



AUN/SEED-Net



FINANCIAL GUIDELINES

[TEMPORARY VERSION]



PURPOSE

Reference for Applicants of Collaborative Research for Common Regional Issues (CRC) and Collaborative Research with Industry (CRI) Japanese Fiscal Year (JFY) 2018

- ▶ This version is made only for CRC & CRI JFY 2018 application process.
- ▶ The awardees have to later refer to the official Financial Guidelines which will be released yearly basis (Financial Guidelines JFY 2018 and 2019).
- ▶ Official Financial Guidelines JFY 2018 will be released in December 2017, the basic concept and unit cost will remain the same.

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2. FINANCIAL SUPPORT

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- 2) Equipment
- 3) Consumables/Spare Parts/Others
- 4) Commissioned Work
- 5) Honorarium for Research Assistant

3. FINANCIAL PROCEDURE



1. General regulations

- ▶ Maximum of US\$50,000

Maximum of US\$50,000

for 2 Japanese fiscal years (JFY) which is from April to March

- ▶ JFY 2018: from contract date (start from 1 April, 2018) to 15 March, 2019
JFY 2019: from contract date (start from 1 April, 2019) to 15 March, 2020
- ▶ Budget allocation for each JFY is based on the online application form.
- ▶ Carryover of funds deficit, from the JFY 2018 to JFY 2019 is not permitted.
- ▶ Each JFY, expenditure incurred before contract date and/or after 15 March is not claimable.
- ▶ The contract for JFY 2019 will be made only when the applicant fulfills all obligations of JFY 2018.
- ▶ Only official bank account of the university to which the applicant belongs, or equivalent, is applicable. The two-year budget should be managed by the applicant.
- ▶ Only research team members of Member Institutions (excluding MI in Singapore and Brunei, and Japanese Nationality) are eligible to use this grant.

2. Financial support

- ▶ Trip Expense
- ▶ Equipment
- ▶ Consumables/
Spare Parts/
Others
- ▶ Commissioned Work
- ▶ Honorarium for
Research Assistant

Ceiling Amount

% of actual spent in two Japanese Fiscal Years



25%

e.g. Airfare, Visa Fee, Insurance Fee, Transportation, Bus, Train, Taxi, Car Rental, Daily Allowance, Accommodation Allowance, etc.



50%

e.g. Equipment for Conducting Research, Printer, Computer, Laptop, etc.



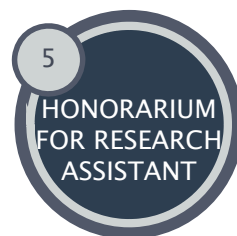
No ceiling

e.g. Materials/Chemicals for Doing Research, Software, Conference Registration Fee, Publication Fee for Journal, Books Related to Research, Proof-Reading, Copy/Printing/Delivery or Courier cost for research Material, Hard Disk Drive, Memory Card, Mouse, Keyboard for PC, etc.



20%

e.g. Laboratory Testing, Field Survey by Outside Recourse, Service Cost for Creating Some Specific Equipment for Research, etc.



20%

Honorarium for Research Assistant listed on the online application ONLY. Any changes require written notification sent to and received by AUN/SEED-Net.



25%

e.g. Airfare, Visa Fee, Insurance Fee, Transportation, Bus, Train, Taxi, Car Rental, Daily Allowance, Accommodation Allowance, etc.

▶ Only discounted–economy air ticket is allowed. Boarding pass must be kept and submitted to the Secretariat.

▶ Evidence of actual exchange rate is preferred. Using exchange rate as of payment date announced by Central Bank (Middle rate) or www.oanda.com is optional.

▶ For Japan, daily and accommodation allowance are supported up to 15 days per 1 trip, counting from the date of departure at the original country to the date of arrival at the original country.

▶ Trip report must be submitted to the Secretariat. Always Separated from personal trip.

▶ For AUN/SEED-Net Ongoing 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 received the confirmation that student's home city is not the same city as the SI.

▶ In principle, international travel to other countries than ASEAN and JAPAN is not allowed.

▶ Maximum rate for Daily Allowance and Accommodation Allowance under AUN/SEED-Net (USD) itinerary.

Class	Japan or Singapore		Others ASEAN Countries		Domestic (Only Overnight Stay)	
	Daily/Day	Accom./Night	Daily/Day	Accom./Night	Daily/Day	Accom./Night
Academic staff	35	120	30	90	15	70
Student/Lab Technician	20	100	20	70	15	70
AUN/SEED-Net Ongoing Student	-	100	-	70	-	70



50%

e.g. Equipment for Conducting Research, Printer, Computer, Laptop, etc.

- ▶ When the receipt **exceeds 1,000 USD**, two or more quotations are required.
- ▶ When the receipt **exceeds 2,000 USD**, after the item is delivered to your university, please put JICA sticker and take a photo of the purchased item and attach the photo on the financial report.
- ▶ **Unit cost ceiling is 3,000 USD.**
- ▶ Expenditure shall not be incurred in Japan.
- ▶ PI must register the purchased item into the university inventory system.
- ▶ When purchasing online using credit card, a copy credit card statement is required.
- ▶ In case the purchased item can be used in general, please explain how the item is related to the research.
- ▶ Always provide specific name of item (one by one).



No ceiling

e.g. Materials/Chemicals for Doing Research, Software, Conference Registration Fee, Publication Fee for Journal, Books Related to Research, Proof-Reading, Copy/Printing/Delivery or Courier cost for research Material, Hard Disk Drive, Memory Card, Mouse, Keyboard for PC, etc.

- ▶ When the receipt **exceeds 1,000 USD**, two or more quotations are required.
- ▶ Expenditure shall not be incurred in Japan.
- ▶ When purchasing book, please provide the cover of the book.
- ▶ When using proof-reading service, please provide the cover of the publication.
- ▶ For Conference Registration Fee, please provide the information of the conference e.g. website, abstracts book, proceedings, etc.
- ▶ When purchasing online using credit card, a copy credit card statement is required.
- ▶ In case the purchased item can be used in general, please explain how the item is related to the research.
- ▶ Always provide specific name of item (one by one)



20%

e.g. Laboratory Testing, Field Survey by Outside Recourse, Service Cost for Creating Some Specific Equipment for Research, etc.

- ▶ When the receipt **exceeds 1,000 USD**, two or more quotations are required.
- ▶ Shall NOT be paid to anyone who is a part of research team member or/and Member Institutions.
- ▶ Always provide us the name and address of employee, detail of work, and unit price.
- ▶ When it is longer than 30 days, a written contract must be made and attached the contract on the financial report. Contract details must include unit rate, workload, and work content/description.



20%

Honorarium for Research Assistant listed on the online application ONLY.

Any changes require written notification sent to and received by AUN/SEED-Net.

- ▶ Maximum rate for Honorarium for a reaserch assistant (RA)

Class	Maximum rate for Honorarium	
	Half day 2.0–3.5 hrs.	One day More than 3.5 hrs.
Master's Student	USD 10.00	20.0
PhD Student	USD 12.00	24.0

Maximum amount of payable honorarium per one reaserch assistant is three (3) months (90days) within one Japanese fiscal year (JFY).

- ▶ Current Master's or Doctoral Degree Programs student at the same MIs which PI or Co-investigator (MI) belongs to is eligible to be a reaserch assistant (RA).
- ▶ Honorarium for Research Assistant is **NOT available for AUN/SEED-Net scholar, and Japanese national.**
- ▶ PI should make a contract with each RA before start paying honorarium. Following support documents must be attached to the contract.
 - Work schedule/Work description
 - Certified true copy of Student Identity Card/Passport of RA
 - Certified true copy of the evidence that RA is a current student studying Master's course/doctor's course.
- ▶ Certified true copy of Contract with each RA with all the support documents should be submitted to the Secretariat soon after making each contract.

3. Financial Procedure

- ▶ Important Note
- ▶ Timeline
- ▶ Interim Report
- ▶ Financial Report

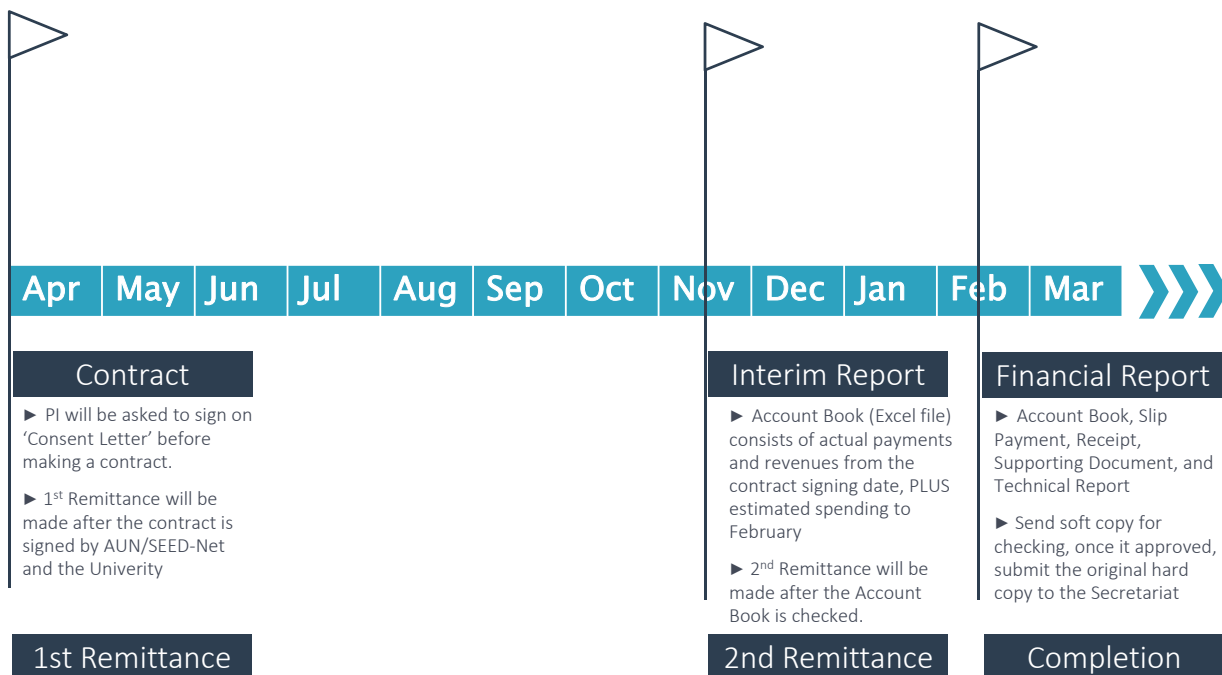
IMPORTANT NOTE

Since the Project fund is supported by the Japanese public funds, **all awardees must be accountable for its usage.**

All accounting documents with supporting evidence must be properly submitted on time and will be kept for 10 years for future references. They must be ready to be publicly disclosed in detail upon request by the Japanese government. The report must be written in English in order to be understandable for Japanese auditors.

Timeline and Required Documents

Each JFY, you have to follow the below steps;



Interim Report

Excel file titled 'Account Book' consists of actual payments and revenues from the contract signing date, PLUS estimated spending to March 15

Project Title: xxx Research on electronic variance on +++ occasions

Type of Program: CR ← Fill in this section

Contract Number: ABC-U CR* 1601

By: (Name of principal investigator)

Student Name: (Name of student, only for CR)

Institution: ABC University

Fiscal Year: Japanese Fiscal Year 2016

Record transactions;
- Revenues (1st and 2nd Remittance)
- Expenditures

Slip No.	Paid/Planned	Date	Item of Expense	Detail of Expense	National Currency (THB)		
					Revenue (National Currency; THB)	Payment (National Currency; THB)	Balance (National Currency; THB)
1	Paid	24-Apr-2017	Budget Remittance	1st Remittance from AUN/SEED-Net	125,678.00		125,678.00
2	Paid	04-May-2017	Equipment	Fucntion generator		21,373.25	104,304.75
3	Paid	21-Jun-2017	Equipment	SSD Samsung 250GB		3,550.00	100,754.75
4	Planned	Within 31 Dec 17	Budget Remittance	2nd Remittance from AUN/SEED-Net	31,419.00		132,173.75
5	Planned	Within 31 Dec 17	Honorarium	Honorarium		39,274.25	92,899.50
6	Planned	Within 31 Dec 17	Consumables/Spare part	Bimorph Piezoelectric PZT (30 units x 917.802 THB)		27,534.06	65,365.44
7	Planned	Within 31 Dec 17	Consumables/Spare part	Unimorph Piezoelectric PZT (48 units x 598.952 THB)		28,749.69	36,615.75
8	Planned	Within 31 Dec 17	Equipment	Flashforge Finder 3D Printer		21,900.00	14,715.75
9	Planned	Within 31 Dec 17	Consumables/Spare part	Filament		1,700.00	13,015.75
10	Planned	Within 31 Dec 17	Equipment	Soldering Station (Weller WES51D)		8,660.00	4,355.75
11	Planned	Within 31 Dec 17	Equipment	Switch Mode Power Supply (Cosel 108W)		3,592.46	763.29
12	Planned	Within 31 Dec 17	Equipment	DC motors (ZWL-FP180/50rpm and ZWL-FP180/120rpm)		1,180.00	-416.71
					157,097.00	157,513.71	-416.71

Preferable MINUS ↑

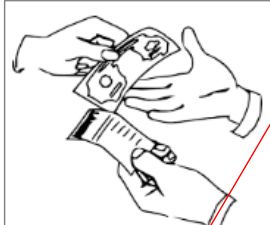

***Proof that you will use up the fund, then, get the 2nd remittance.**

Financial Report

Composition of Financial Report

- 1 **Account Book**
A record of transactions, both of Revenues and Expenditures
- 2 **Payment Slip**
A face sheet of each receipt.
- 3 **Receipt**
Original is a must or copy with "True Copy Certified by University".
- 4 **Supporting Document**
e.g. Boarding Pass, Trip Report, etc.
- 5 **Technical Report**
Report on progress of the research.

5 Easy Steps How to Do 'Financial Report'

Payment Slip

Institution Name:
Project Title:
Principal investigator:
Fiscal Year:

Slip no:

Date	Vendor's Name	Category	Amount

Details of Expense:

- 1 **Purchase/Spend Budget**
Always collect original **receipt** and glue it on the A4 paper. Put all receipts in chronological order.
- 2 **Make a Payment Slip**
Payment Slip is a face sheet of each receipt. One receipt will have one Payment Slip covering. The detail on the slip has to match with the receipt.

Numbering which comes first as Payment Slip number 1, 2, 3,... consecutively.
- 3 **Supporting Document**
Then, attach required Supporting Document with the receipt. Translation in English is required. Please also make a copy for thermal receipt.
- 4 **Account Book**
Make the **Account Book** table inline with sets of payment slips and receipts.
- 5 **Technical Report**
Prepare Technical Report separately.



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THANK YOU