JSPS Bilateral Joint Seminars
FY2020 CALL FOR PROPOSALS (March Application Round)

Notes:
(1) This “FY2020 Call for Proposals” is an English translation of the official announcement in Japanese. Applicants should observe the accompanying Japanese Application Guidelines (https://www.jsps.go.jp/j-bilat/semina/shinsei_bosyu.html). If there should be any differences between the original Call for Proposals in Japanese and its translation into English, the original Japanese text is valid.

(2) As application for this program and for a grant is done through your affiliated institution, for the more detailed Japanese applications guidelines, please inquire at your institution’s administration office.

1. Program outline

The Japan Society for the Promotion of Science (JSPS) carries out bilateral cooperative programs between Japan and counterpart countries based on agreements concluded with academies, research councils and other science-promotion institutions in those countries.

The aim of these programs is to form sustained networks evolved from individual scientist exchanges including young scientists. JSPS provides financial support to Japanese scientists implementing such bilateral joint research projects and seminars between research teams from Japan and counterpart countries.

The Bilateral Joint Research Projects/Seminars is comprised of two components: (A) Bilateral Joint Research Projects/Seminars with JSPS’s Counterpart Institutions and (B) Open Partnership Joint Research Projects/Seminars. Open Partnership Joint Research Projects/Seminars provides Japanese researchers an opportunity to conduct research/seminar with researchers around the world who reside in a country that has diplomatic relations with Japan. (JSPS also treats researchers who reside in Taiwan and Palestine in this manner.)

From this application round, JSPS launched a new scheme for proposals named “Open Partnership Joint Seminars (Interuniversity Cooperation).” It is meant to strengthen bilateral research cooperation by supporting organizational initiatives carried out via university consortiums and other collaborations among institutions.

JSPS receives applications via its online application system. Please refer to “6. Application procedure at JSPS”.
2. Targeted scheme in this application round

Notice (related “A” and “B”)
1. Each applicant is allowed to submit only one application per counterpart country under the FY2020 call (September application round and March application round).
2. Each applicant is allowed to submit only one application under “B” in the FY2020 call. In this category, only one country may be selected as the counterpart country.
3. Applicants who will already be conducting a Bilateral Joint Research Project/Seminar on the starting date of the seminars in this application round may not apply for a Joint Seminar with the same counterpart country.

B. Open Partnership Joint Seminars (Interuniversity Cooperation)

<table>
<thead>
<tr>
<th>Countries/Regions</th>
<th>All countries that have diplomatic relations with Japan. (JSPS also treats researchers who reside in Taiwan and Palestine in this manner.)</th>
</tr>
</thead>
</table>

Remark
1. In addition to “3. Eligibility of Japanese applicants”, applicants must be a researcher who belongs to the host institution of a university consortium or other collaboration among institutions.
2. Several universities and institutions from Japan and the counterpart country, as organization, must participate in a university consortium or other collaboration among institutions.
* There are cases where international joint research, researcher exchange, and human resource development are wholly implemented through initiatives taken by consortium in which several institutions from two countries participate. Setting areas and themes of common interest, they create platforms for initiating collaborations. Advancing such initiatives that strengthen Japan’s research capacity is encouraged.

3. Eligibility of Japanese applicants

At the time their application is submitted, applicants must hold a full-time or equivalent position as a researcher at a university or research institution in Japan that are specified in Article 2 of the Procedures on the Handling of Grants-in-Aid for Scientific Research (KAKENHI)*1, issued by the Ministry of Education, Culture, Sports, Science and Technology (MEXT), and they must be eligible to apply for a KAKENHI Grant-in-Aid.
However, there are cases when a researcher not employed in a full time position may be eligible. Such persons must be eligible to apply for a KAKENHI Grand-in-Aid, and their affiliated institution must judge them able to implement the project and it must provide an appropriate research environment (e.g., laboratory, equipment, personnel).
The Principal Investigator (PI) is overall responsible for and plays a pivotal role in carrying out the collaborative seminar plan. Once an application is submitted, the PI may not be changed except for unavoidable reasons.

*1 Institutions specified as eligible in Article 2 of the procedures on handling of Grants-in-Aid for Scientific Research:
1) Universities and inter-university research institutions
2) MEXT-affiliated institutions engaged in research
3) Colleges of technology
4) Institutions designated by the Minister of MEXT

4. Other requirements

<table>
<thead>
<tr>
<th>Activities Requirements</th>
<th>Joint Seminars</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participants from Japan</td>
<td>Researchers conducting research at a university or research institution in Japan (It should be specified in 3.1) to 4), in principle.) (including postdocs, doctoral and master’s students and emeritus professors (residing in Japan) who are sufficiently capable and experienced to carry out the research).</td>
</tr>
<tr>
<td>PIs from counterpart countries</td>
<td>Researchers at a university or research institution in a country that has diplomatic relations with Japan. JSPS only supports the expenses of the Japanese teams. Therefore, Counterpart PIs are encouraged to secure funding from sources in their own countries. The acquisition of funding may be a criteria in JSPS’s selection process.</td>
</tr>
<tr>
<td>Participants from counterpart countries</td>
<td>Researchers conducting research at a university or research institution in a country that has diplomatic relations with Japan (including postdocs and doctoral and master’s students who are sufficiently capable and experienced to carry out the research).</td>
</tr>
<tr>
<td>Participants from third countries</td>
<td>Researchers from third countries may participate in seminars under the requirement that they cover their own expenses.</td>
</tr>
<tr>
<td>Duration</td>
<td>Up to 1 week</td>
</tr>
<tr>
<td>Others</td>
<td>Seminars are to be held either in Japan or the counterpart country.</td>
</tr>
</tbody>
</table>

5. Expenses supported by JSPS

5-1 Expenses

* The number to be selected may change due to the budgetary situations and/or other conditions of JSPS.
* Please note that “Humanities, Social Sciences, and Natural Sciences” of the subject area means all fields including mathematical sciences, physical sciences, chemistry, engineering, biology, agricultural sciences, medicine, dentistry, and pharmacy.

B Open Partnership Joint Seminars (Interuniversity Cooperation)

- JSPS will cover the costs of the Japanese team.

<table>
<thead>
<tr>
<th>Joint Seminars</th>
<th>Max # to be selected</th>
<th>Duration</th>
<th>Funding from JSPS</th>
<th>Subject Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Up to 1 week</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>*Seminars must be held during the period of 1 August 2020 to 31 March 2021</td>
<td>Up to JPY 3,000,000</td>
<td>Humanities, Social Sciences, and Natural Sciences</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
- JSPS only supports the expenses of the Japanese teams. Therefore, counterpart PIs are encouraged to secure their own funding from sources in their own countries. The acquisition of funding may be a criteria in JSPS’s selection process.

5-2 Details of expenses

JSPS consigns the administration of projects to the Japanese PI’s affiliated institution. JSPS does not pay the institution a consignment fee.

JSPS covers the following expenses of participants on the Japanese team:

1) Joint Seminars held in Japan

<table>
<thead>
<tr>
<th>Domestic travel</th>
<th>Domestic travel expenses for participants on Japanese team (for joint seminar, preparatory meeting (within twice) and/or debriefing (within once) held in Japan)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meeting expenses</td>
<td>Consumables, honoraria, communication, meeting expenses, printing, service charges, reception, excursion, etc. (reception and excursion costs up to JPY 200,000 respectively.)</td>
</tr>
</tbody>
</table>

2) Joint Seminars held in counterpart country

<table>
<thead>
<tr>
<th>International travel</th>
<th>International airfare between Japan and counterpart country, maintenance allowance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Following expenses incurred in Japan</td>
<td></td>
</tr>
<tr>
<td>Domestic travel</td>
<td>Domestic travel expenses for members of Japanese team (for preparatory meeting and/or debriefing (within once in each) held in Japan)</td>
</tr>
<tr>
<td>Meeting expenses</td>
<td>Consumables, honoraria, communication, meeting expenses (for preparatory meeting and/or debriefing), printing, service charges, etc.</td>
</tr>
<tr>
<td>Remark</td>
<td>Costs for holding the seminars are to be covered by the counterpart institution.</td>
</tr>
</tbody>
</table>

6. Application procedure at JSPS

JSPS receives applications via its online application system. For details, please refer to https://www-shinsei.jsps.go.jp/topkokusai/top_kokusai.html (*In Japanese)

**Deadline for submission: Monday, 23 March 5 p.m., 2020 (JST).**
* Please note that applicants’ affiliated institutions may set earlier deadlines.
**Under no circumstances will JSPS accept applications submitted after the deadline.
***Once an application is submitted, you may not be able to revise and resubmit it.
7. Other instructions

(1) Under JSPS’s international programs, researchers who are already representing a project in one of JSPS’s program categories are not eligible to concurrently represent a project in another category with some exceptions. (The subject researchers are those responsible for implementing an already-selected project as its research representative, coordinator, chief seminar organizer or similar capacity. However, the heads of institutions and/or departments who represent the implementing institution are exempted.) For information on the approval of projects overlapping program categories, see Appendix 1 “Table, Overlapping Program Restrictions”. Regarding restrictions on overlapping programs in Bilateral Joint Research Projects/Seminars, please refer to the notice in “2. Targeted scheme in this application round”.

(2) Regarding the program Postdoctoral Fellowships for Research Abroad, implemented by JSPS, there is no restriction on applying for this program in the application stage of a bilateral exchange project. However, if selected (provisional notice of selection) for both, the applicant must choose one of them, as postdoctoral fellows are required to dedicate themselves solely to their research. Both the PIs and participants of Bilateral Joint Research Projects/Seminars should bear this stipulation in mind when applying for these two programs.

(3) PIs who are or have carried out international joint research activities should clearly specify those activities if their content is related to Bilateral Joint Seminars for which they are currently applying.

8. Selection criteria for JSPS review

The following criteria are utilized in selection process:

- Scientific excellence of seminars
- Necessity of cooperation, added value gained, and mutual research advancement through transfer of knowledge and expertise
- Impact of outcomes on improving the quality of life, contributing to socioeconomic development, and/or solving prevailing social issues
- Participation of young researchers and contribution to fostering them
- Sufficient negotiation having clearly been carried out between the applicant and counterpart PI before submitting the application. Feasibility and concreteness of the plan and contribution to researcher interaction in advancing the research during the project period while having a high potential for future advancement.

In addition to the above criteria, the following points are also considered:

- Appropriateness of the budget plan
- Appropriateness of the seminar venue
- Potential for being a platform for initiating collaboration in which several institutions from Japan and the counterpart country participate and which spawns international joint research, researcher exchange, and human resource development.
- Appropriateness of balance among counterpart countries/regions. Whether counterpart countries are included under “A Bilateral Joint Research Projects/Seminars with JSPS’s Counterpart Institutions” taken into consideration.
9. Selection procedure

(1) The screening process is conducted in two stages: a document review and a panel review. Regarding the document review, each application is screened by three document reviewers. Please confirm the details on our website as below.
[URL] https://www.jsps.go.jp/english/e-bilat/review_process.html

(2) Notification of the selection results will be made in writing through the head of the applying institution.

“B” JSPS conducts reviews of the applications JSPS receives and makes selections. The results will be sent to the applying institutions by June 2020.

(3) Non-selected projects are approximately ranked in an ABC order and disclosed it to the applicants via JSPS online application system.

10. Post-selection funding request to JSPS

Upon selection, Japanese PIs must submit an implementation plan and funding request using the prescribed form. JSPS will make funding allocations based on these documents and/or its budgetary condition.

11. Obligation of Japanese PIs and their affiliated institutions

(1) Project funds allocated by JSPS are to be administered by the institution with which JSPS concluded an agreement and to which the PI is affiliated.

(2) PIs must submit a report by the designated due date, which will be given public access, according to instructions by JSPS.

(3) Due acknowledgement of support by JSPS and counterpart institutions should be made in any publication resulting from the Joint Research Seminars.
12. Measures against misuse of research funds (including specific research misconduct), and handling of personal information, etc.

(1) Measures against misuse of research funds, etc.
JSPS will take appropriate measures (e.g. terminate project, require reimbursement of part or all of allocated funds) in cases of misuse of research funds, specific research misconduct (e.g. fabrication, falsification, plagiarism), unjustifiable acts (e.g. discrimination, harassment), or violation of laws. Please refer to Appendix 2, “Rules for Responding to Misconduct and Misuse of Funds in Research Activities,” with regard to measures taken against misuse of research funds.

(2) Responding to misconduct in research
a) About establishing a system based on “Guidelines for Responding to Misconduct in Research”
Participating institutions are to establish a system for administering projects based on guidelines to prevent misconduct in research activities. In carrying out application recruitment and research activities under this program, compliance with the “Guidelines for Responding to Misconduct in Research. Adopted August 26, 2014 by Ministry of Education, Culture, Sports, Science and Technology (MEXT)” is required.
MEXT conducts survey on the condition of systems based on these Guidelines and reports of system deficiencies when found to MEXT, which may take such measures as cancelling indirect cost of all competitive funding that the institution currently receives.
For the Guidelines, see https://www.mext.go.jp/b_menu/houdou/26/08/1351568.htm (*In Japanese).

b) Submission of the “Checklist pertaining to the Current Status” based on “Guidelines for Responding to Misconduct in Research”
When contracting for this program, the Japanese PI’s affiliated institution must submit a “Checklist pertaining to the Current Status” based on the “Guidelines for Responding to Misconduct in Research” to MEXT. If not submitted the project will not be approved.
In doing so, the format contained on the below website is to be used. The checklist is submitted via e-Rad to MEXT’s Science and Technology Policy Bureau, Knowledge Infrastructure Policy Division, Office for Promotion of Correct Research by the starting date of the research (the day that the contract is concluded). If a checklist was submitted on another occasion on or after April 2019, a new checklist does not need to be submitted.
For details on the checklist’s submission procedure, see the following MEXT website.
[URL] https://www.mext.go.jp/a_menu/jinzai/fusei/1374697.htm (*In Japanese)
Note: Before submitting the checklist, the environment for using the e-Rad system must be set up. For details on this procedure, please see the following website.

c) Measures taken with regard to misconduct is research activities based on “Guidelines for Responding to Misconduct in Research”
The following measures will be taken if acts of misconduct are found to occur in research activities conducted under this program:
(i) Measures including rescinding of funding
When specific research misconduct (fabrication, falsification, plagiarism) are judged to occur in the conducting of a research project under this program, depending on the circumstances involved the institution’s contract may be cancelled or modified and it may be required to return all or part of its project funding.
(ii) Measures including restriction of funding distribution

Regarding research papers and reports submitted under this program, JSPS may in the following cases place restrictions on the disbursement of research funding pursuant to the “Rules for Responding to Misconduct and Misuse of Funds in Research Activities” (Affective from 6 June 2006): when a researcher engages in specific research misconduct and when a researcher who is not directly participant in such an act neglects to meet his/her responsibility to exercise care as a person responsible for said research paper or report. In such cases, penalties and funding restrictions are based on the degree of maliciousness involved in the misconduct and the degree of responsibility neglected.

Even with specific research misconduct that occur in the current fiscal year, the disbursal of research funding may be restricted.

The imposing of funding restrictions will be reported to the sections in charge of the disbursement of competitive funds at MEXT and independent administrative institutions under its jurisdiction and at other ministries and agencies and independent administrative institutions under their jurisdictions, via which process application for and eligibility to participate in competitive funding systems linked to MEXT may be restricted.

(iii) Measures regarding researchers whose eligibility is restricted for applying for or participating in competitive-grant funded or operational-budget funded activities

Those researchers, who are subject to suspensions on eligibility for applying for the following fund systems* or participating in their research proposals due to the specific research misconduct they have been involved in, will also be subject to suspension on receiving this program’s funds for the duration of penalties set by the following funding system.

*Competitive funding systems affiliated with MEXT other than this program, government subsidies for operating expenses to national universities/interuniversity research institutions and independent administrative institutions under MEXT jurisdiction, government subsidies for basic expenses to private educational institutions, and other ministries'/agencies’ competitive funding systems.

(iv) About the public reporting of cases of improper conduct

Not only “special research misconduct” but also other misconduct committed in research activities carried out under this program will, as a rule, be reported publically by MEXT, to include the name, type and field of the incident, the funding category involved, a summary of the misconduct, and measures taken by the research institution and funding agency.

When misconduct is found to have been committed, the research institution is to expeditiously conduct an investigation into the incident and publically release its findings. The institution is to take appropriate actions in accordance with the Guidelines.

[URL] https://www.mext.go.jp/a_menu/jinzai/fusei/1360483.htm (*In Japanese)

(3) Handling of personal information

Personal information provided by applicants will be handled according to the “Act for the Protection of Personal Information Retained by Independent Administrative Institutions” and JSPS’s “Personal Information Protection Policy,” and be used solely for the purpose of implementing the program.

The names, positions and affiliations of the project’s PIs and participants, project titles, budget plans, the implementation period, annual plans and implementation reports results may be disclosed on JSPS’s website and in its publications.

Particularly in the case of joint seminars with researchers residing in the European Economic Area (EEA), the above described handing of personal information should be carried out in agreement with
the EEA researchers in accordance with the General Data Protection Regulation (GDPR).
[URL] https://www.ppc.go.jp/enforcement/cooperation/cooperation/GDPR/

13. Others

(1) JSPS does not support any research project related to military affairs.

(2) JSPS will not bear responsibility for any injury, sickness or accident incurred during travel related to the seminars.

(3) PIs on both sides are obligated to ensure the protection and proper distribution of intellectual property resulting from seminars, in accordance with the laws and regulations of their countries. It is requested that the PI’s home institution set certain rules on attribution of intellectual property.

(4) JSPS does not support the issuing of visas or the arrangement of the accommodations related to bilateral joint seminars.

(5) Promotion of “Open Access” to the research papers supported by this grant
JSPS endorses general policy of promotion of open access of publications of research results funded by public grants including KAKENHI. Note that open access is not mandatory if there are justifiable reasons for deferral such as copyright-related issues, or insufficient repository infrastructure at the research institution.
The open access implementation policy of JSPS is given on the following webpage:
[URL] https://www.jsps.go.jp/data/Open_access.pdf (*In Japanese)

【Reference 1: What is “Open Access”】
Open access refers to the basic idea that research papers published in peer-reviewed journals should be made freely accessible by anyone.

【Reference 2: Different Routes to Open Access】
There are 3 main ways of open access implementation ((1) to (3) below)
(1) A way to make open the access to the article which is published in the conventional subscription fee type academic journal after a certain period (Embargo) (*1) (for example 6 months later) by opening the final manuscript to an Institutional Repository (*2) established by the research institution to which the author belongs, or by opening the final manuscript to the website etc. established by the researchers (self-archiving) (*3).
(2) A way to make the article open access by posting the article on the Web established by the research community or public institution.
(3) A way to make the article open access immediately by paying the publication fee (APC: Article Processing Charge) by the author of the article

*1 “Embargo”
The predetermined period from the time of publication of an article in an academic journal to the time of release so that it can be posted on an online open access archiving system (repository).

*2 Institutional Repository
An online archiving system created by university or research institution for storage and dissemination of the intellectual products. Institutional repositories play important roles in the
reform of academic information distribution by enabling the researchers register their own articles, such as the transmission of research and education achievements of the research institution, PR for both the research institution and the researcher, guaranteeing the accountability of research and education activities towards society, and the long-term conservation of intellectual products.

*3 Self-archiving
“Self-archiving” refers to online posting of articles published in academic journals, dissertations, or data by those other than the publisher, (the researcher or research institution) generally on their institutional repositories.

(6) Registration of the Researcher Information in researchmap

“researchmap” (https://researchmap.jp/) is, as a general guide to Japanese researchers, Japan’s largest researcher information database. Registered information on research results can be openly disseminated over the Internet. As research map is linked to e-Rad and many university faculty databases, it allows registered information to be accessed by other systems. Using researchmap precludes the need for researchers to re-register the same research information in multiple application forms and databases.

As information registered in researchmap can be effectively used for such purposes as conducting studies related to the formulation of government’s S&T policy and compiling statistics, participants in this program are encouraged to register in researchmap.

(7) About security export control

Research is carried out on various advanced technologies at Japan’s research institutions. Along with internationalization, the number of foreign students and overseas researchers is increasing at Japanese universities. This is increasing the risk of advanced technologies and equipment or materials used in research being leaked out and of them being used in the development and production of weapons of mass destruction (WMD). Accordingly, when research institutions conduct research activities, including those commissioned to them to carry out, they should take systematic measures to ensure that research results and technologies (etc.) that can be diverted for military purposes are not passed to persons feared to carry out prohibited activities such as developers of WMD or members of terrorist groups.

In Japan, export control (*) is carried out based on the “Foreign Exchange and Control Trade Act” (law no. 228, enacted in 1949), hereafter called the “Foreign Exchange Act.” Under this Act, when technologies or materials are to be exported (provided), permission must as a rule be obtained from the Minister of Economy, Trade and Industry (METI). Please be sure to follow the country’s laws, guidelines and directives beginning with the requirements of the Foreign Exchange Act. If these laws or guidelines are violated in the implementation of research, in addition to legal measures and penalties taken, the allocation of project funding may be cancelled or the decision to allocate funding withdrawn.

* Japan’s security export control system is carried out based on international agreements via predominately two rules: “list rule” and “catch-all rule.” Under the list rule, when materials and/or technologies related to carbon fiber, computerized numeric-controlled machinery, or other items to be exported (provided) exceed specified specifications and/or functions, permission must as a rule be obtained from the METI minister. Under the catch-all rule, when materials and/or technologies not applicable to regulations under the list rule are to exported (provided) but do fall under certain regulatory requirements (usage, consumer and inform requirements), permission must as be obtained from the METI minister.
Not only the export of things but also the provision of technologies is covered under the Foreign Exchange Act. When list-rule technologies are to be provided to non-residents of Japan or to be provided in another country, permission must be obtained in advance. Included in the provision of technologies is technical information or data contained in blueprints, specification documents, manuals, specimens, prototypes and other items provided via paper, email, CD, DVD, USB memories, or other recording media. Also included is working (processing) knowledge provided via technical guidance or training and through technical support via seminars. Various controls are imposed under the Foreign Exchange Act with regard to technology exchange when hosting students from foreign countries and conducting joint research and other activities with them.

Details on the security export control are contained on the METI website (in Japanese).

[URL]
http://www.cistec.or.jp/english/index.html

14. JSPS contact information

Japan Society for the Promotion of Science (JSPS)
(Address) 5-3-1 Kojimachi, Chiyoda-ku, Tokyo 102-0083 Japan
(E-mail) nikokukan@jsps.go.jp
For Open Partnership Joint Research Projects/ Seminars (“B”)
(Tel) +81 (0)3-3263-1839/1864
Call Center (Only for inquiries regarding JSPS’s on-line application system)
(Tel) 0120-556-739 (Inside Japan only)
## Table, Overlapping Program Restrictions

This table shows the overlapping restrictions on the following two categories of applicants.

1. A researcher who applies for a project under Program A as a representative of a new project while concurrently applying for an international scientific exchange project under Program B.
2. A researcher who already has been working as the representative of a project under Program A while concurrently applying for an international scientific exchange project under Program B.

<table>
<thead>
<tr>
<th>Program A</th>
<th>Program B</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>① Bilateral Programs (Joint Research Projects/Seminars)</td>
</tr>
<tr>
<td></td>
<td>② International Joint Research Program</td>
</tr>
<tr>
<td></td>
<td>③ Japanese-German Graduate Externship</td>
</tr>
<tr>
<td></td>
<td>④ JSPS Core-to-Core Program</td>
</tr>
<tr>
<td></td>
<td>⑤ A3 Foresight Program</td>
</tr>
<tr>
<td></td>
<td>⑥ Program for Fostering Globally Talented Researchers</td>
</tr>
</tbody>
</table>

- **① Bilateral Programs (Joint Research Projects/Seminars)**
  - New Proposal: △
  - Continued:△

- **② International Joint Research Program**
  - New Proposal: ○
  - Continued: ○

- **③ Japanese-German Graduate Externship**
  - New Proposal: ○
  - Continued: ○

- **④ JSPS Core-to-Core Program**
  - New Proposal: ○
  - Continued: ○

- **⑤ A3 Foresight Program**
  - New Proposal: ○
  - Continued: ○

- **⑥ Program for Fostering Globally Talented Researchers**
  - Continued: ○

〇: The researcher may be the representative of two projects in overlapping programs.
△: The researcher may apply for both programs but may not be the representative of two projects in overlapping programs if they are with the same counterpart country.
▲: The researcher may apply for both programs but may not be the representative of two projects in overlapping programs. (S/he must choose one of the overlapping programs.)
×: The researcher may not apply for the projects under Program B. Note that an application made in the last fiscal year of the project duration under Program A is acceptable.
■: The researcher may apply for a project under Program B but may not be the representative of two projects in overlapping programs. (The representative of a project under Program A must be replaced by another member when newly selected for a project under Program B.)
—: In principle, the researcher may apply with one and the same research topic under the same program. (S/he shall work on a research topic proposed for a project under Program A when selected for a project under Program A.)
Only the original Japanese texts of these rules have effect. In the event of any discrepancy between the Japanese version and the English version, the former version shall prevail.

Rules for Responding to Misconduct and Misuse of Funds in Research Activities

Enacted on December 6, 2006 (Rule No. 19 of 2006)
Revised on March 13, 2013 (Rule No. 4 of 2013)
Revised on April 1, 2015 (Rule No. 3 of 2015)
Revised on March 31, 2016 (Rule No. 35 of 2016)
Revised on August 8, 2017 (Rule No. 34 of 2017)
Revised on March 31, 2018 (Rule No. 40 of 2018)

Article 1 (Purpose)

Misconduct in research by researchers and misuse of competitive research funds debases science and hinders its advancement while shaking people's trust in science and wasting precious public funds. Accordingly, the Japan Society for the Promotion of Science (JSPS) establishes and carries out procedures for responding to improper conduct in research activities that use research funds and improper use of research funds, and it assures that research institutions exercise systematic management and responsibility over research funds. While strictly ensuring impartiality in research activities, JSPS takes responsibility for the proper use of research funding, which have as their source precious public funds.

JSPS’s operation to carry out this mandate is based on the Guidelines for Responding to Misconduct in Research ( Adopted by MEXT August 26, 2014)(hereafter referred to as “Guidelines on Misconduct in Research”), Guidelines for Supervision and Auditing of Public Research Funds at Research Institutions ( adopted by MEXT February 15, 2007: revised February 18, 2014)(hereafter referred to as “Guidelines for Supervision and Auditing”), and the Guidelines on the Proper Implementation of Competitive Funding (agreement by the liaison meeting of related offices and ministries on competitive funding, dated September 9, 2005).
Article 2 (Definitions)

In addition to definitions contained in the Guidelines on Misconduct in Research and the Guidelines for Supervision and Auditing, the terms “research funds” and “research misconduct” (specific research misconduct) are defined as follows.

(1) **Research funds**: All competitive funding, research subsidies and commissioned funding disbursed by JSPS.

(2) **Research misconduct**: Violating research ethics when publishing research activities and research results by distorting their substance or purport in ways that hinder normal scientific communication. Committing “specific research misconduct” (fabrication, falsification or plagiarism) in submitted research papers, in the data published in research results, or in survey results when done purposefully or out of gross negligence of a researcher’s fundamental responsibilities.

(3) **Improper use**: Either purposefully or out of gross negligence, using research refunds for unapproved purposes or in ways that otherwise violate the terms under which the funds are disbursed.

(4) **Improper use, etc.**: Misuse of funds or receiving the disbursement of research funds based on falsification or other improper means.

(5) **Systematic discharge of management responsibility**: Establishment by research institutions of an effective management system for responding to specific research misconduct and misuse of research funds.

Article 3 (Subject research activities)

All research activities for which research funding is disbursed.

Article 4 (Subject researchers, etc.)

All researchers and research groups carrying research activities for which research funding is received.

Article 5 (Subject research institutions)

Research institutions to which researchers who receive funding belong and research institutions that receive research funding.
Article 6 (Receiving complaints)

To file a complaint about specific misconduct or misuse of research funds or to seek consultation on a matter prior to filing a complaint, the research institution to which the accused is affiliated should be contacted. (If the accused does not have an affiliated institution, then the specific institution where s/he is chiefly using research facilities. When the accused has a Research Fellowship for Young Scientists, then the host institution where s/he is chiefly conducting research activities.) If, however, the accused is not affiliated to any research institution or if special circumstances are judged to exist, JSPS may receive the complaint from the complainant.

Article 7 (Establishing a window for receiving complaints)

In addition to the provision in Article 6 above, a window is to be established for auditing complaints and assuring research fairness in the Research Integrity and Auditing Office. Complaints are filed/received as follows.

(1) Complaints may be filed in by letter, via phone, fax or email, or in person.

(2) When receiving a complaint, the Research Integrity and Auditing Office should do the following. Ascertain the complainant's name, affiliation and contact information; the name of the researcher accused of specific misconduct or misuse of funds; the circumstances of the violation; the basis and rationality of the complaint; the type and name of the research grant in question; and whether the complaint was filed in other organizations besides JSPS. It should also be ascertained what the complainant desires to keep confidential. S/he should be informed of the rule regarding false claims stipulated in Article 20.

(3) If the complaint was received by an office other than the Research Integrity and Auditing Office, that office should contact the Research Integrity and Auditing Office right away.

(4) Based on the type of research grant included in the complaint, the Research Integrity and Auditing Office should contact the cognizant research grant section and inform it of the content of the complaint.

Article 8 (Forwarding complaints)

When receiving a complaint regarding a matter of research misconduct for which JSPS
did not disburse the funding, JSPS will refer the matter to the funding agency that disbursed the funds and inform the complainant of such.

Article 9 (Handling complaints)

The following procedure is followed in handling complaints.

(1) As a rule, JSPS only accepts complaints that clearly state the circumstances of specific research misconduct, including the researcher(s) who committed specific research misconduct or improperly used research funds. Moreover, the content of specific research misconduct must have a rational scientific basis and a complaint of improper use of funding must be factually grounded.

(2) As a rule, JSPS only accepts complaints of specific research misconduct when the complainant’s name is stated. Depending on the content of the complaint, however, there are cases when an anonymous complainant can be treated as a named complainant.

(3) When suspicion of specific research misconduct or the improper use of research funds is reported by the researcher community including the media and academic societies, JSPS can handle the complaint if one is made.

(4) With regard to the complaints received by JSPS for which the organization that is supposed to investigate and verify the veracity of its content (hereafter referred to as “investigation”) cannot not be identified, JSPS is to refer the complaint to the research institution corresponding to the investigating organization stipulated in paragraph 1 of Article 11. It is to notify that research institution that a complaint has been filed and request it to handle the complaint. When it is expected that another investigating organization is also involved, JSPS is to notify its corresponding research institution of the complaint.

Article 10 (Projecting the confidentiality of complainant and accused)

1. JSPS is to protect the confidentiality of the complainant and the accused as well as the content of the complaint and the content of the investigation of the matter up until the time that an investigation report is publically released.

2. Notwithstanding the above stipulation, if the investigated matter should be leaked, JSPS may, upon obtaining the consent of the complainant and accused, issue a public statement on the matter while the investigation is ongoing. If, however, the complainant or the accused is responsible for the leakage, JSPS will not be required to obtain their
Article 11 (Investigating complaints)

1. Investigation of the matter contained in the complaint is, as a rule, to be conducted by the research institution that the accused belongs to, or by the research institution where s/he was carrying out research activities at the time the matter contained in the complaint occurred, or by the research institution where s/he was carrying out the research activities subject to the complaint (hereafter referred to as “investigating organization”).

2. Upon receiving a decision or other report by an investigating organization to conduct an investigation, JSPS may provide instructions to the organization on how to properly conduct the investigation and request it to expeditiously clarify the entire matter and complete the investigation.

3. If the accused does not belong to a research institution when the investigation starts nor does the accused any longer belong to the research institution where s/he was carrying out research at the time the matter contained in the complaint occurred and JSPS determines that it would be extremely difficult for an investigating organization to conduct the investigation pursuant to paragraph 1 above, the matter is to be referred to the cognizant research grant section at JSPS for investigation.

4. Pertinent details on conducting an investigation pursuant to the paragraph above are provided separately.

Article 12 (Taking temporary measures during an investigation)

1. JSPS may take various measures with regard to the accused while an investigation is being conducted. They include stopping the disbursement for research funds for the subject project until an investigation report is received from the investigating organization or until the investigation result is determined pursuant to the rule set in Article 11. 3 above. JSPS may also cancel the disbursement of research funds to a project for which a decision of grant disbursal has been made or may put on hold decisions to select or fund other projects for which the accused has applied.

2. The above notwithstanding, if it partially established that the specific misconduct or misuse of funds has been committed or if the issuing of a report on the investigative results is postponed due to the accused not bearing his/her responsibility to cooperate, JSPS may put on hold decisions to select or to disburse funding, cancel disbursement, or
require the accused's affiliated institution to stop implementation of his/her project.

Article 13 (Measures taken against individuals or groups who commit acts of specific misconduct or misuse of research funds and taken against research organizations that fail institutionally to exercise management responsibility)

The JSPS President is to immediately take appropriate measures when the following cases occur.
(1) When the investigation results establish specific research misconduct or improper use of funds.
(2) When the investigating organization does not submit its final report, for example on a complaint regarding competitive funding administered by JSPS, within the following prescribed periods.
   1) With regard to specific misconduct, by the investigation deadline set pursuant to the investigating organization’s rules and regulations.
   2) With regard to the misuse of funds, within 210 days from the date that the complaint was received.
   3) Irrespective of the above stipulations, when an investigation report is delayed for a rational reason recognized by JSPS, a different deadline may be set.
(3) When based on the Guidelines on Misconduct in Research and the Guidelines for Supervision and Auditing, MEXT judges the establishment of a management system to be inadequate or when MEXT is dissatisfied with the implementation of action required to improve the system or with the management of such implementation timelines.
(4) When based on the Guidelines for Supervision and Auditing, MEXT judges there to be large defects in the establishment of a research institution’s management system or the misuse of funds to occur due to defects in the management system.

Article 14 (System for considering measures against individuals determined to have committed acts of specific research misconduct)

1. If specific misconduct is determined to have occurred in research activities, the JSPS President is to refer the matter to a committee set up to deliberate the appropriate action to take with regard to the violation (Deliberative Committee).
2. Based on the determination made by the investigating organization, the Deliberative Committee considers the punitive measures that should be taken against the offending
party and issues a report on its conclusions. Receiving that report, the JSPS President makes the final decision as to what punitive measures to impose. The offending party’s explanation will not be heard and an appeal for redress by the offending party will not be accepted after the punitive measures are decided.

3. The jurisdictional duties and organization of the Deliberative Committee are established separately.

Article 15 (Persons subject to punitive measures)

The following persons are subject to punitive measures.

(1) With regard to specific research misconduct:
   1) Persons determined to have participated in acts of specific misconduct.
   2) Persons not determined to have participated in the specific misconduct directly but who bear some responsibility as an author of a paper on research identified to involve specific misconduct and who failed to exercise due care as a person responsible for the paper’s content.

(2) With regard to the misuse of funds:
   1) Researchers who misuse funds and researchers who collude in the misuse of funds.
   2) Researchers who by way of fabrication or other means of deception improperly receive research funding and other researchers who collude in such improper acquisition of funding.
   3) Researchers who do not directly participate in the misuse of funding but who use the funding while neglecting to take the due care of a prudent manager.

Article 16 (Types of punitive measures)

1. Measures taken by the JSPS President pursuant to Article 13.1 include the following.
   (1) Cancellation of the decision to disburse the subject research funding or requiring the offending researcher to return all or part of the funding already disbursed.
   (2) Not selecting projects applied for in which the offending researcher is the principle investigator. Neither selecting projects in which s/he is listed as a co-investigator unless s/he is excluded from the project.
   (3) When research funding has already been disbursed to the offending researcher, requiring him/her return the unspent amount pursuant to the rules of the subject research-funding system.
(4) Not disbursing research funding to the offending researcher for a set period of time. As a rule, the period of funding stoppage starts from the fiscal year following the year in which the punitive measures are determined. For specific research misconduct, see Table 1, for improper use of research funds, see Table 2.

(5) Irrespective of the above stipulation, the periods of funding stoppage under the program Grants-in-Aid for Scientific Research (KAKENHI) are established separately.

2. Pursuant to the measures taken in Article 13. (2) to (4), the JSPS President may, as stipulated in the Guidelines on Misconduct in Research and the Guidelines for Supervision and Auditing, reduce the amount of indirect competitive funding or stop its disbursement.

Article 17 (Specific misconduct and misuse of funding unrelated to the subject research funding)

In addition to the penalties subject to these rules, JSPS may stop the disbursement of research funding during the period while a researcher has had his/her application and/or participation eligibility suspended due to specific misconduct or misuse of funds vis-à-vis the following types of funding.

(1) Competitive funding disbursed by government ministries/agencies or independent administrative agencies

(2) Other than the above, funding disbursed from systems subject to the Guidelines on Misconduct in Research and the Guidelines for Supervision and Auditing.

(3) Basic funding stipulated under the Guidelines on Misconduct in Research.

Article 18 (Notification and reporting of punitive measures)

1. JSPS will notify the complainant, accused and subject research institution along with the research institution to which the accused is affiliated of the measures taken and the person(s) subject to them.

2. JSPS will promptly report the measures taken to MEXT.

Article 19 (Public disclosure of measures taken)

As a rule, JSPS is to promptly make public disclosure of the measures decided to be taken.
Article 20 (Handling of malicious complaints)

If JSPS judges a complaint to be made with malicious intent, it shall disclose the name of the complainant and lodge a criminal complaint against him/her.

Article 21 (Relationship between measures and lawsuits)

1. If a lawsuit is filed after punitive measures are taken, unless the court judges the content of the action to be inappropriate, the measures will remain enforce. When a lawsuit is filed before measures are taken, if the basis for imposing them is seen to be rational and objective, they may be put into effect without waiting for the results of the suit.
2. If the measures are judged via the lawsuit to be inappropriate, part or all of them may be withdrawn.
3. Pursuant to the above court decision, if the research funding has been returned to JSPS, based on the state of the research, a determination is to be made whether or not to re-disburse the funding.

Article 22 (Recording the content of measures taken in open recruitment guidelines)

When specific misconduct and/or misuse of research funds is committed or an organization fails to take the due care of a prudent manager, the content and scope of punitive measures taken, including the subject researcher(s), are to be recorded in application guidelines for new research funding and in contracts for commissioned research (including in the document’s annexes) and circulated to researchers and research organizations.

Article 23 (Supplementary Provisions)

In addition to what is listed in each of the preceding articles, any other necessary matters in responding to misconduct and misuse of funds in research activities are provided for separately.
Supplementary Provisions (Rule No. 19 of 2006)
This Rule came into force as of December 6, 2006.

Supplementary Provisions (Rule No. 4 of 2013)
This Rules came into force as of March 13, 2013.

Supplementary Provisions (Rule No. 3 of 2015)
This Rules came into force as of April 1, 2015.

Supplementary Provisions (Rule No. 35 of 2016)
This Rules came into force as of April 1, 2016.

Supplementary Provisions (Rule No. 34 of 2017)
This Rules came into force as of August 8, 2017.

Supplementary Provisions (Rule No. 40 of 2018)
This Rules came into force as of April 1, 2018.
Table 1 Measures related to specific misconduct (Appended art. 16 para. 1 item 4)

<table>
<thead>
<tr>
<th>Subject of Measures</th>
<th>Extent of Misconduct</th>
<th>Period of Funding Stoppage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Particularly malicious individual(s) who, for example, had intention of research misconduct from the very beginning of the research</td>
<td></td>
<td>10 years</td>
</tr>
<tr>
<td>2. Author(s) of paper(s), etc. related to the research in which research misconduct(s) have been identified (other than(a) above)</td>
<td>Responsible author(s) of the paper(s) in question (corresponding author, lead author or other authors bearing equivalent responsibilities)</td>
<td>5 to 7 years</td>
</tr>
<tr>
<td></td>
<td>Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are major, or the level of maliciousness involved in the acts is high</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Author(s) of the paper(s) in question other than the responsible author(s) described above</td>
<td>3 to 5 years</td>
</tr>
<tr>
<td></td>
<td>Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are minor, or the level of maliciousness involved in the acts is low</td>
<td></td>
</tr>
<tr>
<td>3. Individual(s) involved who are not the authors of the research paper(s) for which research misconduct(s) are identified, but not involved in the alleged research misconduct</td>
<td></td>
<td>2 to 3 years</td>
</tr>
<tr>
<td>Responsible author(s) of paper(s), (corresponding author, lead author or other authors bearing equivalent responsibilities) for which research misconduct(s) are identified, but not involved in the alleged research misconduct</td>
<td>Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are major, or the level of maliciousness involved in the acts is high</td>
<td>2 to 3 years</td>
</tr>
<tr>
<td></td>
<td>Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are low, or the degree of severity of the acts is low</td>
<td>1 to 2 years</td>
</tr>
</tbody>
</table>
Table 2 Measures related to misuse of funds (Appended art. 16 para. 1 item 4)

<table>
<thead>
<tr>
<th>Subject of Measures</th>
<th>Level of Funding Misuse</th>
<th>Period of Funding Stoppage</th>
</tr>
</thead>
<tbody>
<tr>
<td>I Researchers who committed improper spending of funding and researchers who conspired in such fraudulent act</td>
<td>1. Misappropriation of research funds for personal gain</td>
<td>10 years</td>
</tr>
<tr>
<td>II Researchers who acquired funding by deception or other fraudulent means and researchers who conspired in such acts</td>
<td>2. Other than misappropriation of research funds for personal gain</td>
<td>(1) Cases of major seriousness and maliciousness</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(2) Cases other than (1) and (3)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(3) Cases of minor seriousness and maliciousness</td>
</tr>
<tr>
<td>III Researchers who acquired funding by deception or other fraudulent means and researchers who conspired in such acts</td>
<td>-</td>
<td>5 years</td>
</tr>
<tr>
<td>IV Researchers who were not directly involved in the improper spending of funding, but failed to exercise due care</td>
<td>-</td>
<td>The upper limit is 2 years and the lower limit is 1 year depending on the degree of the breach of duty by the researchers who have the duty of care as a good manager.</td>
</tr>
</tbody>
</table>

* For cases judged as subcritical to the punitive suspension measures, sharp reprimand is administered to the individual(s) concerned.

The following cases are pertinent to the “sharp reprimand” penalty.

1. Among the case II above, the researchers in case that the influence on society and the maliciousness of their conducts are judged to be insignificant and the amount of money involved is small.

2. Among the case IV above, the researchers in case that the influence on society and the maliciousness of their conducts are judged to be insignificant.