor on a same date should be listed on ONE receipt**. This rule does not apply to the following cases:

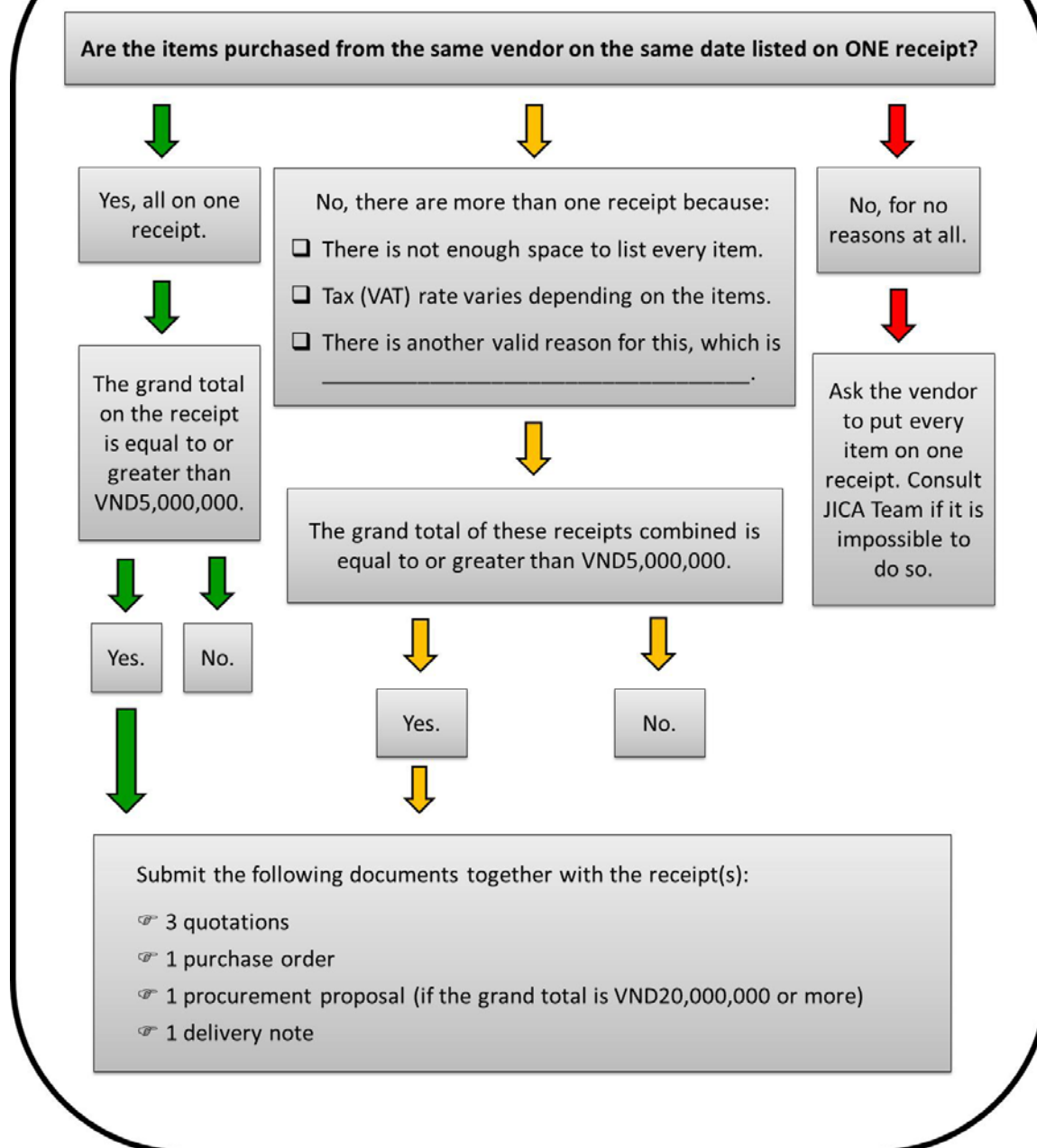
- There is not enough space on the receipt to list every item
- Tax (VAT) rate varies (5%, 10%) depending on each item
- There is a valid reason why the vendor has to issue more than one/separate receipts

However, **even if** the purchased items are listed on several/separate receipts for one or more of the reasons above, the following documents need to be submitted **if the grand total of these separate receipts is VND5,000,000 or more when combined:**

- Three quotations
- One purchase order
- One procurement proposal (if the grand total is equal to or greater than VND20,000,000)
- One delivery note

In case it is impossible to collect these documents for legitimate reasons, consult JICA Team.

How Does the One-Receipt Rule Work?



- **Make sure every calculation on the receipt is correct** (i.e. unit price × quantity, sum of prices, total amount + VAT).
- If the vendor can issue a VAT receipt ("red invoice"), ask for one. If not, the company's original receipt with their seal would suffice.
- For traveling cost, use the Receipt of Traveling Cost form (see **Form 3**). One (1) receipt per one (1) traveler for his/her one trip should be submitted. One trip may be one day or several days. (Receipts from hotels and bus companies are not required.)

- For any particular item purchased, **the information given in all of its related documents** (i.e., quotations, (procurement proposal), purchase order, delivery note and receipt) should be **fully consistent**, including the **brand, model number, quantity, specifications (if any), currency (VND), price and date**.
- Currency must be in **Vietnamese Dong (VND)**.
- Mode of payment must be cash or bank transfer. **Credit card purchase is not allowed.**
- Any cost item not covered by SUPREM-HCMUT (see **3.2 ITEMS NOT COVERED BY SUPREM-HCMUT FUNDS**) must be covered by the research team with its own or other sources of funds.
- **Never white out (or use correction liquid) or overwrite** in case of making mistakes on receipts. Do not punch holes.

Does the receipt have/comply with the following?

- ☒ Name of the vendor/shop/company
- ☐ Signature of the vendor (the person in charge)
- ☐ Full and correct name of the research team leader
- ☐ Details of the purchased item(s) such as:
 - ☐ name of item
 - ☐ model number, if any
 - ☐ quantity
 - ☐ unit price
 - ☐ total amount
 - ☐ VAT, if any
 - ↳ If any of the necessary or required information is missing on the receipt, submit a delivery note.
- ☐ Correct calculations
- ☐ Consistent information when compared/referred to the quotations, purchase order, procurement proposal and delivery note such as:
 - ☐ name of item
 - ☐ brand and model number, if any
 - ☐ quantity
 - ☐ unit price
 - ☐ total amount
 - ☐ date
 - ☐ specifications, if any
- ☐ Everything priced in Vietnamese Dong (VND)
- ☐ No use of correction liquid and overwriting

CHAPTER 5: BANK ACCOUNT

Each research team leader is requested to open a bank account (**interest-free account**) at the Vietcombank Ho Chi Minh City Branch that should be maintained exclusively for SUPREM-HCMUT.

5.1 OPENING BANK ACCOUNT

Keep in mind the following points when opening an account:

- The account name should be the **full name of the research team leader**.
- The team leader, being the account holder, may sign the **letter of attorney** (using the form provided by Vietcombank) to authorize one designated member of his/her research team to do transactions on the bank account on his/her behalf when necessary.
- Research team should provide the account information (account name and account number) to SUPREM-HCMUT JICA Team once the bank account is open.
- The team leader can ask the bank to issue an ATM card and money can be withdrawn from ATM machines using this card.

5.2 SPENDING RESEARCH FUNDS IN THE ACCOUNT

The research team is entitled to **spend down the entire amount in the bank account, except for the initial deposit** made at the time of the opening of the account, by the following dates (NB: These dates are subject to change. The research teams will be notified of any changes accordingly):

Spend:	By (Deadline):
All the research funds for Part-1 (August 2011 - February 2012)	Friday, February 24, 2012
All the research funds for Part-2 (May 2012 – July 2012)	Wednesday, August 1, 2012

Note that **any receipts with a date passing the deadline cannot be accepted**. Any unspent amount should be returned to JICA. After August 1, 2012 (the end of Batch 3 Part-2), the initial deposit can be withdrawn and the bank account closed.

The research team is responsible for any bank fees or charges incurred. These fees can be paid out of the SUPREM-HCMUT research funds.

5.3 REQUESTING AND SUBMITTING BANK STATEMENT

Bank statement should be requested at a Vietcombank branch with a small fee and submitted as follows (NB: These dates are subject to change. The research teams will be notified of any changes accordingly.):

Request bank statement on:	Submit the bank statement on:
Tuesday, November 1, 2011	Tuesday, November 1, 2011 together with: <ul style="list-style-type: none"> ● Activity Report I ● Financial Report I
Monday, January 9, 2012	Monday, January 9, 2012 together with: <ul style="list-style-type: none"> ● Activity Report II ● Financial Report II
Friday, February 24, 2012 <u>NB: The account balance appearing on the bank statement should equal to the amount of initial deposit (i.e. VND50,000)</u>	Friday, February 24, 2012 together with: <ul style="list-style-type: none"> ● Financial Report III
Wednesday, August 1, 2012	Wednesday, August 1, 2012 together with: <ul style="list-style-type: none"> ● Activity Report III ● Financial Report IV

Note that the **account balance** shown on the bank statement as of February 24, 2012 and August 1, 2012 should be **equal to the amount deposited at the time of the opening of the account (i.e. initial deposit)**. Any unspent amount should be returned to JICA. After August 1, 2012 (the end of Batch 3 Part-2), however, the initial deposit can be withdrawn and the bank account closed.

CHAPTER 6: REPORTING AND SETTLEMENT OF ACCOUNT

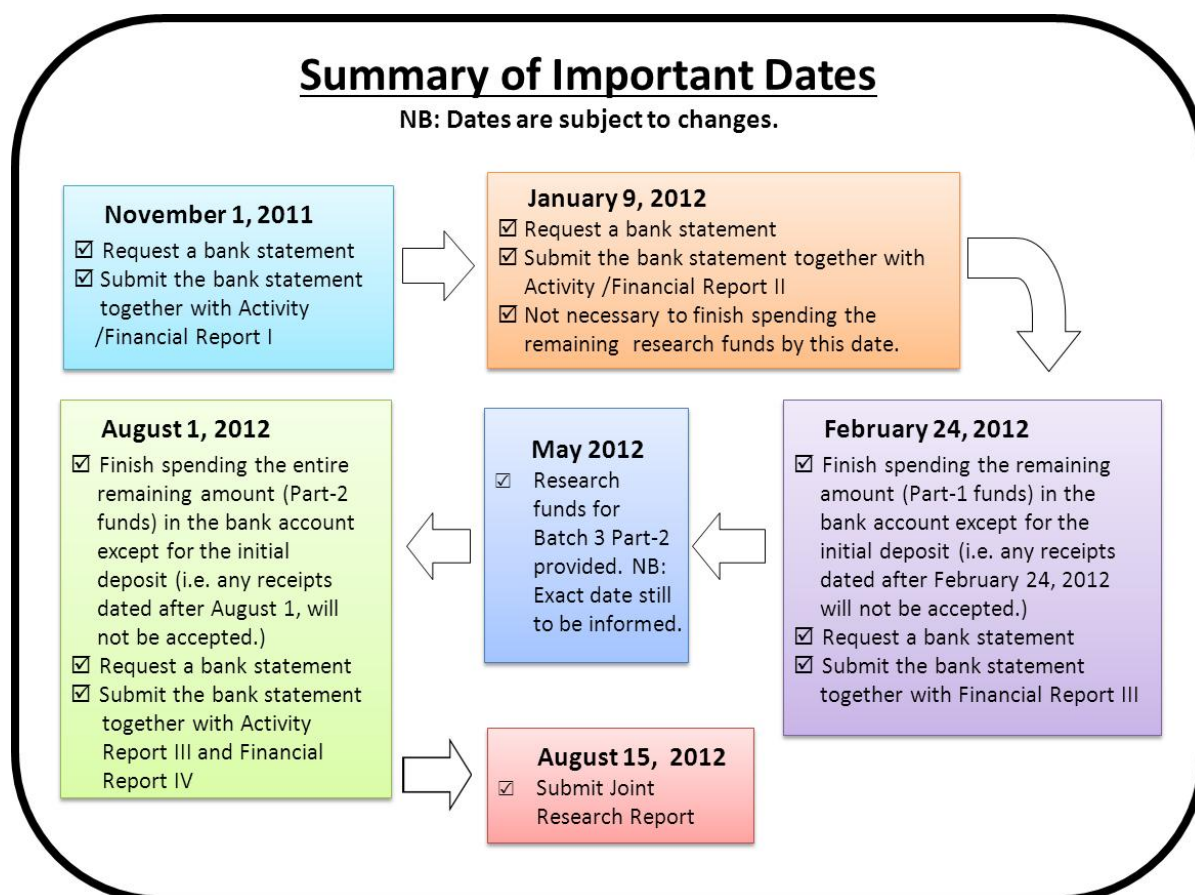
6.1 PREPARING AND SUBMITTING REPORTS

The research teams are requested to submit the following reports together with all the financial documents and receipts accumulated to date (see **6.2 PREPARING AND SUBMITTING REQUIRED DOCUMENTS**) to JICA Team (NB: These dates are subject to

change. The research teams will be notified of any changes accordingly):

Submit:	See:	By (Deadline):
<ul style="list-style-type: none"> ● Activity Report I ● Financial Report I 	Form 4, 5, 10	Tuesday, November 1, 2011
<ul style="list-style-type: none"> ● Activity Report II ● Financial Report II 	Form 4, 5, 10	Monday, January 9, 2012
<ul style="list-style-type: none"> ● Financial Report III 	Form 4, 5, 10	Friday, February 24, 2012
<ul style="list-style-type: none"> ● Activity Report III ● Financial Report IV 	Form 4, 5, 10	Wednesday, August 1, 2012
<ul style="list-style-type: none"> ● Joint Research Report 	Form 11	Wednesday, August 15, 2012

Note that **any expenditure after the following dates is not accepted: February 24, 2012 for Part-1 and August 1, 2012 for Part-2 of the research funds.** Also refer to the section **CHAPTER 5: BANK ACCOUNT** as well as the summary diagram below.



6.2 PREPARING AND SUBMITTING REQUIRED DOCUMENTS

All the required documents (see **4.2 REQUIRED DOCUMENTS** and **Table 1 Categories of Item and Required Documents**) should be submitted to JICA Team at the time of submitting Activity and Financial Reports. Keep in mind the following points:

- All **original documents** must be submitted.
- Every document smaller than A4 in size should be pasted on a sheet of plain A4 paper one by one (see the following sample as an example).
- Every receipt should be numbered serially (e.g. 1, 2, 3, 4...) using a pencil (see the following sample as an example).

Sample of How to Prepare Documents/Receipts

Each corner is glued

A4 paper

Date

Receipt number written by pencil

HOA ĐƠN
GIẤY TRI GIẢ TANG

Mẫu số: 01/GTKT-3LL
PM/2010N
0165366

Nhà bán hàng: CÔNG TY TNHH HỮU NGHỊ VIỆT SI ĐOÀN LÊ
Địa chỉ: 158/37 Lê Thị Bạch Cát-P.11-Q.11-TP.HCM
Số tài khoản: NH Eximbank Hội Sở TP.HCM
Điện thoại: MST: 0302955768

Nhà mua hàng: Lê Hoàng Nghiêm (Đ2-11)
Tên đơn vị: Khoa An ninh - Trường Đại học Bách Khoa TP.HCM
Địa chỉ: 268 Lý Thường Kiệt, P.14, Quận 10, TP.HCM
Số tài khoản: MST: 0302955768

STT	Tên hàng hoá, dịch vụ	Đơn vị tính	Số lượng	Đơn giá	Thành tiền
1	Acetaminophen HPIC, 25L	chai	1	606.000	606.000
2	Galen - 1.0L	"	4	90.000	360.000
3	HNO ₃	"	1	195.000	195.000
4	EDTA	"	1	650.000	650.000
5	Kali Natri Tartrate	kg	1	850.000	850.000
6	K ₂ HPO ₄	"	2	450.000	900.000
7	Na ₂ SO ₄	"	1	360.000	360.000

Cộng tiền hàng: 4.004.000
Thuế suất GTGT: 10% Tiền thuế GTGT: 400.400
Tổng cộng tiền thanh toán: 4.404.400

Số tiền viết bằng chữ: Bốn ngàn bốn trăm lẻ bốn ngàn bốn trăm lẻ bốn đồng

Người mua hàng (Ký, ghi rõ họ tên): Nguyễn Văn Ngọc
Người bán hàng (Ký, ghi rõ họ tên): Lê Thị Hoàng Anh
Họ và tên: Lê Thị Hoàng Anh
Chức vụ: Trưởng đơn vị
Địa chỉ: 158/37 Lê Thị Bạch Cát, P.11, Q.11, TP.HCM
Số tài khoản: NH Eximbank Hội Sở TP.HCM
Điện thoại: MST: 0302955768

Team leader's information with his full name

Correct details of purchased items:

- Item name
- Model number
- Unit
- Quantity
- Unit price
- Total amount per item
- VAT
- Grand total

Vendor's seal, name and signature

- List all the incomes (i.e. joint research funds provided by JICA) and expenditures (i.e. expenses resulting from carrying out research activities, bank fees) on the Financial Records (see **Form 5**). The "Receipt Number" (see Form 5) should correspond to the number given on each receipt by pencil, not the number provided by the vendor/shop.

[illegible]

6.3 CONFIRMATION OF EXPENDITURE AND RETURN OF FUNDS

Upon inspection of the financial reports by the R&D Promotion Committee and JICA

Team, the final amount of expenditure will be confirmed and any unused money and/or unacceptable expenditure must be returned to JICA Team as follows:

Confirmation of Final Amount of Expenditure	Return of unused money and/or unacceptable expenditure to JICA
Monday, 5 March 2012 (Part-1)	Friday, 9 March 2012 (Part-1)
Friday, 31 August 2012 (Part-2)	Friday, 7 September 2012 (Part-2)

Appendix

Forms are downloadable from SUPREM-HCMUT Website:
<http://www.jica.hcmut.edu.vn/suprem/welcome.php>

Table 1

Categories of Items and Required Documents

		1. Quotation	2. Procurement Proposal	3. Purchase Order/Service Request	4. Contract	5. Delivery Note/Contract Termination	6. Visiting Report	7. Bill of Wage Payment and Working Record	8. Certificate of Unit Price	9. Record of Transportatio n	10. Receipt
a	Research equipment	◎	o2	◎	-	◎	-	-	-	-	◎
b	Software	◎	o2	◎	-	◎	-	-	-	-	◎
c	Consumables	o1	o2	o1	-	o1 and o3	-	-	-	-	◎
d	Reference materials	o1	o2	o1	-	o1 and o3	-	-	-	-	◎
e	Traveling cost	-	-	-	-	-	◎	-	-	-	◎
f	Outsourcing	o1	o2	o1	-	o1 and o3	-	-	-	-	◎
g	Rental equipment	o1	o2	o1	◎	o1 and o3	-	-	-	-	◎
h	Hiring of manual workers	-	-	-	-	-	-	◎	◎	-	-
i	Rental car	-	-	-	-	-	-	-	-	◎	◎

◎: Required

o1: Necessary if the grand total of the items on one receipt will be VND5,000,000 or more

o2: Necessary if the grand total of the item(s) on one receipt will be VND20,000,000 or more

o3: Necessary if the details of the items purchased or services provided (i.e. name of item/service, model number, quantity, unit price, amount) are not clearly mentioned on the receipt

Form 1

Procurement Proposal
for Joint Research under SUPREM-HCMUT

Date: _____

Research ID: _____

Name of Research Team Leader: _____

Name of item/service to be purchased: _____

Reasons to purchase: _____

Mentioned in Detail Plan/Cost Estimation: Yes / No

Name of vendor/contractor: _____

Reasons for selecting this vendor/contractor: _____

Quotations (3 quotations should be attached)

No.	Vendor/Contractor	Unit Price Before Tax (VND)	Tax/VAT (VND)	Unit Price After Tax (VND)	Quantity	Total Price (VND)	Selection Result
1							
2							
3							

Signature of Research Team Leader

Approved by:

(Team Leader, JICA Team for SUPREM-HCMUT)

Form 2

Visiting Report
for Joint Research under SUPREM-HCMUT

Research ID: _____

Name of Research Team Leader: _____

Team Members on the Trip (include research team leader, if applicable):

- | | |
|----------|----------|
| 1. _____ | 2. _____ |
| 3. _____ | 4. _____ |
| 5. _____ | 6. _____ |
| 7. _____ | 8. _____ |

Date(s) of Visit	~ (Date/Month/Year) (Date/Month/Year)	
Province		
Purpose of Visit		
Organization(s) Visited	Name of Organization	
	Name of Contact Person	
Summary of Activities Conducted		

Approved by:

(Signature of Research Team Leader)

Form 3

**Receipt of Traveling Cost
for Joint Research under SUPREM-HCMUT**

Research ID: _____

Name of Research Team Leader: _____

Date: _____

Duly received a sum of: _____
(in words)

(VND _____)
(in figure)

Date(s) of Visit: _____ ~ _____
(Date/Month/Year) (Date/Month/Year)

Destination: _____

Purpose of Visit: _____

Daily: 150,000 × day(s) = VND

Accommodation: 300,000 × night(s) = VND

Transportation: × way(s) = VND

Traveling Cost Reference Chart

Type of Allowance	VND	Batch 3 Research Team and Target Province
Daily (per day)	150,000	
Accommodation (per night)	300,000	
Transportation (per one-way)		
● HCMC - Tien Giang	50,000	B3-06, B3-09
● HCMC - An Giang	120,000	B3-01, B3-02, B3-04
● HCMC - Dong Nai	48,000	B3-08, B3-11
● HCMC - Binh Duong	45,000	B3-10, B3-12
● HCMC - Lam Dong	140,000	B3-03, B3-05, B3-07

Note: _____

Name of Traveler (Dr./Mr./Ms.) and Signature: _____

Position: _____

Faculty (or Organization): _____

Form 4

Financial Report		
of Joint Research under SUPREM-HCMUT		
(Batch 3 Part I)		
Research ID:		
Team Leader:		
Faculty:		
Financial Summary		
		VND
A) Total Amount of Funds Received for Batch 3 Part I		0
B) Total Amount of Expenditures to Date (i.e. August 2011 - Present)*		0
C) Balance = A)-B) **		0
* Refer to Financial Records (Form 5)		
** The balance can be minus (-) if the total amount of expenditures exceeds the agreed amount (joint research funds provided by JICA) (i.e. if any expenditures are covered at the expense of the research team).		
Expenditures to Date by Category (i.e. Start of Batch 3 Part I in August 2011 - Present)		
Category	VND	%
a. Research equipment	0	#DIV/0!
b. Software	0	#DIV/0!
c. Consumables	0	#DIV/0!
d. Reference materials	0	#DIV/0!
e. Traveling cost	0	#DIV/0!
f. Outsourcing	0	#DIV/0!
g. Rental equipment	0	#DIV/0!
h. Hiring of manual workers	0	#DIV/0!
i. Rental car	0	#DIV/0!
j. Other	0	#DIV/0!
BF. Bank fees	0	#DIV/0!
Total Amount of Expenditures to Date	0	#DIV/0!
To Team Leader, JICA Team of SUPREM-HCMUT		
I hereby certify that all information provided in this report is correct.		
Signature of Research Team Leader		
Date		

Form 5

[illegible]

Form 6



VIETNAM NATIONAL UNIVERSITY IN HOCHIMINH CITY

HOCHIMINH CITY UNIVERSITY OF TECHNOLOGY

FACULTY OF

Address.....

Tel.....

Date.....

Name of Contact Person.....

Position.....

Name of Vendor/Contractor.....

Address of Vendor/Contractor.....

RE: PURCHASE ORDER/SERVICE REQUEST

Dear

Thank you for your quotation dated on We would like to place a purchase order/service request as follows:

Item including Brand and Model Number/Service Description	Unit Price Before Tax (VND)	Tax/VAT (VND)	Unit Price After Tax (VND)	Quantity	Total Price (VND)

Please deliver the above listed items to our office located in (Faculty address/research laboratory) (Attention: Mr. /Ms. /Dr.) / Please provide the above listed services.

Yours sincerely,

Signature and Full Name.....

Position and Research Team ID.....

Form 7**Bill of Wage Payment and Working Record**Name of Manual
Laborer _____

Type of Work _____

Duration of Work _____ to _____

Date/Month/Year
(The first day of work)Date/Month/Year
(The last day of work)

Date	1	2	3	4	5	6	7	8	9	10	
Signature of Laborer											
Date	11	12	13	14	15	16	17	18	19	20	
Signature of Laborer											
Date	21	22	23	24	25	26	27	28	29	30	31
Signature of Laborer											

Unit Price/Wage Rate (VND)	Total Number of Working Days (NB: The number of working days below should be equal to the number of signatures above)	Total Amount Paid (VND)
/day	days	

NOTE: Certificate of Unit Price attached.

Payer's Name and Signature _____

Payee's Name and Signature _____

Date _____

Record of Transportation (Rental Car)**JICA SUPREM-HCMUT Project**

Xác nhận Vận chuyển

Name of Car Rental Company: _____*Đơn vị cho thuê xe***Company's Address:** _____*Địa chỉ công ty***Company's Telephone Number:** _____*Điện thoại công ty***Vehicle Number:** _____*Biển số***Type of Vehicle (e.g. car, truck, bus):** _____*Loại phương tiện vận chuyển (ví dụ: xe tải, xe khách)*

Date <i>Ngày</i>	Departure <i>Điểm khởi hành</i>		Arrival <i>Điểm đến</i>		Distance (km) between Departure and Arrival Point <i>Khoảng cách giữa điểm</i> <i>khởi hành và điểm đến</i>
	Time <i>Thời gian</i>	Place (district, town, province) <i>Địa điểm (huyện, thị xã, tỉnh, thành phố)</i>	Time <i>Thời gian</i>	Place (district, town, province) <i>Địa điểm (huyện, thị xã, tỉnh, thành phố)</i>	

Client's Name and Signature*Khách hàng ký xác nhận (ghi rõ họ tên)***(Research ID: _____)**

Driver's Name and Signature*Lái xe ký xác nhận (ghi rõ họ tên)*

Form 9

**Capacity Building of Ho Chi Minh City University of Technology
to Strengthen University-Community Linkage – Phase 2
SUPREM-HCMUT**

Certificate of Unit Price

Date: _____

Research ID: _____

Name of Joint Research Team Leader: _____

Faculty: _____

Name of Manual Laborer: _____

Work Descriptions: _____

Work Location (District, City, Province): _____

Length of Service (in days): _____

In order to carry out the above-mentioned manual work, the Joint Research Team Leader proposed and I agreed on the unit price payable to the laborer as below, taking into consideration the current market price in the work location.

Types of Manual Labor	Unit Price (VND)
	/day

Reason(s) for setting the unit price as above: _____

I certify that the above information is correct.

Dr. Tsuyoshi Usagawa

Team Leader

JICA-HCMUT Project Team



Activity Report _____
under
SUPREM-HCMUT

Technical Cooperation Project
for Capacity Building of
Ho Chi Minh City University of Technology
To Strengthen University-Community Linkage (Phase 2)

Research ID: B3- _____

Research Topic: _____

Month/Year: _____



1. Existing problems, proposed approaches and expected outcomes

1.1 Existing problems in the target province

1.2 Proposed approaches

1.3 Expected outcomes

2. Implementation of the joint research

2.1 Research progress

(Show research progress in comparison to Schedule of Research Activities in the Detail Plan for Joint Research.)

2.2 Research Members

	Name	Position	Organization
Leader			
Member			

2.3 Materials and experimental procedure

2.4 Results and discussions

3. Input of the joint research

3.1 Equipment

3.2 Visits and meetings

Date	Visit where Meeting with who	Objectives	Participants from the Team

--	--	--	--

3.3 Input by external research partners including overseas research partners

3.4 Research activities in Japan

(Applicable to: B2-01, B2-02, B2-04, B2-05, B2-06, B2-09, B2-10)

4. Output of the joint research

4.1 Research output

4.2 Introduction of the research-based education

(e.g. Progress of master thesis and presentation at conference)

4.3 Paper and thesis submitted or to be submitted

Paper

Conference/Journal	Paper Title	Writer	Position	Date

Thesis

Master/Ph. D.	Thesis Title	Student	Date

4.4 Cooperation with universities in the target province

4.5 Contribution to the industries

5. Action plans for the research and education

5.1 Joint research

5.2 Research-based education

5.3 Academic cooperation with other universities

5.4 Development of industrial cooperation

6. Financial report of the research funds

(Attach the following documents:

1. Financial Report (use Form 4 in Financial Management Guidelines)
2. Financial Records (use Form 5 in Financial Management Guidelines)
3. Original receipts and other related documents

See CHAPTER 6: REPORTING AND SETTLEMENT OF ACCOUNT, Financial Management Guidelines for more details.)

7. Problems and possible solutions



Joint Research Report

under

SUPREM-HCMUT

Technical Cooperation Project
for Capacity Building of
Ho Chi Minh City University of Technology
To Strengthen University-Community Linkage (Phase 2)

Research ID: B3- _____

Research Topic: _____

Month/Year: _____

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 - 2-2 Objectives from the academic viewpoint
 - 2-3 Research Members
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3. Input to the Joint Research
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 - 4-5 Patents and contribution to the industries
5. Problems during the Joint Research and possible solutions
 - 5-1 Strengthening of R&D capabilities
 - 5-2 Introduction of RBE
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 - 6-1 Implementation of RBE
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1. Objectives of Joint Research under SUPREM-HCMUT

1-1 Existing problems in the target province

1-2 Proposed approaches

1-3 Expected outcomes

2. Implementation of the Joint Research

2-1 Executive Summary

2-2 Objectives from the academic viewpoint

2-3 Research Members

	Name	Position	Organization	Responsibilities
Leader				
Member				

2-4 Materials and experimental procedures

2-5 Results and discussions

3. Input to the Joint Research

3-1 Equipment

(List of equipment used/purchased/rented)

3-2 Visits to and meetings with local partners

Date	Visit where Meeting with who	Objectives	Participants from the Team

--	--	--	--

3-3 Visits and input by overseas and local partners

3-4 Research activities in Japan

3-5 Other information and cooperation

4. Output from the Joint Research

4-1 Research output

4-2 Introduction of the RBE

(Actions taken)

4-3 Promotion of cooperation with local partners

4-4 Paper and thesis

Paper

Conference/Journal	Paper Title	Writer	Position	Date

Thesis

Master/Ph. D.	Thesis Title	Student	Date

4-5 Patents and contribution to the industries

(List of patents applied for)

5. Problems during the Joint Research and possible solutions

5-1 Strengthening of R&D capabilities

5-2 Introduction of RBE

5-3 Cooperation with local partners

6. Future plans on RBE and joint research with local partners

6-1 Implementation of RBE

6-2 Joint research with local partners