

**ASEAN University Network /
Southeast Asia Engineering Education Development Network**

AUN/SEED-Net
Implementation Guidelines
and
Application Form
for
Collaborative Research Program (CR)

For the Japanese Fiscal Year 2017

1st Batch

(No Call for 2nd Batch in JFY2017)

AUN/SEED-Net Project

As of February 2017

1. Project Background

Due to the need for sustainable development after a severe economic downturn in the ASEAN region in 1997, AUN/SEED-Net was established officially in 2001 from leaders' initiatives derived at the earlier ASEAN - Japan Summit and the ASEAN + 3 Summit. Full operation of the AUN/SEED-Net Project however started in 2003 with main support from the Japanese Government through Japan International Cooperation Agency (JICA) and partially by ASEAN Foundation, Member Institutions (MIs) and member countries. Activities of the Project shall be approved in principle by the AUN/SEED-Net Steering Committee and implemented by the member institutions and the AUN/SEED-Net Secretariat with support from the JICA Project for AUN/SEED-Net. The network of AUN/SEED-Net is composed of 26 member institutions from 10 ASEAN countries with academic support from 14 leading Japanese Supporting Universities (JSUs).

Based on these remarkable achievements, the ASEAN Member Countries, MIs, Government of Japan and JICA have a strong intention to continue AUN/SEED-Net aiming to bring about larger impacts not only to other universities in the region and Japan, but also to industry and community by making more direct contribution to the socio-economic development in the region and Japan. After continuous discussion, all parties agreed to implement the Phase 3 Project of AUN/SEED-Net with these following objectives:

- (1) Contribution to advancement and globalization of regional industry
- (2) Contribution to solution of regional common issues in Asia
- (3) Establishment of human resource development platform in science and technology in Asia

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 2017¹;

Start: 1 April 2017 or contract signing date, whichever comes later

End: 31 December 2017

7. Project Contract and Financial Management

- 1) The Project Contract period approved in Japanese Fiscal Year (JFY) 2017 is from 1 April 2017 or the contract signing date whichever comes later until 31 December 2017.
- 2) In JFY 2017, there is only 1st batch call for application; student intake in JFY 2017 needs to apply next JFY.
- 3) **Carryover of fund (surplus or deficit) from JFY 2017 to JFY 2018 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 the contract signing date and/or after the contract end date is unacceptable.
- 6) Expenditure shall not be incurred inside of Japan.

¹ Due to the end of Phase III in March 2018, the budget execution for research collaboration JFY 2017 will start from 1 April 2017 or contract signing date whichever comes later until 31 December 2017.

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	2,000 x 2 (yrs.)
PhD Sandwich	3,000 x 3 (yrs.)
Integrated Graduate (Direct PhD)	3,000 x 4 (yrs.)
Integrated Graduate (Upgraded PhD)	2,000 x 1 (yr.) before upgraded
	3,000 x 3 (yrs.) after upgraded

Remarks: 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	80%	May 2017
	2 nd Remittance	20%	October 2017
CR 2 nd Batch	No Call for 2 nd Batch in JFY2017		

Table 5: Breakdown of Support

Table 5.1: Category of Honorarium

Category	Details	Ceiling	Eligible Receiver
Honorarium*	Advisor's supervision fee	Not Over 25%	(1) Principal Investigator of AUN/SEED-Net student at HI (2) Co-investigator (s) at HI (see Table 1: Person Involved in Collaborative Research (CR))

*Advisor with Japanese nationality can't claim honorarium from CR budget

Table 5.2.1: 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.
			International travel in ASEAN	Research team members listed in Applicant list (Attachment1).	(2) Only discounted-economy air ticket is allowed. Boarding pass and e-ticket must be submitted in the financial report.
			International travel in Japan	AUN/SEED-Net student only	(3) International travel in Japan should not exceed maximum 10 days.
			International travel outside ASEAN & Japan	Not allowed in principle.	(4) AUN/SEED-Net student cannot claim for Daily Allowance
		Conference/Seminar	Domestic travel	AUN/SEED-Net student only	(5) For domestic travel, only overnight is allowed for claims.
			International travel in ASEAN	AUN/SEED-Net student only	(6) Follow each institution's rate but not exceed AUN/SEED-Net rate shown in Table 5.2.2.
			International travel in Japan	AUN/SEED-Net student only	(7) Travel information (consists of traveler's name, dates, destination, purposes and relation to CR) must be provided in the Trip report which the form attached in Financial Report Guidelines (see table 6: report submission)
			International travel outside ASEAN & Japan	Not allowed in principle.	

Table 5.2.2: 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 belong 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 5days *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

- (1) Expenditure shall not be paid to those who listed as persons involved in *Table 1*.
- (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) except above (1) unless prior written approval by SEED-Net Secretariat is given with the following procedure:
 - a) 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
 - b) SEED-Net will review the request and approval is given in writing if it deems appropriate.
 - c) Commissioned work which falls under this procedure shall be commenced only after the approval by the SEED-Net. Retroactive request is NOT accepted.
 - d) 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).

3. 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.

4. 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 2nd 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 second remittance.	Deadline for the submission is 30 September 2017
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 31 December 2017
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 **28th Feb 2017** for CR budget of JFY 2017. **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**