

**Grants-in-Aid for Scientific Research
(KAKENHI (Multi-year Fund)) -
“Fund for the Promotion of Joint International Research
(Fostering Joint International Research)”
Spending Rules: Funding Conditions**

The following are funding conditions that a member of a funded project (Principal Investigator) must follow when conducting projects for which multi-year fund is received under the category Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)) from the Japan Society for the Promotion of Science (JSPS) in compliance with the provisions of the Law on Optimizing Implementation of Budgets Relating to Subsidies (Law No. 179, 1955, hereinafter “Optimization Law”), Basic Policy on the Management of the KAKENHI (Multi-year Fund) (Adopted April 28, 2011 by the Minister of Education, Culture, Sports, Science and Technology, hereinafter “Policy on the Management”), and Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)) (Rule No. 19, 2011, hereinafter “Procedures on the Handling”).

1. General rules

Observance of laws and ordinances

1-1 In implementing the funded project, the Principal Investigator is to comply with the provisions of all related laws and ordinances, including the Optimization Law, the ordinance to enforce the Optimization Law (Cabinet Order No. 255, 1955), Policy on the Management, Procedures on the Handling, and the funding conditions.

Definition of terminology

1-2 The definition of terminology stipulated in Article 3 of the Procedures on the Handling is used in the funding conditions.

Responsibilities of Principal Investigators in funded projects

1-3 The Principal Investigator is to be mindful that the grant is paid from the money of the taxpayers and is to remain diligent when implementing the funded project in accordance with the objective for which the grant is disbursed. The grant is disbursed to the research plan in which the Principal Investigator conducts international joint research with overseas joint researchers for a set of time at one or more overseas universities or research institutions.

Management of grants by research institution

1-4 The Principal Investigator is to ensure that his/her affiliated research institution maintains the grant in accordance with the rule “Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research (KAKENHI (Multi-year

* This is the English edition translated from the Japanese edition of the “Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)) - ‘Fund for the Promotion of Joint International Research (Fostering Joint International Research)’ Spending Rules: Funding Conditions.”

Fund)) - 'Fund for the Promotion of Joint International Research (Fostering Joint International Research)' to be performed by each research institution," separately established by JSPS. The Principal Investigator is to carry out the procedures specified in the funding conditions through the institution. This also applies when the Principal Investigator has changed his/her affiliated research institution.

2. Use of direct funding

Fair and efficient use of direct funding

2-1 The Principal Investigator is to ensure the fair and efficient use of direct funding, namely the funds necessary to implement the funded project, including summarizing the research achievements. S/he must not use direct funding for other purposes or violate the funding conditions.

Items of each category of direct funding

2-2 Items of expense under direct funding are to be categorized in cost items. The following are the cost items and their breakdown under direct funding.

Goods: Purchase of commodities (equipment and consumables)

Travel Expenses: Transportation expenses, accommodation fees and daily allowances for the Principal Investigator and research collaborators engaged in overseas or domestic travel to collect materials, conduct surveys, attend meetings, present research achievements, and other purposes.

Personnel Expenditure and Remuneration: Honoraria, compensation, wages and salaries to research collaborators (e.g., postdoctoral fellows, research assistants (RAs), researchers belonging to an overseas research institution) participating in research for such works as document creation/management, experiments, translation, proof-reading, provision of specialized knowledge, distribution and collection of questionnaires or the collection of research materials, and to person substituting for the Principal Investigator at affiliated research institution while s/he is overseas, and payment to temporary staff agencies.

Others: Costs not categorized into any of the above-stated cost items that are intended for implementing the research. Examples: Other costs that may be incurred through printing, creating reproductions, developing and printing photos, communication (such as stamps and telephone bills), transportation, leases for research venues (only if none of the affiliated institution's facilities are adequate for conducting the funded project), meetings (e.g., rental of the venue and meals (excluding alcoholic beverages)), equipment rental and leasing (e.g., computers, automobiles, experimental equipment), equipment repairs, transportation other than travel expenses, presentation of the research achievements (e.g., contributions to academic journals, website creation, preparation of pamphlets to publicize the research achievements, and PR activities disseminating research achievements to the general public), and disposal of experiment wastes.

Change in the content of direct funding

2-3 The Principal Investigator is to use direct funding within the amount set for each cost item in the application form for funding. However, each cost item may be adjusted up to

50% of the total amount of direct funding allocated to the project without permission of JSPS as stipulated in Article 11, paragraph 3 of the Procedures on the Handling. When categorizing expended direct funding into cost items, reference should be made to the amount of those cost items specified in the Principal Investigator's application form for funding in order to confirm whether the difference between the actual expenditure and planned expenditure is within 50% of total direct funding in each cost item. (When 50% of direct funding is ¥3 million or less, a difference between the actual and planned expenditure is allowed up to ¥3 million.)

Start of research and contract

2-4 Research in newly adopted projects may start from the day Principal Investigator's affiliated research institution submits the application form for funding, and necessary contracts may also be signed from that day. The necessary costs are to be paid after the receipt of the direct funding. Alternatively, the costs may be paid by the institution or others and settled after the direct funding is received.

Use of the grant in the following fiscal year during funded project period

2-5 When part or all of direct funding is not used due to a change in the research plan or other reasons, the Principal Investigator may use the remaining direct funding in the next fiscal year.

Restriction on use of direct funding

2-6 Direct funding is not to be used for any of the following objects or purposes.

- ① Costs of buildings and facilities (excluding the costs for minor installations which become necessary because of the introduction of goods that have been purchased by direct funding)
- ② Costs of handling accidents or disasters that occur during the implementation of the funded project
- ③ Personnel expenditures and remunerations for the Principal Investigator
- ④ Other kinds of costs that are to be appropriated from indirect funding

Restriction on combined use of funding

2-7 Direct funding is not to be combined with other funding, unless the following applies:

- ① When one part of a business trip is related to the funded project and other part(s) is not related, direct funding may be used after clarifying the separation between the part of the trip related to and paid by the funded project and the other part(s) paid by other budgets.
- ② When one consumable is used in the funded project and in other business, direct funding may be used after clarifying the proportion of the consumable used in and paid by the funded project, and the proportion used in the other business and paid by other budgets.
- ③ When funding other than direct funding is used for the funded project (excluding funding with usage restrictions such as funds from commissioned projects, grants ordinary used to fund private universities or other institutions, KAKENHI (Series of Single-year Grants), KAKENHI (Multi-year Fund), or indirect funding). When other funding is used to purchase equipment, fixtures and books (hereinafter called "equipment"), the handling of the equipment, in such case as the researcher changing

his/her affiliated research institution, is to be decided in advance so as not to impede the implementation of the funded project.

- ④ When direct funding is used with other KAKENHI grant funds and/or funds that allow the purchasing of equipment that will be used jointly by multiple projects (hereafter called “joint-use equipment”) to purchase joint-use equipment. Joint-use equipment may be purchased only when all projects belong to the same research institution. The cost burden of each project and the criteria for calculating them must be clearly described.

Deadline for delivery and payment

2-8 The delivery of goods and provision of services under the funded project is to be completed by the end of the funded project period. The Principal Investigator is to settle payments for these deliveries and services by the deadline for submitting the “Report on Results.”

Employment of research collaborators

2-9 When employing research collaborators, the Principal Investigator is to have his/her affiliated research institution conclude an employment contract between the employee and the research institution, which clearly states the working conditions such as the content of the work and working hours. When a replacement staff for the Principal Investigator is hired, the same method of handling his/her employment is to be used.

3. Procedures necessary for changes to the funded project (rules for changing the content declared in application form for funding)

Items that cannot be changed

3-1 Information entered in the section “Title of Research Project,” and the section “Research Objectives” and the Principal Investigator cannot be changed.

Change in the content of direct funding

3-2 When the Principal Investigator wishes to use direct funding in a way that the difference between the actual expenditure and planned expenditure of a cost item exceeds 50% of the total amount of direct funding allocated to the project (¥3 million instead of 50% when 50% of direct funding is ¥3 million or less), s/he is to request JSPS’s approval using Form F-4 “Application Form for Approval to Change Breakdown of Expenditure of Direct Funding.”

Cancellation of funded project

3-3 When the Principal Investigator is to cancel the funded project, s/he must request JSPS’s approval using Form F-5-1 “Application Form for Approval to Terminate Funded Project,” refund the unused part of the grant and, within 30 days of the approval of cancellation, file result reports with JSPS on the progress of the funded project up to the time it was cancelled. The reports should be written on Form F-6-4 “Report on Results (Report of Settlement of Accounts)” and Form F-7-4 “Report on Results (Report on the Research Results).” The content of the “Report on the Research Results” is posted publicly in the KAKEN database of the National Institute of Informatics.

Change of the main overseas counterpart institutions

3-4 When the Principal Investigator wishes to change his/her main overseas counterpart institutions, s/he is to request JSPS's approval using Form F-17 "Application Form for Approval to Change Overseas Counterpart Institutions."

Change of Principal Investigator's affiliated research institution

3-5 When the Principal Investigator changes his/her affiliated research institution, s/he is to notify JSPS using Form F-10 "Notice of Change of Principal Investigator's Research Institution."

Disqualification of Principal Investigator

3-6 If the Principal Investigator loses his/her application eligibility or cannot carry out the funded project for longer than one year, s/he is to cancel the funded project based on the procedure stipulated in paragraph 3-3 above. However, in the case of maternity leave (the period before and after childbirth) or childcare leave (hereinafter "maternity and childcare leave"), if the funded project is suspended for longer than one year, the procedures in 3-8 and 3-9 should be followed.

Extension of the period of the funded project

3-7 If due to a change in the research plan or other reasons, the Principal Investigator wishes to extend the period of the funded project, s/he is to request JSPS's approval using Form F-14 "Application Form for Approval to Extend the Period of the Funded Project" no later than 1 March of the research plan's last fiscal year.

Using the above-stated procedure, the Principal Investigator may extend the period of the funded project to the last day of the fiscal year that falls three years after the date that the research institution submitted the application form for funding. However, in the case of maternity and childcare leave, the procedures in paragraphs 3-8 and 3-9 are to be followed. If the period of the funded project has been extended using the procedure in 3-9 (not the above-stated procedure) and the end of that period equates to or exceeds the last day of the fiscal year that falls three years after the date which the research institution submitted the application form for funding, the Principal Investigator may extend the funded project for another fiscal year using the above-stated procedure.

Suspension of funded project for maternity and childcare leave

3-8 If the Principal Investigator will suspend his/her project for longer than one year due to taking maternity and childcare leave, s/he is to notify JSPS using Form F-13-1 "Notice of Suspension of Research." If at the time the funded project is suspended unused grant money remains, it is to be properly maintained by his/her affiliated research institution until the funded project restarts.

Extension of the period of the funded project accompanying maternity and childcare leave

3-9 If the Principal Investigator changes his/her research plan due to taking maternity and childcare leave and wishes to extend the period of the funded project, before restarting the funded project, s/he is to request JSPS's approval using Form F-13-3 "Application Form for Approval to Extend the Period of the Funded Project for Maternity Leave or Childcare Leave." The period that the funded project may be extended is based on the

length of time it was suspended due to taking maternity and childcare leave.

Minor changes

3-10 It is possible to make changes to the information entered in the sections “Direct Funding,” “Research Plan,” “Overseas Itinerary (excluding main overseas counterpart institutions)” and “Details of Main Goods” in the application form for funding, when the change is necessary in implementing the funded project.

Handling of equipment

3-11 Upon the purchase of equipment with direct funding, the Principal Investigator is to immediately donate the items to his/her affiliated research institution. (If the immediate donation of books with a purchase price of less than ¥50,000 would impede the research, the donation can be postponed until which time that the donation of the books doesn't impede the research.) If, however, the immediate donation of the equipment would impede the research, the Principal Investigator may request JSPS's approval using Form F-15 “Application Form for Approval to Postpone Donation,” to postpone the donation.

Handling of interest and profit on currency exchange

3-12 The Principal Investigator is to transfer money made through interest and/or profit on currency exchange from the direct funding to his/her affiliated research institution.

Handling of income

3-13 If after the submission of the “Report on Results” income is generated from the funded project, the Principal Investigator is to transfer it to JSPS.

4. Transfer of indirect funding

Transfer of indirect funding to research institution

4-1 The Principal Investigator is to transfer indirect funding to his/her affiliated research institution, just after s/he receives it. This also applies when the Principal Investigator changes his/her affiliated research institution.

Return of indirect funding

4-2 When the Principal Investigator moves from a research institution that has received indirect funding from him/her to an institution that cannot receive indirect funding, s/he is to request JSPS's approval using Form F-16 “Application Form for Approval to Change Amount of Indirect Funding” and to refund the unused indirect funding to JSPS.

Additional disbursement of indirect funding

4-3 When the Principal Investigator moves from a research institution that cannot receive indirect funding to an institution that can and the Principal Investigator wishes a new disbursement of indirect funding, s/he is to request JSPS's approval using Form F-16 “Application Form for Approval to Change Amount of Indirect Funding.”

5. Reports on state of project implementation

Submission of the report on state of project implementation

5-1 Each fiscal year excluding the last fiscal year of the research plan, the Principal Investigator is to submit yearly reports on state of implementation of the funded project to JSPS by 31 May of the next fiscal year. The reports should be written on Form F-6-3 “Report on State of Implementation (Report of State of Accounts)” and Form F-7-3 “Report on State of Implementation (Report on the State of Research Implementation).” The content of the “Report on the State of Research Implementation” is posted publicly in the KAKEN database of the National Institute of Informatics.

6. Report on project results

Submission of report on project results

6-1 The Principal Investigator is to submit the result reports on the funded project to JSPS when the funded project is completed or by the 31 May of the fiscal year following the last year of the research plan. (In the case of a canceled project, the result reporting must be done within 30 days of the date of the cancelation approval.) The reports should be written on Form F-6-4 “Report on results (Report of Settlement of Accounts)” and Form F-7-4 “Report on Results (Report on the Research Results).” The content of the “Report on the Research Results” is posted publicly in the KAKEN database of the National Institute of Informatics. Furthermore, if part or all of the grant money remains unused at the time the result reports are submitted, the Principal Investigator is to refund it to JSPS.

7. Submission of report on research achievements

Submission of report on research achievements

7-1 When the funded project is completed or by the 30 June of the fiscal year following the last year of the research plan, the Principal Investigator is to submit an achievements report on the research implemented with the grant to JSPS using Form F-19-2 “Report on Research Achievements.” If the Principal Investigator cannot compile the report by the above deadline, s/he is to submit an alternate report to JSPS using Form F-21 “Report on Research Progress.” As soon as the research achievements are compiled s/he is to submit the achievements report to JSPS using above-stated form. The “Report on Research Achievements” is posted publicly in the KAKEN database of the National Institute of Informatics.

Measures taken in case that the report on research achievements is not submitted

7-2 With regard to other projects funded by “Grants-in-Aid for Scientific Research (KAKENHI),” if the Principal Investigator fails to submit a “Report on Research Achievements” (Forms C-19, F-19-1, F-19-2, Z-19, CK-19) nor “Report on Research Progress” (Forms C-21, F-21, Z-21, CK-21) on those projects by the prescribed deadlines, s/he is to suspend use of the grants for the funded projects until the reports are submitted to JSPS. (JSPS may provide him/her with other instructions, which must be

followed.)

8. Publication of research achievements

Required indication when publishing research achievements

8-1 When publishing the achievements of the funded project, the Principal Investigator is to indicate that the research achievements are the achievements of the research carried out with the grant. Especially, when s/he publishes the achievements of the funded project in research papers or other publications, s/he is to state the fact that the research achievements are the achievements of the research carried out with the grant in the paper's acknowledgements. In doing so, the words "JSPS KAKENHI Grant Number JP 8-digit project number" should be included.

Report of publication of research achievements

8-2 When the achievements of the funded project are published in a book, journal or other medium or when the achievements acquire industrial property rights after Form F-7-4 "Report on Results (Report on the Research Results)" has been submitted at the completion of the funded project or by the fiscal year following the last year of the research plan, the Principal Investigator is to report it to JSPS using Form F-24 "Report on Publication of Research Achievements." The "Report on Publication of Research Achievements" is posted publicly in the KAKEN database of the National Institute of Informatics.

9. Other items

Maintaining fairness when conducting research activities

9-1 During the implementation of the funded project, no fraudulent acts should be committed, nor should anybody be involved in such acts. (Fraudulent acts include fabrication, falsification and plagiarism of data, information or findings in published research results either intentionally or by grossly neglecting one's responsibility to observe basic precepts of research ethics.)

Taking research ethics education implemented by research institutions

9-2 The Principal Investigator is to take research ethics education implemented by his/her research institution based on the "Guidelines for Responding to Misconduct in Research."

Protecting human rights and complying with laws and regulations

9-3 When the research plan to be implemented by the Principal Investigator includes research that requires the social consensus, care and consideration in the handling of personal information, or a commitment to bioethics or safety, or other kinds of research that require compliance with the related laws and regulations, s/he is to follow the related laws and regulations in implementing the research.

Storage of related documents

9-4 The Principal Investigator is to maintain an income/expenditure ledger, compile the receipts and other related documents, and store them for five years from the end of the funded project.

Response to follow-up survey

9-5 After the Principal Investigator returns to Japan, when s/he receives a request from JSPS to do a follow-up survey, the Principal Investigator is to cooperate in carrying out the survey.