

## **Regarding the Appropriate Use of Research Funds**

Persons who intend to apply for JSPS's international collaboration funding programs should bear in mind the following points.

### **1. Eliminating unjustifiable duplication and over-concentration of competitive funding**

Based on the "Guidelines for Proper Execution of Competitive Funds" (September 9, 2005), JSPS takes measures to prevent unjustifiable duplication and over-concentration of research funding.

#### **(1) Measures to prevent unjustifiable duplication**

If a researcher is receiving or has been selected to receive competitive funding from either the Japanese government or an independent administrative institution for essentially the same research content, his/her application for the JSPS program may be removed from the screening process. If already selected, the selection may be cancelled or the amount of the grant or funding reduced.

Whereas a researcher may apply for competitive funding under another system while in the process of applying for a JSPS program, if selected for the other funding s/he must inform JSPS of such right away. If s/he neglects to do so, the selection decision may be cancelled or other action taken.

#### **(2) Measures to prevent over-concentration of competitive funding**

A selection decision may be cancelled or other action taken when a researcher who applies or is selected for a JSPS program and who also uses other competitive funds, even for different research content, is judged not to use his/her combined funding in an efficient or effective manner.

Accordingly, if a researcher changes the content of his/her application (such as the status of his/her application/selection under another competitive funding system) after submitting the application to JSPS, s/he must inform JSPS of such right away. If s/he neglects to do so, the selection decision may be cancelled or other action taken.

### **2. Measures against misuse (etc.) of research funds**

JSPS Regulation Number 19 (2006), "Measures Against Misconduct in Research Activities and Misuse (etc.) of Research Funds" stipulates measures to assure the proper management and execution of research funds and to prevent their improper use. It also provides disciplinary measures to be taken if a researcher funded under an openly recruited JSPS program related to international collaboration engages in specific acts of research misconduct in his/her research

activities or misuses (etc.) his/her research funds.

※1 Here, “research funding” means all competitive research funds, research-encouragement funds, research consignment funds, and other funds disbursed by JSPS.

※2 “Misuse” includes the use of research funds, either purposefully or due to gross negligence, for purposes other than conducting the approved project or in a way that violates the terms or conditions of their allocation. “Misuse, etc.” includes the improper receipt of research funds based on intended misuse or falsified application filing. (Article 2)

※3 The following measures are taken against “Misuse, etc.” (Article 15)

#### Objects of measures against misuse of research funding

- Researchers and their accomplices who engage in the misuse of funds
- Researchers and their accomplices who received research funding based on a falsified application filing or other improper means
- Researchers who violate their obligation to properly manage their funds, even if they do not directly misuse them.

#### Disciplinary measures

- (1) In addition to cancelling the disbursement of the subject research funds, in the case of already-disbursed funds either part or all of the funds may be recalled.
- (2) Projects in which the disciplined person applies as the principal investigator (coordinator, etc.) will not be selected for funding. Projects in which the person is listed as a co-investigator will not be selected unless his/her name is removed from the application.
- (3) Researchers whom these measures are taken against will not be allocated any research funding for programs under JSPS’s jurisdiction for a period of time. The periods, specified in the table below, start from the fiscal year after the disciplinary action is taken.

JSPS provides information on the details of the disciplinary measures it takes against a researcher via MEXT to the administrators of competitive funding systems at MEXT and independent administrative agencies under its jurisdiction and to other ministries that disburse competitive funds and independent administrative agencies under their jurisdiction. With regard to “specific acts of research misconduct,” restrictions may be placed on application and participation in the competitive funding systems under both MEXT’s and other ministries’ jurisdictions.

In addition, JSPS will not allocate research funds to researchers whose application or participation has been restricted due to “specific acts of research misconduct” or “misuse, etc.” in

the following (1)-(3) cases, during the specified period of the subject disciplinary measures.

(1) Competitive funding disbursed by government ministries and independent administrative agencies.

(2) Research funds, other than (1), to which the Guidelines for Responding to Misconduct in Research (enacted by MEXT on August 26, 2014) and the Guidelines for Managing and Auditing Public Research Funds at Research Institutions (Implementation Criteria) (enacted by MEXT on February 15, 2007 and revised on February 18, 2014) are applicable.

(3) Basic research funding stipulated in the Guidelines for Responding to Misconduct in Research (enacted by MEXT on August 26, 2014).

### **3. Reporting and public disclosure of disciplinary actions**

JSPP is to promptly notify MEXT of disciplinary actions it decides to take for the misuse (etc.) of research funds. As a rule, JSPP is also to make public disclosure of such actions.

Table (Article 16.1-3, Misuse, Etc.)

Objects of discipline	Degree of misuse		Disciplinary period
I. Researchers and accomplices committing misuse	1. Use of funds for own personal profit		10 years
II. Researchers and accomplices committing misuse	2. (Other than 1.)	(1) Large impact on society; level of maliciousness judged large	5 years
		(2) Other than (1) and (3)	2-4 years
		(3) Small impact on society; level of maliciousness judged small	1 year
III. Researchers and accomplices receiving funding based on falsification (etc.)	—		5 years
IV. Researchers violating obligation to properly manage funds, even if not directly misusing them	—		1-2 years depending of degree to which obligation violated

In the following cases, a “stern warning” is given to the offending researcher.

(1) In Item II: When the societal impact, level of maliciousness, and amount of misused funds are all judged to be small

(2) In Item IV: When the societal impact and level of maliciousness are judged to be small