

## **Needs Survey Guidance for Science and Technology Cooperation on Global Issues**

### **1. Outline of the Overall Program**

In recent years global issues that cannot be resolved by one country or region alone have been on the rise around the world, including global warming, energy and resource issues, the spread of infectious diseases, and the occurrence of natural disasters.

In FY2008, Japan launched a program called “Science and Technology Cooperation on Global Issues” as a framework for international cooperation that strives to resolve these global issues. Based upon the needs of and requests by recipient countries, this program aspires to promote international joint research between research institutions in Japan and those in recipient countries in order to obtain new knowledge that is conducive to resolving global issues. It also aims to ensure capacity building of research institutions in developing countries.

There are the following two types of program for “Science and Technology Cooperation on Global Issues”, each of which has different cooperation configurations. As such, we would like you to submit your request documents in accordance with the prescribed procedures after carefully reading the following descriptions for each type.

- (1) Science and Technology Research Partnership for Sustainable Development  
(SATREPS: Project Type Technical Cooperation)
- (2) Dispatch of Science and Technology Researchers  
(Dispatch of Individual Expert)

### **2. Science and Technology Research Partnership for Sustainable Development (SATREPS: Project Type Technical Cooperation)**

#### **(1) Objective**

This program is designed to promote international joint research in which both Japanese research institutions and those of recipient countries work together based upon the social needs in recipient countries. Its aims are to obtain new knowledge and to utilize research outcomes to the benefit of the society with a view to resolving global issues such as the environment and energy, biological resources, disaster prevention, and infectious diseases. In conjunction with this, it also aspires to improve the development of human resources and research capabilities in recipient countries by conducting joint research.

#### **(2) Roles of JST and JICA**

SATREPS is carried out through the collaboration of four Japanese institutions: the Ministry of Foreign Affairs (MOFA) and JICA, as well as the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and the Japan Science and Technology Agency (JST).

JICA provides technical cooperation for recipient countries that are targeted for projects. JST provides support to Japanese research institutions for research costs outside of the targeted countries, including within Japan (information including the project scheme is found in Figure 1).

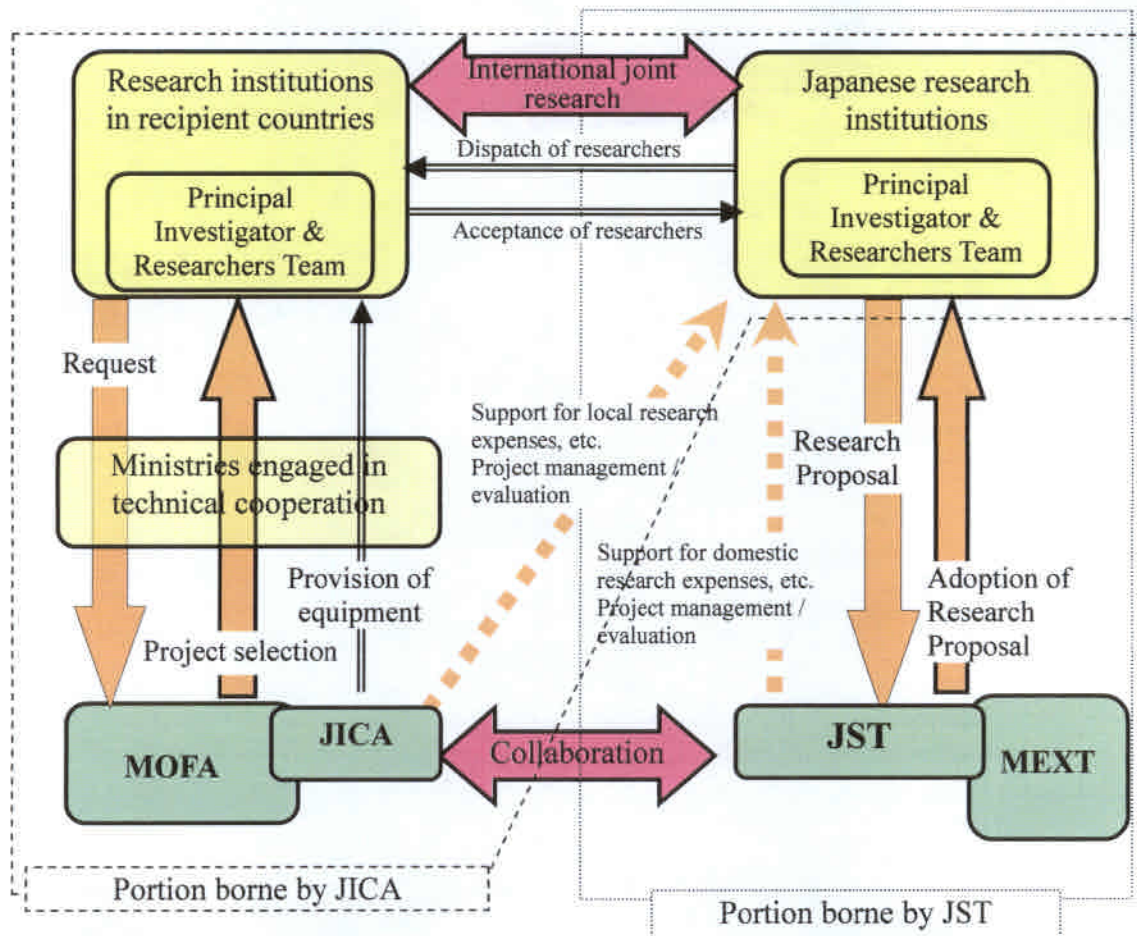


Figure 1. Project Scheme

(3) Eligible Fields of Research

SATREPS targets specific fields of research, which are reviewed every year<sup>1</sup>. Notification of the eligible fields of research for this fiscal year is scheduled to be provided at the beginning of October.

(4) Essential Qualifications required for the proposed research project

- 1) A specific joint research structure must be well-prepared between the research institutions in the recipient country concerned and those in Japan that will undertake the joint research.

<sup>1</sup> JST publishes examples of themes for the targeted fields in the application guideline for research institutes in Japan. Users can refer to the JST website for details ([http://www.jst.go.jp/global/pdf/koubo2011\\_en.pdf](http://www.jst.go.jp/global/pdf/koubo2011_en.pdf)).

- 2) The substantive and practicable structure for the operation in the research institutions in the recipient country concerned must be confirmed in order for the joint research to be appropriately carried out.
  - 3) There must be a request for assistance through Official Development Assistance (ODA) pertaining to the joint research from the recipient country concerned, and it must be confirmed that the requested project will contribute to the development or restoration of the economy and society in the areas around.
  - 4) In conjunction with the ODA request mentioned above in the paragraph 3), research institutions in Japan must submit a research proposal to JST, and the content of the proposal must be evaluated by JST as a research worthy of being selected.
- (5) Content of the Desirable Research Cooperation
- 1) The requested research must have ideas that will lead to the future utilization of research outcomes to the benefit of society. It should not be a research for the sake of research itself.
  - 2) There must be the expectation of improving the scientific and technological standards of both the recipient country and Japan.
  - 3) The contents of the research plan must be narrowed down and it must be highly specific. There must also be the expectation that a certain degree of results will be brought about from the research within the cooperation period.

(6) Organizations for the Joint Research

Organizations of the Joint Research are required to be those which carry out activities with a public nature in the targeted field(s), such as universities (including private schools), public research institutions, and so on (except military-affiliated research institutions). In addition, they must have structures that are suitable for conducting international joint research.

(7) Cooperation Period

The period of the Joint Research is three to five years.

(8) Expenses supported by JICA and by JST

JICA covers the expenses needed for the Japanese research institutions to carry out research cooperation activities in the recipient country (expenses for the dispatch of researchers from Japan, acceptance of invited foreign researchers, provision of equipment and research expenses incurred in recipient countries, etc.). In such cases, outlays management will be handled by JICA or by Japanese research institutions as is the case with ordinary technical cooperation projects, without the project expenses being directly distributed to the research institutions in the recipient country.

JST furnishes the Japanese research institutions with the expenses that they will need in order to conduct research in Japan and to set in place structures necessary for research cooperation.

Please note in advance that, as this program is implemented within the ODA framework, it cannot provide support for local costs, such as the personnel costs for researchers from the recipient country, their travel expenses, supply expenses, or the cost of renting an office, etc. in the recipient country.

(9) Selection process of the research proposals

Under SATREPS, JST engages in public recruitment for research proposals with a focus on research institutions within Japan at the same time as the ODA needs survey that is conducted by MOFA and JICA. Reviews are then held from scientific and technological perspectives while capitalizing on the knowledge of experts in the fields concerned .

Both the request form for an ODA project applied by the recipient country and the proposal document(s) for research project applied by the Japanese research institutions under JST program are to be submitted by the prescribed deadline. In case that the both applied projects are confirmed to be identical (i.e., represent the same subject of research) as candidate projects for SATREPS, those candidate projects will be subject to the selection process. Then, in case that both of them are deemed worthy of being selected as projects for SATREPS, a final decision for the adoption of the projects will be made. Please bear in mind that any ODA request form and/or research proposal document that have not been submitted by the deadline will not be acceptable.

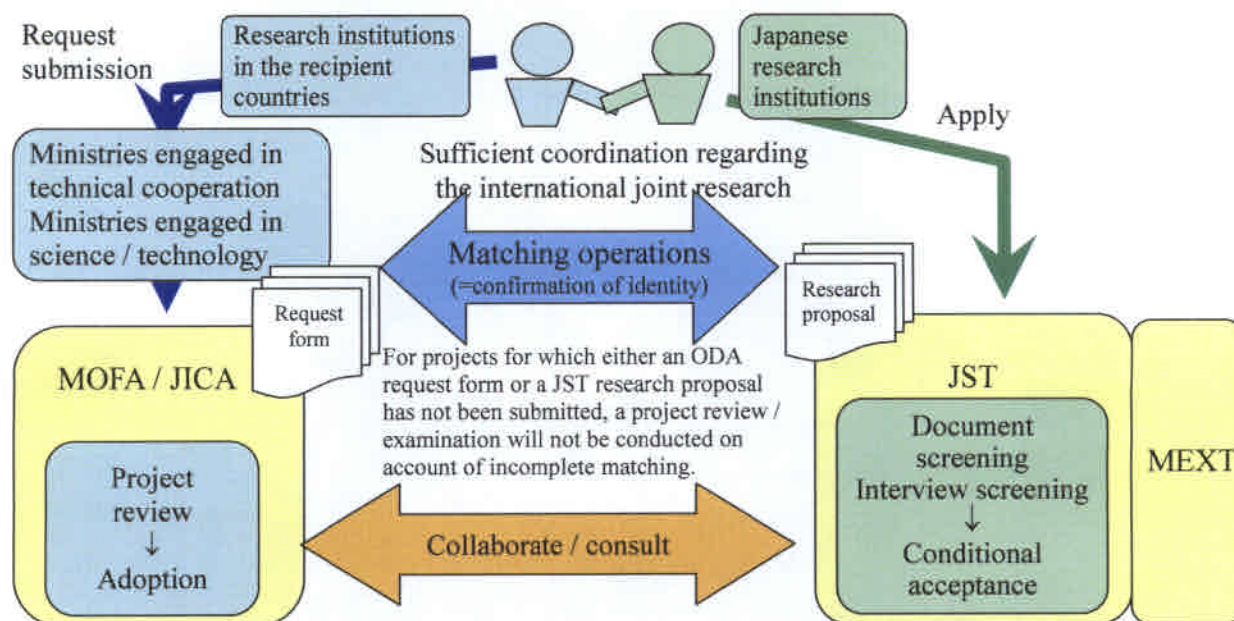


Figure 2. Selection process for the research proposal

(10) Considerations

- 1) Under SATREPS, as stated above, project examinations will only be carried out on projects for which both the ODA request form and the research proposal by Japanese research institutions have been submitted by the prescribed deadline and of which identity has been confirmed. Please kindly be noted that the required documents are to

be submitted to the relevant authorities on the Japanese side (Japanese Embassy or JICA Office) by the submission deadline communicated separately by the Japanese side.

- 2) Please list specific information on the Japanese research institution(s) (the name of the research representative on the Japanese side, the name of their affiliated institution, etc.) that will conduct the international joint research on the ODA application form. With regard to the English project title listed on the ODA application form, you are kindly requested to write the same project name as is described in the written research proposal submitted by the Japanese research institutions to JST based upon consultations with the said research institutions. All of these constitute important information in terms of confirming identity in the matching operations.
- 3) In the past needs surveys, there were some cases where matching process could not be completed because there were no research proposals from the relevant Japanese research institutions despite there having been an ODA request from a recipient country. In cases where there is no specific foundation for research exchange with the Japanese research institutions, then you could consider using “Dispatch of Science and Technology Researchers” described in 3. below. Applying for SATREPS and “Dispatch of Science and Technology Researchers” at the same time is allowed, but kindly keep the following points in mind when doing so.
  - i) As for “Dispatch of Science and Technology Researchers,” the scale of inputs is smaller compared with SATREPS.
  - ii) It is required that you submit request forms for both SATREPS and “Dispatch of Science and Technology Researchers”.
  - iii) In response to projects for which there was no research proposal by a Japanese research institution through SATREPS (=projects with incomplete matching) and projects that have not been selected as SATREPS projects, relevance and validity check process for these projects will proceed as “Dispatch of Science and Technology Researchers” cooperation.

### **3. Dispatch of Science and Technology Researchers (Dispatch of Individual Expert)**

#### **(1) Objective**

This program differs from SATREPS in that its objectives are to dispatch most suitable researchers from Japanese research institutions to recipient countries based upon the needs of recipient countries under the framework of JICA technical cooperation experts. This is not only aimed to support capacity building for recipient countries through international joint research, but also designed to create and energize foundations for exchange between Japanese research institutions and those in recipient countries, provide support for the formulation of future joint research plans, and so on.

There are some cases that recipient countries have their own research needs in several issues, while there are less connections or exchanges with Japanese research institutions. In such cases, it may be useful to begin by creating such connections and exchanges between researchers (or institutions) by using this scheme. What is more, in cases where it is necessary

to improve the contents of the research plan in order to make a proposal for SATREPS, etc., it would be an option to recipient countries to utilize this scheme.

(2) Roles of JSPS and JICA

“Dispatch of Science and Technology Researchers” is carried out through the collaboration of four Japanese institutions: MOFA and JICA, as well as MEXT and the Japan Society for the Promotion of Science (JSPS).

When it comes to implementation, JSPS, which makes effective use of its network of researchers and academic institutions in Japan, collects and analyzes information on meeting the ‘needs’ of the countries requesting researchers and decides upon a strategy for selecting the candidates to be dispatched based upon the contents of the ODA request form submitted by recipient countries. The selected candidates are then dispatched by JICA as JICA experts.

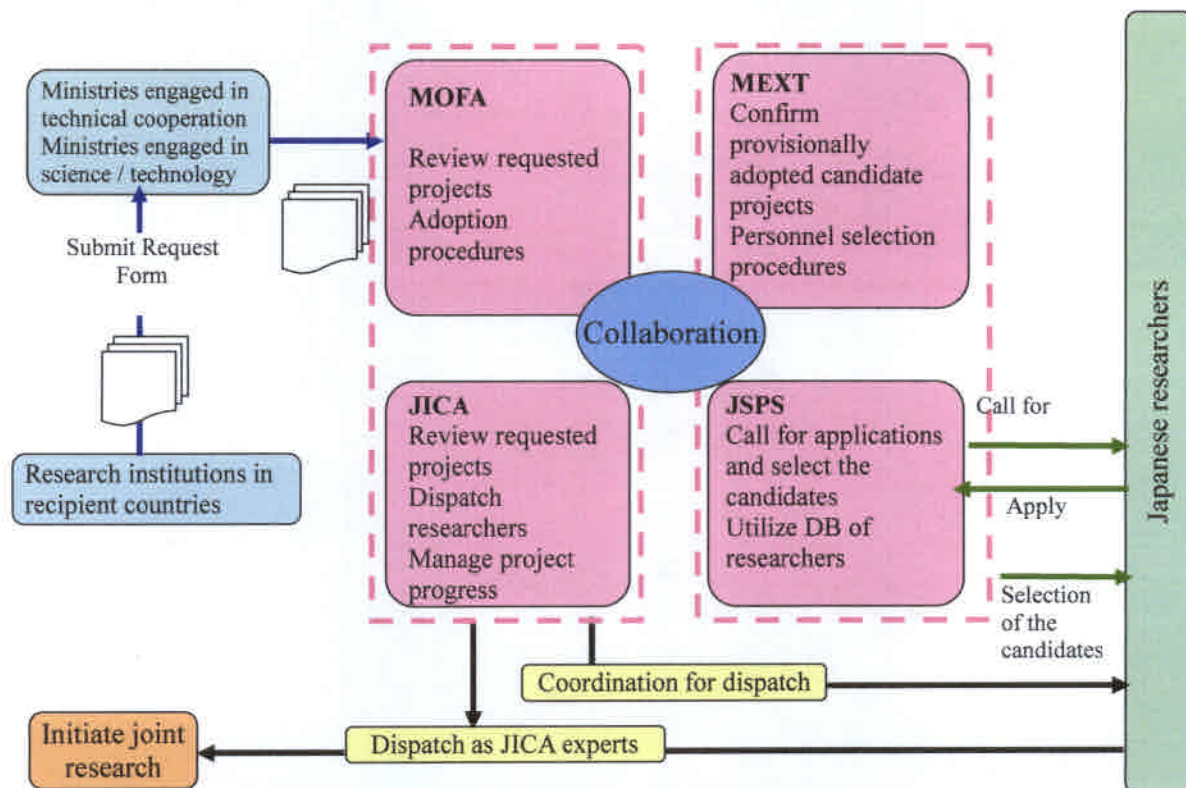


Figure 3. Project Scheme

(3) Eligible Fields

All fields of science and technology (there is no restriction of fields unlike SATREPS).

(4) Organizations for the Joint Research

Organizations for the Joint Research are required to be those which carry out activities with a public nature in the fields of science and technology, such as universities (including private schools), public research institutions, and so on (except military-affiliated research

institutions). In addition, they must have structures that are suitable for conducting international joint research.

#### (5) Cooperation Period

Both short-term experts with a dispatch period of less than one year and long-term experts with a dispatch period of one year or longer are possible. The cooperation period per project is generally two years or less.

#### (6) Input Scale

Since the scale is about the same as that for ordinary individual technical cooperation experts, the inputs are limited compared with SATREPS. When requesting “Dispatch of Science and Technology Researchers” and SATREPS at the same time, please keep in mind that you must consider the differences in the input scale before submitting your request. In other words, in the case of “Dispatch of Science and Technology Researchers,” you must narrow down the scale and content of research for individual technical cooperation experts.

#### (7) Expenses Supported by JICA and by JSPS

JICA covers the expenses that will be needed in order for the Japanese researchers to carry out research cooperation activities in the recipient country concerned (expenses for the dispatch of researchers from Japan, their activities in the local region, etc.). In such cases, outlays management will be handled by JICA or by the Japanese researchers as is the case with ordinary individual technical cooperation experts, without the project expenses being directly distributed to the research institutions in the recipient country.

JSPS will bear the expenses related to the operation of matching the contents of the ODA request form submitted by the recipient country with the research needs of the Japanese researchers.

#### (8) Project Screening and Personnel Selection Method

This program differs from SATREPS in that JSPS does not demand research proposals prepared by Japanese research institutions within Japan. The decision on whether to accept projects or not is made solely by MOFA and JICA based on the ODA request form submitted by recipient countries.

With regard to the submitted ODA request forms, a decision on the provisionally adopted projects is made based upon a review of their content conducted by MOFA and JICA, with the personnel selection method settled through consultations with MEXT and JSPS. Public recruitment for candidates is not conducted if the names of specific Japanese research institutions or researchers have been listed in advance on the ODA request form or when there are suitable candidates in the database of researchers that JSPS operates (non-public recruitment type). If no specific candidates have been specified, then public recruitment is carried out by JSPS to select appropriate candidates based upon factors like the requirements for experts listed on the ODA application form and the supplementary questionnaire (public recruitment type).

Once the candidates are selected by MEXT and JSPS, the project status changes from the provisionally adopted one to the officially adopted one, and this result is communicated to recipient countries.

(9) Considerations

- 1) Regarding “Dispatch of Science and Technology Researchers”, the deadline for the submission of ODA request forms to the relevant authorities on the Japanese side (Japanese Embassy or JICA Office) is the same as that for SATREPS. You are kindly requested to submit the required documents to the Japanese side by the submission deadline communicated separately by the Japanese side.
- 2) When the Japanese research institutions and researchers have already been decided through prior coordination, then please make sure that the specific names of Japanese research institutions and researchers (write in enough detail so that information like their department name and position can be learned), as well as the relationship between the research institutions in recipient countries and the Japanese research institutions, be clearly specified on the application form and the supplementary questionnaire. In some cases, the Japanese research institutions were just simply selected through the Internet or similar means without prior coordination with the Japanese side, even if the names of specific Japanese research institutions and researchers were listed on the application form and the supplementary questionnaire. Please keep in mind that you are kindly advised not to fill in the column in question when the prior coordination has not been carried out.

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