VII. Reference Material

1. Actual funding of Grants-in-Aid for Scientific Research for FY200

(1) New Projects

As of November 2008

Research category	Number of proposed projects			Amount allocated	Amount allocated per project	
	Applications	Applications approved	Approval rate		Average	Maximum
	#	#	%	(1,000 yen)	(1,000 yen)	(1,000 yen)
Grants-in-Aid for Scientific Research	〔 94,923 〕 99,754	〔 21,086 〕 20,228	〔 22.2 〕 20.3	〔 62,511,900 〕 60,735,195 【 16,034,769 】	〔 2,965 〕 3,003	〔 31,400 〕 42,000
Specially Promoted Research	〔 139 〕 114	〔 20 〕 19	〔 14.4 〕 16.7	〔 2,072,900 〕 1,907,800 【 572,340 】	〔 103,645 〕 100,411	〔 310,400 〕 306,100
Scientific Research on Priority Areas	〔 5,890 〕 5,999	〔 1,210 〕 1,481	〔 20.5 〕 24.7	〔 6,086,500 〕 4,953,000	〔 5,030 〕 3,344	〔 8,700 〕 42,000
Scientific Research on Innovative Areas*1 (Research in a proposed research area)	〔 － 〕 2,153	〔 － 〕 198	〔 - 〕 9.2	〔 － 〕 3,051,300 【 915,390 】	〔 － 〕 15,411	〔 － 〕 67,600
Scientific Research on Innovative Areas*1 (Research a proposed research project)	〔 － 〕 549	〔 － 〕 81	〔 - 〕 14.8	〔 － 〕 656,900 【 197,070 】	〔 － 〕 8,110	〔 － 〕 10,000
Scientific Research (S)	〔 431 〕 551	〔 81 〕 85	〔 18.8 〕 15.4	〔 2,025,300 〕 3,329,400 【 998,820 】	〔 25,004 〕 39,169	〔 54,400 〕 96,800
Scientific Research (A)	〔 2,345 〕 2,439	〔 543 〕 545	〔 23.2 〕 22.3	〔 7,437,200 〕 7,307,000 【 2,192,100 】	〔 13,697 〕 13,407	〔 31,400 〕 31,400
Scientific Research (B)	〔 11,345 〕 11,717	〔 2,649 〕 2,601	〔 23.3 〕 22.2	〔 16,592,200 〕 14,924,200 【 4,477,260 】	〔 6,264 〕 5,738	〔 14,200 〕 14,500
Scientific Research (C)	〔 32,645 〕 32,939	〔 7,736 〕 7,128	〔 23.7 〕 21.6	〔 12,902,400 〕 10,570,900 【 3,171,270 】	〔 1,668 〕 1,483	〔 3,500 〕 3,600
Exploratory Research	〔 15,000 〕 15,605	〔 1,820 〕 1,117	〔 12.1 〕 7.2	〔 3,319,000 〕 1,983,000	〔 1,824 〕 1,775	〔 3,700 〕 3,700
Grant-in-Aid for Young Scientists (S)	〔 1,262 〕 805	〔 35 〕 39	〔 2.8 〕 4.8	〔 600,000 〕 812,100 【 243,630 】	〔 17,143 〕 20,823	〔 49,200 〕 55,800
Grant-in-Aid for Young Scientists (A)	〔 1,415 〕 1,430	〔 244 〕 254	〔 17.2 〕 17.8	〔 2,037,600 〕 1,993,300 【 597,990 】	〔 8,351 〕 7,848	〔 17,700 〕 16,900
Grant-in-Aid for Young Scientists (B)	〔 17,842 〕 18,322	〔 5,132 〕 5,068	〔 28.8 〕 27.7	〔 7,925,700 〕 7,751,800 【 2,325,540 】	〔 1,544 〕 1,530	〔 3,200 〕 3,500
Grant-in-Aid for Young Scientists（start-up）	〔 3,459 〕 3,749	〔 834 〕 934	〔 24.1 〕 24.9	〔 1,013,100 〕 1,144,530 【 343,359 】	〔 1,215 〕 1,225	〔 1,500 〕 1,500
Encouragement of Scientists	〔 3,150 〕 3,382	〔 782 〕 678	〔 24.8 〕 20.0	〔 500,000 〕 349,965	〔 639 〕 516	〔 1,000 〕 900
Grants-in-aid for Special (pluriannual application)	〔 245 〕 230	〔 68 〕 69	〔 27.8 〕 30.0	〔 110,000 〕 90,000	〔 1,618 〕 1,304	〔 3,000 〕 2,600
Grant-in-Aid for Publication of Scientific Research Results	〔 1,599 〕 1,330	〔 483 〕 455	〔 30.2 〕 34.2	〔 1,604,340 〕 1,277,100	〔 3,322 〕 2,807	〔 35,800 〕 43,100
Grant-in-Aid for JSPS Fellows	〔 2,541 〕 2,896	〔 2,541 〕 2,896	〔 100.0 〕 100.0	〔 2,412,700 〕 1,815,553	〔 950 〕 627	〔 3,000 〕 3,000
Grant-in-Aid for Creative Scientific Research *2	〔 85 〕 －	〔 18 〕 －	〔 21.2 〕 -	〔 1,526,400 〕 － 【 － 】	〔 84,800 〕 －	〔 116,500 〕 109,300
Total	〔 99,393 〕 104,210	〔 24,196 〕 23,648	〔 24.3 〕 22.7	〔 68,165,340 〕 63,917,848 【 16,034,769 】	〔 2,817 〕 2,703	〔 35,800 〕 43,100

Notes:

1. The figures in 〔 〕indicate the previous fiscal year.
2. The figures in【 】indicate indirect costs (excluded from the total).
3. *1 is a research category that has been newly established in FY2008.
4. For *2 no new applications have been conducted in FY2008.

(2) Newly approved and continued

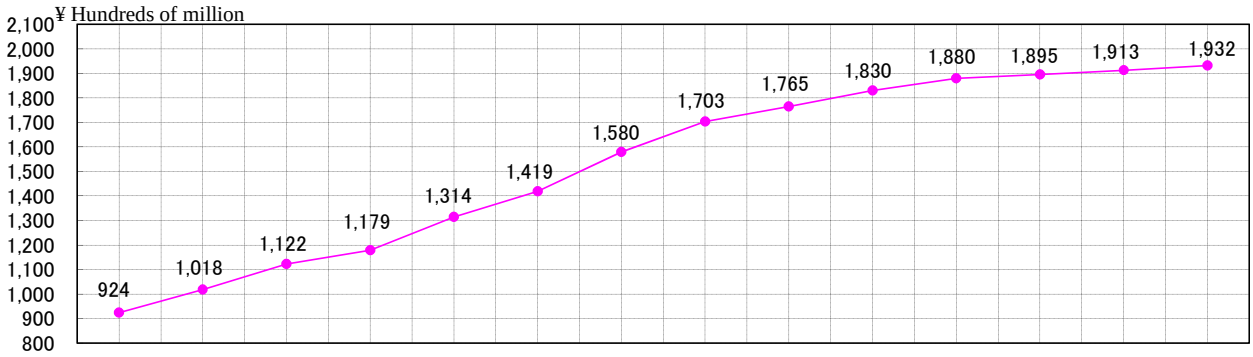
As of November 2008

Research category	Number of proposed projects			Amount allocated	Amount allocated per project	
	Applications	Applications approved	Approval rate		Average	Maximum
	#	#	%	(1,000 yen)	(1,000 yen)	(1,000 yen)
Grants-in-Aid for Scientific Research	〔 123,960 〕 129,296	〔 50,042 〕 49,705	〔 40.4 〕 38.4	〔 145,876,633 〕 143,609,543 【 33,147,787 】	〔 2,915 〕 2,889	〔 310,400 〕 306,100
Specially Promoted Research	〔 204 〕 181	〔 85 〕 86	〔 41.7 〕 47.5	〔 6,595,000 〕 7,031,200 【 2,109,360 】	〔 77,588 〕 81,758	〔 310,400 〕 306,100
Scientific Research on Priority Areas	〔 8,575 〕 7,995	〔 3,895 〕 3,477	〔 45.4 〕 43.5	〔 32,142,100 〕 28,559,000	〔 8,252 〕 8,214	〔 177,500 〕 281,100
Scientific Research on Innovative Areas*1 (Research in a proposed research area)	〔 － 〕 2,153	〔 － 〕 198	〔 - 〕 9.2	〔 － 〕 3,051,300 【 915,390 】	〔 － 〕 15,411	〔 － 〕 67,600
Scientific Research on Innovative Areas*1 (Research a proposed research project)	〔 － 〕 549	〔 － 〕 81	〔 - 〕 14.8	〔 － 〕 656,900 【 197,070 】	〔 － 〕 8,110	〔 － 〕 10,000
Scientific Research (S)	〔 698 〕 832	〔 344 〕 363	〔 49.3 〕 43.6	〔 5,813,700 〕 7,351,400 【 2,205,420 】	〔 16,900 〕 20,252	〔 54,400 〕 96,800
Scientific Research (A)	〔 3,552 〕 3,672	〔 1,731 〕 1,767	〔 48.7 〕 48.1	〔 16,782,300 〕 17,206,700 【 5,162,010 】	〔 9,695 〕 9,738	〔 31,400 〕 34,300
Scientific Research (B)	〔 16,330 〕 16,709	〔 7,598 〕 7,559	〔 46.5 〕 45.2	〔 34,011,000 〕 32,224,700 【 9,667,410 】	〔 4,476 〕 4,263	〔 14,200 〕 14,500
Scientific Research (C)	〔 42,363 〕 43,896	〔 17,432 〕 18,068	〔 41.1 〕 41.2	〔 22,424,087 〕 21,301,619 【 6,390,486 】	〔 1,286 〕 1,179	〔 3,500 〕 3,600
Exploratory Research	〔 17,059 〕 17,684	〔 3,879 〕 3,196	〔 22.7 〕 18.1	〔 5,506,065 〕 4,207,955	〔 1,419 〕 1,317	〔 3,700 〕 3,700
Grant-in-Aid for Young Scientists (S)	〔 1,262 〕 840	〔 35 〕 74	〔 － 〕 8.8	〔 600,000 〕 1,412,100 【 423,630 】	〔 17,143 〕 19,082	〔 49,200 〕 55,800
Grant-in-Aid for Young Scientists (A)	〔 2,000 〕 1,928	〔 829 〕 752	〔 41.5 〕 39.0	〔 4,830,700 〕 4,087,632 【 1,226,289 】	〔 5,827 〕 5,436	〔 19,300 〕 16,900
Grant-in-Aid for Young Scientists (B)	〔 24,518 〕 24,899	〔 11,808 〕 11,645	〔 48.2 〕 46.8	〔 14,716,171 〕 14,050,603 【 4,215,181 】	〔 1,246 〕 1,207	〔 3,200 〕 3,500
Grant-in-Aid for Young Scientists (start-up)	〔 4,249 〕 4,576	〔 1,624 〕 1,761	〔 38.2 〕 38.5	〔 1,955,510 〕 2,118,470 【 635,541 】	〔 1,204 〕 1,203	〔 1,500 〕 1,500
Encouragement of Scientists	〔 3,150 〕 3,382	〔 782 〕 678	〔 24.8 〕 20.0	〔 500,000 〕 349,965	〔 639 〕 516	〔 1,000 〕 900
Grants-in-aid for Special (pluriannual application)	〔 245 〕 230	〔 68 〕 69	〔 27.8 〕 30.0	〔 110,000 〕 90,000	〔 1,618 〕 1,304	〔 3,000 〕 2,600
Grant-in-Aid for Publication of Scientific Research	〔 1,631 〕 1,350	〔 515 〕 475	〔 31.6 〕 35.2	〔 1,800,000 〕 1,367,900	〔 3,495 〕 2,880	〔 35,800 〕 43,100
Grant-in-Aid for JSPS Fellows	〔 5,636 〕 6,254	〔 5,636 〕 6,254	〔 100.0 〕 100.0	〔 5,315,818 〕 4,932,295	〔 943 〕 789	〔 3,000 〕 3,000
Grant-in-Aid for Creative Scientific Research *2	〔 164 〕 79	〔 97 〕 79	〔 59.1 〕 100.0	〔 7,319,100 〕 5,766,200 【 1,729,860 】	〔 75,455 〕 72,990	〔 116,500 〕 109,300
Total	〔 131,636 〕 137,209	〔 56,358 〕 56,582	〔 42.8 〕 41.2	〔 160,421,552 〕 155,765,938 【 34,877,647 】	〔 2,846 〕 2,753	〔 310,400 〕 306,100

Notes:
1. The figures in 〔 〕indicate the previous fiscal year
2. The figures in【 】indicate indirect costs (excluded from the total)
3. *1 is a research category that has been newly established in FY2008.
4. For *2 no new applications have been conducted in FY2008.

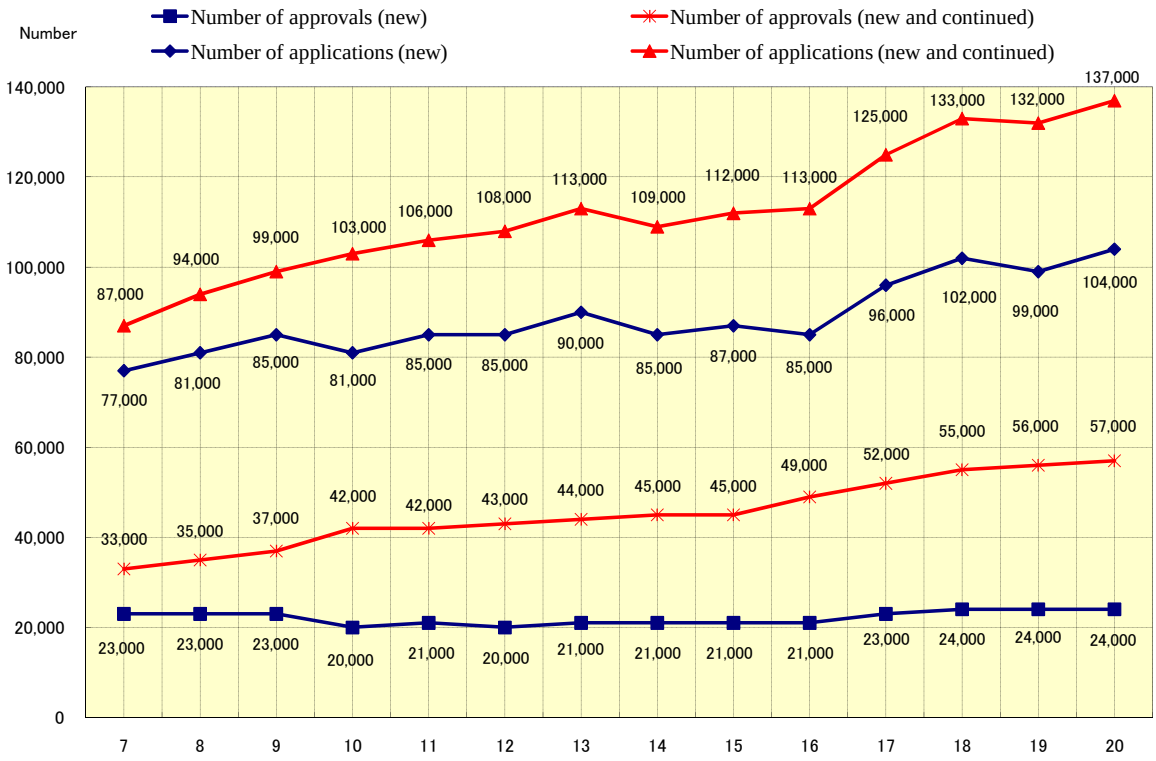
2. Changes in budgets and other information

○ Changes in budgets and other information



FY	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Budget (¥ hundreds of millions)	924	1,018	1,122	1,179	1,314	1,419	1,580	1,703	1,765	1,830	1,880	1,895	1,913	1,932
Year-on-year increase (%)	12.1	10.2	10.2	5.1	11.5	8.0	11.3	7.8	3.6	3.7	2.7	0.8	0.9	1.0

○ State of applications and approvals



○ State of applications and approvals

FY	7	8	9	10	11	12	13	14	15	16	17	18	19	20
Approval rate (%)	29.4	28.3	27.1	24.8	24.3	23.9	23.1	24.6	23.7	24.8	24.0	23.5	24.3	22.7
Fullfilling rate (%)	74.9	74.6	72.3	71.5	74.7	77.2	78.2	76.1	76.2	76.5	76.4	77.5	75.7	76.9

Note: The table shows the data at the time of the initial allocation in each fiscal year.

3. Catalogue of Research Categories

(Funding provided by the Ministry of Education, Culture, Sports, Science and Technology)

Research category	Purposes and description of the research category
Grants-in-Aid for Scientific Research	
Grant-in-Aid for Specially Promoted Research *	Highly regarded research in the international arena that is likely to yield highly acclaimed research achievements (There is no limit to the period or budget although, as a guide, a period of three to five years and a budget of around 500 million yen per project may be awarded.)
Scientific Research on Priority Areas	Research fields that will lead to the upgrading and enhancement of scientific research in Japan; research fields that require effort on a global scale; and/or research fields that have particularly strong social demand will be specified. The objective is to flexibly and effectively plan the promotion of research. (The period is three to six years. In principle, the budget is set at around 20 million to 600 million yen per fiscal year per field.)
Scientific Research on Innovative Areas	**(Research in a proposed research area)** New research areas that will lead to the upgrading and enhancement of scientific research in Japan. The new research areas are proposed by one researcher or by a group of researchers, and will develop through the effort to cultivate collective research, research personnel, etc. (The period is five years. In principle, the budget is set at around 10 million to 300 million yen per fiscal year per field.) **(Research a proposed research project)** Innovative and challenging research that is very likely to lead to a breakthrough in academic research by the development of the research project in question. The funding is not restricted to research projects that are expected to yield certain and tangible research achievements. (The period is three years. The budget is 10 million yen per fiscal year.)
Grant-in-Aid for Young Scientists (A) / (B) *	(A) and (B): Research conducted by one researcher who is not more than 39 years old (The period is set at two to four years. Projects are classified in A or B, depending on the budget provided.) (A) from 5 million yen to 30 million yen (B) 5 million yen or less
Grant-in-Aid for Special Purposes	Funding of urgent and important projects, and trial of multiple applications per year (experimental trial for the funding of research)
Grant-in-Aid for Publication of Scientific Research Results	
Publication of Scientific Research Results	Funding of disclosure of research results with high academic value by a group of researchers, and of international dissemination

* JSPS conducts the call for proposals and screens the applications for the research category marked with an asterisk.

(Funding provided by the Japan Society for the Promotion of Science)

Research category	Purposes and description of the research category
Grants-in-Aid for Scientific Research	
Scientific Research	(S): Creative/pioneering research performed by one researcher or a relatively small group of researchers (over a period of five years, with a budget ranging from 50 million yen to approximately 200 million yen per project) (A), (B) and (C): Creative/pioneering research done by one or more researchers (over a period of three to five years) (Projects are classified in A, B and C, depending on the budget provided.) (A): From 20 million yen to 50 million yen (B): From 5 million yen to 20 million yen (C): 5 million yen or less
Challenging Exploratory Research	Early-stage research that is based on a unique concept, that is challenging, and that sets a high goal (The period is one to three years. The budget is up to 5 million yen per project.)
Grant-in-Aid for Young Scientists (S and Start-up)	(S): Research done by one researcher aged 42 or less (Over a period of five years, and with a budget ranging roughly from 30 million yen to 100 million yen per project) (Start-up): Research done by one researcher who has just started employment at a research institution (Over a period of two years, and with a budget of 1.5 million or less per year)
Encouragement of Scientists	Research done by one person who is an employee of an educational/research institution, a company employee or any other person engaging in scientific research (Over a period of one year, and with a budget of 1 million yen or less per project)
Grants-in-Aid for Publication of Scientific Research Results	
Scientific Periodicals	Funding of scientific journals that academic societies, either individually or within a cooperative framework regularly issue as a contribution to international scientific exchange
Scientific Literature	Funding of scientific literature that individual researchers or groups of researchers issue in order to disclose their scientific research results
Database	Funding of databases that individuals or groups of researchers prepare for the disclosure of research results through scientific data systems and suchlike
Grants-in-Aid for JSPS Fellows	Funding of research done by JSPS fellows (including foreign researchers) (for a period not exceeding three years)
Grant-in-Aid for Creative Scientific Research	Among research supported by Grants-in-Aid for Scientific Research and others, focus is placed on the most outstanding research field. Research projects that are especially important in promoting the research field in question are selected to promote highly creative scientific research (recommendation required; for a period of five years)

4. Assessment Rules

Rules Concerning the Screening and Assessment for Grants-in-Aid for Scientific Research (Scientific Research, etc.) (Extract)

September 22, 2006
Japan Society for the Promotion of Science
Decision of Committee on Grants-in-Aid for Scientific Research
Partly Amended on February 19, 2007
Partly Amended on May 23, 2007
Partly Amended on October 1, 2007
Partly Amended on December 17, 2007
Partly Amended on September 25, 2008
Partly Amended on January 27, 2009

Chapter 1: General Rules

(Objective)

Article 1: The objective of these Rules is to define the requirements for screening and assessment (hereinafter called "Assessment") related to the Grants-in-Aid for Scientific Research (Scientific Research, etc.) to be conducted by the Committee on Grants-in-Aid for Scientific Research (hereinafter called "the Committee") (Appendix 1) and to ensure appropriate implementation.

(Definitions of the terminology used)

Article 2: The terms in these Rules are defined below.

1. Proposed Project: Each of the research projects supported by Grants-in-Aid for Scientific Research (Specially Promoted Research, Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists and Encouragement of Scientists), Grants-in-Aid for JSPS Fellows and Grants-in-Aid for Creative Scientific Research)
2. Publication of Research Results: Each of the projects that are supported by Grants-in-Aid for Publication of Scientific Research Results (scientific periodicals, scientific literature and databases)
3. Reviewer/evaluator: Committee Members and Specialized Committee Members who belong to a committee panel, subcommittee or steering subcommittee, as stipulated in Articles 8, 10 and 12 of the committee rules
4. The examined: Collective term for the following under assessment

("Applicant" is a collective term for the following parties subject to screening.)

(1) Principal Investigator of a proposed project to be funded by a Grant-in-Aid for Scientific Research (Specially Promoted Research, Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists and Encouragement of Scientists)

(2) The representative of published research results who receives a Grant-in-Aid for the

Publication of Scientific Research Results (scientific periodicals, scientific literature and databases)

(3) The Principal Investigator of a proposed project supported by a Grant-in-Aid for JSPS Fellows

(4) The Principal Investigator of a proposed project supported by a Grant-in-Aid for Creative Scientific Research

5. Presenter: Person who presents the research topics to be promoted with Grants-in-Aid for Creative Scientific Research

6. Recorder of the views of the examiner: Person to whom the preparation of the document containing the views of the examiner will be commissioned during the screening for Specially Promoted Research.

7. Cooperative reviewer: Academic expert selected by JSPS for who selects each of the projects in the research progress assessment and the ex-post assessment screening for the Grants-in-Aid for Scientific Research (S), Grant-in-Aid for Young Scientists (S) and Creative Scientific Research

(Types of Assessment)

Article 3: The types of assessment are as follows.

1. Screening (preliminary assessment)
2. Interim Research Progress Assessment
3. Ex-post assessment

(Timing of the Assessment)

Article 4: The timing of the assessment is as given below.

1. Assessment: To be done promptly after receipt of the application documents
2. Interim assessment: To be done within the time frame as stipulated in Chapter 3 (for the proposed projects of the type Specially Promoted Research, Scientific Research (S), Grant-in-Aid for Young Scientists (S) or Grant-in-Aid for Creative Scientific Research only)
3. Ex-post assessment: To be done in the year after the final year of a research project (only for proposed projects for grants-in-aid for Specially Promoted Research, Scientific Research (S) or Creative Scientific Research that have not received research progress assessment)

(Methods of Assessment)

Article 5: The assessment is based on considerations of originality, pioneering spirit, scholarly significance and contribution to society/economy in combination with the following items.

1. Assessment based on written documents
2. Assessment based on consultation
3. Assessment based on interviews
4. Assessment based on field surveys

(Full Confidentiality)

Article 6: The assessment processes should not be disclosed.

2: Reviewers (evaluators), Recorder of the views of the examiner and, cooperative reviewers (hereinafter, “Evaluators and Other People”) should not divulge the following information that they come to know in the course of assessment.

1. Proposals, research progress reports and research termination reports, and details thereof (unless the examinee agrees to the provision of the information)
2. Information as to whether a proposed project under assessment is subject to an interview or a field survey (until the examinees are informed)

3. Information that makes it possible to identify evaluators and other people in connection with their statements and assessment (including names, organizations and field of specialization)
4. Ratings by evaluators and other people and totals
5. Assessment results (until the examinees are informed)
6. Names of and other information on evaluators who belong to any of the panels, subcommittees or steering subcommittees (until disclosure)
7. Other nonpublic information

3: Evaluators and other people will not respond to inquiries about assessment results.

(Observance of Researchers' Ethics)

Article 7: Evaluators and other people should neither use for their own benefit nor divulge to a third party the unique ideas of another party or unpublished research results that they come to know in the course of assessment, as such behavior violates the researchers' ethics and social ethics.

(Exclusion of Stakeholders)

Article 8: The exclusion of stakeholders from the assessment (conflict of interest) is to be handled as follows:

1. Grants-in-Aid for Scientific Research, Grants-in-Aid for JSPS Fellows or Grants-in-Aid for Creative Scientific Research
   (1) If evaluators and other people are the Principal Investigator, Co-Investigator(s) (*kenkyū-buntansha*) or Co-Investigator(s) (*renkei-kenkyūsha*), or if evaluators and other people present the project for which an application for a Grant-in-Aid for Creative Scientific Research is made, they will not take part in the assessment.
   (2) If evaluators and other people are deemed to fall into any of the following categories, with respect to the relationship with the Principal Investigator, Co-Investigator(s) (*kenkyū-buntansha*) or Co-Investigator(s) (*renkei-kenkyūsha*), they will not take part in the assessment.
      1) Relative or the equivalent of a close personal relationship
      2) Relationship of close-knit joint research
         (For example, a close relationship in the implementation of a joint project, writing of a co-authored research paper or a research association with the same purpose)
      3) Affiliation within the same research unit (researchers in the same chair)
      4) Close relationship between a teacher and a student, or relationship of direct employment
      5) Confrontational or competitive relationship in which the screening or the assessment results can be considered to be connected with the direct benefits for evaluators and other people

【2. (Omitted) 】

(Disclosure of Assessment Results)

Article 9: The disclosure of the screening results is as stipulated in Article 13.

2. **(Omitted)**
3. **(Omitted)**
4. The names of and other information on the reviewers (evaluators) and cooperative reviewers will be made public after the assessment is completed.

Chapter 2: Screening (Preliminary Assessment)

(Screening Policy)

Article 10: The screening is conducted based on the "Basic Policy of the Screening for Grants-in-Aid for Scientific Research", to be performed by the Japan Society for the Promotion of Science (determined by the Council for Science and Technology on November 14, 2003). It is conducted according to the following policy.

1. Common policy for all the research categories

(1)The screening is strictly conducted in accordance with the purport of the "National Guidelines on the Assessment for Governmental Research and Development", decided by the Prime Minister in March 2005, and the "Assessment Guidelines Concerning Research and Development by the Ministry of Education, Sports, Culture, Science and Technology", decided by the Minister of Education, Sports, Culture, Science and Technology in September 2005.

(2) Research projects and research results to be disclosed that are especially important in the light of trends in scientific research inside and outside Japan should be selected according to the purposes and characteristics of each research category.

The selection of research projects should be done in consideration of the clarity of research purposes, originality and scientific follow-on effects, and the records of achievement and the research results of the researchers should also strictly be evaluated (except in the case of Challenging Exploratory Research). The selected research projects need to be reasonable and expected to bring forth results. Due consideration should be given to the creation and development of new research areas.

Moreover, the results to be disclosed should be selected as long as they benefit the promotion and dissemination of science in Japan and also contribute to international scientific exchange.

(3) When the project members consist of a Principal Investigator and Co-Investigator(s) (*kenkyū-buntansha*) who are engaged in a research project, research projects which possess an appropriate organizational structure of the project members and where the specific roles of each of the Co-Investigators (*kenkyū-buntansha*) are clear should be selected.

(4) For the selected projects and results to be disclosed, a necessary amount corresponding to the content of the research or project should be allocated, provided that the amount is in units of at least 100,000 yen, in principle.

(5) Strict screening will be conducted whereby the past results of research supported by the Grants-in-Aid for Scientific Research are appropriately evaluated and an application will be handled in a manner equivalent to other new applications if it is for Specially Promoted Research or Scientific Research with a research period of four years or more and if the Principal Investigator intends to reconstruct his/her research plan in light of the progress of the research (hereinafter, "Project for the Fiscal Year before the Final Fiscal Year of a Research Plan").

(6) Research projects cannot be transferred to any other research category (screening division), or any other field of specialization.

(7) Due consideration should be given to the protection of human rights and the protection of the benefits if a proposed research project requires the consent or the cooperation of the other party, social consensus or involves questionnaire-based surveys.

(8) Due consideration should be given to compliance with the laws and regulations if a proposed project involves analytical research on human genes (human genome/gene analytical research, research handling a specified embryo, research including the setup and use of human ES cells, gene recombination experiments, clinical research on gene therapy, and research including epidemiological research).

2. Policy for each research category (screening division)

(1) (Omitted)

(2) Grants-in-Aid for Scientific Research (Scientific Research, Challenging Exploratory Research and Grant-in-Aid for Young Scientists)

① Common items

A. Methods of allocation to each specialization

For Scientific Research, Challenging Exploratory Research and Grant-in-Aid for Young Scientists, the amounts should be made consistent among the areas of humanities/social science and natural science. Allocation limits should be set in advance for each field of specialization according to the actual conditions of scientific research. For new research projects, the amount allocated to each field of specialization is calculated in accordance with "Appendix 2 Allocation system of Grants-in-Aid for Scientific Research (Funding for Scientific Research)" (hereinafter "Allocation System") based on planned allocation amounts indicated separately by the MEXT.

B. Adjustment of the allocated amount

In addition to the allocation methods mentioned in A. above, the amounts are adjusted in the second stage of the screening stage, when necessary, according to the following:

a. Adjustment for the promotion of research on humanities/social sciences

b. Adjustment based on considerations for promoting private universities and technical colleges and fulfillment of research funding for researchers belonging to private universities and technical colleges

c. Adjustment the necessity of which is recognized

C. Determination of the amounts planned to be allocated

The planned amounts to be allocated for candidate projects are basically decided according to the sufficiency rates defined for each research category. If there is any obvious problem, reviewers in the second stage of the screening appraise the amounts while taking into account the section "Validity of the Budget" in the screening results, that is one of the assessment items in the first stage of the screening.

D. Handling of continued research projects where there is a planned significant change in the research plan

The content of the research plan that is planned to be changed is subject to a full assessment. The appropriateness of an increase of the budget is decided, taking into consideration the influence on funding for new applied projects.

E. Handling of informally agreed amounts for the following fiscal year onward

For the allocation of amounts to be informally agreed in the following fiscal year onward, consideration should be given to the satisfactory implementation of the research in the selected research project. In addition, it should be borne in mind that an increase in the informally agreed amount will significantly affect the screening of new research projects in the following fiscal year onward.

F. Handling of the results of the research progress assessment

The results of the research progress assessment will be utilized for the screening of research projects for which the Principal Investigator of the research project that received results of the research progress assessment applied consecutively in the research period of research projects for which an application was made in the fiscal year before the final fiscal year and research projects that received research progress assessment. In the first stage of the screening (screening of the written documents) they will be utilized during the screening of the connection between the research plan and the research project that received results of the research progress assessment, and in the second stage of the screening (consultation-based screening) they will be used as reference material especially during the discussion on adoption or rejection.

Moreover, the assessment standards of the research progress assessment have 4 grades (namely A+, A, B and C). It should be borne in mind that, among these grades, "A" means "the project is progressing towards its original targeted goal and achievements in line with the anticipated expectations" and that the highest grade is "A+" (meaning "there is research progress that exceeds the original targeted goal and better-than-expected achievements are anticipated").

G. Handling of the state of funding obtained and state of applications for funding for other research projects

a. The section "State of Funding Obtained, State of Applications for Funding for Other Research Projects" should be referred to when it is judged in the second stage of the screening (by consultation) whether a research project can be appropriately implemented without unreasonable duplication or excessive concentration of research funding.
b. For candidate research projects, the section "States of Funding Obtained and State of Applications for Other Research Projects" in the proposal for grant-in-aid should be referred to so as to check against unreasonable duplication or the excessive concentration of research funding.
c. An application will be rejected due to unreasonable duplication or the excessive concentration of research funding, provided the entire subcommittee reaches an agreement.

H. Handling of the "effort"

Efforts (the ratio of the amount of time required for the implementation of the research project to the entire amount of time that the Principal Investigator and Co-Investigator (*kenkyū-buntansha*) work) should be referred to when it is judged in the second the stage of the screening (by consultation) whether a project is fully feasible.

It should be noted, however, that the effort can be changed after the approval for an application, since the effort is the estimate that the Principal Investigator or

Co-Investigator (*kenkyū-buntansha*) indicates while considering the project is feasible when preparing the proposal for grant-in-aid.

I. Handling of the document stating the reason of completion of Grant-Aided project

The content of the document stating the reason of completion of Grant-Aided project, that is submitted when the applicant aims at further research developments, by changing the research category, because the research progressed more than expected and the original targeted goals of the continued research project have already been accomplished, is verified and its appropriateness is judged within the subcommittee that conducts the second stage of the screening (consultation-based screening) of research projects for which a new application has been made.

If it is judged within the subcommittee in question that the content is inappropriate, the research project for which a new application has been made will not be submitted to screening.

② Specific Parts

【(a) – (e) (omitted)】

(f) Grant-in-Aid for Young Scientists (Start-up)

a. Research that will independently conducted by a researcher and research projects that have an original idea that are expected to result in a major development in the future will be selected.

b. The research period of the research project is 2 years.

c. The following research projects under application are taken into consideration during the consultation-based screening.

a) Research projects for which an application has been made by applicants who received an informal agreement for "Grant-in-Aid for JSPS Fellows" in the initial fiscal year of the research project under application.

b) Research projects for which an application has been made by applicants who have been employed from a different research institution.

c) Research projects for which an application is currently being made and for which an improvement or progress can be expected based on the current research environment of the researcher(s) involved in it.

【(3) – (5) (omitted)】

(Screening Implementation System)

Article 11: The screening conducted within the committee shall be conducted within the sections shown below.

Name of Sections	Matters for Screening
Steering Subcommittee and 3 Subcommittees under Screening and Assessment Section 1	・Specially Promoted Research projects
Steering Subcommittee and 12	・Scientific Research (S) projects

Subcommittees under Screening and Assessment Section 2	・Grant-in-Aid for Young Scientists (S) projects
Steering Subcommittee and 15 Subcommittees under Screening Section 1	・Scientific Research (A) (screening division “General”) projects ・Scientific Research (B) (screening division “General”) projects ・Challenging Exploratory Research projects
3 Subcommittees under Screening Section 1	・Scientific Research (A) (screening division “Overseas Academic Research”) projects ・Scientific Research (B) (screening division “Overseas Academic Research”) projects
Steering Subcommittee and15 Subcommittees under Screening Section 2	・Scientific Research (C) (screening division “General”) projects ・Grant-in-Aid for Young Scientists (A) projects ・Grant-in-Aid for Young Scientists (B) projects
Steering Subcommittee under Screening Section 2	・Grant-in-Aid for JSPS Fellows projects
Steering Subcommittee and 7 Subcommittees under Screening Section 3	・Grant-in-Aid for Young Scientists (Start-up) projects
Steering Subcommittee and 3 Subcommittees under Encouragement of Scientists Section	・Encouragement of Scientists projects
Steering Subcommittee and 4 Subcommittees under Results Publication Section	・Publication of results in scientific periodicals ・Publication of results in scientific literature ・Publication of results in databases

(Screening Method)

Article 12: The screening method is as follows.

【1 – 4 (Omitted) 】

5. Screening Section 3

(Process until a decision on research project adoption is made)

a) Each subcommittee conducts the screening of the written documents in advance and based on those results, make decisions for or against adopting research projects by consultation.

b) Examiners who belong to each subcommittee conduct screening in advance based on the proposals for grant-in-aid in accordance with the assessment standards indicated in Appendix 8.

(Process up to where each subcommittee makes a decision on whether to adopt a research project)

a) In order to facilitate the screening process, each subcommittee sets up screening groups.

b) Each screening group selects candidate research projects by consultation, based on the amount of projects scheduled to be adopted. The amount of projects scheduled to be adopted is calculated based on the “allocation limit” and the “average amount under application for the fiscal year in question”, which are calculated for each research field (each subcommittee) based on the allocation system.

c) Each subcommittee, through subcommittee-wide consultation and by undertaking necessary adjustments, decides which of the candidate research projects selected by the

screening groups to adopt.

(Adjustment of the amount of the allocation to each research project)

a) The amount of the allocation to each research project is the amount that is calculated by adjusting the average sufficiency rate of the whole of all the research projects that are adopted by each subcommittee. The abovementioned adjustment is conducted in order to fit the total amount of the allocations within the "allocation limit", based on the results of the screening on the amount of the allocation.

b) If it is judged that the average sufficiency rate of the whole of all the research projects that are adopted by a particular subcommittee is remarkably lower compared to the average sufficiency rate of the whole of all the research projects that are adopted by the other subcommittees, as a result of the adjustment mentioned in the abovementioned point a), the steering subcommittee conducts an adjustment, based on the "allocation adjustment limit". The aim of this adjustment is to avoid remarkable imbalances in the average sufficiency rate of the whole of all the research projects that are adopted by each subcommittee.

【6 – 7 (Omitted) 】

(Disclosure of the results of the screening)

Article 13

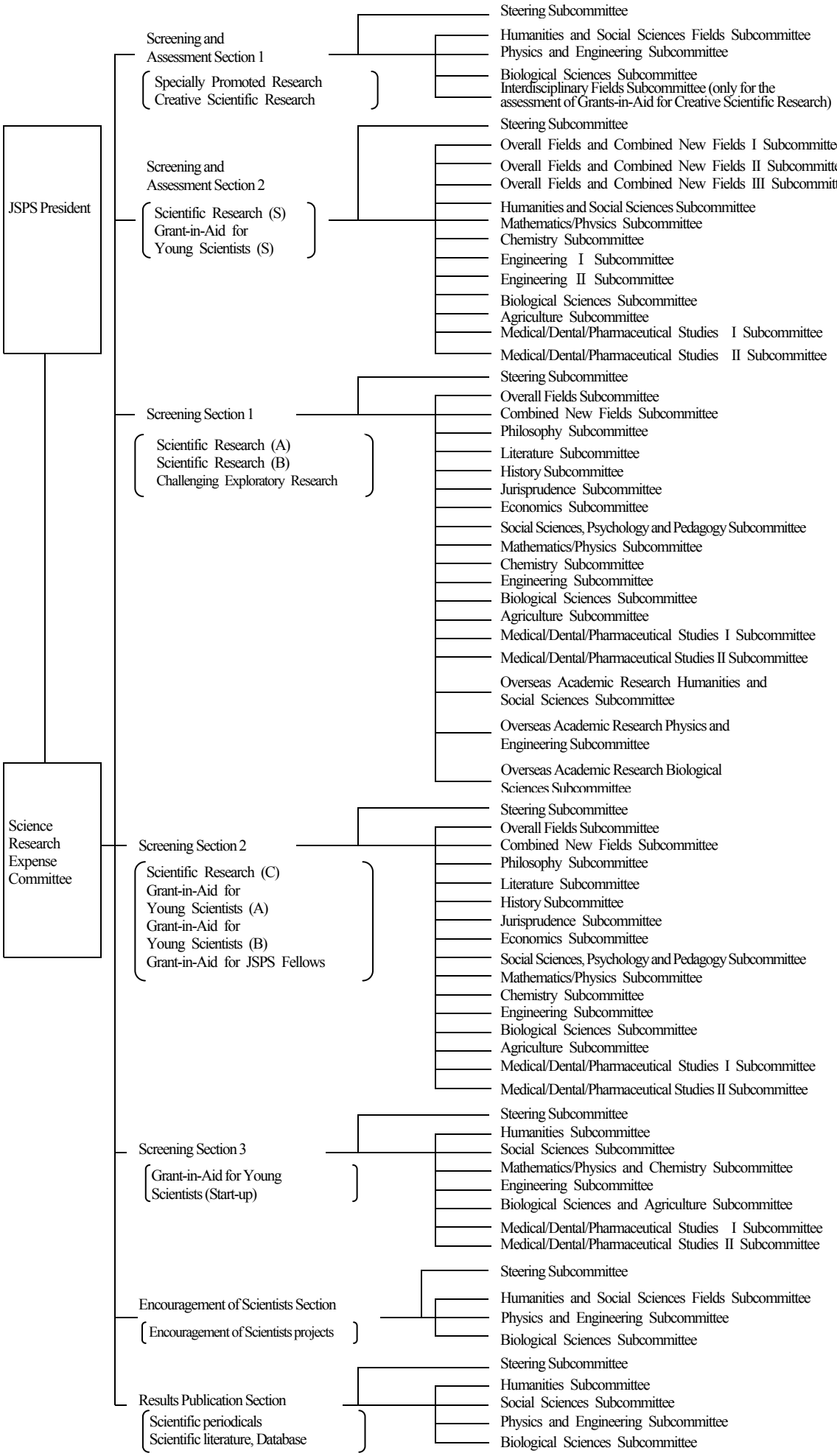
1. **(Omitted)**
2. **Scientific Research, Challenging Exploratory Research and Grant-in-Aid for Young Scientists**

   Principal Investigators whose research projects have not been adopted and who have requested, at the time of application, the disclosure of the results of the first stage of the screening may be informed about the approximate ranking of the relevant item (field) and the rough score (average points) awarded by examiners with regard to each element for assessment.

【3 – 4 (Omitted) 】

【Chapters 3 and 4 are omitted 】

Organization Chart of the Scientific Research Grant Committee



Appendix 2

Allocation System of Grants-in-Aid for Scientific Research

(Funding for Scientific Research)

(Excluding "Encouragement of Scientists")

○ Allocation limit of the research expenses per field of specialization

$$(B - A) \times \frac{a + b}{2}$$

（Note）Elements:

A = Informally agreed amount for this fiscal year's grants for continued research projects for the relevant research category (screening division)

B = Scheduled amount for this fiscal year's grants for the relevant research category (screening division)

a = The D/C ratio. C is the budget for this year's new applications for the relevant research category (screening division) (including applications for an increase in the grants for continued research projects). D is the budget for this year's new applications for the relevant field of specialization (including applications for an increase in the grants for continued research projects).

b = The F/E ratio. E is the number of this year's new research project applications for the relevant research category (screening division). F is the number of this year's new research project applications for the relevant field of specialization.

Appendix 8

Assessment Standards in the Screening of Written Documents for Grant-in-Aid for Young Scientists (Start-up)

Grants-in-Aid for Scientific Research aim to facilitate significant development of all kinds of basic and applied academic research, irrespective of differences in research fields. When conducting the screening for the allocation, the examiners are required to appropriately and fairly judge whether each of the research project applications would significantly contribute to the abovementioned aim.

In the screening of the written documents an absolute assessment of each factor concerning the research content, the research plans and other elements mentioned below is conducted for each research project, before an overall grade based on the relative assessment is chosen from the five given levels.

In the consultation-based screening, based on the overall grades and T score (calculated by correcting the unevenness of grades among the different examiners in accordance with the average points and the standard deviation) assigned in the screening of the written documents, the examiners appropriately consider each of the assessment factors, the number of applications accepted, and other factors, before deciding on research project adoption and the amounts of the research grants to be allocated.

Research projects which obtained a high overall grade are not necessarily given a high score for all factors. For example, research projects that are not very unique or innovative and yet can be expected to have a significant impact in academic circles and society may obtain a high overall grade.

Taking into consideration the characteristics of the research fields and other factors of diversity in academic research, a broad view to identify important projects should be kept and an appropriate evaluation so that the selected academic projects can be facilitated should be made.

Moreover, applications for research projects that fall under a conflict of interest (specified in Article 8-1) should not be examined.

The research category Grant-in-Aid for Young Scientists (Start-up) aims at carrying out support for research that is in its start-up stage (e.g. support for improvement of the environment in the initial stage of the research), in order to enable researchers to devote themselves to research independently from an early stage. Therefore, applications should be assessed asking the question whether they can contribute to the promotion of independent researchers.

i. Assessment Standards

(Factors for assessment) The parts of the proposal for grant-in-aid that should be referred to are indicated in parentheses

(1) Academic Importance and Validity of the Research Project (the sections "Budget for Proposed Research Project", "Research Objectives", etc.)

・The research project is academically important and should be implemented.
・The framework of the research and the research objectives are specified and clarified.
・The scientific importance of the research project is worth the scale of the costs for which an application is made.

Grades	Assessment Standards
4	Excellent
3	Good
2	Poor
1	Bad

(2) Validity of the Research Plan and Methods (the sections "Research Plan and Methods", "Validity/Necessity of the Budget for the Proposed Research Project", etc.)

・To ensure that the research objectives are achieved, the research plan is carefully discussed and verified.
・Consideration to problematic points that can be anticipated and countermeasures against problems that might be incurred during the implementation of the research plan are discussed.
・The length of the research period and the allocation of the budget are appropriate.
・The research project does not fall into one of the following types of research plans, which are not included within the scope of the call for proposals.

① A research plan that is merely intended to purchase ready-made research equipment
② A research plan that is intended to manufacture large-size research equipment that should be funded by other budgets
③ A research plan that directly aims at developing and selling goods and services (including market trend surveys concerning the development and sale of goods and services)
④ Funded research conducted as commercial business

Grades	Assessment Standards
4	Excellent
3	Good
2	Poor
1	Bad

(3) Uniqueness and Innovativeness of the Research Project (the sections "Research Objectives" and "Research Plan and Methods")

・The uniqueness and the innovativeness of the objects of the research, the research methods and the research results it will bring forth are recognizable.

Grades	Assessment Standards
4	Excellent
3	Good
2	Poor
1	Bad

(4) Impact and Universality of the Research Project (the sections "Research Objectives" and "Research Plan and Methods")

・Academic impact, such as a significant contribution to the development of the relevant or related research field(s), and the exploration of new academic fields, can be expected.

・Significant impact and contribution to society can be expected with regard to technology, industry, culture and many other areas.

Grades	Assessment Standards
4	Excellent
3	Good
2	Poor
1	Bad

(5) Ability to Implement the Research and Appropriateness of the Research Environment (the sections "Recent Research Activities", "Brief Background Description of Research of the Applicant", "現在の研究環境", etc.)

・As well as the state of the applicant's recent research activities, the applicant can be judged to be highly capable of implementing the research plan.

・The research environment, such as research facilities, equipment, research material and other necessities, necessary for the implementation of the research plan is available.

Grades	Assessment Standards
4	Excellent
3	Good
2	Poor
1	Bad

(Overall Grading)

Referring to the assessment results regarding the abovementioned factors for assessment, taking into consideration the adequacy as a Grant-in-Aid for Young Scientists (Start-up), and based on the standards mentioned below, an overall grading should be conducted, by grading each research project into five levels.

While the grading by the examiner should be based on absolute assessment, the standard percentages indicated in the right-hand column of the table below should be taken into consideration when grading research projects for each research. In this way, the examiner should avoid giving the same grades to too many applicants. (This does not apply if the number of research projects which the examiner has to assess is small.)

Moreover, for research projects that fall under a conflict of interest, the reason for the conflict should be entered in the section "Views of the Examiner".

Grades	Assessment Standards	Standard Percentage
5	Excellent research project that deserves the highest priority	10%
4	Good research project that should be adopted by all means	20%
3	Contains some good elements of research and may be adopted	40%
2	Insufficient in some of its details and should not be adopted	20%
1	There are problems in the contents of the research. Does not deserve to be adopted	10%
—	Impossible to judge because it involves a conflict of interest	—

(Filling in the Section "Views of the Examiner")

Besides assigning overall grades, the examiner should state his/her views on the research projects by filling in the section "Views of the Examiner" and by focusing on the good and bad points of the research projects. These views of the examiner are very important in order to ensure that the results of the screening of the written documents are accurately reflected in consultation-based screening.

(Reference) The adoption rate for newly adopted research projects for FY2008
Grant-in-Aid for Young Scientists (Start-up) 24.9%

ii. Other Items to be Assessed

Besides the overall grading based on the abovementioned assessment standards, the appropriateness of the relevant research project and the validity of the budget should be considered as described below, when necessary.

(1)Distinctiveness of the Proposed Project for which Currently an Application is Being Made (section "Distinctiveness of the Proposed Project for which Currently an Application is Being Made in Case the Applicant is Participating in Other Projects, etc.")

This research category aims at the promotion of researchers who are able to conduct research independently. Therefore, if the applicant is participating in other research projects (or is planning to participate), if the research plan for which he or she is currently applying has a connection with these other research projects, and, if it is identical or substantively similar to conducting the research plan for which he or she is currently applying as a part of these research projects, then it cannot be said that the research will contribute to the "independence of the researcher", which is a purpose of this research category.

On the other hand, if the research plan for which the applicant is currently applying can be conducted independently, and from a distinct viewpoint, although it has a connection with these other research projects he or she is participating in, then it does not conflict with the purposes of this research category.

Therefore, if the applicant is participating in other research projects and there is a connection with the research plan for which he or she is currently applying, then the examiner should consider whether it is clear or not that the research currently under application can be conducted independently, from a distinct viewpoint, and assign either of the grades shown below.

Moreover, in case "x" is assigned, the reason for reaching this judgment should be specifically stated in the section "Comment".

Grades	Assessment Standards
(Blank)	No problem
×	As for the connection with other research projects the applicant is participating in, there are questionable points on whether the research currently under application can be conducted independently, and from a distinct viewpoint.

(2) Appropriateness of the Research Project that Requires the Protection of Human Rights and the Observance of Laws and Ordinances (the section "Protection of Human Rights and Observance of Laws and Ordinances")

The examiner should consider the following points and assign either of the grades indicated below to research projects that require the protection of human rights and the observance of laws and ordinances during the implementation of their research plan.

Moreover, if "x" is assigned, the reason for reaching this judgment should be written in the section "Comments".

Grades	Assessment Standards
(Blank)	No problem
×	Procedures and actions concerning the observance of th e laws and ordinances contain some questionable points .

- Procedures and actions necessary for research plans that require the other party's consent or cooperation or the consensus of society, research plans that require care and consideration in the handling of personal information, or research plans that require that legal procedures are performed.
- Procedures and actions necessary, based on laws and procedures, for research projects involving the analysis of human genes (including the analysis of human genome and genes, research involving the handling of specific embryos, research involving the

establishment and use of human ES cells, gene recombination experiments, clinical research on gene therapy, and epidemiological research) are observed.

(2) Validity of the Budget (the section "Validity/Necessity of the Budget", etc.)

With the aim of ensuring the effective and efficient allocation of grants, the following points related to the validity and necessity of the budget should be considered. If the examiner has a clear judgment, he/she should grade the validity of the budget in accordance with the assessment standards described below.

Moreover, in case "x" is assigned, the reason for reaching that judgment should be stated in the section "Comments".

- The content of the budget is appropriate and can be used effectively.
- A budget for the purchase of equipment that is really necessary for the implementation of the research plan has been allocated.
- If more than 90% of the budget is for the purchase of equipment, travel expenses or personnel, it should be made sure that the use of the budget can effectively facilitate the implementation of the research plan.

Grades	Assessment Standards (When assessing research projects, the examiner should refer to the section "State of the Allocation" outside this section.)
(Blank)	The research project can be implemented with an average sufficiency rate.
○	The sufficiency rate of the research project should be greater than that of other projects.
△	Greater cost reduction than that of other research projects is possible or should be achieved. (The sufficiency rate should be lowered.)
×	The research plan and the budget are disproportionate.

(Reference) The state of the allocation for FY2008 (the average sufficiency rate for newly adopted research projects)

Grant-in-Aid for Young Scientists (Start-up) 88.8%

iii. Other Notes

(1) On the Handling of the Section "State of Applications for Funding, State of Funding Obtained and Effort"

The state of funding obtained, the state of applications for funding for other research projects is the section to which the examiner should refer during the consultation-based screening when judging whether the project can be satisfactorily completed without causing unreasonable duplication or excessive concentration of research funds. Therefore, the examiner should not focus too much on this point during the screening of the written

documents and, when necessary, state his/her views in the section “Comments”.

(2) On the Handling of the Section “Effort”

The “effort” here is the amount of time required for the implementation of the relevant research project as a ratio of the total amount of working hours of the Principal Investigator or the Co-Investigator (*kenkyū-buntansha*). During the consultation-based screening, the examiner should refer to “effort” when judging whether the project can be satisfactorily completed. Therefore, the examiner should not focus too much on this point during the screening of the written documents and, when necessary, state his/her views in the section “Comments”.

5. Spending Rules: Supplementary Conditions for FY2008

<Scientific Research, Exploratory Research, Grant-in-Aid for Young Scientists (S), Grant-in-Aid for Young Scientists (Start-up) or Grant-in-Aid for Creative Scientific Research>

The following are supplementary conditions that a member of a research project receiving a grant (Principal Investigator and Co-Investigator (*kenkyū-buntansha*) should follow when working on projects for which a Grant-in-Aid for Scientific Research is received (Scientific Research, Exploratory Research, Grant-in-Aid for Young Scientists (S), Grant-in-Aid for Young Scientists (Start-up) or a Grant-in-Aid for Creative Scientific Research) from the Japan Society for the Promotion of Science (hereinafter "JSPS") in compliance with the provisions of the Law Concerning the Optimization of Budgets for Subsidies (No, 179, 1955, hereinafter "the Optimization Law") and JSPS Grants-in-Aid for Scientific Research (Scientific Research, etc.) Management Procedures (Rule No, 17, 2003, hereinafter "Management Procedures").

1. General rules

Observance of laws and ordinances

1-1 In conducting a project that is funded by a grant, the Principal Investigator and Co-Investigators (*kenkyū-buntansha*) should comply with the provisions of all related laws and ordinances, including the Optimization Law, the ordinance to enforce the Optimization Law (Government Odinance No. 255, 1955), the rules for handling Grants-in-Aid for Scientific Research (the Ministry of Education Notification No. 110, 1965, hereinafter "Handling Rules"), Management Procedures and these supplementary conditions.

Responsibilities of the member of a project funded by a grant

1-2 The Principal Investigator and Co-Investigators (*kenkyū-buntansha*) should always ensure that the grant is paid with the money of the taxpayers and should remain diligent when implementing the funded project in accordance with the objective for which the project is funded.

Distribution of the copy of the document of supplementary conditions

1-3 The Principal Investigator should distribute copies of the supplementary conditions document to all of the Co-Investigators (*kenkyū-buntansha*) concerned. As a member of a project receiving a grant, the Co-Investigators (*kenkyū-buntansha*) are also accountable for their requirement to follow the supplementary conditions in compliance with Article 11 of the Optimization Law.

The management of grants by the research institution

1-4 The Principal Investigator and the Co-Investigators (*kenkyū-buntansha*) should ensure that their research institutions (hereinafter "the institutions") specified in Article 2 of the Handling Rules keep the grant in accordance with the JSPS rules on what the institutions need to do concerning the use of Grants-in-Aid for Scientific Research. The Principal Investigator and the Co-Investigators (*kenkyū-buntansha*) should also work with the institution in conducting the procedures specified in the supplementary conditions. This also applies where the Principal Investigator and Co-Investigators (*kenkyū-buntansha*) have moved to a different institution.

2. Use of direct costs

Fair and efficient use of direct costs

2-1 The Principal Investigator and the Co-Investigators (*kenkyū-buntansha*) should ensure the fair and efficient use of direct costs, namely the costs necessary to implement a funded research project and for the research results to be summarized. The Principal Investigator and the Co-Investigators (*kenkyū-buntansha*) are strictly warned against using such costs for other purposes or violating the supplementary conditions.

Items of direct costs

2-2 The following items of expenses fall under direct costs.

Commodity costs (costs for equipment): for the purchase of commodities (equipment)

Travel expenses: transportation, accommodation and daily allowances for the Principal Investigator, Co-Investigators (*kenkyū-buntansha*), Co-Investigators (*renkei-kenkyūsha*) and other participants engaged in overseas or domestic travel to collect materials, to conduct surveys, to attend meetings, to present the research results, and other purposes

Personnel: remuneration, wages and salaries payable to persons participating in the research for document creation/management, experiments, translation, proof-reading, provision of specialized knowledge, distribution and collection of questionnaires or the collection of research materials; and money payable to temporary workers. When signing an employment contract, the relevant institution shall be party to the contract.

Miscellaneous (other costs): not categorized into any of the abovementioned cost items that are intended for implementing the research. For example, other costs 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 institution's facilities are adequate for conducting the funded project), charges for meeting rooms and meals (excluding alcoholic beverages) served at meetings, rental (of computers, automobiles, experimental equipment and devices), repairs of equipment, transportation costs other than travel expenses, presentation of research results (contribution to academic journals, website creation and preparation of pamphlets to advertise the research results)

Allocation of a share of the funding

2-3 If there is/are Co-Investigator(s) (*kenkyū-buntansha*) who belong(s) to another institution than the Principal Investigator, the Principal Investigator should apportion the direct costs and 30% of the indirect costs the Co-Investigator(s) (*kenkyū-buntansha*) in question spend(s), to the Co-Investigator(s) (*kenkyū-buntansha*) in question, after receiving the funding. Moreover, in principle, the amount of the direct costs that is mentioned in the grant application form should be apportioned, but, as necessary, the amount that is apportioned can be modified. Moreover, for the indirect costs it is allowable to handle it in a different way, inaccordance to the arrangements of the institution to which Principal Investigator and a Co-Investigator(s) (*kenkyū-buntansha*) belong.

2-4 The Principal Investigator and the Co-Investigator(s) (*kenkyū-buntansha*) should use the

direct costs in accordance with the amount of each expense item that is mentioned in the grant application form. However, the Principal Investigator can change the amount of each expense item in the details of the research budget within the scope of less than 50% of the direct costs received, without obtaining the approval of JSPS, in accordance with clause 3, article 10 of the Management Procedures. (If 50% of the total amount of the direct costs is less than 3 million yen, up to 3 million yen.)

Start of research and contract

2-5 The research of new projects that are adopted start immediately after receiving the notification of the informal decision that the grant will be funded. The research of projects that continue from the previous fiscal year start on April 1, and the necessary contracts are signed on April 1. The necessary costs should be paid after the receipt of direct costs. Alternatively, they should be paid for by the institution and settled after the direct costs are received.

Use of direct costs within the fiscal year

2-6 It is not allowed to use direct costs beyond the fiscal year in which the funded project is to be implemented, even if the research period of the project continues for two or more years, except where the provision in 2-7 below applies.

Use of direct costs in the following fiscal year

2-7 There may be cases where the funded project is expected not to be able to be completed within the planned deadline due to the difficulties in determining the methods for prior surveys and research, the conditions of the research plan, weather events, a shortage of material or other unavoidable reasons that were not expected at the time of the decision to give the grant. If this is deemed likely, the Principal Investigator may wish to have the project period extended and to use all or part of the grant in the following fiscal year. In this case it is necessary to fill out Form C-1, "Grounds for calculating the approved amount for the carryover," Form C-2, "Reason for carrying over the grant" and Form C-3 "Project schedule" and submit it to the Minister of Education, Culture, Sports, Science and Technology and to complete the necessary procedures by March 2, 2009.

Restriction on use of direct costs

2-8 Direct costs should not be used for any of the following objects or purposes.

① Costs for buildings and facilities, except minor installations that are necessary in order to install items that are purchased using direct costs

② Costs for the purchase of equipment that the institution is supposed to usually have in stock

③ Costs to handle problems resulting from accidents and disasters that occurred during the implementation of the funded project

④ Other kinds of costs that should be appropriated from indirect costs

Restriction on the combined use of costs

2-9 Direct costs should not be combined with other costs, unless the following applies:

① In case of a business trip (only one trip) that concerns business related to the funded project and other business, the direct costs are used, after the clarifying the separation of the direct costs and the other costs.

② Direct costs are used to purchase consumables (necessary for fulfilling the funded project) for an independent commodity that is purchased at the same time.

③ In case direct costs are used for the funded project, by adding other costs (such as costs for commissioned projects, grants that are ordinary expenses of private universities and other institutions, other grants-in-aid for scientific research, or indirect costs; excluding costs that have restrictions on the purposes for which they should be used) to the direct costs. (Moreover, in case they are used as purchase costs for equipment, furniture or books

(hereinafter called "equipment"), the handling of this equipment in question should be decided in advance, in case, for example, the researcher changes the research institution to which he or she belongs, in order not to hinder the implementation of the funded research.)

Deadline for delivery and payment

2-10 The delivery of goods and offers of services concerning a funded project should be completed by March 31 of the fiscal year in which the funded project is to be implemented. Payments concerning these deliveries and services should be made by the deadline for submitting the relevant report.

3 Procedures necessary for changes to a funded project (rules for revising information entered in the grant application form)

Items that cannot be changed

3-1 Information entered for the sections "title of the proposed project" and information entered in the section "Research Objectives" cannot be changed.

Changes to the breakdown of the use of direct costs

3-2 To change the amounts for direct cost items up to 50% or more of the total amount of direct costs granted (if the total amount of the direct costs is three million yen or less, up to three million yen), the Principal Investigator should file an application by filling in and submitting Form C-4-1, "Application form for approval for a change to the breakdown of direct costs used" and obtain the approval of JSPS.

Discontinuation of a funded project

3-3 To discontinue a funded project, the Principal Investigator should file an application by filling in and submitting Form C-5-1, "Application form for the discontinuation of a funded project" and obtain the approval of JSPS. In addition, the Principal Investigator should refund the unused part of the grant and, within 30 days of the discontinuation, file reports to JSPS on the progress of the funded project until it is discontinued. The reports should be written on Form C-6, "Report on results (Report of settlement of accounts)" and Form C-7-1, "Report on results (Report on the research results)". The section "Summary of the research results" in the abovementioned report will be displayed on the website of the National Institute of Informatics.

Change of affiliation (change of research institution)

3-4 If the Principal Investigator changes his/her affiliation (research institution), he or she should report it to JSPS by filling in and submitting Form C-10-1, "Notice of change of Principal Investigator's research institution."

Disqualification of the Principal Investigator

3-5 If a Principal Investigator loses his/her eligibility to apply for grants, he or she should terminate his/her funded project, in accordance with the procedures specified in 3-3 above.

3-6 If a Principal Investigator who lost his/her eligibility to apply for grants wants his/her funded project to continue after a change of Principal Investigator (only applicable if he/she is replaced by one of the new Co-Investigators (*kenkyū-buntansha*) for the relevant funded project), the disqualified Principal Investigator should obtain the consent of the Co-Investigator (*kenkyū-buntansha*) who replaces him/her. Thereafter, it is necessary to submit Form C-9, "Application form for approval for a change in the project members", and

obtain the approval of JSPS.

3-7 Under certain circumstances, the Principal Investigator may have to resign and a Co-Investigator (*kenkyū-buntansha*) may, based on a consensus, replace the resigning Principal Investigator. (This possibility is limited to cases where the candidate for replacement is a Co-Investigator (*kenkyū-buntansha*) in the funded project.) In this case, the candidate to become the new Principal Investigator should file an application by filling in and submitting Form C-9, "Application form for approval to a change in the project members", and obtain the approval of JSPS.

Replacement of the Principal Investigator

3-8 Reasons other than loss of eligibility to apply for grants may result in the Principal Investigator's decision to be replaced. (This possibility is limited to cases where the candidate for replacement is a Co-Investigator (*kenkyū-buntansha*) in the funded project.) In such a case, the Principal Investigator should obtain the consent of the person who will become the new Principal Investigator, and should file an application by filling in and submitting Form C-9, "Application form for approval for a change in the project members", and obtain the approval of JSPS.

If the new Principal Investigator belongs to a different institution, he/she should fill in and submit to JSPS Form C-10-2, "Notice of change of affiliation after the replacement of the Principal Investigator."

Change of Co-Investigator (*kenkyū-buntansha*)

3-9 In case of a loss of eligibility to apply for grants by a Co-Investigator (*kenkyū-buntansha*), or in case of a change of Co-Investigator (*kenkyū-buntansha*), the Principal Investigator should obtain the approval of JSPS by filling in and submitting Form C-9, "Application form for approval for a change in the project members."

3-10 To assign a replacement to fill the vacancy created by the change mentioned in 3-9 above, the Principal Investigator should complete Form C-11 "Approval form of the Co-Investigator (*kenkyū-buntansha*) (for another institute)" or Form C-12 "Approval form of the Co-Investigator (*kenkyū-buntansha*) (for the same institute)" completed and should retain it.

Suspension due to maternity leave, etc.

3-11 A Principal Investigator may wish to take a leave before and after childbirth (hereinafter "maternity leave"). In this case, this Principal Investigator may wish to discontinue her funded project before the relevant fiscal year ends, and to receive a grant again after her maternity leave terminates in the following fiscal year. In this scenario, the Principal Investigator should fill in and submit Form C-13 "Application form for approval to suspend a project", and obtain the approval of JSPS, before taking the maternity leave. She should also refund the unused part of the grant and, within 30 days of the discontinuation, file reports to JSPS on the progress of her funded project up to the point of discontinuation. The reports should include Form C-6 "Report on results (Report on settlement of accounts)" and Form C-7-1, "Report on results (Report on the research results)". The section "Summary of the research results" in the abovementioned report of the research results will be displayed on the website of the National Institute of Informatics.

Minor changes

3-12 It is possible to make changes to the information entered in the sections "Roles", "Direct

costs (breakdown of partial grants per researcher)", "This year's research plan" and "Breakdown of main equipment", where it is necessary to fulfill the funded project. However, the objectives of the funded project cannot be changed.

Handling of equipment

3-13 The Principal Investigator and the Co-Investigator (*kenkyū-buntansha*) should make sure that the equipment and other items purchased using direct costs (hereinafter "equipment") are contributed to the research institution to which the Principal Investigator or the Co-Investigator (*kenkyū-buntansha*) belongs immediately after the purchase. If immediately contributing books that are worth less than 50,000 yen causes inconvenience to the research, they may be contributed when doing so does not cause such inconvenience. If immediately contributing equipment causes inconvenience to the research, the Principal Investigator may have the contribution postponed by filling in and submitting Form C-15 "Application form for approval to postpone contribution", and obtain the approval of JSPS.

Handling of interest

3-14 The Principal Investigator and the Co-Investigator (*kenkyū-buntansha*) should ensure that the interest accrued from the direct costs is used to implement the funded project or is transferred to the institution to which the Principal Investigator or the Co-Investigators (*kenkyū-buntansha*) belongs.

Handling of income

3-15 The Principal Investigator and the Co-Investigators (*kenkyū-buntansha*) should refund to JSPS any income that is related to the funded project that is gained after the submission of the report on the research results.

4. Transfer of the indirect costs

Transfer of the indirect costs

4-1 If indirect costs are granted, the Principal Investigator and the Co-Investigator (*kenkyū-buntansha*) should immediately transfer the indirect costs to the institution he/she belongs to. This also applies where the Principal Investigator and the Co-Investigator (*kenkyū-buntansha*) have changed affiliation (i.e. changed research institution).

Refund of the indirect costs

4-2 The institution to which the Principal Investigator and the Co-Investigator (*kenkyū-buntansha*) transfered may refuse to accept the indirect costs. In this case, the Principal Investigator should obtain the approval of JSPS by filling in and submitting Form C-16 "Application form for a change in the decided amount of indirect costs", and should refund the unused portion of the indirect costs. This also applies where the institution to which a Co-Investigator (*kenkyū-buntansha*) who is going to replace the Principal Investigator belongs refuses to accept indirect costs. The application should be filed by the Principal Investigator who is going to be replaced.

Addition of indirect costs

4-3 A Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who belongs to an institution that refuses to accept indirect costs may change affiliation or be replaced by a researcher who belongs to a different institution. To have the indirect costs granted again, the Principal Investigator should obtain the approval of JSPS by filling in and submitting Form C-16 "Application form for a change in the decided amount of indirect costs".

5. Report of Results

Deadline for submission of the reports

5-1 The Principal Investigator should file reports to JSPS by May 31, 2009 or, in the case of a discontinued project, within 30 days after the discontinuation. The reports should consist of Form C-6 "Report on the results (Report on settlement of accounts)" and Form C-7-1 "Report on the results (Report on the results of the research)". The section "Summary of the results of the research" in the abovementioned reports will be shown on the website of the National Institute of Informatics.

Submission of reports on results in case of use of grants in the following fiscal year

5-2 In compliance with the provision in 2-7 above, the period of a funded project may be extended and grants may be used in the following year. In this case, the Principal Investigator should file reports to JSPS. More specifically, he or she should fill in and submit Form C-17-1, "Report on the results (Report of settlement of accounts) (2)," at the end of the fiscal year in which the funded project started. The Principal Investigator should also file the reports mentioned in the previous clause after the completion or discontinuation of a funded project. The section "Summary of the results of the research" in the abovementioned reports will be shown on the website of the National Institute of Informatics.

6. Submission of self-assessment report

The Principal Investigators of research projects of the research categories "Scientific Research", "Grant-in-Aid for Young Scientists (S)" and "Grant-in-Aid for Creative Scientific Research" of which the research period is more than 4 years and of which FY2008 is the third year of the research period should submit the Form C-7-2 "Self-Assessment Report" to JSPS by May 31, 2009. However, this does not apply to research projects that will receive "research project progress assessment" in FY2008, in accordance with the "Rules Concerning the Screening and Assessment for Grants-in-Aid for Scientific Research (Scientific Research, etc.)". (The abovementioned report will be made public on the website of the National Institute of Informatics.)

7. Submission of reports on research results

Submission of reports on the results and other matters

7-1 The Principal Investigator for a project categorized as "Scientific Research", "Grant-in-Aid for Young Scientists (S)", "Grant-in-Aid for Young Scientists (Start-up)" or "Grants-in-Aid for Creative Scientific Research" should file a report on the results of research funded by a grant, by filling in and submitting Form C-19 "Report on research results" to JSPS between June 20 and June 30 of the fiscal year that follows the final fiscal year of the research plan. However, if the research results cannot be summarized by the abovementioned deadline, the Principal Investigator should fill in and submit Form C-21 "Report on progress of research" to JSPS. As soon as the summary of the results is ready, the Principal Investigator should submit it to JSPS. (The abovementioned report will be made public on the website of the National Institute of Informatics.)

7-2 A project may have to be withdrawn due to the adoption of a project application for the fiscal year before the final fiscal year of a Research Plan. If so, the Principal Investigator should promptly report the results of his/her project in the final fiscal year by submitting Forms C-19 "Report on research results" to JSPS. In principle the reports should be submitted by June 30 of the fiscal year that follows the final fiscal year in which the project has been withdrawn. Moreover, the abovementioned report will be made public on the website of the National

Institute of Informatics.

8. Presentation of research results

Required indication at publication of the research results

8-1 When publishing the results of a funded project, the Principal Investigator and the Co-Investigators (*kenkyū-buntansha*) should indicate that the project was supported by Grants-in-Aid for Scientific Research.

Report of publication of research results

8-2 Whenever the results of a funded project are published in a newspaper, book, magazine, journal or other medium, or are granted a patent, the Principal Investigator should report it to JSPS by filling in and submitting Form C-24 “Report of publication of research results” or Form C-25 “Report of publication in a newspaper, etc.”.

9. Other items

Maintaining fairness when conducting research activities

9-1 During the implementation of a funded project, no fraudulent acts concerning the research activities (forgery, manipulation, or plagiarism of data or research results included in publicized research results) should be committed, and nobody should become involved in such fraudulent acts.

Compliance with bioethics and safety measures

9-2 If a research plan to be implemented by the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*) 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 thats require compliance with the related laws and ordinances, the Principal Investigator and the Co-Investigators (*kenkyū-buntansha*) should follow the related laws and ordinances in implementing the research plan.

Storage of related documents

9-3 The Principal Investigator and the Co-Investigator(s) (*kenkyū-buntansha*) should maintain the accounts of the balance of the grant, file the receipts and other related documents, and retain them for at least five years after the end of the fiscal year in which the grant is received.

6. Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (Scientific Research, etc.)

(Rule No. 17, October 7, 2003)

Revision: Rule No. 9, April 14, 2004
Revision: Rule No. 14, September 10, 2004
Revision: Rule No. 1, February 2, 2005
Revision: Rule No. 7, April 7, 2005
Revision: Rule No. 9, April 14, 2006
Revision: Rule No. 12, April 2, 2007
Revision: Rule No. 9, June 10, 2008

(General rules)

Article 1 The handling of Grants-in-Aid for Scientific Research (Scientific Research etc.), hereinafter "grants") provided by the Japan Society for the Promotion of Science (hereinafter "JSPS") should comply with the Law Concerning the Optimization of Budgets for Subsidiaries (No, 179, 1955, hereinafter "the Law"), the ordinance for the enactment of the Law Concerning the Optimization of Budgets for Subsidiaries (No. 255, 1955), Japan Society of the Promotion of Science Act (No. 159, 2002) and the handling rules for the Grants-in-Aid for Scientific Research (notification by Ministry of Education, No. 110, 1965, hereinafter "Handling Rules") and the Management Procedures.

(Objectives)

Article 2 The aim of the Management Procedures is to specify items for handling the object, application, granting and suchlike concerning a grant provided by JSPS to researchers so that the grant can be appropriately and efficiently used in compliance with Clause 1, Article 16 of the Requirements for Grants-in-Aid for Scientific Research (scientific research etc.) (decision by the Minister of Education, April 12, 1999, hereinafter "Grant Requirements") and Article 14 of Japan Society for the Promotion of Science Work Procedures (Rule No. 1, 2003).

(Definitions)

Article 3 In the Management Procedures, Grants-in-Aid for Scientific Research (Scientific Research etc.) refers to the following items as specified in Article 3 of the Grant Requirements.

(1) The cost of scientific research that concerns:
   a) Scientific Research;
   b) Exploratory Research;
   c) Grant-in-Aid for Young Scientists (S);
   d) Grant-in-Aid for Young Scientists (Start-up); or
   e) Encouragement of Scientists

(2) Grant-in-Aid for JSPS Fellows

(3) Grant-in-Aid for Creative Scientific Research

(4) Grant-in-Aid for Publication of Scientific Research Results (except those concerning the publication of research results)

2. In the Management Procedures, a research institution refers to an institution that engages in academic research and falls under any of the following definitions provided in Article 2, Clause 1 of Handling Rules.
   (1) Universities or inter-university research institutes (including corporations that run such organizations and are designated by the Minister of Education, Culture, Sports, Science and Technology)
   (2) MEXT's facilities and other organizations engaged in scientific research
   (3) Technical colleges
   (4) Laboratories and other institutions run by the national or local government, corporations based on a special law, laboratories run by such corporations or corporations based on Article 34 of the Civil Law (No. 89, 1996), that the Minister of Education, Culture, Sports, Science and Technology designates for scientific research
3. In these Management Procedures the "Principal Investigator" is the researcher who bears the responsibility for the implementation of the project in question as a member of that project that is the object of funding of a grant-in-aid for scientific research, as stipulated in article 2 clause 3 of the Law.
4. In these Management Procedures the "Co-Investigator" (*kenkyū-buntansha*) is a researcher who conducts the project in question in cooperation with the Principal Investigator as a member of that project that is the object of funding of a grant-in-aid for scientific research and in which two or more researchers jointly conduct one research project.
5. In these Management Procedures the "Co-Investigator" (*renkei-kenkyūsha*) is a researcher who participates to research that is a project that is the object of funding of a grant-in-aid for scientific research, in cooperation with the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*), and under the supervision of the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*).
6. In these Management Procedures a "Research Collaborator" is a person, other than the Principal Investigator, the Co-Investigator(s) (*kenkyū-buntansha*) or the Co-Investigator(s) (*renkei-kenkyūsha*), who collaborates in research that is a project that is the object of funding of a grant-in-aid for scientific research.
7. In these Management Procedures "illicit use" is use of the grant-in-aid for scientific research for other purposes, intentionally or by serious negligence, or use that violates the content of the decision to fund the grant-in-aid for scientific research, or the conditions it implies.
8. In these Management Procedures "illicit activities" are forgery, manipulation or plagiarism of data, information or survey results that are appearing in published research results within a project that is the object of funding of a grant-in-aid for scientific research.
9. Among the institutions to which belong people who engage in research and who contribute to the promotion of science, the research laboratories and other institutions or corporations mainly engaging in research (that are established by a corporation or another legal person that is set up according to the laws and ordinances of Japan) are considered as "research institutions", as mentioned in this clause, if they are designated by the Minister of Education, Culture, Sports, Science and Technology.

(The objects of grants)

Article 4　Projects that are object of funding (hereinafter "funded project(s)") with grants should meet the following conditions.

(1) Basic research activities that are scientifically important and are conducted by a researcher either individually or in as a team of two or more researchers on the same project. This research may also include practical research that is in an elementary stage.

(2) Results of scientific research made public by an individual or a scientific organization (hereinafter "publication of research results")

2. The funded costs should be those necessary for a funded project and deemed by JSPS as deserving of a grant.

(Projects for which no grants will be provided)

Article 5　Notwithstanding Clause 1 of the previous article, no grant will be funded for a period stipulated in each of the following numbered points for projects that are conducted by persons (including academic societies, and this also applies for the articles mentioned below) who are mentioned in the following numbered points. However, this does not apply to projects other than projects of which the decision to provide the funding of grants-in-aid for scientific research has been cancelled (hereinafter "project subject to grant cancellation"), according to Clause 1, Article 17 of the Law, for which persons mentioned in number 4 receive funding, and to projects that are conducted based on a plan identical to the proposal for grant-in-aid mentioned in Clause 1, Article 7.

1. A person who made fraudulent use of a grant-in-aid for scientific research in a project subject to grant cancellation:
   from 2 to 5 years starting from the next fiscal year following the fiscal year in which that person has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation, in accordance with Clause 1, Article 18 of the Law. The exact length of the period deemed appropriate (between 2 and 5 years) will be decided, taking into consideration the content of the fraudulent use in question and other factors.
2. A person who conspired with a person as mentioned in the previous point in fraudulent use of a grant-in-aid for scientific research:
   the same period as the period during which no grant will be funded for the project conducted by the person mentioned in the previous point, in accordance with the rule in the previous point.
3. A member of a project subject to grant cancellation who used a grant-in-aid for scientific research in violation of Clause 1, Article 11 of the Law:
   2 years starting from the next fiscal year following the fiscal year in which that member has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation. (This does not apply to persons mentioned in the previous point 2.)
4. A Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who conducted a project subject to grant cancellation in cooperation with a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who falls under point 1. or 3. (except persons mentioned under the previous point; the same applies to the points below), or a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) of a project subject to grant cancellation in which a Co-Investigator (*renkei-kenkyūsha*) who falls under point 1. participated, or a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) of a

project subject to grant cancellation in which a Research Collaborator who falls under the same point 1. cooperated:
1 year following the fiscal year in which he/she has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation, in accordance with Clause 1, Article 18 of the Law.

5. A person who obtained funding by a grant-in-aid for scientific research by deceit or other fraudulent means, or a person who conspired in this deceit or other fraudulent means:
5 years starting from the next fiscal year following the fiscal year in which that person has been ordered to refund the grant-in-aid for scientific research.

6. A person of whom it has been established that he/she committed fraudulent acts (including cases where it has been established that the person bears responsibility for the content of a research paper that is connected with to research results of which it has been established that fraudulent acts have been committed): from 1 to 10 years starting from the next fiscal year following the fiscal year in which is has been established that the fraudulent acts in question have been committed. The exact length of the period deemed appropriate (between 1 and 10 years) will be decided, taking into consideration the content of the fraudulent acts in question and other elements.

2. Notwithstanding Clause 1 of the previous article, a grant will not be granted for a period stipulated in Article 2 of the Decision of the Minister of Education, Culture, Sports, Science and Technology of August 24, 2004 for projects conducted a person mentioned in each of the following numbered points, about whom it has been decided not to provide him/her a particular benefit for a fixed period, as stipulated in Article 1.

(1) a person who used a particular benefit for other purposes than the one is intended for, or a person who conspired in use for other purposes in question.

(2) for a project that is the object of funding of a particular benefit, a person who violated the content of the decision to fund him/her a particular benefit, the conditions connected to that funding and other laws and oridnances, or the punishment based on these laws and ordinances by the head of an independent administrative legal entity or a national institution.

(3) a person who obtained the funding a particular benefit by deceit or other fraudulent means, or a person conspired in its use by deceit or other fraudulent means.

(4) a person of whom it has been established that he/she committed fraudulent acts in a project funded with a particular benefit.

(Applicants for a Grant)

Article 6 Persons are eligible to apply for a grant mentioned in Clause 1, Article 4, should meet the following requirements.

(1) Applicants for a grant concerning scientific research should fall into the following categories:

a) If researchers who belong to a research institution conduct scientific research, the representative of the researchers who conduct the scientific research in question;

b) If one researcher (excluding JSPS Fellows) who does not belong to a research conducts scientific research alone, that researcher in question;

c) If a JSPS Fellow conducts scientific research, that JSPS Fellow in question;

d) If a Foreign JSPS Fellow and a host researcher jointly conduct scientific research, the

host researcher

(2) An individual who publishes research results or the representative of an academic society that publishes such results funded with grants for the publication of research results.

(Proposal for grant-in-aid)

Article 7 An application for a grant requires that a proposal for grant-in-aid on scientific research or the publication of research results (hereinafter "scientific research etc.") be submitted to JSPS. The form for the proposal for grant-in-aid is available.

2. The deadline for the abovementioned submission of a proposal for grant-in-aid is announced by JSPS every year.

(Notification of the planned amount of grant)

Article 8 In accordance with a proposal for grant-in-aid mentioned in Clause 1 of the previous article, JSPS should decide the recipient of a grant and the planned amount of money given to the recipient (hereinafter "planned amount of grant") and report the amount to the recipient in advance.

(Allocation of the screening and other matters)

Article 9 When making decisions concerning the recipient of a grant or the planned amount of a grant in accordance with the previous article, JSPS should consult the Grants-in-Aid for Scientific Research Committee to discuss issues concerning the allocation of grants and suchlike.

2. Rules on the organization and operation of the abovementioned committee are stated elsewhere.

(Grant application form)

Article 10 When filing an application for a grant, an applicant who received a notification mentioned in Article 8 should fill in and submit the grant application form to JSPS by the deadline specified by JSPS.

(Decisions concerning the grants)

Article 11 Upon receiving a request for a grant in accordance with the previous article, JSPS should check documents concerning the request and conduct field survey or suchlike necessary, to make sure that the project deserves the grant and the calculation of the amount of the grant is not erroneous.

2. If JSPS considers that a grant should be given as a result of the abovementioned survey, it should promptly decide on providing the grant.

3. JSPS stipulates the following requirements for providing a grant.

(1) A change in details and cost allocation of scientific research etc. conducted by a grant recipient requires that the approval of JSPS be obtained in advance.

However, this may not apply to a minor change that is decided by JSPS in consultation with the Minister of Education, Culture, Sports, Science and Technology without compromising the objective of the funded project.

(2) Grant recipients should obtain the approval of JSPS in stopping or discontinuing a funded project.

(3) If a funded project cannot be completed within the scheduled period or if the fulfillment of a funded project seems too difficult, the grant recipient should promptly report it to JSPS and follow its directions.

(4) To sign a contract to fulfill a funded project and make the relevant payments, the grant recipient should, in compliance with the national contract and the provisions concerning payment, endeavor to maintain the high level of efficiency in the use of costs so that minimum and equitable costs can result in maximum benefit.

4. After making a decision concerning a grant, JSPS should promptly report details of the decision and the conditions it includes to the relevant applicant.

(Withdrawal of the application)

Article 12 An applicant for a grant may withdraw the application by the date specified by JSPS if the applicant receives the notification mentioned in Clause 4 of the previous article and if the applicant is dissatisfied with the details of the decision on a grant concerning the notification or conditions included in the decision.

2. Withdrawal of an application in accordance with the abovementioned provisions is considered that no decision on a grant to the relevant application has been made.

(Limitation on the use of the grant)

Article 13 The recipients of a grant should restrict the use of the grant to the costs necessary for the scientific research etc.

(Report on results)

Article 14 Upon completing scientific research etc., the recipients of the grant should promptly fill in and submit the form for reporting the results to JSPS. This also applies where the fiscal year concerning the decision concerning the relevant grant has terminated. The form for the report is available elsewhere.

2. A report on results mentioned in the latter part of the previous clause should be attached with a document specifying a plan on the scientific research etc. scheduled for the fiscal year that follows.

(Final decision concerning the amount of the grant)

Article 15 After receiving the report mentioned in the early part of Clause 1 in the previous article, JSPS checks the report and conducts an investigation, as necessary. If JSPS concludes that the result of the scientific research etc. agrees with the decision concerning the grant and conditions included in it, JSPS may decide the amount of the grant and report it to the relevant recipient.

(Account books and other documents)

Article 16 Recipients of a grant should retain the accounts on the balance of the grant and retain the receipts and other related documents for five years after the end of the fiscal year in which the grant has been provided.

(Investigation on accounting)

Article 17 When deemed necessary, JSPS may investigate or issue directives concerning the grant recipient's accounting or demand that a recipient reports on its accounting.

(Investigation on the state of the research and other matters)

Article 18 When deemed necessary, JSPS may demand that a grant recipient files a report on the status of its scientific research etc. and may also conduct an on-site investigation.

(Publication of progress of research)

Article 19 In printing or publication by other means, JSPS may publish all or part of descriptions in the report of results of scientific research and the report mentioned in the previous article that concern the progress of research.

(Contribution of equipment and suchlike)

Article 20 If the recipient of a grant mentioned in (1) a) of Article 6 partly appropriated the grant to the purchase of equipment etc., the recipient should promptly contribute the equipment etc. to one or more of the research institutions that the recipient belongs to.

2. If the recipient of a grant mentioned in (1) b) of Article 6 partly appropriated the grant to the purchase of equipment etc. worth 50,000 yen or more, the recipient should contribute the equipment etc. to a school or other educational or research institution no later than the termination of the research period.
3. If the recipient of a grant specified in (1) c) or d) in Article 6, Clause 1 partly appropriated the grant to the purchase of equipment etc. worth 50,000 yen or more, the recipient should promptly contribute the equipment etc. to the research institution where he/she engages in research or to which he/she belongs.
4. Where it is deemed inconvenient for a grant recipient to promptly contribute the purchased equipment etc. to the research institute, the equipment etc. may not be contributed until the time the abovementioned contribution is no longer likely to create such inconvenience, provided that JSPS's approval is obtained, notwithstanding the provisions in Clause 1.
5. Notwithstanding Clause 3, a special researcher may keep the purchased equipment etc. until when he/she is no longer qualified as a special researcher.

(Other)

Article 21 In addition to those specified in the Application Procedures, the rules necessary for the handling of grants should be provided elsewhere in the application guidelines and suchlike.

Additional Rules

The rules will be enforced on October 7, 2003 and take effect on October 1, 2003.

The provisions in Article 4-2 do not apply to a funded project that is going to be implemented by a researcher who, before September 12, 2003, was ordered to refund Grants-in-Aid for Scientific Research to his/her project subject to grant cancellation in accordance with Clause 1, Article 18 of the Law.

The JSPS's handling of Grants-in-Aid for Scientific Research before the day the Management Procedures take effect in compliance with JSPS Grants-in-Aid for Scientific Research (Scientific Research) Management Procedures (Rule No. 6, June 9, 1999) is deemed as JSPS's handling of a grant in accordance with the relevant provisions in the Management Procedures.

Additional Rule (No. 9, 2004)

1. Takes effect on April 1, 2004
2. Provisions in No. 3 of Clause 1, Article 4-2 do not apply to researchers who conducted a project subject to grant cancellation for which the grant was decided before the time the Rules take effect.

Additional Rule (No. 14, 2004)

Takes effect on August 27, 2004

Additional Rule (No. 1, 2005)

1. Takes effect on January 24, 2005
2. Clauses 2 and 3 of Article 4-2 do not apply to projects conducted by a researcher who was ordered to refund Grants-in-Aid for Scientific Research before the day the Rules take effect, or who conspired with such a researcher.

Additional Rule (No. 7, 2005)

Takes effect on April 1, 2005

Additional Rule (No. 9, 2006)

Takes effect on April 1, 2006

Additional Rule (No. 12, 2007)

Takes effect on April 1, 2007

Additional Rule (No. 9, 2008)

1. This rule was set up from June 10, 2008, and takes effect for the grants of FY2008 and later.
2. The rules No. 1 and No. 3 of clause 1, article 5 of the revised Management Procedures (hereinafter "New Procedures") do not apply to persons who conducted illicit use in projects of which the decision to fund a grant was cancelled, or to project members who used a grant-in-aid for scientific research in a way that violates the rules under clause 1, article 11 of the Law, in projects of which the day when the return of the grant-in-aid for scientific research was ordered fell before September 12, 2003. This is in accordance with the rules of clause 1 of article 18 of the Law. (This does not apply to the persons mentioned in No. 1 or No. 2, clause 1, article 5 of the New Procedures.)
3. The rule No. 4, clause 1, article 5 of the New Procedures does not apply to the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*) of projects of which the decision on funding of the grant was taken before April 1, 2004.
4. The rules No. 2 and No. 5, clause 1, article 5 of the New Procedures do not apply to persons who conspired in illicit use of grants-in-aid for scientific research, to persons

who obtained a grant-in-aid for scientific research by deceit or by other illicit means, or to persons who conspired in this deceit or other illicit means in question, in projects of which the day when the return of the grant-in-aid for scientific research was ordered fell before January 24, 2005.