



Australian Alumni Small Grants Fund

Financial Guidelines

Overview

These Financial Guidelines must be used in conjunction with the Small Grants Fund Guidelines for Applicants and are incorporated into your Grant Agreement. As a recipient of a grant under the Small Grants Fund you agree to maintain a sound administrative and financial system capable of verifying all Financial Reports and Acquittals. The funding comes from the Australian Government and therefore may be subject to audit. **Therefore, grant recipients must take personal responsibility for the financial management of grants.** Aus4Skills is committed to working with alumni grant recipients to ensure accountability and value for money and to simplify the administration of the grants process as much as possible.

The purpose of these guidelines is to assist you to complete your financial acquittal responsibility as a grant awardee. Failure to acquit may result in funding suspension, the requirement to return all or part of the grant funds and further legal action as may be necessary to resolve the issue.

Payment of Grant Funds

Grants will be disbursed by bank transfer in Vietnamese dong (VND). Grants usually are disbursed over several payments in response to Funds Requests received from grant awardees based on the following principles:

- First disbursement may be up to 50% of total approved budget, except for presentation at international conference, where payment may be up to 80% of the approved budget.
- Second disbursement will be up to 30% of the grants value upon Aus4Skills' receiving a satisfactory Progress Report including Financial Acquittal Report and Second Funds Request.
- Disbursement of the outstanding grants will be subject to Aus4Skills' receiving a satisfactory Completion Report including Financial Acquittal Report and Final Funds Request.

Once a grant application has been approved no further funds will be made available for that activity within a Small Grants Fund round.

Grants are normally disbursed as set out below.

First Disbursement

After receiving Aus4Skills correspondence informing grantees that their activities have been approved, the grantees must complete an online First Funds Request Form. The form will then be reviewed for approval. Upon approval, the grantees will be notified to print, sign and submit the final version to Aus4Skills by post. For documents which require signatures and full names, this should be done in blue ink. The first funds approved will be advanced.

The following documents are required for completion of the online First Fund Request:

1. Copies of the Bank document with the name and the account number of the grantee to whom the grant funds will be transferred.
2. Documents showing the preparations for the activity (*e.g. invitation letter, visa appointment form, conference agenda, correspondences contacting local departments, list of survey participants, acceptance letters from local authorities etc.*)

No funds will be advanced unless this step is completed to Aus4Skills complete satisfaction.

Second Disbursement

(where there are only two disbursements, see Final Disbursement/Final Acquittal below)

Where more than two disbursements have been approved in the Grant Agreement, the following steps must be taken.

Within 30 days from the accomplishment of the activities listed on the First Funds Request, the grantees must complete an online Progress Report (including Financial Acquittal Report)/Second Funds Request Form. The form will then be reviewed for approval. Upon approval, the grantees will be notified to print, sign and submit the final version with original financial documents to Aus4Skills by post. For documents which require signatures and full names, this must be done in blue ink. The second funds disbursement approved will then be advanced.

The documents required for completion of the online Progress Report (including Financial Acquittal Report)/Second Funds Request are:

1. A scanned copy of all receipts and other forms of documentation for financial acquittal of the first disbursement.
2. Evidence of photographs of your activities (*at least three photos with captions*).

No further funds will be advanced unless this step is completed to Aus4Skills complete satisfaction.

Final Disbursement (Final Acquittal)

Within 30 days from the accomplishment of the activities listed in the first or the second advance (if there are two advances), the grantees must complete the online Completion Report (including Financial Acquittal Report)/Final Funds Request Form. The form will then be reviewed for approval. Upon approval, the grantees will be notified to print, sign and submit the final version with original financial documents to Aus4Skills by post. For documents which require signatures and full names, this must be done in blue ink. The final funds disbursement approved will then be paid.

To complete the online Completion Report (including Financial Acquittal Report)/Final Funds Request, the following documents should be prepared:

1. A scanned copy of all receipts and other forms of documentation for financial acquittal of the second disbursement.
2. Communication materials for your activity promotion including photographs (*at least three photos with captions*) or videos, news articles, social media posts, website etc.

No further funds will be advanced unless this step is completed to Aus4Skills complete satisfaction.

Allowable Expenditures and the Required Supporting Documents

As a grant recipient you must provide the required documentary evidence outlined below for each of the approved expense items being acquitted/ reimbursed. All grant recipients must remember:

- Grantees are not permitted to use the grant funds to pay for items other than those listed in their approved proposal unless they have prior written approval from Aus4Skills.
- Unauthorized use of grant funds will result in delays processing your acquittal and you could end up paying for the unauthorized expenditure.

Note that the unauthorized use funds may be considered fraud (see below).

Table: Allowable Expenditures

#	Expenditure	Required Supporting Documents	Remarks
1	Economy class airfare	<ul style="list-style-type: none"> • Official receipt (Hóa đơn Tài chính) or Bank statement or online payment notification if purchased online • E-ticket • Boarding pass 	
2	Bus/train fare	<ul style="list-style-type: none"> • Ticket or ticket stub if over VND300,000 	Amount being reimbursed/ acquitted must be shown on the ticket.
3	Taxi fare	<ul style="list-style-type: none"> • Official receipt for trips if over VND300,000 	If two or more persons are travelling to training venue/ airport/ bus/ train station, it is recommended that participants share taxi.
4	Private car	<ul style="list-style-type: none"> • Official receipt issued by petrol station if over VND300,000 	Reimbursed at VND3,000/km. Applicable to a distance over 20km and where public transport is not available. Costs related to driver are not covered.
5	Accommodation	<ul style="list-style-type: none"> • Hotel receipt or official receipt if over VND300,000 	
6	Training/workshop	<ul style="list-style-type: none"> • Individual workshop expenditure if VND300,000 or under, such as venue, refreshments, cleaner, technical assistance, backdrop to be listed in Sundry Small Expenses. Official receipt if single item amount is over VND300,000; and • At least 3 quotes for workshop venue rental if rental costs exceed VND 5 million 	
7	Per diem/travel allowance	<ul style="list-style-type: none"> • Travel expense report 	

#	Expenditure	Required Supporting Documents	Remarks
8	Professional/ general service fees (e.g., interpreter, consultant/ general labor/ personnel costs)	<ul style="list-style-type: none"> • Terms of reference/ scope of work • Receipt from interpreter/ consultant/ worker • Duly approved timesheet (for full-time/ part-time job) • Bank statement showing payment for personnel services if over VND 5 million 	Forms will be available on request.
9	Consumables/ stationery	<ul style="list-style-type: none"> • Official receipt if amount purchased is over VND300,000 	
10	Equipment/assets	<ul style="list-style-type: none"> • Official receipt if amount is over VND300,000; and • At least 3 quotes from suppliers for equipment valued over VND 5 million 	
11	Conference fee	<ul style="list-style-type: none"> • Receipt issued by the organizer 	
12	Visa	<ul style="list-style-type: none"> • Official receipt 	
13	Hire/rental fee (experiment equipment, venue, etc.)	<ul style="list-style-type: none"> • Contract/ agreement (for items over VND 5 million); and • Official receipt if amount is over VND300,000 	
14	Communication	<ul style="list-style-type: none"> • Statement of expenditure supported by service provider's bills or prepaid top up cards 	
15	Photocopies	<ul style="list-style-type: none"> • Receipt of photocopy shop if over VND300,000 	
16	Fees related to publishing an article in a newspaper/ journal	<ul style="list-style-type: none"> • Receipt issued by the publisher. 	

Sundry Small Expenses

For small expense amounts (up to VND300,000 per item) individual invoice/ receipts are not required. However, these expenses must still be listed in the Financial Acquittal Report of the Progress Report/Second Funds Request or/and Completion Report/Final Fund Request, which is signed by the grantees to certify the expenses are correct, and in accordance with the actual disbursement of funds on activities.

Instead of a receipt number these expenses should be noted as "Sundry Small Expenses" in the Financial Acquittal Report.

Non-Allowable Expenditures

The following budget items are not eligible for financial support under the Small Grants Fund:

1. payments to non-Vietnamese nationals for services rendered
2. fees/salaries for alumni for any work/tasks carried out by alumni who submit proposals
3. office equipment such as computers, photocopiers, cameras and mobile phones etc. Only equipment directly related to the implementation of activities, especially research activities, will be considered for funding.

Unexpended Funds

If for any reason the proposed activity or any activities included in the proposal cannot proceed as originally approved, Aus4Skills must be informed immediately. In such situations, any unexpended funds must be returned.

Failure to commence within 3 months of funding approval without valid justification may result in the withdrawal of grant. Similarly, for activities with an extended start date, failure to commence within 6 months of grant approval date may result in the withdrawal of grant.

If unexpended funds need to be returned, the funds will be transferred to the following account.

Account Name: COFFEY INTERNATIONAL-VAHRDP/CHUONG TRINH PHAT TRIEN NGUON NHAN
LUC O-XTRAY-LI-A-VIET NAM

Account number: 8836093

Bank: ANZ BANK (VIETNAM) LIMITED

Address: 13 Hai Ba Trung Street, Hanoi, Vietnam

SWIFT Code: ANZBVNVX

Financial Acquittal Requirements

- All approved expenses outside Vietnam in foreign currency equivalent to over VND300,000 must have the supplier's receipt.
- All approved expenses in Vietnam over VND300,000 must be accompanied by an MOF official invoice (Hóa đơn tài chính), if possible.
- All approved expenses amounting to VND5,000,000 and above must be paid by bank transfer and supported by a contract or TOR for personnel services.
- Exchange rate sheet issued by Vietcombank (Transfer/Mua chuyển khoản column) must be used for official receipts in currency other than VND.

First Funds Request, Progress Report/Second Funds Request and Completion Report/Final Fund Request and other financial documentation should be sent to the following address:

Small Grants Fund
Aus4Skills
Room 502A, 5th Floor, Building A, 14-16 Ham Long Street
Hoan Kiem District, Hanoi, Vietnam
Phone: + 84 24 3939 3991/ 2
Fax: + 84 24 3934 6782

Aus4Skills may request further documentation as necessary to process your acquittal. Please ensure that a copy of all submitted documents is kept for your own records.

Fraud

DFAT and Aus4Skills have zero tolerance policy on fraud and are committed to minimising the incidence of fraud through the development, implementation and regular review of fraud prevention, detection and response strategies. Aus4Skills expects all grantees to comply with DFAT's Fraud Policy Statement and Fraud Control and Anti-Corruption Plan.

The Fraud Policy Statement defines fraud as 'dishonestly obtaining a benefit, or causing a loss, by deception or other means'. This definition extends beyond the legal definition of fraud to include benefits obtained that can be both tangible and intangible. It thus encompasses activities or behaviours broader than the misuse or misappropriation of monies or assets and includes:

- theft;
- obtaining property, a financial advantage or any other benefit by deception;
- causing a loss, or avoiding or creating a liability by deception;
- providing false or misleading information, or failing to provide information where there is an obligation to do so;
- making, using or possessing forged or falsified documents;
- bribery, corruption or abuse of position;
- unlawful use of computers, vehicles, telephones and other property or services belonging to the Australian Government or its' aid delivery partners;
- divulging confidential information to outside sources; and
- hacking into, or interfering with a computer system belonging to the Australian Government or its' aid delivery partners.

Where Aus4Skills or DFAT have reasonable concerns about how the grantee(s) manage the grants, Aus4Skills or DFAT may require explanation and additional supporting documentation. If this does not alleviate the concerns, Aus4Skills or DFAT may require the grantee(s) to undertake an independent financial audit. The cost of the audit will be taken out of the Small Grants Fund budget.

Aus4Skills is obligated to report all cases of suspected, alleged or committed fraud or corruption to DFAT within five business days of becoming aware of the fraud or corruption. All cases of fraud and corruption are handled in a confidential, prompt and professional manner.

Where fraud is determined to have taken place, Aus4Skills may pursue criminal charges in accordance with the DFAT's requirements and local laws.

Further information on fraud is available in DFAT's Fraud Control and Anti-Corruption Plan <https://dfat.gov.au/about-us/publications/Documents/fraud-control-anti-corruption-plan.pdf>

Templates

Copies of the following documents which must be used by the grant recipients are annexed to these Guidelines:

Annex 1 - First Funds Request

Annex 2 - Progress Report/Second Funds Request

Annex 3 - Completion Report/Final Funds Request

Annex 1 - First Funds Request

Project Details

Project Title	<i>Not required to fill in as information will be generated from your approved application (Read-only)</i>
Sector	
Activity Location	
Activity Type	
Proposed Start Date	
One or more alumni applicants	
Presentation at in-Australia conference or not?	<i>Required information</i>
Changes in Implementation Plan?	
Update Implementation Plan	
List tasks or activities	<i>Required information</i>
New Start Date	
New End Date	
Persons Responsible	

Bank Account Details

Account Holder Name	<i>Required information</i> <i>For a group of grant recipients, one of the members is delegated to use his or her bank account to receive grant disbursement and to appropriately manage grant disbursement on behalf of all other members. The bank account details will not be changed for the duration of Grant implementation.</i>
Account Number	
Bank Name	
Bank Address	
SWIFT Code	
Copies of the Bank document with the name and the account number of the grantee to whom the grant funds will be transferred (<i>Sao kê tài khoản có dấu xác nhận của Ngân hàng</i>)	

First Funds Request

Approved Items Expenditure	Details	Amount Required (VND)	Changes to approved Budget (if any)
<i>Required information</i>	<i>Required information</i>	<i>Required information</i>	<i>Required information</i>
Total Approved Budget	<i>Automatically calculated (Read-only)</i>		
Total Requested and Validation	<i>Automatically calculated (Read-only)</i>		
Activity preparation documents	<i>Required information</i>		

Annex 2 - Progress Report/ Second Funds Request

Project Details

Project Title	<i>Not required to fill in as information will be generated from your approved application (Read-only)</i>
Sector	
Activity Location	
Activity Type	
Total Approved Budget	

Progress to Date

List tasks	Timeframe	Persons responsible	Status implementation
<i>Required information</i>	<i>Required information</i>	<i>Required information</i>	<i>Required information</i>
Objectives	<i>Required information</i>		
Outputs			
Risk Management			
Any change to the completion date?			
Photographs of activities			
Locations of activities			

Financial Acquittal Report

Approved Items of Expenditure	(A) Approved Budget (VND)	(B) Grant Budget Received (VND)	(C) Grant Budget Spent (VND)	Sequence of Receipt Numbers
<i>Required information</i>	<i>Required information</i>	<i>Required information</i>	<i>Required information</i>	<i>Required information</i>
Total	<i>Automatically calculated (Read-only)</i>	<i>Automatically calculated (Read-only)</i>	<i>Automatically calculated (Read-only)</i>	
Total Balance	<i>Automatically calculated (Read-only)</i>			
Approved Budget and Disbursement Validation	<i>Automatically calculated (Read-only)</i>			
Receipts	<i>Required information</i>			

Second Funds Request

Approved Items Expenditure	Details	Amount Required (VND)
<i>Required information</i>	<i>Required information</i>	<i>Required information</i>

Total Approved Budget	<i>Automatically calculated (Read-only)</i>
Total Requested and Validation	<i>Automatically calculated (Read-only)</i>

Annex 3 - Completion Report/ Final Funds Request

Project Details

Project Title	<i>Not required to fill in as information will be generated from your approved application (Read-only)</i>
Sector	
Activity Location	
Activity Type	
Total Approved Budget	
Presentation at in-Australia conference or not?	<i>Required information</i>

Project Completion Report

Achievements	<i>Required information</i>		
Data table			
Proposed indicators/ activities stated in approved application	Targeted number	Achieved number	Explain differences
<i>Required information</i>	<i>Required information</i>	<i>Required information</i>	<i>Required information</i>
Direct participants	Female	Male	Total
Type of direct participants	<i>Required information</i>	<i>Required information</i>	<i>Automatically calculated (Read-only)</i>
Person with disability (PWD)	<i>Required information</i>	<i>Required information</i>	<i>Automatically calculated (Read-only)</i>
Ethnic minorities	<i>Required information</i>	<i>Required information</i>	<i>Automatically calculated (Read-only)</i>
Total	<i>Automatically calculated (Read-only)</i>	<i>Automatically calculated (Read-only)</i>	<i>Automatically calculated (Read-only)</i>
Estimated indirect beneficiaries	<i>Required information</i>	<i>Required information</i>	<i>Automatically calculated (Read-only)</i>
Achievement Against Aus4Skills' Program Outcomes			
Program Outcome 1: Male and female alumni use new skills and knowledge to make positive contributions to selected priority areas	<i>Required information</i>		

Program Outcome 2: Stronger workplace enabling environments for skills utilisation in selected priority areas	
Program Outcome 3: Australia and Vietnam have stronger, sustainable links in selected sectors/agencies	
Contributions to broader impact	
Broader impacts that the project contributed to	<i>Required information</i>
Demonstration of how the grant has made contributions to selected broader impact	
Examples of Australia's capabilities and credentials in education, science, research and innovation being promoted by the grant	
Dissemination of Results	<i>Required information</i>
Communications	
Photographs and Videos	<i>Required information</i>
At least three (3) photographs and videos (if applicable) of your activities with captions. Photos should be in format of either .jpg or .png Publications and Social Media (news articles, reports, social media posts, website etc.)	
Testimonials from direct participants and indirect beneficiaries (if applicable)	
Locations of activities	<i>Required information</i>

Financial Acquittal Report

Approved Items of Expenditure	(A) Approved Budget (VND)	(B) Grant Budget Received (VND)	(C) Grant Budget Spent (VND)	Sequence of Receipt Numbers
<i>Required information</i>	<i>Required information</i>	<i>Required information</i>	<i>Required information</i>	<i>Required information</i>

Total	<i>Automatically calculated (Read-only)</i>	<i>Automatically calculated (Read-only)</i>	<i>Automatically calculated (Read-only)</i>	
Total Balance	<i>Automatically calculated (Read-only)</i>			
Approved Budget and Disbursement Validation	<i>Automatically calculated (Read-only)</i>			
Receipts	<i>Required information</i>			

Funds Validation

(A) Total Approved Budget (VND)	<i>Read-only</i>
(B) Total Disbursed Amount (VND)	<i>Automatically calculated (Read-only)</i>
Amount First Disbursement (VND)	<i>Read-only</i>
Amount Second Disbursement (VND)	<i>Read-only</i>
(C) Total Actual Expense (VND)	<i>Automatically calculated (Read-only)</i>
First Actual Expense (VND)	<i>Read-only</i>
Second Actual Expense (VND)	<i>Read-only</i>

Final Funds Request

Approved Items Expenditure	Details	Amount Required (VND)
<i>Required information</i>	<i>Required information</i>	<i>Required information</i>
Total Approved Budget	<i>Automatically calculated (Read-only)</i>	
Total Requested and Validation	<i>Automatically calculated (Read-only)</i>	