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.
1. GENERAL REGULATIONS

2. FINANCIAL SUPPORT
   1) Trip Expense
   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

1. TRIP EXPENSE
   - 25%
   - e.g. Airfare, Visa Fee, Insurance Fee, Transportation, Bus, Train, Taxi, Car Rental, Daily Allowance, Accommodation Allowance, etc.

2. EQUIPMENT
   - 50%
   - e.g. Equipment for Conducting Research, Printer, Computer, Laptop, etc.

3. Consumables/Spare Parts/Others
   - 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.

4. COMMISSIONED WORK
   - 20%
   - e.g. Laboratory Testing, Field Survey by Outside Recourse, Service Cost for Creating Some Specific Equipment for Research, etc.

5. HONORARIUM FOR RESEARCH ASSISTANT
   - 20%
   - Honorarium for Research Assistant listed on the online application ONLY. Any changes require written notification sent to and received by AUN/SEED-Net.

- 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.

<table>
<thead>
<tr>
<th>Class</th>
<th>Japan or Singapore</th>
<th>Others ASEAN Countries</th>
<th>Domestic (Only Overnight Stay)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic staff</td>
<td>35</td>
<td>120</td>
<td>30</td>
</tr>
<tr>
<td>Student/Lab Technician</td>
<td>20</td>
<td>100</td>
<td>20</td>
</tr>
<tr>
<td>AUN/SEED-Net Ongoing Student</td>
<td>–</td>
<td>100</td>
<td>–</td>
</tr>
</tbody>
</table>
2. EQUIPMENT

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).

3. Consumables/Spare Parts/Others

No ceiling

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)
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.

Maximum rate for Honorarium for a research assistant (RA)

<table>
<thead>
<tr>
<th>Class</th>
<th>Maximum rate for Honorarium</th>
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<tbody>
<tr>
<td></td>
<td>Half day 2.0–3.5 hrs.</td>
</tr>
<tr>
<td>Master’s Student</td>
<td>USD 10.00</td>
</tr>
<tr>
<td>PhD Student</td>
<td>USD 12.00</td>
</tr>
</tbody>
</table>

Maximum amount of payable honorarium per one research assistant is three (3) months (90 days) 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 research 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.
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;

**Contract**
- PI will be asked to sign on ‘Consent Letter’ before making a contract.
- 1st Remittance will be made after the contract is signed by AUN/SEED-Net and the University.

**Interim Report**
- Account Book (Excel file) consists of actual payments and revenues from the contract signing date, PLUS estimated spending to February.
- 2nd Remittance will be made after the Account Book is checked.

**Financial Report**
- Send soft copy for checking, once it approved, submit the original hard copy to the Secretariat.

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**Interim Report**
Excel file titled ‘Account Book’ consists of actual payments and revenues from the contract signing date, PLUS estimated spending to March 15.

Fill in this section

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

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

Preferable MINUS ↑
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 “Ture Copy Certified by University”.

4. Supporting Document
   - e.g. Boarding Pass, Trip Report, etc.

5. Technical Report
   - Report on progress of the research

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5 Easy Steps How to Do ‘Financial Report’

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**

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THANK YOU