

JSPS International Joint Research Program JRPs with SNSF FY2022 CALL FOR PROPOSALS

Notes:

- (1) This “FY2022 Call for Proposals” is an English translation of the official announcement in Japanese. Applicants should observe the accompanying Japanese Application Guidelines (https://www.jsp.go.jp/j-bottom/02_g_sinsei.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) This “FY2022 Call for Proposal” provides the application guidelines on the JSPS side. Please consult with Swiss National Science Foundation (SNSF) about the application guidelines for the Swiss side.
- (3) As application for this program and for a grant is done through your affiliated institution, for the more detailed Japanese application guidelines, please inquire at your institution’s administration office.

1. Purpose

The Japan Society for the Promotion of Science (JSPS) carries out international joint research programs for the purpose of advancing collaborative research between excellent researchers in Japanese universities and institutes and their overseas colleagues, while providing opportunities for young researchers to hone their skills. These programs are carried out in cooperation with overseas science-promotion organizations so as to respond to the global development of scientific research activities.

JSPS supports Japanese research teams participating in the international joint research program carried out by JSPS and Swiss National Science Foundation (SNSF).

2. Program Outline

(1) Aims

In cooperation with SNSF, this program provides funding for international joint research carried out between excellent researchers in Japanese universities and institutes and their Swiss counterparts. The program supports the implementation of joint research projects on issues difficult to solve by one country alone. In carrying out the joint projects, a synergistic effect is sought by such means as sharing resources and research facilities. One of its purposes is to provide opportunities for young researchers to participate in international joint research activities.

(2) Targeted research fields

Designing Future Societies (All disciplines)

This relates to the United Nation's seventeen sustainable development goals (SDGs) and the world exhibition 2025 in Osaka. Proposals from all disciplines are eligible. Applications must match the topic.

*Research fields will be chosen for each call through consultation between JSPS and SNSF.

(3) Project period

3 years (Starting date must be set on 1 January, 2023.)

(4) Funding arrangements

Applicants must submit a single joint application to SNSF on behalf of the combined Japanese and Swiss research team, using the application form. Additionally, Swiss researchers submit supplementary documents (including the CVs of all applicants in Switzerland and Japan, JSPS financial form) to SNSF (please see SNSF's call for proposals for details). Each project has two Principal Investigators (PIs), one in Japan and one in the Switzerland. JSPS will fund the Japanese component, while SNSF will fund the Swiss component.

Japan based applicants can request up to JPY 30,000,000 per project for entire project period (3 years) from JSPS. Swiss based applicants can request funds applicable from SNSF.

Project funding by JSPS

Research Expenses: Up to JPY 10,000,000 per fiscal year per project
(Up to JPY 30,000,000 for entire project period)

Project funding by SNSF

Swiss applicants can request funds applicable from SNSF for the Swiss component of the project.

The maximum permissible budget for a project is CHF 250'000.

Flexibility grants and other supplementary measures can be requested during the running time of the projects.

(5) Number of Planned Awards

Up to ten projects

3. Eligibility of Japanese Applicants

Applicants (Principal Investigators) must be researchers affiliated with 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*)*, 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. As the Principal Investigator (PI) is overall responsible for and plays a vital role in carrying out the project plan, care should be taken not to appoint a person to the position who might lose his/her PI eligibility or otherwise be unable to perform the PI's duties during the full period of the project's implementation.

* Institutions specified as eligible in Article 2 of the procedures on handling of Grants-in-Aid for Scientific Research:

- 1) Universities and interuniversity research institutions
- 2) MEXT-affiliated institutions engaged in research
- 3) Colleges of technology
- 4) Institutions designated by the Minister of MEXT

4. Eligibility of the Project Members

(1) Eligibility of the Japanese Participants

The Japanese PI may organize a research team with researchers who are conducting research at a university or research institution in Japan (limited as a rule to the institutions specified in 3.1) through 3.4) above). On the Japan side, the participants in international joint research teams may include doctoral and master's students who are sufficiently capable and experienced to carry out the research and emeritus professors. However, undergraduate students are not eligible to participate.

(2) Eligibility of the Swiss PI and Participants

Applicants to be funded by the SNSF are required to fulfil the eligibility requirements of SNSF Research Grants. For more information see the corresponding guidelines of SNSF.

5. Financial Support

(1) Expenses supported by JSPS

Research Expenses: Cost of goods, domestic travel expenses, international travel expenses, salary, others

* JSPS covers these costs for the Japanese teams. (SNSF covers the costs for the Swiss teams.)

(2) Project funding

a) JSPS consigns the administration of projects to the Japanese PI's affiliated institution.

b) The issuing and use of project funding is done on a per-fiscal-year basis.

* For details on the handling of funds, please see Appendix 1 (in Japanese).

6. Application Procedure

The PIs on both the Japanese and Swiss sides must submit a single joint application to SNSF (please see SNSF's call for proposals for details. Applications will not be accepted unless both Japanese and Swiss PIs have completed the required procedures and submitted the prescribed documents. Japanese researchers only need to submit basic information to JSPS via JSPS's Online Application System (hereafter referred to as "online application system"). Applications to SNSF must be in English and will be shared with JSPS. All Swiss applicants should check their eligibility before applying (see 4 (2)). Potential Swiss applicants are invited to contact SNSF (contacts listed at the bottom of this page) to clarify their eligibility.

As a step in the direction of an official Lead Agency Agreement, peer review/screening for this programme is carried out solely by the SNSF. Both agencies support the selected projects.

The application procedure is as follows.

(1) Application to JSPS

Japanese PIs are to submit the basic information using the online application system.

The Japanese and Swiss researchers are to cooperate in preparing the research plan. Japanese PIs do not need to submit application documents such as research plans to JSPS, but some documents required by SNSF must be submitted through Swiss PIs.

a) Online application system

For details, please see https://www-shinsei.jps.go.jp/topkokusai/top_kokusai.html. (*In Japanese)

If Japanese PIs have already obtained an applicant ID for JSPS's International Collaboration Programs at their current institution, they do not need to obtain another ID or password. If they have transferred to another institution, they should ask the new institution to issue them an ID and password.

b) Instructions on using the online application system (only for Japan-based applicants coordinating the proposal submission)

Document and panel reviews in this project will be conducted by the SNSF, but JSPS's International Program Committee will approve the final decision after the panel review is completed. For regarding the decision (selection) process by JSPS's International Program Committee, please refer to the Review Section Table for JSPS's International Collaboration Programs. The applicant should choose the basic section code, document and panel review sections from The Review Section Table under which you wish your application to be screened. When selecting a basic section code that corresponds to multiple document and panel review sections, please select one document review section and one panel review section. For details, please see the following website.

[URL] https://www.jps.go.jp/english/e-bottom/review_set.html

(2) Application to SNSF

Applicants from Switzerland are to submit their proposals (including scientific CVs of all applicants in Japan and Switzerland as well as the JSPS Financial Form) through SNSF's electronic proposal processing system (mySNF). After logging in, the correct funding instrument must be chosen (Programmes (national and international) > Bilateral Cooperation (Initiative of the State Secretary for Education, Research and Innovation) > Strategic Japanese-Swiss Science and Technology Programme (SJSSTP)).

[Please refer to the SNSF's call for proposals for further information](#)

(3) JSPS Financial Form

Japanese PIs must prepare a JSPS Financial Form to include a summary of the appropriateness and necessity of the expenses in English. The form can be downloaded from the JSPS website. The Japanese PI must share the form with the Swiss PI so that Swiss PI can submit the form to SNSF.

[URL] https://www.jps.go.jp/j-bottom/02_g_sinsei.html

(4) Deadline for Submission

5 p.m., Thursday, 30 June, 2022 (JST)

- * Please note that the applicant's affiliated institution may set an earlier deadline.
- * Under no circumstances will JSPS accept applications submitted after the deadline.
- * Once an application is submitted, you will not be able to revise and resubmit it within this call.
- * SNSF deadline: 5.p.m., Thursday, 30 June 2022 (CET)

7. Other Instructions

- (1) When applying, the Japanese PI should refer to SNSF's application information and submit a joint application with the Swiss PI.

<SNSF website>

[URL] https://www.snf.ch/media/de/SYggU4s6WqR32yK8/Call_document_SNSF-JSPS-2022.pdf

- (2) As one aim of this program is to foster a variety of human resources capable of playing active international roles, it is desirable to allow young researchers active participation in projects.
- (3) Under JSPS's International Collaboration 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 2 "Table, Overlapping Program Restrictions."
No restriction is placed on duplicate application or duplicate grant receipt in parallel with *KAKENHI* Grand-in-Aid.
After submitting an application, no information or details may be changed during the screening period.
- (4) After project funding ends, a post-project evaluation will be conducted by JSPS's International Program Committee.

8. Screening Criteria for Review

SNSF conducts the review. The following criteria are used in the selection process:

- Scientific relevance
- Originality of the aims and objectives
- Appropriateness of the methodology and feasibility
- Track record and expertise of the researchers
- Complementarity of the research partners

9. Selection Procedure

- (1) The screening process is conducted in two stages: a document review (peer review) and a panel review carried out by SNSF.
- (2) JSPS will notify the head of the Japanese PIs' institutions of its screening results in December 2022.
- (3) Non-selected projects are ranked generally in the below ABC order. They are disclose it to Japanese PIs via JSPS online application system.
 - A: Non-selected upper level
 - B: Non-selected middle level

C: Non-selected lower level

10. Post-selection Funding Request to JSPS

JSPS will notify the head of Japanese PIs' affiliated institutions of the procedures for implementing projects. Following them, Japanese PIs should submit the necessary documents including their implementation plan by the prescribed due date.

JSPS will allocate funding for the first fiscal year of projects based on these documents and/or its budgetary condition, and will conclude a multiyear consignment contract with the Japanese PI's institution. (There may be cases when a project does not receive the maximum amount of funding requested based on an assessment of its research plan and/or JSPS's budgetary limitations.)

JSPS will set the amount of project funding on a fiscal year by fiscal year basis.

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 Japanese PI is affiliated.
- (2) PIs must submit a report by the prescribed due date, which will be given public access, according to JSPS's instructions.
- (3) Japanese PIs and project participants are to proactively publish and report the results of their research under this program on websites and in academic journals. Proper acknowledgement of JSPS's support should be made when publishing results.

12. Measures against Misuse of Research Funds (including specific research misconduct), Obligation to Do Research Ethics and Governance Education Coursework, and the 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), violation of laws, or serious falsehoods in application documents.
Please refer to Appendix 3, "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 surveys on the condition of the institutions' systems based on the Guidelines for Responding to Misconduct in Research, and when it finds deficiencies to exist it may take measures such as cancelling all of the indirect funds within the competitive funding allocated to the institution.

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 2022, a new checklist does not need to be submitted. However, during the period for receiving research funding for FY2023 and ensuing years, the checklist for the previous fiscal year must 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/1420301_00001.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.

[URL] <https://www.e-rad.go.jp/organ/index.html> (*In Japanese)

c) Measures taken with regard to misconduct in 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 acts of 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. The institution may also be excluded from entering a contract in the next fiscal year.

(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” (In effect from 6 December 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. Additionally under this program, the participation of a researcher who engaged in specific research misconduct in the current fiscal year is subject to restrictions.

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 with regard to applying for or participating in competitive-grant funded or operational-budget funded activities
Researchers whose eligibility has been suspended for applying to the following fund systems* or participating in their research projects due to having been involved in specific research misconduct, will also be subject to suspension from receiving this program's funds for the duration of the penalties set by those systems.

* 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. The information is also shared with SNSF.

These Guidelines require research institutions to report their investigation results speedily when misconduct is determined to have been committed. Accordingly, research institutions are expected to carry out this process expediently.

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

- (3) Obligation to do coursework in research ethics education and governance education
To preclude research misconduct, researchers participating in research activities under this program are required to do coursework in research ethics education and governance education before their joint research projects start. The coursework on research ethics education is mandated by the "Guidelines for Responding to Misconduct in Research" and on governance education by the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions." After being selected for a project, the PI's research institution is, as part of the agreement process, to have all of the researchers participating in its project take courses in research ethics education and governance education and submit a document confirming that they completed the courses and fully understand their contents.
- (4) Handling of personal information
Personal information provided by applicants is to 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 this program. The information included in the application documents is to be provided to the SNSF.

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

13. Others

- (1) JSPS does not support any research project related to military affairs.
- (2) JSPS bears no responsibility for any injury, sickness or accident incurred during the project implementation period.
- (3) PIs on both sides are obligated to ensure the protection and proper distribution of intellectual property resulting from projects, in accordance with the laws and regulations of their countries. It is requested that the Japanese PI’s home institution set rules on the attribution of intellectual property.
- (4) 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 this 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&T policy and compiling statistics, participants in this program are encouraged to register in researchmap.
- (5) 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 be 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 (after May 1, 2022, it includes residents of a specific type) 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]

<https://www.meti.go.jp/policy/anpo/> (*In Japanese)

https://www.meti.go.jp/policy/anpo/seminer/shiryo/handbook_e.pdf

<https://www.cistec.or.jp/english/index.html>

https://www.meti.go.jp/policy/anpo/law_document/tutatu/t07sonota/t07sonota_jishukanri03_eng.pdf

(6) Promotion of "Open Access" to the research papers supported by this grant

JSPS endorses a general policy of promoting open access to publications of research results funded by public grants including Grants-in-Aid for Scientific Research (*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 a research institution.

Please note that the SNSF requires grantees to make the results of SNSF-funded projects available in an open access publication or database. Researchers can apply for grants to cover OA publishing costs.

The open access implementation policy of JSPS is described on the following webpage:

[URL] https://www.jps.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 three main ways of implementing open access:

- 1) Giving open access to an article published in a conventional subscription fee type academic journal after a certain period (Embargo) (*1) (for example, 6 months later) by opening the final manuscript in an Institutional Repository (*2) established by the research institution to which the author belongs, or by opening the final manuscript in a website etc. established by the researchers (self-archiving) (*3).
- 2) Giving the article open access by posting it on a website established by the research community or public institution.
- 3) Giving the article open access immediately by the author paying the publication fee (APC: Article Processing Charge) for the article

*1 “Embargo”

The predetermined period from the time an article is published in an academic journal to the time it is released so that it can be posted in an online open-access archiving system (repository).

*2 Institutional Repository

Online archiving systems are created by universities or research institutions for the purpose of storing and disseminating their intellectual products. By enabling researchers to register their articles, institutional repositories play an important role in academic information distribution. While helping to transform the system for distributing academic information, they allow research institutions to disseminate their research and education achievements, to PR both themselves and the researchers, to exercise accountability to society with regard to their research and education activities, and to preserve over long terms their intellectual products.

*3 Self-archiving

“Self-archiving” refers to the publishing of articles in academic journals, dissertations, or data posted online by other than the publisher, (by researchers or their affiliated research institutions), generally stored in institutional repositories.

(7) Registration on JSPS-Net

The JSPS Researchers Network (JSPS-Net) is a social networking service oriented to researchers who have participated in JSPS programs. It networks researchers who are carrying out activities across national borders and supports the creation of researcher communities. JSPS-Net assists each registered researcher in carrying out their activities on a world stage. By linking up researchers working in the same field and cross different fields, researchers working in the same or in different regions, and connecting them with people who are interested in their research or desirous to support it, JSPS-Net establishes communities and by promoting networking spawns future international exchange while advancing international joint research. As JSPS-Net also provides a service for matching Japanese researchers who wish to host a young researchers or overseas researcher with such researchers looking for a host, participants in this program are encouraged to register in JSPS-Net.

[URL] <https://www-jsps-net.jsps.go.jp/>

14. Contact Information

(1) JSPS Contact Information:

International Research Cooperation Division II
International Program Department
Japan Society for the Promotion of Science (JSPS)
Tel. +81 (0)3-3263-1724/1918
Fax. +81 (0)3-3234-3700
Email. bottom-up@jps.go.jp

(2) SNSF Contact Information:

Isabelle Fellner
International Co-operation division Wildhainweg 3,
P.O. Box CH-3001 Berne
Website: <http://www.snsf.ch>
E-mail: international@snf.ch or isabelle.fellner@snf.ch
Telephone: +41 (0) 31 308 24 49

国際共同研究事業 経費の取扱いについて

独立行政法人日本学術振興会 国際事業部 研究協力第二課

1. 事業の実施方法

国際共同研究事業における研究課題の実施に当たっては、日本側研究代表者の所属機関に対して、独立行政法人日本学術振興会（以下「振興会」という。）が業務委託する方法（振興会と所属機関との間で、業務の実施に係る複数年度契約（業務委託契約）を締結）により行います。業務委託契約により支払われた委託費は、委託業務の実施に係る経費（ただし、相手国側参加者にかかる経費は除く）に対してのみ支出できます。

2. 再委託、共同実施について

受託機関が再委託契約に基づき委託業務の一部を第三者に委託する行為である再委託は原則として認められませんが、本事業実施において真にやむを得ない理由があり、かつ、再委託する業務が委託業務の主たる部分に該当しない場合において、事前に振興会の同意を得た上で、受託機関の負担と責任において実施することが可能です。

また、受託機関が第三者との共同研究契約に基づき、委託業務を第三者と共同で実施する共同実施は、事前に振興会の同意を得た上で実施可能です。

受託機関以外の日本側参加者に委託費の一部を配分する必要があるときは、受託機関と当該参加者が所属する機関とが再委託契約又は共同研究契約を締結することにより、委託費を配分可能としています。ただし、真に必要な場合に限りです。

3. 委託費について

委託費は、「研究経費」と「業務委託手数料」で構成されます。募集要項に記載の「支給額」は「研究経費」のみの金額です。共同実施を行う場合は、「一般管理費」を計上可能です。

経費の支出や手続、取得した物品等の管理に当たっては、受託機関の規程等に従ってください。

「研究経費」、「業務委託手数料」及び「一般管理費」の主な用途は以下のとおりです。

(1) 研究経費

経費費目	主な用途
物品費	研究の実施に必要な備品・消耗品を購入するための経費 留意事項 ・ 購入した備品・消耗品の所有権は、所属機関に帰属します。 ・ 支出に際しては納品検査を確実に実施する事務処理体制を整備して、適切に行ってください。
国内旅費	国内・外国出張（研究課題に関する研究遂行、セミナー実施、各種調査、

外国旅費	研究打合せ及び研究成果の発表)のための経費(交通費、日当、宿泊料等)、日本側参加者等の赴任に係る経費(交通費、日当、宿泊料、移転費、扶養親族移転費、旅行雑費等)
人件費・謝金	<p>研究に直接従事する研究者及び専門技術員・研究補助者の人件費、研究への協力(資料整理、実験補助、翻訳・校閲、専門的知識の提供、アンケートの配布・回収・研究資料の収集等)をする者に係る謝金、報酬、賃金、給与、労働者派遣業者への支払いのための経費等</p> <p>留意事項</p> <ul style="list-style-type: none"> ・ 雇用契約の締結においては、受託機関が契約の当事者となってください。雇用に当たっては法令等に基づき適正な手続を行ってください。 ・ 雇用に伴う間接的な経費(社会保険料、厚生年金保険料、雇用保険料等の法定福利費)の支出も可能です。 ・ 委託費と他の経費を組み合わせる場合は、エフォート管理を適切に行ってください。 ・ 日本側代表者の人件費・謝金は支出できません
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※次のものに使用することはできません。

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業務委託手数料は、本事業の実施に係る業務遂行に伴い必要となる経費です。委託業務の実施に伴う事務経費としてのみ使用できます。

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た額)に相当する額とし、研究経費の外額として配分します。実際の使用に当たっては、受託機関の責任の下、公正・適正かつ計画的・効率的に使用してください。

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共同実施を行う場合は、受託機関が共同実施のために負担する研究経費の10%に相当する額を一般管理費として計上可能です。使途や取扱いについては、業務委託手数料に準じます。

(3) 消費税

委託費には、消費税及び地方消費税相当額を含んでいます。

4. 委託費の繰越について

複数年度契約を締結することにより、委託費の翌年度への繰越を可能としています。繰越の対象となるのは、当初予想し得なかったやむを得ない事由により実施計画に変更が生じたもので、かつ、研究目的の達成のために研究経費を繰越して翌年度に実施する必要があるものです。

5. 若手研究者の自発的な研究活動等の実施

「競争的研究費においてプロジェクトの実施のために雇用される若手研究者の自発的な研究活動等に関する実施方針」(令和2年2月12日競争的研究費に関する関係府省連絡会申し合わせ)を本事業にも適用し、委託費により雇用される若手研究者の自発的な研究活動等の実施を可能としています(以下「本制度」という。)

本制度の導入により、各受託機関における必要な手続を経た上で、委託費により雇用されている若手研究者が、本事業の業務に充てるべき勤務時間において自発的な研究活動等を行うことが可能となります。

対象となる若手研究者は、各年度4月1日時点において「40歳未満」又は「博士の学位取得後8年未満」の者であって、研究活動を行うことを職務に含み、日本側研究代表者の所属機関(受託機関)において本事業の課題の実施のために委託費により雇用される者です。

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.

Program A \ Program B		① Bilateral Programs (Joint Research Projects/ Seminars)	② International Joint Research Program	③ Japanese-German Graduate Externship	④ JSPS Core-to-Core Program	⑤ A3 Foresight Program
		New Proposal	New Proposal	New Proposal	New Proposal	New Proposal
①Bilateral Programs (Joint Research Projects/Seminars)	New Proposal	△	○	○	○	○
	Continued	△	○	○	○	○
②International Joint Research Program	New Proposal	○	—	▲	▲	▲
	Continued	○	—	×	×	×
③Japanese-German Graduate Externship	New Proposal	○	▲	—	▲	▲
	Continued	○	×	—	×	×
④JSPS Core-to-Core Program	New Proposal	○	▲	▲	—	▲
	Continued	○	×	×	—	×
⑤A3 Foresight Program	New Proposal	○	▲	▲	▲	—
	Continued	○	×	×	×	—

○: 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.

—: 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)

Revised on March 11, 2022 (Rule No. 6 of 2022)

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 1, 2022)(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; revised December 17, 2021).

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 (Protecting 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 consent.

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 is 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 regulation
 - 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.

Supplementary Provisions (Rule No. 6 of 2022)
This Rules came into force as of March 11, 2022.

Table 1 Measures related to specific misconduct (Appended art. 16 para. 1 item 4)

Subject of Measures		Extent of Misconduct	Period of Funding Stoppage	
Subject of Research Misconduct	1. Particularly malicious individual(s) who, for example, had intention of research misconduct from the very beginning of the research		10 years	
	2. Author(s) of paper(s), etc. related to the research in which research misconduct(s) have been identified (other than(a) above)	Responsible author(s) of the paper(s) in question (corresponding author, lead author or other authors bearing equivalent responsibilities)	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	5 to 7 years
			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	3 to 5 years
		Author(s) of the paper(s) in question other than the responsible author(s) described above		2 to 3 years
	3. Individual(s) involved who are not the authors of the research paper(s) for which research misconduct(s) are identified		2 to 3 years	
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		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	2 to 3 years	
		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	1 to 2 years	

Table 2 Measures related to misuse of funds (Appended art. 16 para. 1 item 4)

Subject of Measures	Level of Funding Misuse		Period of Funding Stoppage
I Researchers who committed improper spending of funding and researchers who conspired in such fraudulent act	1. Misappropriation of research funds for personal gain		10 years
II Researchers who acquired funding by deception or other fraudulent means and researchers who conspired in such acts	2. Other than misappropriation of research funds for personal gain	(1) Cases of major seriousness and maliciousness	5 years
		(2) Cases other than (1) and (3)	2 to 4 years
		(3) Cases of minor seriousness and maliciousness	1 year
III Researchers who acquired funding by deception or other fraudulent means and researchers who conspired in such acts	-		5 years
IV Researchers who were not directly involved in the improper spending of funding, but failed to exercise due care	-		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.

* 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.