



AUN/SEED-Net



Implementation Guidelines

For

Collaborative Research Program (CR)

Japanese Fiscal Year 2018

For the Japanese Fiscal Year 2018

1st Batch

(No Call for 2nd Batch in JFY2018)

AUN/SEED-Net Project

As of April 2018

1. About AUN/SEED-Net

ASEAN University Network/Southeast Asia Engineering Education Development Network (AUN/SEED-Net) was established in 2001. After 2 years of preparation, full-scale operation started in March 2003 for 5 years as the Phase 1 cooperation, which was then followed by the Phase 2 and the Phase 3, supported by Japanese Government through Japan International Cooperation Agency (JICA). AUN/SEED-Net has proved to succeed in strengthening university-industry relations, improving research capacities of academic staff in ASEAN Member Countries, and fostering a network of quality engineering higher-education in the ASEAN region. These were evidenced in collaborative researches, academic staff exchanges, conferences, and papers published in the “ASEAN Engineering Journal” by higher degree participants (Master’s degree and/or Doctoral Degree) and academics from Japan. Thus, continuation of this program in Phase 4 will have the following objectives.

- 1) Enhance education and research capacities of Member Institutions (MIs) through their collaboration among ASEAN and Japanese academia
- 2) Strengthen industrial relations and application
- 3) Address developmental issues in ASEAN
- 4) Improve the quality of higher education through the expansion of ASEAN academic networks

2. Program Concept

Collaborative Research Program (CR) brings together Faculty staff from MIs and JSUs for a joint supervision of AUN/SEED-Net students’ researches in the scope of 10 engineering. The program aims to strengthen research and educational capabilities of the MIs and improve graduate degree programs to international standard.

To encourage the gathering of persons involved for more collaboration and research discussion, the CR program is supplemented by other supporting programs, namely Japanese Professors Dispatch Program, Short-Term Research Program in Japan, and Short-Term Visit Program in ASEAN. The research outputs are also encouraged to publicize in AUN/SEED-Net Regional Conferences and ASEAN Engineering Journal.

3. Objectives

- 1) To ensure high quality thesis research and successful and timely degree completion of AUN/SEED-Net students.
- 2) To promote research collaboration among MIs and JSUs, through a joint supervision of AUN/SEED-Net students’ thesis researches.
- 3) To closely link scholars, alumni members, as well as local graduate students among MIs.

4. Applicant Eligibility

Faculty staff at Host Institution (HI) who is an advisor of AUN/SEED-Net student

5. Persons Involved

The research project shall be an integration of different parties as listed below.

Table 1: Person Involved in Collaborative Research (CR)

Requirement	Persons involved	Description	Remarks
Compulsory	Principal Investigator (Applicant)	One full-time faculty member of HI* to be advisor of AUN/SEED-Net student	(1) One faculty member can be Advisor for maximum of four AUN/SEED-Net students at a time. (2) Co-investigator from governmental/ industrial sector, community and other non-MIs/network are welcome to join the program but will not be eligible for any financial support from AUN/SEED-Net. (3) See more detail of spending eligibility in <i>Table 5: Breakdown of Support</i> .
	Co-investigator (Japan)	One full-time faculty member of JSU to be co-advisor of AUN/SEED-Net PhD* student	
	Co-investigator(s) (MI/SI for PhD* Student)	At least one full-time faculty member of other MI*, preferably SI * to be co-advisor of AUN/SEED-Net PhD* student.	
	AUN/SEED-Net student (s)		
Optional	Co-investigator(s) (HI)	Other full-time faculty member(s) of HI*	
	Research Assistant(s)	Local graduate student(s) and lab technician at HI*	

*MI=Member Institution/ HI= Host Institution/ SI= Sending Institution/ PhD = Doctoral degree

6. Research Period (Budget Execution)

For Japanese Fiscal Year or JFY 2018;

Start: 1 April 2018

End: 15 March 2019

7. Project Contract and Financial Management

- 1) The Project Contract period approved in Japanese Fiscal Year (JFY) 2018 is from 1 April 2018 until 15 March 2019.
- 2) In JFY 2018, there is only **ONE** call for application; students starting in JFY 2018 needs to apply in the next JFY.
- 3) **Carryover of fund (surplus or deficit) from JFY 2018 to JFY 2019 is not permitted.**
- 4) Only official bank account of the university to which the Principal Investigator belongs, or equivalent, is applicable. The budget should be managed by Principal Investigator.
- 5) Expenditure incurred before and/or the Project Contract period is unacceptable.
- 6) Expenditure shall not be incurred in Japan.
- 7) Financial Management must be fully compliant with latest AUN/SEED-Net Financial Guideline.

8. Ceiling Amount and Budget Allocation of Support for Collaborative Research

Table 2: Ceiling Amount

Type of students	Total amount (US\$) (Annual amount x no. of year)
Master's	1,500 x 2 (yrs.)
PhD Sandwich	2,250 x 3 (yrs.)
Integrated Graduate (Direct PhD)	2,250 x 4 (yrs.)
Integrated Graduate (Upgraded PhD)	1,500 x 1 (yr.) before upgraded
	2,250 x 3 (yrs.) after upgraded

Remarks: The amount excluded 25% of Honorarium as agreed by Member Institutions before the commencement of Project Phase 4, provided that AUN/SEED-Net no longer provides Honorarium to Principal Investigator. Students under Integrated Graduate Program (Upgraded PhD Program) can receive CR fund of Master's ceiling during their first year. Once students pass the assessment and are upgraded to the PhD Program, they can receive CR fund of PhD's ceiling. For the case that students are not upgraded, they will receive the CR fund supported under the same condition as Master's students.

The CR budget for each remittance is allocated as shown below;

Table 3: Remittance of CR support

Batch	Remittance	Remittance allocation	Expected month for remittance
CR 1 st Batch	1 st Remittance	40%	July 2018
	2 nd Remittance	40%	October 2018
	3 rd Remittance	20%	February 2019
CR 2 nd Batch	No Call for 2 nd Batch in JFY2018		

The CR budget for student is allocated as shown below;

Master's students 100% = USD 1,500

For students graduating in JFY 2018													For students graduating in JFY 2019 and onwards																	
Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul			
Up to maximum ceiling													Maximum 150% of total CR budget													0%				END

PhD Sandwich Students 100% = USD 2,250

For students graduating in JFY 2018													For students graduating JFY 2019 and onwards																	
Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul			
Up to maximum ceiling													Maximum 150% of total CR budget													0%				END

Integrated Graduate Students 100% = USD 2,250

For students graduating JFY 2018													For students graduating JFY 2019 and onwards																	
Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul			
Up to maximum ceiling													Maximum 150% of total CR budget													0%				END

- *For advisors to the students graduating within JFY2018*
- *The request up to the maximum amount is accepted.*
- *For advisors to the students who are graduating after JFY2018 and onwards*
- *The maximum amount which can be requested within JFY 2018 is 150% of average yearly amount.*

Remarks:

- (1) This budget allocation is designed for JFY 2018 use only.
- (2) The budget duration for research collaboration JFY 2018 is from 1 April 2018 - 15 March 2019.
- (3) In JFY 2018, there is only ONE call for application; students of JFY 2018 intake needs to apply next JFY.
- (4) The new semester at HI usually starts in August/September (2 years for master student and 3 years for doctoral student).

Table 5: Breakdown of Support

Table 5.1: Category of Honorarium

Category	
Honorarium*	As agreed by Member Institutions before the commencement of Project Phase 4, AUN/SEED-Net no longer provides Honorarium to Principal Investigator.

Table 5.2: Category of travel expenses

Category	Sub-category	Purpose	Type of travel	Eligible Spender	Remarks
Travel expenses	- Transportation - Daily allowance - Accommodation allowance	Research	Domestic travel	Research team members listed in Applicant list (Attachment1).	(1) Any changes of Research Team Member must be informed to AUN/SEED-Net in writing. (2) Only discounted-economy air ticket is allowed. Boarding pass and e-ticket must be submitted in the financial report. (3) International travel in Japan should not exceed maximum 10 days. (4) AUN/SEED-Net student cannot claim for Daily Allowance (5) For domestic travel, only overnight is allowed for claims. (6) Follow each institution's rate but not exceed AUN/SEED-Net rate shown in Table 5.2.1. (7) Travel information (<i>traveler's name, dates, destination, purposes and relation to CR</i>) must be provided in the Trip report which can be found in <i>Financial Report Guidelines</i> (see table 6: report submission)
			International travel in ASEAN	Research team members listed in Applicant list (Attachment1).	
			International travel in Japan	AUN/SEED-Net student only	
			International travel outside ASEAN & Japan	Not allowed in principle.	
		Conference/Seminar	Domestic travel	AUN/SEED-Net student only	
			International travel in ASEAN	AUN/SEED-Net student only	
			International travel in Japan	AUN/SEED-Net student only	
			International travel outside ASEAN & Japan	Not allowed in principle.	

Table 5.2.1: CR's Maximum rate for the travel allowance under AUN/SEED-Net (Unit=US\$)

Class	Category	Japan		Singapore		Other ASEAN countries		Domestic travel	
		Daily allowance	Accom	Daily allowance	Accom	Daily allowance	Accom	Daily allowance	Accom
1	Professor/ Associate Professor/ Assistant Professor/ Lecturer	--	--	35	120	30	90	15	70
2	Research Assistant	--	--	20	100	20	70	15	70
3	AUN/SEED- Net ongoing student	--	100	--	100	--	70	--	70

Remarks:

(1) Daily allowance is paid by a number of days while Accommodation is paid by a number of nights. Accommodation allowance cannot be claimed for overnight flight.

(2) For **AUN/SEED-Net student**, accommodation allowance on research travel at the city of the Sending Institution (SI) in his/her home country cannot be provided; unless AUN/SEED-Net receives the confirmation that student's home city is not the same city as the SI.

Table 5.3: Category of Research Expenses

Category	Sub-category	Ceiling	Eligible Spender	Remarks
Research expenses	Equipment & spare parts	- Not Over 70% of actual disbursed amount - Unit Cost Ceiling is US\$3,000	Research team members listed in Applicant list (Attachment1)	(1) Justification is required if over 70% of total contract amount budget spent for this category. (2) Two quotations are required for a receipt that costs more than US\$1,000 in total to purchase the cheaper one. (3) Expenditure shall not be incurred inside Japan. (4) Equipment and spare parts purchased by this CR fund are properties of the Member Institution, not personal properties.
	Consumables (Inclusive of stationery and office supplies)		Research team members listed in Applicant list (Attachment1)	(1) Two quotations are required for a receipt that costs more than US\$1,000 in total to purchase the cheaper one. (2) Expenditure shall not be incurred inside Japan.
	Commissioned Work	Not Over 20% of actual disbursed amount	Research team members listed in Applicant list (Attachment1)	(1) The commission work shall not exceed 20% of the total contract amount for each applicant. (2) Expenditure shall not be paid to research team members and any entities or individuals who form a part of organization of member institution where the applicant belongs to. (3) Written contract must be presented if the term of agreement is longer than 30 days. (4) Contract details must include unit rate, workload and work content/description. (5) Two quotations are required for a contract that costs more than US\$1,000 in total to purchase the cheaper one. (6) Please refer to further details in Important Note for the Commissioned Work below.
	Others (for example; reference book, copy/printing fee, conference registration fee *)		Research team members listed in Applicant list (Attachment1)	For the expense which does not align with any above categories, please input in the category “Others” with detail and supporting documents in the financial report. *Conference registration fee is allowed for AUN/SEED-Net student only

Remark: Items unable to be supported are such as fuel, meals, overhead fee, souvenirs, entertainment and language service

Important Note for the Commissioned Work

1. Definition

- (1) Commissioned work is defined as Temporary, casual, and /or occasional work for a specific task to be performed.
- (2) Remuneration payment for the work to cover a set period is not acceptable.
For instance, USD200=USD5 (Sample analysis work) x 40 hours, THB5000=THB1000 (data input work per day) x 5 days *Otherwise, payment is not permitted.
- (3) Remuneration payment needs to be clarified with its basis of calculation.
For instance, it is not possible to use CR fund to pay USD200 for administrative support for 2 weeks.

2. Eligibility

2.1 Expenditure shall not be paid to those who listed as persons involved in *Table 1*.

2.2 Expenditure shall not be paid to any entities or individuals who form a part of organization of member institution (i.e. department, laboratory, faculty staff and students, etc) unless prior written approval by SEED-Net Secretariat is given with the following procedure:

- Member Institution shall submit an official request to SEED-Net Secretariat in writing signed by the Head of Department or higher authority with following information
- Background of the commissioned work;
- Detailed contractor's information;
- Justification to select the contractor; and
- Justification of the price

2.3 SEED-Net will review the request and approval is given in writing if it deems appropriate.

2.4 Commissioned work which falls under this procedure shall be commenced only after the approval by the SEED-Net. Retroactive request is NOT accepted.

2.5 A copy of above documents (2) a) and b) shall be attached to the financial report together with other supporting documents.

3. Expenditure shall be paid to entities or individuals outside of the organization of member institution. In case an individual contractor is affiliated with a member institution at the same time, s/he is regarded as falling under the category in the above (2).

4. Contract

- (1) Written contract must be prepared if hiring duration is longer than 30 days and attached to the financial report.
- (2) Contract details must include but not limited to contractor's information (registration, occupation, affiliation, identification, etc.), duration of the work, unit rate and work content/description
- (3) In case two or more works are rendered by the same contractor in the same month, contracts that contain such works shall be consolidated in one contract.
- (4) 2 quotations are required for the commissioned work of which a contract amount exceeds US\$1,000 and they shall be attached to the financial report. In case direct contact method is opted, justification shall be submitted.

5. Others

Total cumulative expenditure of the commission work shall not exceed 20% of the total contract amount unless otherwise prior approval is given by the SEED-Net Secretariat in writing against a written request by the Head of Department or higher authority of the member institution that the principle investigator belongs.

9. Expectation and Obligation

- (1) Direction, progress and results of the CR projects are expected to be discussed and presented regularly at the AUN/SEED-Net Regional Conferences.
- (2) Research results should be accepted for publication in proceedings and/or journals including ASEAN Engineering Journal supported by AUN/SEED-Net.
- (3) Principal Investigator, Advisors, co-advisors and student should share and discuss about research for timely completion of the degree.
- (4) The support on each category (see table 5: Breakdown of support) shall be strictly follow without any exception.
- (5) The account book (Interim report) of all expenses related to the CR Program must be submitted to AUN/SEED-Net before the 3rd disbursement.
- (6) Principal Investigator is required to submit the following reports to AUN/SEED-Net as shown on table 6: Report submission.

Failure of submission will result in withholding the next disbursement or affecting the Principle Investigator's future applications for AUN/SEED-Net programs.

Table 6: Report submission

Report Type	Remarks	Submission
Interim Report	The account book (excel format) for interim report should be submitted to AUN/SEED-Net prior to the third remittance.	Deadline for the submission is 31 December 2018
Technical Report	The format of technical report will be forwarded to each Principal Investigator after the signing of Project Contract.	Deadline for the submission is 15 March 2019
Financial Report	Financial Report Guidelines will be forwarded to each Principal Investigator after the signing of Project Contract.	

10. Application Requirements and Deadline

(1) Application and required documents

- a) Cover letter signed by a designated representative of the Host Institution (HI).
- b) Applicant list (Attachment 1)

(2) Application deadline

Application list (Attachment 1) in soft copy (Excel format) and the signed cover letter (Word or PDF format) from respective institution should be submitted to AUN/SEED-Net by **May 15th, 2018** for CR budget of JFY 2018. **Late submission will not be accepted for the consideration.**

(3) AUN/SEED-Net will not accept any application submitted by an individual Principal Investigator. HI is responsible to gather all information from respective applicants to submit to AUN/SEED-Net.

(4) HI should ensure that all Principal Investigators are requested to study the guideline clearly and strictly follow the instruction.

Remarks: This Implementation Guidelines and other information of AUN/SEED-Net, MIs and JSUs are available on the website **www.seed-net.org**