

## About the Proper Use of Competitive and Other Funds

June, 2008

International Program Department  
Japan Society for the Promotion of Science

Based on the Guidelines for Managing and Auditing Public Research funds at Research Institutions (Implementation Criteria) established by the Ministry of Education, Culture, Sports, Science and Technology (MEXT) on 15 February 2007, the following notice is issued with regard to all publicly solicited funding programs under the jurisdiction of JSPS's International Program Department.

### 1. Policy Based on the Guidelines for Managing and Auditing Public Research funds at Research Institutions (Implementation Criteria)

Regarding the funded programs listed in the table of the appendix these Guidelines, each research organization shall, based on its own guidelines, establish a system for managing and auditing the use of public research funds and report the implementation status of the funded research to MEXT. (If this report is not submitted, use of the public funds in implementing the subject research will be deauthorized.)

For details on this policy and its reporting requirement, please see related notices issued by MEXT and other agencies.

### 2. Eliminating Duplication and Over-Concentration of Funding

#### (1) Measures against irrational duplication of funding

If researchers receive or are scheduled to receive competitive or other funding for essentially the same research content from government agencies or independent administrative institutions, their application for JSPS funding may be rejected, or their funding authorization cancelled, or the amount of their funding reduced.

This measure is not meant to limit researchers' options to respond to calls for grant applications or to apply for funding under other competitive funding systems when applying for a JSPS grant. In such cases, however, researchers whose applications have been accepted for other funding are to report it right away to the competent department of JSPS. (If they should fail to do so, the JSPS funding authorization may be cancelled.)

## (2) Measures against over-concentration of funding

Even when the research content covered under a JSPS-issued grant and that covered under a grant from another competitive funding system differ, if it is judged that the funding allocated to the researcher(s) is not being used efficiently and/or effectively, the JSPS funding may be terminated or reduced.

If a researcher(s) applies and is accepted for other competitive research funding after having submitted an application for a JSPS grant, and if such funding was not noted in the JSPS grant application, s/he is to report it right away to the competent department of JSPS. (If the researcher(s) should fail to do so, the JSPS funding authorization may be cancelled.)

## 3. Measures Against Misuse of Competitive and Other Public Research Funds

Based on JSPS's "FY2008 Regulations for handling Misuse of Competitive and Other Funds," to properly administer and manage the use of competitive and other public research funds and to prevent their misuse, JSPS's International Program Department is mandated to take the following punitive measures against researchers who are found to have misused<sup>1</sup> funding provided under JSPS's publicly solicited programs.

Note 1: Misuse of funds is defined as using competitive or other public funds in a way that does not conform to the purpose of their disbursement or that is in violation of the grant agreement, or to have obtained such funds through false statements or other improper means.

- (1) The grant may be terminated and/or part or all of the already-disbursed funds made to be refunded.
- (2) The researcher(s) in violation may not be allowed to apply for grants as the representative of a research project, or the application for such a project may not be accepted unless the subject researcher(s) name(s) are removed from the roster of project participants.
- (3) The researcher(s) in violation may be excluded from applying for competitive and other public funding under any JSPS-administered program for a set period of time.

When any of the above punitive measures is taken, related information shall as a rule immediately be posted for public access. Such information is to include the names and affiliations of the persons found guilty of the violation, the content of the measures taken against them, the name of the subject funding systems, the total amount of funding disbursed, the nature of the violation, and the results of the investigative report issued by the competent research organization.

#### 4. Measures Against Misconduct in Research Activities

Based on JSPS's "FY2008 Regulations for handling Misuse of Competitive and Other Funds," to strictly enforce the proper conduct of research activities, JSPS's International Program Department is mandated to take the following punitive measures against researchers whose conduct is found to be improper<sup>2</sup> in conducting research under JSPS's publicly solicited programs.

Note 2: Improper conduct is defined as including data in the research results that were obtained by such means as falsification, fabrication or plagiarism.

- (1) The grant may be terminated and/or part or all of the already-disbursed funds made to be refunded.
- (2) The researcher(s) in violation may not be allowed to apply for grants as the representative of a research project, or the application for such a project may not be accepted unless the subject researcher(s) name(s) are removed from the roster of project participants.

(3) The researcher(s) in violation may be excluded from applying for competitive and other public funding

When any of the above punitive measures is taken, related information shall as a rule immediately be posted for public access. Such information is to include the names and affiliations of the persons found guilty of the violation, the content of the measures taken against them, the name of the subject funding systems, the total amount of funding disbursed, the nature of the violation, and the results of the investigative report issued by the competent research organization.

## 5. Treatment of Violations of Related Laws and Regulations

If the context of grant application documents is found to be falsified or the implementation of the research itself is found to be in violation of pertinent laws, regulations and/or guidelines, JSPS will not provide funding for the subject research activity and/or will cancel its funding authorization.