



# **GUIDELINES for JOINT RESEARCH**

**under**

## **SUPREM-HCMUT**

Technical Cooperation Project  
for Capacity Building of  
Ho Chi Minh City University of Technology  
To Strengthen University-Community Linkage (Phase 2)  
Strengthen University Project of Research-based Education Model

**June 2011**



## Table of Contents

1. Introduction—What SUPREM-HCMUT aims at.....	1
2. Outlines of Joint Research (JR) under SUPREM-HCMUT .....	2
2.1 Overall schedule .....	2
2.2 Responsibilities of participants .....	2
2.3 Benefits for participants .....	2
2.4 Overseas research partners .....	3
2.5 Selection of JR (Model Lab) .....	3
3. Introducing Research Based Education (RBE) through the joint research.....	4
3.1 Major Principles .....	4
3.2 Action Plans for Introducing RBE.....	4
4. University-community linkage.....	5
4.1 Rationales .....	5
4.2 Organizational scheme of university-community linkage.....	5
4.3 Financial scheme of university-community linkage.....	5
5. Implementation process of JR .....	6
5.1. Technical needs survey.....	6
5.2 Selection of JR topics and Model Labs .....	6
5.2.1 Announcement of the long list of technical needs to researchers (Call for Short proposals) .....	7
5.2.2 Preparation for full proposals .....	7
5.2.3 Selection of proposals .....	7
5.2.4 Categorization of Model Labs and Arrangement of overseas research partners .....	7
5.2.5 Preparation of detailed research plan .....	8
5.2.6 Budget allocation and approval of research plan.....	8
5.3 Implementation of joint research.....	8
5.3.1 Agreement between JR leaders and JICA Team (Research fund) .....	8
5.3.2 Disbursement of research budget .....	8
5.3.3 One month joint research at HCMUT by a local partner.....	8
5.3.4 Developing a patent map.....	9
5.3.5 Visit of overseas research partners (for JR of Category 1 and 2 only) .....	9
5.3.6 Monitoring.....	9
5.3.7 Submission of Activity Reports.....	9
5.3.8 Submission of JR Reports (Outputs of the Project).....	10
6. Research Activities in Japan (One-month JICA Training in Japan) .....	11
6.1 Objectives.....	11
6.2 Participant and the training plan.....	11
6.3 Schedule .....	11
6.4 Budget .....	12

6.5 Duties of participants .....	12
7. Publication and Intellectual Properties.....	13
7.1 Patent application .....	13
7.2 Presentating Paper at International Academic Conference.....	13
7.2.1 Objectives.....	13
7.2.2 Which Conference to Attend .....	13
7.2.3 What to Do Once Paper is Accepted .....	14
7.2.4 Support by SUPREM-HCMUT Project .....	14
7.2.5 Necessary Travel Documents .....	15
7.2.6 Expenditures and Receipts .....	16
7.3 Publishing Paper in International Academic Journal.....	18
7.3.1 Objectives.....	18
7.3.3 What to Do Once Paper is Submitted/Published.....	18

For all forms, refer to the Project Home Page:  
<http://www.jica.hcmut.edu.vn/suprem>

## APPENDIX

Appendix 1	List of the members of R&D Promotion Committee
Appendix 2	Technical needs survey sheet
Appendix 3	Call for Research Proposals
Appendix 4	Short Proposal for Joint Research of SUPREM-HCMUT
Appendix 5	Proposal for Joint Research of SUPREM-HCMUT
Appendix 6	Request of detailed research plan
Appendix 7	Detailed Plan of Joint Research under SUPREM-HCMUT
Appendix 8	Plan of joint research at HCMUT by a local partner
Appendix 9	Report of joint research at HCMUT by a local partner
Appendix 10	My Patent Map
Appendix 11	Schedule of JICA Expert
Appendix 12	Record of discussions on Joint Research
Appendix 13	Monitoring Sheet
Appendix 14	Activity Report
Appendix 15	Joint Research Report
Appendix 16	Plan of the training in Japan
Appendix 17	Procedure of the training in Japan
Appendix 18	Report on the training in Japan
Appendix 19	Preparing Documents for your Patent Application
Appendix 20	Request of the financial support for the oral presentation

## Abbreviations

HCMUT	Ho Chi Minh City University of Technology
JR	Joint Research
KU	Kumamoto University
PMC	Project Management Committee
RBE	Research Based Education
RDPC	R&D Promotion Committee
SUPREM	Strengthen University Project of Research-based Education Model

## 1. Introduction—What SUPREM-HCMUT aims at

*Ho Chi Minh City University of Technology (HCMUT)* is implementing a technical cooperation project by JICA for 3.5 years (2009.3-2012.9), where Kumamoto University provides technical assistance as *the JICA Project Team*, in order to become the core university to promote local development in the southern part of Vietnam.



Source: Perry-Castañeda Library Map Collection

### Target Provinces

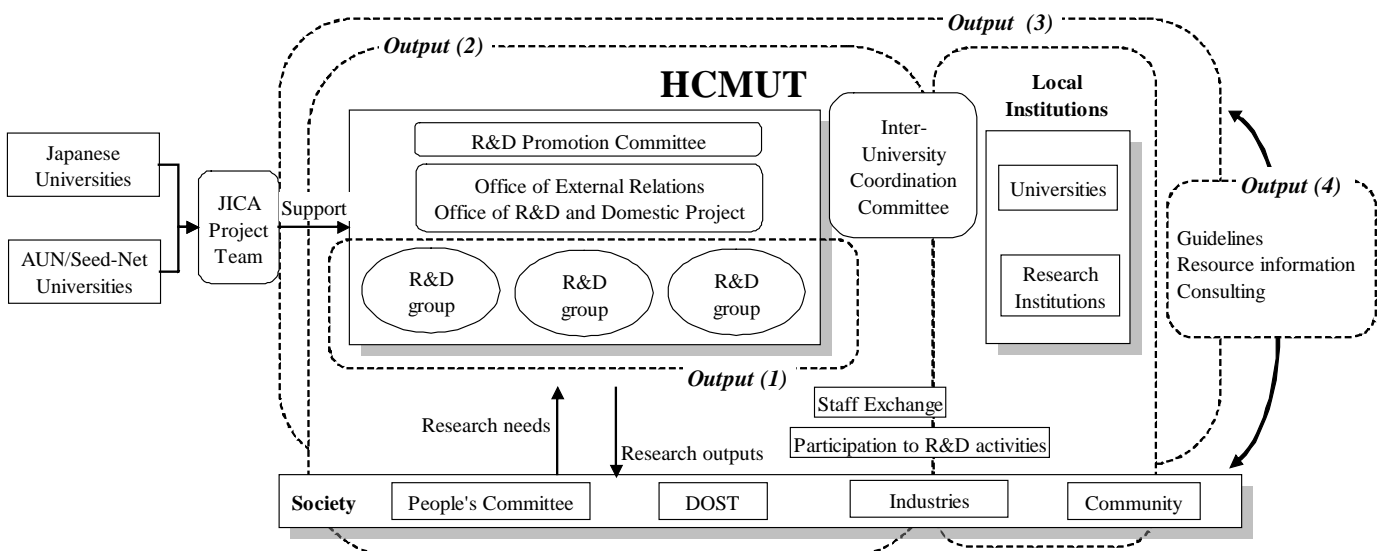
Tien Giang, An Giang, Lam Dong, Dong Nai, Binh Duong

### Expected Outputs of the Project

- (1) Master course programs of the model faculties at HCMUT are transformed to Research Based Education (RBE)
- (2) R&D capacities for the university-community linkage are strengthened at HCMUT
- (3) HCMUT has hub roles to promote academic cooperation for the university-community linkage among higher education institutions and research institutions in the southern part of Vietnam
- (4) Activities by HCMUT to promote local development in the southern part of Vietnam are well recognized

### Features of the Project

- ✓ 7 joint researches are conducted by HCMUT and local research partners every year. Research advisors from Japan, the Philippines and Indonesia are identified for each research topic. The research activities are implemented by master course students, which lead to RBE.
- ✓ Research topics are identified together with Department of Science and Technology (DOST) based on local technological needs. Technological solutions invented by researches contribute to regional development. The systematic university-community linkage is established through these research activities.



## 2. Outlines of Joint Research (JR) under SUPREM-HCMUT

### 2.1 Overall schedule

Batch	No. of JR	Application	JR period (1 year)*	
			Part 1	Part 2
1	12 groups	Closed	2009.8-2010.3	2010.4-2010.7
2	11 groups	Closed	2010.8-2011.3	2011.4-2011.7
3	12 groups	Closed	2011.8-2012.3	2012.4-2012.7

JR groups (Model Labs) are divided into 3 categories as follows:

- Category 1 Research fund + Overseas research partner + One-month JR activities in Japan
- Category 2 Research fund + Overseas research partner
- Category 3 Research fund only

\*Research funds of the Project may not be available during March-April.

### 2.2 Responsibilities of participants

- (1) To prepare *Action Plan for Introducing Research Based Education (RBE)*
- (2) To conduct JR and publicize the outcomes by presenting papers at international conferences/ journals and applying for patents
- (3) To develop a patent map regarding the R&D of their own before starting the research
- (4) To submit Joint Research Report to the JICA Team at the end of the JR period besides two Activity Reports according to the Financial Management Guidelines
- (5) To cooperate with HCMUT in conducting research that should contribute to solving the technical problems of local communities (5 target provinces: An Giang, Binh Duong, Dong Nai, Lam Dong, and Tien Giang)
- (6) To accept more than one researchers of partner provinces at his/her lab to conduct JR activities for 1 month, aiming at preparing for the technology transfer from HCMUT to local provinces. (See 5.3.3 for details)

### 2.3 Benefits for participants

#### (1) Joint Research Fund

Each Model Lab is furnished with JR fund in a form of block grant (The amount is decided by the R&D Promotion Committee of HCMUT in cooperation with the JICA Team based on their proposals. The total amount of the research fund is subject to change according to the annual project budget given by JICA).

Model Lab leaders are required to submit the Activities Reports with appropriate evidence of the expenditure. See Financial Management Guidelines for details.

#### (2) One-month research activities at the research partner's laboratory in Japan (JICA Training).

Purposes of this program are as follows:

- i) To understand the practical method of RBE

- ii) To conduct research at the laboratory of the overseas research partner  
For Batch2: 7 researchers (1 member from each Model Lab of Category 1)  
For Batch3: 6 researchers (1 member from each Model Lab of Category 1)
- (3) Opportunities for oral presentations at international conferences when accepted  
A researcher whose paper has been accepted for an oral presentation at an international conference that is given in Japan or one of the ASEAN member countries will receive financial support to attend the conference (one paper per Model Lab). Publications in international academic journals are also supported.

## **2.4 Overseas research partners**

For each Model Lab of Category 1 and 2, the JICA Team identifies an appropriate overseas research partner from Kumamoto University (KU) or other Japanese universities.

## **2.5 Selection of JR (Model Lab)**

Selection of the Model Labs will be conducted by the R&D Promotion Committee (RDPC) of HCMUT in cooperation with the JICA Team based on the evaluation of the quality of joint research proposals. RDPC consists of faculty members who have sufficient knowledge and experiences on the relevant fields of JR. [Appendix 1]

Selection criteria (important points of view in evaluating the proposals) should be given as follows:

- i) Appropriateness of the research topic under the SUPREM-HCMUT in terms of the project purpose
- ii) Clear assignments of RBE master students as JR members
- iii) Feasibility of the research in terms of technical and financial resources at HCMUT
- iv) Matching with the technical needs suggested by local partners
- v) Motivation and capacities of the researchers at HCMUT
- vi) Availability of research partners in Japan and/or other countries

Methods of the selection include the followings:

- Step 1) Document screening by RDPC of HCMUT and the JICA Team
- Step 2) Interviews by RDPC of HCMUT and the JICA Team

### **3. Introducing Research Based Education (RBE) through the joint research**

#### **3.1 Major Principles**

*The Implementation Plan for Introducing RBE*, authorized by HCMUT in July 2009 (<http://www.jica.hcmut.edu.vn/suprem/index.php>), tries to introduce RBE as substantial activities of the education at HCMUT. Therefore it does not suggest drastic changes in current organizational structures, name of the subjects, nor the crediting system.

In this context and considering the current situation, the major principles have been confirmed as follows:

- (1) HCMUT will introduce RBE to “Master’s programs by research work (RBE master’s students).”
- (2) The leader of a JR group (the Model Lab Leader) should invite RBE master’s students to join his/her research project and supervises them throughout the program.
- (3) The master thesis should be created based on the outcomes of JR under SUPREM-HCMUT or other research projects.
- (4) Master’s students of Model Labs are expected to write an academic paper as the first author.

The point is that the supervisor of each RBE master’s student must be responsible for the student’s performance throughout the program, i.e. from the 1<sup>st</sup> semester till they finish the master thesis. Furthermore, in terms of nurturing human resources with qualified research capabilities as master holders, the research conducted by his/her supervisor under SUPREM-HCMUT should be good enough from academic viewpoints.

Conducting JR is a tool for introducing RBE at HCMUT.

#### **3.2 Action Plans for Introducing RBE**

Model Lab leaders should be requested to develop their own action plan to introduce RBE into master’s programs and implement it at his/her lab, according to the Major Principles stated above. You are strongly recommended to refer to *the Preliminary Version of the Guidelines for Introducing RBE into Master’s Programs under SUPREM-HCMUT* (available at the Project HP or at the JICA Project Office.)

Experiences of RBE through conducting the JR under the Project will lead to the final version of the Guidelines to be publicized in December 2011. HCMUT are expected to encourage those who are interested in RBE but do not know how to make it by providing practical information and know-how.

Finding financial resources to implement RBE is indispensable to realize sustainable research activities by faculty members, namely supervisors, and graduate students. Efforts to develop more accesses to the research funds by governments, VNU and industries are seriously required; thus producing qualified research outcomes, including patent applications and academic papers, based on social technical needs is one of the fundamentals of RBE.



## **4. University-community linkage**

### **4.1 Rationales**

HCMUT aims at strengthening university-community linkages through conducting JR under SUPREM-HCMUT, in order to accomplish the sustainability of JR activities with provinces. In this regard, following aspects should be taken into consideration while challenging RBE:

- ♦ Local technical needs are regularly collected by HCMUT through frequent communication with partner provinces including those done through TV conferencing systems.
- ♦ JR activities reflect the technical needs of partner provinces in terms of the development of the key technology to solve the problems in the provinces.
- ♦ Model Labs try to encourage master's students who are lecturers of local universities and/or researchers of local provinces to participate in the JR under SUPREM-HCMUT for the purpose of technology transfer to partner provinces.
- ♦ Partner provinces try to seek research funds from provincial budget and/or communities to continue research activities until research outcomes are applied to solve the problems.

### **4.2 Organizational scheme of university-community linkage**

#### **(1) Agreement to conduct JR between HCMUT and provinces**

In order to assure official support from the provinces, HCMUT should make the agreement with People's Committee of the partner province to provide full support in implementing JR, including 1) offering information on technical needs in the province, 2) sustaining the suggested organizational structure to strengthen the university-community linkage, 3) assigning appropriate counterpart research institutes and man power, 4) preparing counterpart research fund, and 5) encouraging local industries to participate in JR activities.

#### **(2) Organizational structure in partner provinces to support JR**

People's Committee of each partner province has assigned an appropriate organization to support JR: the Department of Science and Technology (DOST) in Binh Duong, Dong Nai, Lam Dong and Tien Giang, or Department of Agriculture and Rural Development (DARD) in An Giang. The counterpart organization has an institutional arrangement so that all relevant organizations in the province can cooperate in implementing JR. Counterpart organizations will collaborate with Model Labs based on the agreement.

### **4.3 Financial scheme of university-community linkage**

As stated in the previous section regarding sustainable implementation of RBE, one of the most critical issues is to assure financial resources to continue joint research activities by local provinces and HCMUT.

By utilizing the organizational structure mentioned above, it must be elaborated to access the information on financial resources, assist application for research funds and prepare collaborative research plan based on local technical needs.

## 5. Implementation process of JR

### 5.1. Technical needs survey

By November, HCMUT holds discussions with the partner provinces on the potential topics of joint research based on the local needs collected at the provinces as well as other information possessed by R&D Project Management Office of HCMUT. Then, the provinces further screen the topics through consultation with researchers of HCMUT and submit the list of their technical needs to HCMUT by mid-December. Researchers of partner provinces should be involved in prioritizing the technical needs, so that the research outcomes could be well applicable to the technical problems of the provinces through their active participation in JR. [Appendix 2]

Based on the technical needs screened and proposed by the provinces, HCMUT summarizes the long list of technical needs by the end of December.

### 5.2 Selection of JR topics and Model Labs

Overall flow of the application~ selection procedure is shown below.

	<b>SUPREM-HCMUT (R&amp;D Promotion Committee)</b>	<b>Researchers (Applicants) <i>Forms are available at the Project Website</i></b>	<b>Duration/Period (Batch 3)</b>
Step 1	Call for short proposals (Announcement of the long list based on the local technical needs survey) <5.2.1> [Appendix 3]		December 27, 2010
		<i>Submission of Short Proposal</i> <5.2.1> [Appendix 4]	January 15, 2011
	Preliminary Screening <5.2.1>		January, 2011
Step 2	Request of full proposals <5.2.2>		January 27, 2011
		<i>Submission of Full Proposal</i> <5.2.2> [Appendix 5] (TV conferences with local partners, recruitment of RBE students, and patent mapping) [Appendix 10]	March 10, 2011
	Document screening <5.2.3>		April 2011
Step 3	Interviews to the leaders of successful proposals <5.2.3> Categorization of Model Labs Arrangement of Japanese partners to selected proposals <5.2.4>		May 2011
	Approval of JR topics (Model Labs) by JCC		May 2011
Step 4	Request of Detailed Research Plan <5.2.5> [Appendix 6]		May 2011
		<i>Submission of Detailed Research Plan</i> <5.2.5> [Appendix 7]	June 2011
	Allocation of research fund and Approval of Detailed Research Plan <5.2.6>		June 2011

Commencement of JR, Remittance of research fund	<i>Agreement with the JICA Team</i>	August 1, 2011
---	-------------------------------------	----------------

### 5.2.1 Announcement of the long list of technical needs to researchers (Call for Short proposals)

RDPC sends Call for Short Proposals for JR (2 pages to show an intention to submit a full proposal) to all faculties by the end of December with the long list of technical needs. Researchers who are interested in conducting JR based on the technical needs in the long list submit a short proposal. [Appendix 3 & 4]

This procedure is to grasp the total number of full proposals and to exclude extremely unrealistic research topics from the proposals. RDPC will send Request of Full Proposals, attaching the Screening Criteria, to those who have passed the screening conducted by RDPC in cooperation with the JICA Team.

### 5.2.2 Preparation for full proposals

Researchers who have received Request of Proposals (Full Proposals) prepare a proposal using the format given. It is essential for researchers to have close communications and discussions with local partners of the relevant province, through TV conferencing systems and/or any other channels, taking into consideration both i) technological problems that the province is facing, and ii) the research outcomes that should support the master thesis of the graduate students in terms of the paper publication. [Appendix 5]

It is also requested for applicants to attach their patent map, using the form of “My Patent Map”. [Appendix 10]

### 5.2.3 Selection of proposals

JR proposals (Full Proposals) submitted are screened by RDPC in cooperation with the JICA Team, first by document screening based on the evaluation of the quality of each proposal, then by interviews to the leaders of successful proposals to confirm their motivation to fulfill the goal including the introduction of RBE, publications and patent applications, and technology transfer to local partners.

In addition to the quality of proposals, an appropriate distribution among research areas and provinces will also be considered.

Selected Model Labs and their research topics are reported and approved at the JCC meeting.

### 5.2.4 Categorization of Model Labs and Arrangement of overseas research partners

RDPC and the JICA Team categorize selected Model Labs into the following three groups:

Category 1: In addition to the research fund, an overseas research partner and his/her visit to HCMUT once during the JR period is allocated. Furthermore, one of the team members conducts research at the overseas partner’s lab in Japan as part of JR activities (JICA Training)

Category 2: In addition to the research fund, an overseas research partner and his/her visit to HCMUT once during the JR period is allocated (N/A for Batch 2 and 3).

Category 3: Research fund is allocated.

The JICA Team arranges an overseas research partner to each Model Lab of Category 1. Each partner has close research concerns related to the respective JR, and selected from KU and/or other universities in Japan and other countries that have a MoU with HCMUT.

### **5.2.5 Preparation of detailed research plan**

RDPC announces the selection results and their categories to JR leaders (Model Lab Leaders) and provinces. Leaders are requested to submit the detailed research plan, which includes 1) expected number of publication and patent application, 2) identification and concrete activities of RBE master's students, 3) schedule of research activities, and 4) cost estimation. [Appendix 6 & 7]

### **5.2.6 Budget allocation and approval of research plan**

RDPC, in cooperation with the JICA Team, examines detailed research plans submitted by Model Labs, and approves the detailed research plans and budget plans that fit the budget allocation given by the JICA Team.

## **5.3 Implementation of joint research**

The one-year JR period is divided into two parts in terms of the budget use while research and education is year-round, Part 1 from August to February in the following year and Part 2 from May to July. See 5.3.2 below for the disbursement and expenditure period. The JR leaders commence their research activities on 1 August until 31 July of the following year.

### **5.3.1 Agreement between JR leaders and JICA Team (Research fund)**

The agreements are made twice during the JR period, that is for Part 1 and Part 2 respectively. The agreements are individually signed between JR leaders and the JICA Team, witnessed by the Project Manager. The detailed research plan is attached to the agreement.

### **5.3.2 Disbursement of research budget**

After signing the agreement, JR leaders open their bank account to be exclusively used for JR. The JICA Team will transfer all amount of the agreed research fund to individual bank accounts of JR leaders. The disbursement is made for Part 1 and 2 respectively. (Expenditures using the research fund from JICA should be done during August to January for Part 1 and May to July for Part 2.)

### **5.3.3 One month joint research at HCMUT by a local partner**

Each Model Lab must receive one researcher\* from the partner province for one month\*\*. The participant from the province is required to work with research members (Model Lab members) throughout the period of his/her stay and transfer what he/she learned at HCMUT to the members of institutions they belong to in the province. Lab leaders and members are requested to assist them in fulfilling the purpose and preparing a report to be submitted to the JICA Team.

\* The participating researchers from partner province should be included in the list of local partners in the Detailed Research Plan.

\*\* The duration of activities does not necessarily have to be 1 month exactly. Total number of days of around 30 (days) can be shared by 2 or more local participants. However, in view of the objective of this program, a few days short stay at HCMUT by a person who is not actually conducting the joint research is not to be accepted.

Allowances and transportation cost for one round trip between HCMC and respective province (as specified by the Project) are borne by the Project, provided the detail plan is submitted according to the Project format and accepted by RDPC two (2) months before the implementation. [Appendix 8 & 9]

#### **5.3.4 Developing a patent map**

Each Model Lab is requested to develop a patent map of their own research topic area when they submit the full proposal. Manuals for patent mapping is available at the Project website. Patent maps will help them apply for a patent at the early stage of the JR, before publishing papers. [Appendix 10]

#### **5.3.5 Visit of overseas research partners (for JR of Category 1 and 2 only)**

Overseas research partners for Model Labs of Category 1 and 2 visit HCMUT for about a week to make discussions and conduct research with JR members. Their visiting period will be coordinated and informed to the JR leaders by the JICA Team.

Prior to his/her visit, Model Labs prepare the working schedule and submit it to the JICA Team. After the joint activities, they submit the record of discussions to the JICA Team. [Appendix 11 & 12]

#### **5.3.6 Monitoring**

RDPC and the JICA Team conduct monitoring approximately every 3 months to see whether the joint research is going well according to the detailed research plan or there is any problem that hinders the smooth implementation of the activities. [Appendix 13]

#### **5.3.7 Submission of Activity Reports**

In order to present the research progress, each Model Lab is requested to submit the following reports (NB: Date are subject to changes):

(Batch 2)

Activity Report 1 (including Financial Report 1):	1 November, 2010
Activity Report 2 (including Financial Report 2):	10 January, 2011
Financial Report 3:	25 February, 2011
Activity Report 3 (including Financial Report 4):	1 August, 2011
Joint Research Report:	15 August, 2011

(Batch 3)

Activity Report 1 (including Financial Report 1):	1 November, 2011
Activity Report 2 (including Financial Report 2):	9 January, 2012
Financial Report 3:	24 February, 2012
Activity Report 3 (including Financial Report 4):	1 August, 2012
Joint Research Report:	15 August, 2012

The deadlines are strict.

[Appendix 14]

### **5.3.8 Submission of JR Reports (Outputs of the Project)**

Joint Research Report is to be submitted to JICA as “Outputs of Technical Cooperation” at the end of each batch (see 5.3.7). Joint Research Report must clearly state not only the direct outcomes of the research such as papers and patents but also the progress of RBE, plans of applications in and technology transfer to the partner provinces. [Appendix 15]

## 6. Research Activities in Japan (One-month JICA Training in Japan)

### 6.1 Objectives

JICA Training in Japan is in substance to conduct research at overseas partner's lab. It is given as an important part of JR, aiming at producing specific four (4) outcomes below:

- Updating the quality of research activities at HCMUT
- Understanding and experiencing the RBE at Japanese laboratories
- Learning university-community linkages in Japan
- Developing human network to nurture capabilities in academic and industrial linkage

### 6.2 Participant and the training plan

The Model Labs of the leaders who fall into Category 1 must submit the Implementation Plan of the Training in Japan, as soon as possible after the result of the selection is announced, at latest by August 1\*. Then the JICA Team will coordinate the training program with Japanese partners/universities and JICA Centers. [Appendix 16]

\*Please note that it takes at least 3 months to complete the process before starting the training in Japan. [Appendix 17]

He/she who should be the candidate must meet the following requirements:

- A member of the Model Labs of Category 1
- Faculty staff of HCMUT (including master/Ph.D students who are also lecturers of HCMUT)
- Proficiency in English
- Continuous contribution to HCMUT after the training

### 6.3 Schedule

The training will be directly operated by JICA, while the JICA Team will assist the Model Labs in scheduling the training, preparing necessary documents and other coordinations.

Typical training schedule will be as follows (e.g. 29 days training):

Day	Activities	Notes
1	Departure	Overnight trip.
2	Arrival	
3	Orientation by JICA Center	
4	Move to the partner lab	
5~27	JR activities at the part lab* *During this period, domestic trip(s) may be conducted based on the recommendation by the counterpart (Possibly for visiting private companies and/or academic institutions, and attending academic conferences)	Air ticket and 27 nights accommodation will be provided, and 29 days travel allowance will be paid to the participants
28	Meeting with JICA Center	
29	Leave, Arrival in HCM City	One day trip

## 6.4 Budget

Following items regarding the expenses of participants will be supported by JICA:

Actual unit price will be given every year

Item	Support
Airfare	Economy class round ticket by P.T.A. method
Accommodation	Actual direct payment to the hotel by JICA
Daily allowance	Paid in Japan
Travel insurance	Given
Daily transportation cost in Japan	Principally borne by JICA
Domestic trip in Japan	Borne by JICA after approval

## 6.5 Duties of participants

Participants are required to do the followings:

- To conduct the research activities to produce the maximum output in terms of the objectives given, not only through discussions or paper studies but also by participating in the daily lab activities
- To follow the procedures of and regulations under JICA Training in Japan
- To report the achievement in terms of the objectives of the training before leaving Japan according to the Project form (not JICA form). [Appendix 18]
  - e.g. research plans/activities, results of research, discussion/agreement with overseas partners, observation of industries and other institutions, information/experiences on RBE, and so forth
- To make presentations on the above outcomes and share them with other researchers of HCMUT, local partners and industries



## 7. Publication and Intellectual Properties

It is required for each Mode Lab to submit at least one paper to an international conference. It is also strongly recommended to submit academic papers to international academic journals. Researchers are strongly encouraged to apply for a patent before publicizing the research outcomes through any means including conferences, seminars, and journals. Model Lab Leaders should be aware that patents cannot be applied for once you have disclosed your technology to the public. Patent maps that each Model Lab Leader has created before developing the research proposal clarifies how your invention is different from others.

### 7.1 Patent application

Outcomes of JR may be licensed to protect the intellectual property rights of researchers, if it is before any publications. In case where you have announced your research outcomes through conferences/seminars, posters or journals, an application in Vietnam and/or any other country must be done within 6 months of the announcement, using the exactly same description of the technology as you have written in the published papers for the technical claims.

Patent applications (invention) could be made, when all parties involved in the JR made an agreement on the application and sharing of rights/duties.

Registration of a patent in Vietnam and foreign countries is recommended only when industries show interests in the technology. This is because it is costly to apply for and maintain the rights. Therefore, you do not have to request the examination of the patent when you apply (you can request the examination of your invention within 42 months of the application).

Meanwhile, the filing date of a patent in Vietnam could be sold to overseas companies, if the technology is attractive enough (According to the Paris Convention, filing an application in Vietnam preserves the right to file in any other member state of the Convention for up to 12 months and receive the benefit of the original filing date in Vietnam.)

Thus we suggest that you prepare patent documents and bring them to R&D and Project Management Office of HCMUT, before any public or official announcement of your research is made. [Appendix 19]

### 7.2 Presentating Paper at International Academic Conference

#### 7.2.1 Objectives

Presenting the outcomes of joint research at international academic conferences is highly anticipated, not only in order to assure the quality of the research but also to exchange academic information and opinions with overseas researchers.

#### 7.2.2 Which Conference to Attend

To meet these objectives, SUPREM-HCMUT Project offers financial support to those whose **oral presentation** has been accepted by an international academic conference given in one of the ASEAN member countries or Japan (#1).

(#1) ASEAN member countries are Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Vietnam. Conferences given in Vietnam do not apply. The trip should be principally conducted between the middle of May 2011 and the 1<sup>st</sup> week of

February 2012; however, consult the JICA Team if the conference is scheduled outside this period.

If you cannot find a suitable conference in any of these countries and/or have your paper accepted for an oral presentation at an international conference given in a country not listed above, please also consult JICA Team. The Research and Development Promotion Committee (RDPC) will give an individual evaluation in cooperation with JICA Team; taking into consideration any expected contributions of your research to future research activities and the relationship between you and the conference committee members.)

Considering the frontier formalities, the following points should be taken into account:

Recommended Participants for International Conferences in Japan

- lecturers (official passport holders)
- graduate students if they can obtain a visa without difficulties

Recommended Participants for International Conferences in ASEAN

- lecturers (official and non-official passport holders)
- graduate students

If a support for a presentation in a country other than Japan or ASEAN member countries is to be requested under certain conditions, the participant must take responsibility for obtaining a visa to and arranging necessary accommodation as well as transportation in the country of destination.

### 7.2.3 What to Do Once Paper is Accepted

A request for financial support should be submitted to JICA Project Office as soon as your paper is accepted for an oral presentation and if you wish to attend and present it at the conference (#2). The fill-in form (“Request for Financial Support for Oral Presentation and Paper Publication”) is available on the project’s website at [www.jica.hcmut.edu.vn/suprem](http://www.jica.hcmut.edu.vn/suprem).

(#2) Inform JICA Team of your plan as soon as you receive the notice of acceptance in order for you to prepare for your trip in time. You (the presenter) must be one of the authors of the paper, though not necessarily the first author. Please note that the presentation must be given orally (i.e. poster-only presentation cannot be supported).

### 7.2.4 Support by SUPREM-HCMUT Project

The budget of the support is as follows (see “6. Expenditures and Receipts” for more details):

Item	Support
Airfare	Economy class round ticket (#3)
Accommodation	Paid based on actual cost with upper limit of ¥8,000/night (#4)
Daily allowance	US\$47/day for up to 6 days
Transportation	Transportation cost between airport and venue/accommodation paid based on actual cost
Travel Insurance	Insurance valid for the duration of the trip (#5)
Registrartion fee	Up to ¥40,000

(#3) Tickets are reserved and provided by JICA Project Office. The trip should be up to 6 days including moving days.

(#4) Upper limit of ¥10,000/night applies to the following prefectures and cities only: Tokyo, Kanagawa, Osaka, Hyogo and other government-ordinance-designated cities in Japan

(#5) Travel insurance is arranged and bought by JICA Project Office. The policy number is given to the traveler before departure.

### 7.2.5 Necessary Travel Documents

#### (1) Obtaining a passport

##### HCMUT permanent employee

Go to the External Relations Office at HCMUT and ask the office to translate the acceptance letter of your paper issued by the conference committee into Vietnamese. Then bring the acceptance letter together with the translation to the Personnel & Administration Affairs Office to:

- ♦ Obtain a permission to go abroad and attend the international conference
- ♦ Obtain an official passport (the Personnel & Administration Affairs Office will take care of your passport application.)

##### HCMUT contract-based employee and HCMUT student

Contact the immigration office in your hometown.

#### (2) Visa application for entering Japan

(NB: There is no need to obtain visas when you enter any of the ASEAN member countries. For any other countries, contact the appropriate embassy/consulate for more information.)

- Those who use an official passport do not need visas to enter Japan.
- Those who use an ordinary passport must apply for a visa when entering Japan. The following documents in original should be submitted to the Consulate General of Japan in HCMC:

##### Documents prepared by the conference organizer

1. Acceptance letter of the paper
2. Invitation letter issued by the Conference Committee (professor/organizer of the conference) including the following information:
  - Full name of the professor/organizer
  - Signature of the professor/organizer
  - Address
  - Telephone number
  - Seal of the professor/organizer
  - Reasons for the invitation
  - Period of stay
3. Identification reference/guarantee letter issued by the Conference Committee

- (professor/organizer of the conference)
4. Certificate of employment of the signer (professor/organizer)
  5. Conference information including the signer's (professor/organizer's) name (e.g. conference website, information pamphlet)

Documents prepared by JICA Project Team

6. Affidavit of financial support issued by JICA Project Team
7. Confirmation of round-trip flight ticket
8. Trip itinerary

Documents prepared by the applicant (conference participant)

9. Passport
10. Visa application form
11. Photo of the applicant 4.5cm x 4.5cm taken within the last 6 months
12. Labor contract of the applicant (i.e. applicant x HCMUT)

### **7.2.6 Expenditures and Receipts**

(1) Registration fee

- You are responsible for your own registration. Once you make the payment of the registration fees, obtain a receipt from the conference committee. The name on the receipt must be JICA-HCMUT Project Team.
- Make sure the receipt shows the price in one currency only or the currency you chose for your payment only. (i.e. If you paid in USD, the price should be shown in USD only. If you paid in Thai Baht, the price should be shown in Thai Baht only, etc.)
- Submit the receipt to JICA Project Office before your departure. In case any problems are found, request the conference committee to revise the receipt when you attend the conference. If you make an on-site registration, ask for the receipt at the conference and submit it upon your return to HCMC. (see (5))
- The amount you spent on the registration fees will be reimbursed in VND based on the JICA exchange rate regardless of the currency you used for the payment.

(2) Air tickets and train/bus tickets

- JICA Project Office will provide the participant with a round trip air ticket between HCMC and the nearest airport from the venue where the international conference is held. The flight itinerary will be based on the conference program and duration.
- If it is necessary to use railways or/and buses between the airport and conference venue/accommodation, the actual cost can be reimbursed based on the receipts. NB: Taxi fare will not be reimbursed. In case you use taxi as a means of transportation, the cost should be covered at your own expense. Transportation cost for traveling beside the airport-venue/accommodation route should be covered at your own expense.
- The name on the receipt must be JICA-HCMUT Project Team if applicable. Information

such as the date of travel, category of the train/bus (express, super-express, etc.), destination, price and name of company must be included.

- Make sure the receipt shows the price in one currency only or the currency you chose for your payment only. (i.e. If you paid in USD, the price should be shown in USD only. If you paid in Thai Baht, the price should be in Thai Baht only, etc.)
- Submit the receipt(s) to JICA Project Office as soon as you return to Vietnam.
- The amount you spent on the transportation will be reimbursed in VND based on the JICA exchange rate regardless of the currency you used for the payment.

### (3) Accommodations

- You are responsible for your own accommodation reservation.
- Note that the transportation cost between the venue and your accommodation should be covered at your own expense.
- No allowance is paid for the night used for overnight flying.
- The attention/name on the receipt must be **JICA-HCMUT Project Team**.
- Make sure the receipt shows the price in one currency only or the currency you chose for your payment only. (i.e. If you paid in USD, the price should be shown in USD only. If you paid in Thai Baht, the price should be in Thai Baht only, etc.)
- Your (the guest's) full name, unit price (room charge per night), number of nights you stayed, date of check-in/out, date the receipt was issued, signature and stamp of the hotel must be included.
- Submit the receipt to JICA Project Office as soon as you return to Vietnam.
- The actual amount you spent on accommodation with an upper limit of ¥8,000/night (and ¥10,000/night in case of the following prefectures and cities: Tokyo, Kanagawa, Osaka, Hyogo and other government-ordinance-designated cities in Japan) will be reimbursed in VND based on the JICA exchange rate regardless of the currency you used for the payment.

### (4) Daily allowance

- Daily allowance will be paid in US Dollar (US\$47/day). You have to exchange the US\$ to the currency of the country you travel to.

### (5) Report of the travel and submission of a PDF file of the paper

- Submit the receipts of accommodation, train/bus rides and registration fees within 3 days of your return to HCMC.
- Submit a PDF file of the full paper you have presented at the international conference at the same time.

## 7.3 Publishing Paper in International Academic Journal

### 7.3.1 Objectives

It is a mission of each Model Lab to submit academic papers to international academic journals as one of the outcomes of their joint research (JR).

As stated in connection with the introduction of Research Based Education (RBE), papers should be co-authored by the model lab members including graduate students.

### 7.3.2 Support by SUPREM-HCMUT Project

To enhance joint research activities, SUPREM-HCMUT offers financial support to those who submit their academic paper prepared based on their joint research to an international academic journal. [Appendix 20]The budget of the support is as follows:

Item	Support
Paper submission fee	Up to ¥ 30,000 (#)

(#) Up to ¥30,000 will be supported when a model lab submits a research paper to an international academic journal. In case no submission fee is needed and the paper is accepted for publication, the publication fee will be supported.

### 7.3.3 What to Do Once Paper is Submitted/Published

- Please submit the receipt of the submission fee and the PDF file of the paper to JICA Project Office. The attention of the receipt must be **JICA HCMUT Project Team**.
- In case where submission fee is not needed and your paper is however accepted for publication, please forward the acceptance letter from the international journal to JICA Project Office together with the information on the publication fee. Once you pay the fee, please obtain the receipt (the attention must be **JICA HCMUT Project Team**), any other documents related to the payment (such as bank transfer slip) as well as the PDF file of the published paper. Submit them to JICA Project Office.

# **APPENDIX**

Most updated forms are downloadable from

**<http://www.jica.hcmut.edu.vn/suprem/>**

## **Appendix 1**

### **List of the members of R&D Promotion Committee**

Project Manager (Vice Rector of HCMUT)

Project Coordinator

Dean, Faculty of Civil Engineering

Dean, Faculty of Environmental Engineering

Dean, Faculty of Chemical Engineering

Dean, Faculty of Mechanical Engineering





Appendix 2

**SAMPLE**

**Proposed Technological Needs  
for the Batch 3 Joint Research under SUPERM-HCMUT**

Province: \_\_\_\_\_

	Problems	Organization in charge	Person in charge
1	<p>Current Situation:</p> <p>Expected Situation (Improvement):</p> <div style="border: 1px dashed black; padding: 5px; margin: 5px 0;"> <p>#HCMUT will not provide local industries with direct solutions but develop technologies that could be applied to their technical problems in the province</p> </div> <p>Efforts for the improvement done by the province:</p>	e-mail: Tel:	e-mail: Tel:
2	<p>Current Situation:</p> <p>Expected Situation (Improvement):</p> <p>Efforts for the improvement done by the province:</p>	e-mail: Tel:	e-mail: Tel:
3	- ibid -		

Date: \_\_\_\_\_

By \_\_\_\_\_

Name:

Position:

## Appendix 3

SAMPLE

# Call for Research Proposal

--- SUPREM-HCMUT ---

(Strengthening University Project for Research Based Education Model in HCMUT)

Dear All Faculty Members at HCMUT,

Re: Call for Joint Research Proposal

You are cordially invited to participate in the Batch 3 Joint Research under SUPREM-HCMUT, a collaboration project between JICA and HCMUT (see the project brief attached below), by submitting a joint research proposal.

The details on proposal writing are given below:

1. **Research topics:** See the attached table of long-listed research topics, which consists of three groups: 1) topics of the first and second batch researches, 2) topics proposed by the target provinces and 3) topics proposed by HCMUT faculties.
2. **Research period:** August 2011 – July 2012, NB: There will be a period (between February-April 2012) where no research funds will be provided by JICA as it coincides with the period of the Japanese fiscal year-end account settlement.
3. **Number of research topics (groups) to be selected:** A maximum of 12 topics
4. **Total amount of research funds:** Yet to be fixed but approximately ¥18,000,000 (Japanese Yen) i.e. ¥1,500,000 (approximately US\$17,000) per research group x 12 research groups
5. **Proposal form:** Use the attached form and write in English (2 page maximum)
6. **Submission:** Email your proposal to [supremhcmut@hotmail.com](mailto:supremhcmut@hotmail.com) (JICA Project Office) and CC to [pd tuan@hcmut.edu.vn](mailto:pd tuan@hcmut.edu.vn) (Prof. Phan Dinh Tuan) and [mtphong@hcmut.edu.vn](mailto:mtphong@hcmut.edu.vn) (Dr. Mai Thanh Phong) by **January 15, 2011**.

Since the Joint Research is to be conducted by HCMUT and local research partners in the target provinces, it is strongly recommended that your joint research proposal is prepared through a close communication with the provinces listed in the attached table of research topics. Their contact numbers are available at JICA Project Office.

If you have any questions, please feel free to contact JICA Project Team via e-mail at [jica-suprem-core@hicc.cs.kumamoto-u.ac.jp](mailto:jica-suprem-core@hicc.cs.kumamoto-u.ac.jp). Also, more information is available on the project's website at <http://www.jica.hcmut.edu.vn/suprem/welcome.php>.

Thank you for your attention and looking forward to hearing from you.

Sincerely yours,

Prof. Phan Dinh Tuan  
Vice Rector  
Chairperson of R&D Promotion Committee, SUPREM-HCMUT

**Appendix 4**

**Short Proposal for Joint Research of SUPREM-HCMUT**

Batch 3 (August 2011-July 2012)

<p><u>Research topic:</u> _____</p> <p>Relevant topic No:</p> <p>Partner province:</p>
<p>Team members</p> <p>Leader</p> <p><u>Name:</u> _____</p> <p>Laboratory/Department/Faculty:</p> <p>Office phone/fax.:</p> <p>Mobile phone:</p> <p>e-mail:</p> <p>Faculty members/Position:</p> <p><u>Name:</u> _____ / _____</p> <p><u>Name:</u> _____ / _____</p> <p><u>Name:</u> _____ / _____</p> <p>RBE master students/Supervisor:</p> <p>(Note) RBE master student(s) must be included. Recruiting additional RBE master students during September –October 2011 is strongly encouraged.</p> <p><u>Name:</u> _____ / _____</p> <p><u>Name:</u> _____ / _____</p>
<p>List of publications of the leader (recent 3 years):</p>

Brief explanation of the joint research to be proposed (in 500 words; please include 1) Problems to be solved, 2) Research plan, 3) Expected outcomes e.g. benefits, papers, patents):

**Appendix 5**

**Proposal for Joint Research of SUPREM-HCMUT**

Batch 3 (August 2011-July 2012)

General

<b>A</b>	Research topic																																
<b>B</b>	<p>Team members</p> <p>Leader</p> <p style="margin-left: 20px;">Name:</p> <p style="margin-left: 20px;">Laboratory:</p> <p style="margin-left: 20px;">Department:</p> <p style="margin-left: 20px;">Faculty:</p> <p style="margin-left: 20px;">Office phone/fax.:</p> <p style="margin-left: 20px;">Mobile phone:</p> <p style="margin-left: 20px;">e-mail:</p> <p>Faculty members</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-left: 20px;"> <thead> <tr> <th style="width: 33%;">Name</th> <th style="width: 33%;">Department</th> <th style="width: 33%;">Faculty</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table> <p>Students    *RBE master student(s) must be included.</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-left: 20px;"> <thead> <tr> <th style="width: 33%;">Name</th> <th style="width: 33%;">Status/Supervisor*</th> <th style="width: 33%;">Organization originally from</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>			Name	Department	Faculty													Name	Status/Supervisor*	Organization originally from												
Name	Department	Faculty																															
Name	Status/Supervisor*	Organization originally from																															
<b>C</b>	<p>Research partners in the province</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-left: 20px;"> <thead> <tr> <th style="width: 33%;">Name</th> <th style="width: 33%;">Position</th> <th style="width: 33%;">Organization</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>			Name	Position	Organization																											
Name	Position	Organization																															

<b>D</b>	Previous achievement of members (Research paper, publication and patent)		
	Name	Achievement	Year
<b>E</b>	Available equipment relevant for the research topic		
<b>F</b>	Necessary equipment (IF ANY)		

### Summary of Proposed Research

<b>G</b>	Existing problems <Applicants, who have been substantially supported as model labs of Batch 1 and/or 2, are required to clarify the progress of the previous period and the updated prospects for Batch3>
<b>H</b>	Proposed approaches to the problems
<b>I</b>	Expected outcomes (Socio-economic impact and technological impact)
<b>J</b>	Advantage over the existing technology
<b>K</b>	Previous experiences with international cooperation on similar research topics

**Appendix 6**

**SAMPLE**

**SUPREM – HCMUT PROJECT OFFICE**

**Capacity Building of HCM City University of Technology to Strengthen**

**University – Community Linkage (Phase 2)**

R. 401-403, A4 building, HCMUT, 268 Ly Thuong Kiet street, Dist.10, HCMC, Tel.: 38647257 # 5135 Fax:

38638472

---

Date .....

Dear .....,

Re: Detail research plan and agreement for Joint Research under SUPREM-HCMUT

As it has been announced, \_\_ research proposals were selected for the \_\_ batch joint research groups. These proposals have been further classified into three categories by R&D Promotion Committee (RDPC): Category 1 with research fund, overseas partner and one-month joint research activities in Japan (one member from each team), Category 2 with research fund and overseas partner, and Category 3 with research fund. JICA Project Team coordinated to identify an appropriate overseas partner for each team in Categories 1 and 2, as shown in the attached table.

1. Submission of detail research plan:

You are kindly requested to submit the detail research plan to [supremhcmut@hcm.ftp.vn](mailto:supremhcmut@hcm.ftp.vn) by \_\_ May 2010 ( \_\_ day) in the following way:

Use the attached format. For (A) to (H), (J) and (K), you may revise your proposals submitted earlier in June. (I) Expected number of publications and patent applications, (L) Expected students' activities related to Research Based Education, (M) Schedule of research activities and (N) Cost estimation have been added to the original proposal format.

2. Finalization of research budget allocation:

Detail research plans will be examined and budget allocation will be finalized by the RDPC at the following meeting:

Time and date: (time) on \_early\_ June 2010 ( \_\_ day)

Venue:

Participants: RDPC members, Joint research leaders and JICA Project Team

Topics:                    Budget allocation for joint research  
                                  Guideline for joint research

3. Signing of Agreement for Joint Research under SUPREM - HCMUT:

An agreement between JICA Project Team and each joint research team will be made on 31 July 2010 after the revision of detail research plan with agreed amount of research budget. The budget will be disbursed shortly after signing the agreement.

If you have any questions, please do not hesitate to contact me and JICA Project Team.  
Thank you very much for your interest and cooperation in advance.

Sincerely yours,

Prof. Dr. Phan Dinh Tuan

Vice Rector and Project Manager of SUPREM-HCMUT

**CC: RDPC members**



**Appendix 7**

**Detail Plan for Joint Research of SUPREM-HCMUT**

(August 2011-July 2012)

General

<b>A</b>	Research topic																																				
<b>B</b>	<p>Team members</p> <p>Leader</p> <p>    Name:</p> <p>    Laboratory:</p> <p>    Department:</p> <p>    Faculty:</p> <p>    Office phone/fax.:</p> <p>    Mobile phone:</p> <p>    e-mail:</p> <p>Faculty members:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin: 10px 0;"> <thead> <tr> <th style="width: 33%;">Name</th> <th style="width: 33%;">Department</th> <th style="width: 33%;">Faculty</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table> <p>Students:</p> <table border="1" style="width: 100%; border-collapse: collapse; margin: 10px 0;"> <thead> <tr> <th style="width: 33%;">Name</th> <th style="width: 33%;">Master or Ph. D</th> <th style="width: 33%;">Organization originally from</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Name	Department	Faculty																Name	Master or Ph. D	Organization originally from															
Name	Department	Faculty																																			
Name	Master or Ph. D	Organization originally from																																			
<b>C</b>	<p>Research partners in the province</p> <p>(*please mark the researcher who is supposed to conduct JR activities at HCMUT for 30 days)</p> <table border="1" style="width: 100%; border-collapse: collapse; margin: 10px 0;"> <thead> <tr> <th style="width: 33%;">Name</th> <th style="width: 33%;">Position</th> <th style="width: 33%;">Organization</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Name	Position	Organization																																	
Name	Position	Organization																																			

<b>D</b>	Previous achievement of members (Research paper, publication and patent)		
	Name	Achievement	Year
<b>E</b>	Available equipment relevant for the research topic		
	Necessary equipment (IF ANY)		

### Summary of Proposed Research

<b>F</b>	Existing problems
<b>G</b>	Proposed approaches to the problems
<b>H</b>	Expected outcomes (Socio-economic impact and technological impact)

<b>I</b>	<p>Expected number of publications and patent applications</p> <p>Domestic conference:</p> <p>International conference:</p> <p>Domestic journal:</p> <p>International journal:</p>
<b>J</b>	<p>Advantage over the existing technology</p>
<b>K</b>	<p>Previous experiences with international cooperation on similar research topics</p>
<b>L</b>	<p>Expected students' activities related to Research Based Education:</p> <p>During the project:</p> <p>After the project:</p>

**M** Schedule of research activities

(Please use the Excel file "JR Detail Plan.xls" and paste it here)

**N** Cost estimation

(Please use the Excel file "JR Detail Plan.xls" and paste it here)



## Plan of Joint Research Activities at HCMUT by Local Partner

Research ID: B3 -\_\_

Research Topic: \_\_\_\_\_

June , 2011

<b>Direct Partner at HCMUT</b>	Dr. (B3-_____ member)
<b>Participant Information</b>  <u>Note: The participant must be included in the Detailed Joint Research Plan as a local partner.</u> If more than one person is participating in this program, make sure the information for <u>each</u> participant is provided here.	Full Name: Province: Institution: Title: Current Job Description:  Contact Information:
<b>Active Period</b>  <b>Note:</b> If more than one person is participating in this program, make a list of the participants and their active periods (1 week or more for each). For example: 1. Mr. Anh (18 days) (18/10/2011 – 04/11/2011) 2. Ms. Ngoc (12 days) (07/11/2011 – 18/11/2011)	From <u>day-month-year</u> to <u>day-month-year</u> (30 days)
<b>Expected Outcomes</b>	Publication plan (domestic): - (title....., if any) Capacity development of the institution in the province - (capacity for .....) Idea of application/modification of the technology - (plan of application to....., continuing research on.....)
<b>Activities at HCMUT</b>  <b>Note:</b> Describe weekly research activities to be carried out by the participant(s). i.e., Week 1: (activity description) Week 2: (activity description) Week 3: (activity description) Week 4: (activity description) Week 5: (activity description)	
<b>Special Attention</b>	(if any, e.g. health conditions)

Signature

\_\_\_\_\_

(Name of Model Lab Leader)

Leader of B3-\_\_\_\_\_



## Appendix 9

### Report of Joint Research Activities at HCMUT by Local Partner

Research ID: B3 - \_\_\_\_\_

Research Topic: \_\_\_\_\_

Month Day, Year

Participant	(Direct partner in the Lab: Dr. _____ )
Name	
Information	Province: Institution: Title: Current job description:  Contact address:
Period	From <u>day-month-year</u> to <u>day-month-year</u> (30 days)
Activities	(1 <sup>st</sup> week)  (2 <sup>nd</sup> week)  (3 <sup>rd</sup> week)  (4 <sup>th</sup> week)  (5 <sup>th</sup> week)
Outcomes	Publication plan (domestic):  Action plans to contribute to the capacity development of the institution in the province:  Idea for application/modification of the research at HCMUT:

Signature

\_\_\_\_\_  
(Name of Model Lab Leader)

Leader of B3- \_\_\_\_\_

Signature

\_\_\_\_\_  
(Name of the participant)



## Appendix 10

### My Patent Map

Research ID: B3 - \_\_\_\_\_

Research Topic: \_\_\_\_\_

August , 2011

Key Words of the research	(1) (2) ....
Results of patent search in the related field (USA)	US Patent and Trademark Office (USPTO) <a href="http://patft.uspto.gov/">http://patft.uspto.gov/</a> Issued patents (quick saearch) which are close to my research  Potential research topics/fields
Results of patent search in the related field (EU)	European Patent Office (EPO) <a href="http://www.epo.org/">http://www.epo.org/</a> Issued patents (quick saearch) which are close to my research  Potential research topics/fields
Candidate technologies on which patents can be applied for through the joint research	

Appendix 11

Schedule of JICA Expert (B3- .Dr. )

As of , 2011  
SUPREM-HCMUT

Date	Day	Time	Activities	Information
			Lv	(Flight No.)
			Ar.Ho Chi Minh	
		09:00	Dr....'s Lab	C/P: Dr....., Rm. ...., ...Bldg. Mobile phone:
				Room.
			Wrap-up	Rm.405, A4 Bldg.
			Lv. Ho Chi Minh	(Flight No.)
			Ar.	

SUPREM-HCMUT Project Office (Rm.401-403, A4 Building, HCMUT, 268 Ly Thuong Kiet, District 10, HCMC, Vietnam)	Tel: +84-8-38647257 Fax: +84-8-38638472
Mr. Toru Ishibashi (Deputy Team Leader)	Mob: +84-933-482-546
Ms. Kyoko Nakano (Deputy Team Leader)	Mob: +84-933-482-564
Ms. Miyo Hanazawa (Coordinator)	Mob: +84-933-482-750
Mr. Dung (Driver) (Project Car Number: 53S-2792)	Mob: +84-909-863-821
Hotel Continental (132-134 Dong Khoi St., District 1, HCMC, Vietnam)	Tel: +84-8-38239408/38299201 Fax: +84-8-38241772



**Appendix 12**

**Record of Discussions on Joint Research**

<B3- \_\_\_\_\_>

Title of the Meeting: (Informal/Internal) Information on discussions with Model Lab members

Agenda:

Date:

Venue:

List of Participants:

<b>Agenda</b>	<b>Record of Discussions</b>
JR Plan (Changes made on the final research proposal)	Agreed with the following plans:
Equipment	Recommendations
Training	Participant: Period: Activities: Preparatory research at HCMUT
Others	(comments by overseas partners, etc)





## Appendix 13

# Monitoring Sheet

Date:

Research ID: B3-

Research members attended:

Visitors:

### 1. Research progress

Compared with Schedule of Research Activities	
Change of research team members	
Others	

### 2. Communication (by TV conference, meeting, Email)

Overseas research partner	
Master's students	
Provinces	
Others	

### 3. Outputs

RBE (e.g., progress of master's thesis and presentation at conferences)	
Research paper	

Patent	
Others	

#### 4. Financial management

Problems/Concerns	
Activity and financial plans over the period when JICA funds are not available	
Total amount used to date	VND _____ ( _____ % of total budget)
Amount spent on traveling cost and rental cars	Traveling cost + rental car exceeding 20% of total budget: <input type="checkbox"/> Yes <input type="checkbox"/> No
Amount spent on outsourcing	Outsourcing exceeding 20% of total budget: <input type="checkbox"/> Yes <input type="checkbox"/> No

#### 5. Problems and constraints

--



**Activity Report I**  
**under**  
**SUPREM-HCMUT**

Technical Cooperation Project  
for Capacity Building of  
Ho Chin Minh City University of Technology  
To Strengthen University-Community Linkage (Phase 2)

**Research ID: B3 - \_\_\_\_\_**

**Research Topic: \_\_\_\_\_**

**November 2011**



1. Existing problems, proposed approaches and expected outcomes

1.1 Existing problems in the target province

1.2 Proposed approaches

1.3 Expected outcomes

2. Implementation of the joint research

2.1 Research progress

(Show research progress in comparison to Schedule of Research Activities in the Detail Plan for Joint Research.)

2.2 Research Members

	Name	Position	Organization
Leader			
Member			

2.3 Materials and experimental procedure

2.4 Results and discussions

3. Input of the joint research

3.1 Equipment

3.2 Visits and meetings

Date	Visit where Meeting with who	Objectives	Participants from the team

3.3 Input by external research partners including overseas research partners

3.4 Research activities in Japan (only for JR teams in Category 1)

#### 4. Output of the joint research

##### 4.1 Research output

##### 4.2 Introduction of the research-based education

(e.g. Progress of master thesis and presentation at conference)

##### 4.3 Paper and thesis submitted or to be submitted

###### Paper

Conference/journal	Paper title	Writer	Position	Date

###### Thesis

Master/Ph. D.	Thesis title	Student	Date

##### 4.4 Cooperation with universities in the target province

##### 4.5 Contribution to the industries

#### 5. Action plans for the research and education

##### 6.1 Joint research

##### 6.2 Research-based education

##### 6.3 Academic cooperation with other universities

##### 6.4 Development of industrial cooperation

#### 6. Financial report of the research funds

Attach: 1) the Financial Report (use the format provided in Financial Management Guideline), 2) the original Financial Records (use the format provided in Financial Management Guideline), 3) the most recent bank statement, 3) the original receipts pasted on A4 sheets, and 4) any related documents.

#### 7. Problems and possible solutions

# **Joint Research Report**

**under**

## **SUPREM-HCMUT**

Technical Cooperation Project  
for Capacity Building of  
Ho Chin Minh City University of Technology  
To Strengthen University-Community Linkage (Phase 2)

**Research ID: B3 - \_\_\_\_\_**

**Research Topic: \_\_\_\_\_**

**July 2012**



## **Table of Content of the Joint Research Report**

1. Objectives of Joint Research under SUPREM-HCMUT
  - 1.1 Existing problems in the target province
  - 1.2 Proposed approaches
  - 1.3 Expected outcomes
2. Implementation of the Joint Research
  - 2-1 Executive Summary
  - 2-2 Objectives from the academic viewpoint
  - 2-3 Research Members
  - 2-4 Materials and experimental procedures
  - 2-5 Results and discussions
3. Input to the Joint Research
  - 3-1 Equipment
  - 3-2 Visits to and meetings with local partners
  - 3-3 Visits and input by overseas and local partners
  - 3-4 Research activities in Japan
  - 3-5 Research activities by local partners at HCMUT
  - 3-6 Other information and cooperation
4. Output from the Joint Research
  - 4-1 Research output
  - 4-2 Introduction of the RBE
  - 4-3 Promotion of cooperation with local partners
  - 4-4 Paper and thesis
  - 4-5 Patents and contribution to the industries
5. Problems during the Joint Research and possible solutions
  - 5-1 Strengthening of R&D capabilities
  - 5-2 Introduction of RBE
  - 5-3 Cooperation with local partners
6. Future plans on RBE and joint research with local partners
  - 6-1 Implementation of RBE
  - 6-2 Joint research with local partners

## 1. Objectives of Joint Research under SUPREM-HCMUT

1-1 Existing problems in the target province

1-2 Proposed approaches

1-3 Expected outcomes

## 2. Implementation of the Joint Research

2-1 Executive Summary

2-2 Objectives from the academic viewpoint

2-3 Research Members

	Name	Position	Organization	Responsibilities
Leader				
Member				

2-4 Materials and experimental procedures

2-5 Results and discussions

## 3. Input to the Joint Research

3-1 Equipment (List of equipment used/purchased/rented)

3-2 Visits to and meetings with local partners

Date	Visit where Meeting with who	Objectives	Participants from the team



3-3 Visits and input by overseas and local partners

3-4 Research activities in Japan

3-5 Research activities by local partners at HCMUT

3-6 Other information and cooperation

#### **4. Output from the Joint Research**

4-1 Research output

4-2 Introduction of the RBE

(Actions taken)

4-3 Promotion of cooperation with local partners

4-4 Paper and thesis

Paper

Conference/journal	Paper title	Writer	Position	Date

Thesis

Master/Ph. D.	Thesis title	Student	Date

4-5 Patents and contribution to the industries

(List of patents applied for)

#### **5. Problems during the Joint Research and possible solutions**

5-1 Strengthening of R&D capabilities

5-2 Introduction of RBE

5-3 Cooperation with local partners

**6. Future plans on RBE and joint research with local partners**

6-1 Implementation of RBE

6-2 Joint research with local partners



## Appendix 16

### Plan of the Training in Japan

Research ID: B3 – \_\_\_\_\_

Research Topic: \_\_\_\_\_

August 1, 2011

Participant	
Name	
Information	Title: Contact address:
Period	
Expected outcomes	
Activities	
Special attention	(if any, e.g. health conditions)

Signature

\_\_\_\_\_

(Name of Model Lab Leader)

Leader of B3-\_\_\_\_\_

## Appendix 17

### Procedures of Training in Japan

< Documents to be prepared 3 months before the training >

- Invitation letter from the research partner in Japan
- A2A3 Form (6 copies) with
  - Medical checkup certificate (6 copies per participant)
  - Curriculum Vitae (English) (1 copy per participant)
  - Photographs with white background (4×6cm, 6 photos per participant)

Typical procedures for preparing for JICA training in Japan (in November/December 2011) is given below.

✓: Actions to be taken by the participant of the training

	<b>Participants</b>	<b>JICA Project Office</b>
June	(After the announcement of the selection as the Model Lab of Category 1)	
✓	(by the Model Lab Leader) <u>Submit the <i>Plan of the training in Japan</i></u> [Appendix 16]	Coordinate the training with the host lab/university and JICA. Submit a request for training in Japan to JICA Vietnam with tentative training schedule.
By 1 August	(3 months prior to the start of the training)	
	Receive the invitation letter from the overseas research partner in Japan.	Help the host lab/university in Japan to prepare an invitation letter for the participants.
✓	<u>Translation of the invitation letter</u> The invitation letter can be translated by the participant himself/herself and then brought to the External Relations Office to be certified OR the invitation letter can be translated and certified by the External Relations Office. Note that the translation by the External Relations Office may take a while.  1. <u>HCMUT permanent employee</u> Bring the invitation letter to the Personnel & Administration Affairs Office to: i) Obtain the permission to go on the training program ii) Obtain an official passport (see below)  2. <u>HCMUT contract-based employee</u> Bring the invitation letter to the Personnel & Administration Affairs Office to: i) Obtain the permission to go on the training program	

	<p>NB: <u>Contract-based employees are not entitled to obtaining official passport.</u></p> <p>3. <u>Non-HCMUT employee</u> Send the invitation letter to the Administrative Section of your place of employment and ask for an approval for his/her training in Japan.</p>	
✓	<p><u>Obtain a passport</u></p> <p>1. <u>HCMUT permanent employee</u> Submit the invitation letter (with translation) to the Personnel and Administration Affairs Office at HCMUT to apply for an official passport.</p> <p>2. <u>HCMUT contract-based employee and non-HCMUT employee</u> The participant is expected to apply for his/her own passport.</p>	
✓	<p><u>Submit A2A3 form to JICA Project Office</u></p> <p>6 copies of the form A2A3 should be submitted, together with one passport-sized photo and a medical checkup certificate attached to each copy, and a curriculum vitae.</p> <p>A2A3 form can be downloaded from: <a href="http://www.jica.hcmut.edu.vn/suprem/index.php">http://www.jica.hcmut.edu.vn/suprem/index.php</a></p>	<p>Check the A2A3 form submitted, and submit all the 6 copies each with the signature of the Vice Rector of HCMUT and the HCMUT official stamp to the External Relations Office at HCMUT.</p> <p>Ask the External Relations Office to submit the A2A3 form to VNU.</p> <p>VNU forwards the A2A3 to JICA Vietnam via the Ministry of Planning and Investment.</p>
By 1 October (1 month before the departure date)		
	<p><u>Receive a permission to go on the training in Japan</u></p> <p>1. <u>HCMUT permanent employee</u> Receive a permission from VNU/HCMUT to participate in the training.</p> <p>2. <u>HCMUT contract-based employee</u> Receive a permission from HCMUT to participate in the training.</p> <p>3. <u>Non-HCMUT employee</u> Arrange a leave application with his/her place of employment.</p>	

✓	<u>Submit a copy of the permission to go on the training in Japan and a copy of the participant's passport to JICA Project Office.</u>	
Around 10 October (about 3-4 weeks before the departure date)		
	<u>Receive a Letter of Acceptance and a PTA* Letter (with flight details) from JICA Project Office.</u> *Prepaid Ticket Advice	The Letters of Acceptance and PTA Letters are sent to JICA Project Office from JICA Vietnam (Hanoi) Office. JICA Project Office contacts the participants and gives them the letters.
✓	<u>Go to the Japan Airlines representative office in HCMC to collect the flight ticket by showing the PTA Letter.</u> <u>NB: The participant will be asked to pay USD18 airport tax.</u>	
	<u>Receive the training schedule and list of contact persons in Japan prepared by the JICA Project Coordinator of Kumamoto University.</u>	
As soon as receiving the Acceptance Letter		
✓	<u>Visa application</u>  1. <u>Participant with official passport</u> It is not necessary to apply for a visa for Japan.  2. <u>Participant with ordinary passport (i.e. HCMUT contract-based employee and non-HCMUT employee)</u> Go to the Japanese Consulate in HCMC and submit: - Application form - Letter of Acceptance issued by JICA - Passport-sized photo NB: The visa section is open in the morning only from Monday to Friday. There will be no application fees.	Help the participants apply for a visa for Japan, if necessary.
Around 20-25 October (1-2 weeks before the departure)		
✓	<u>Participate in a pre-departure orientation meeting at the JICA Liaison Office.</u>	Arrange a pre-departure orientation meeting with the JICA Liaison Office in HCMC.
✓	<u>Participate in the last-moment orientation by JICA Team.</u>	
1 November Leave for Japan!		

## Appendix 18

### Report on Training in Japan

#### 1. Activities

Day		Place	Activities
1			Leave HCMC
2			Ar.Japan
3		JICA center	Orientation
4			Move to partner lab
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			
21			
22			
23			
24			
25			
26			
27			
28			
29			Lv.Japan Ar. HCMC

#### 2 Outcomes of the training

(1) Updating the quality of research activities at HCMUT

(2) Understanding and experiencing the RBE at Japanese laboratories

(3) Learning university-community linkages in Japan

(4) Developing human network to nurture capabilities in academic and industrial linkage

3 Next actions based on the outcomes of the training

(1) Joint Research

(2) RBE

(3) University-community linkages

(4) Others

4. Record of discussions with research partners

Date: \_\_\_\_\_ (1<sup>st</sup> day)

Participants: \_\_\_\_\_

Agenda	
Discussions	
Conclusions	
Special Notes	



## Preparing Documents for Your Patent Application

- Protect your intellectual property rights, now! -

You have found an unexplored research topic in your field?

Or you already have new findings in your hand? Then,

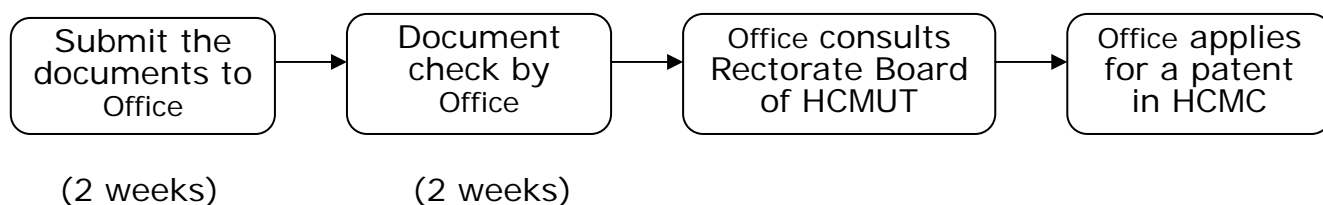
Prepare the followings documents and rush to R&D and Project Management Office!!

	Name of the document	No. of the document	Remarks
1	Application Form*	1 original sets+3 copies (1 for HCMC Patent Office, 1 for HCMUT, 1 for inventors)	Signature by Head of R&D and Project management Office, HCMUT**
2	Specification for claims	1 original set + 3 copies	Signature by Head of R&D and Project management Office, HCMUT**
3	Protection claim	1 original set	
4	Abstract	1 original set + 3 copies	
5	Drawing	1 original set + 3 copies	
6	Evidence of the first application/joining exhibitions	1 copy	In case where the priority in the application is required
	Authorization form/Letter of attorney e.g. In those cases where inventors entrust HCMUT for the patent application		Signatures by all inventors and Head of R&D and Project management Office, HCMUT** Application cost (VND.....) will be borne by HCMUT
	Letter of Agreement (% of ownership)	Number of the inventors (including HCMUT)	Signatures by all inventors and Head of R&D and Project management Office, HCMUT

\* R&D and Project management Office, HCMUT, will fill in the form based on the patent document you submit.

\*\* R&D and Project management Office will obtain the signature.

Flow of the patent application is:



Contact: Dr. Nguyen Tuong Long (R&D and Project management Office, HCMUT)  
khcn@hcmut.edu.vn



## Appendix 20

Dr. Tsuyoshi USAGAWA  
 Leader, JICA SUPREM-HCMUT,  
 Prof., Director of Center of Multimedia  
 and Information Technologies  
 Department of Computer Science,  
 Kumamoto University

Date: \_\_\_\_\_

### Request for Financial Support for Oral Presentation

Dear Dr. Usagawa,

It is our pleasure to inform you that the following paper has been accepted and, therefore, we would like to request financial support from JICA SUPREM-HCMUT Project based on the agreement between JICA Vietnam and Vietnam National University (VNU), which was signed on December 12, 2008, in order to dispatch the author to the following international conference:

Name of Presenter \_\_\_\_\_  
 Occupation (*circle one*) Lecturer / Student  
 Position (*circle one*) Leader / Member of SUPREM-HCMUT Project Model Lab  
 Research ID \_\_\_\_\_  
 Name of Conference \_\_\_\_\_  
 Title of Paper “.....”  
 Name of Authors \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
 Place of Conference City: \_\_\_\_\_ Country: \_\_\_\_\_  
 Duration From (day/month/year) to (day/month/year)  
 (\_ days \_ nights)  
 Cost Airfare (round trip between HCMC and \_\_\_\_\_),  
 Accommodation in \_\_\_\_\_,  
 Domestic transportation fee in \_\_\_\_\_,  
 Daily allowance,  
 Travel insurance  
 Registration fees

In order to make his/her presentation possible, your understanding and financial support would be highly appreciated.

Prof. Phan Dinh Tuan,  
 Vice Rector  
 Chairperson of R&D Promotion Committee, SUPREM-HCMUT

Attachment: Acceptance Notification/Invitation Letter from the conference organizer



Dr. Tsuyoshi USAGAWA  
 Leader, JICA SUPREM-HCMUT,  
 Prof., Director of Center of Multimedia  
 and Information Technologies  
 Department of Computer Science,  
 Kumamoto University

Date: \_\_\_\_\_

Request for Financial Support for Paper Publication

Dear Dr. Usagawa,

It is our pleasure to inform you that the following paper has been accepted and, therefore, we would like to request financial support from JICA SUPREM-HCMUT Project based on the agreement between JICA Vietnam and Vietnam National University (VNU), which was signed on December 12, 2008, in order to publish the paper in the following journal:

Name of First Author*	_____
Occupation ( <i>circle one</i> )	Lecturer / Student
Position ( <i>circle one</i> )	Leader / Member of SUPREM-HCMUT Model Lab
Co-authors ( <i>name all</i> )*	_____, _____, _____
Year of Publication*	2011
Title of Paper*	"....."
Journal/Vol./Pages*	_____, Vol. __, pp. __
City/Country of Publication*	City: _____ Country: _____
Cost for Publication	US\$ (or VND) _____
Evidence of Publication	Attached

\*Information on these items must be exactly the same as the published paper.

In order to make the publication of his/her paper in the international journal possible, your understanding and financial support would be highly appreciated.

Prof. Phan Dinh Tuan  
 Vice Rector  
 Chairperson of R&D Promotion Committee, SUPREM-HCMUT

Attachment:

- 1) Acceptance Notification (Addressed to Dr./Mr./Ms. \_\_\_\_\_)
- 2) Evidence of the publication cost