

**JSPS A3 Foresight Program  
FY2020 CALL FOR PROPOSALS**

**< IoT with Intelligence >**

**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-foresight/01\\_boshuyoko.html](https://www.jsps.go.jp/j-foresight/01_boshuyoko.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 “FY2020 Call for Proposals” provides the application guidelines on the JSPS side. Please consult with JSPS’s counterpart organizations about the application guidelines in the counterpart countries. (Please refer to “17, Information on China and Korea” for NSFC’s and NRF’s contact information.)**

**1. Program Objective**

The Japan Society for the Promotion of Science (JSPS) carries out the A3 Foresight Program to create world-class research hubs within the Asian region, which by advancing world-class research will contribute to the solution of common regional problems, while fostering new generations of talented young researchers. With A3 research/education institutions at their core, these hubs carry out highly effective combinations of joint research activities, seminars and researcher exchanges.

After funding under the A3 Foresight Program ends, the core institutions are expected to continue functioning as world-class research hubs within the Asian region.

**2. Implementation Method**

Based on an agreement among JSPS, National Natural Science Foundation of China (NSFC), and National Research Foundation of Korea (NRF), the three countries (A3) support this collaborative program under which their researchers carry out joint activities.

**3. Targeted Research Fields**

The research area to be covered in this fiscal year is “IoT with Intelligence”. (Subsequent fields will be chosen through consultation among JSPS, NSFC and NRF.)

#### 4. Eligibility

Japan-China-Korea trilateral collaborations

#### 5. Eligibility of Japanese Applicants

(1) Japanese universities and research institutions eligible to apply for this program as a core institution are those specified in Article 2 of the Procedure for the Handling of Grants-in-Aid for Scientific Research (*Kakenhi*), issued by the Ministry of Education, Culture, Sports, Science and Technology (MEXT). To qualify, an institution or department must possess sufficient research funding, equipment/facilities and human resources, and be capable of programmatically implementing the overall research project as its core institution.

Institutions specified as eligible in the Procedure for the 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

(2) Each core institution, which plays a leading role in conducting research exchange in this project, must have one project principal investigator (PI). As a rule, s/he must be a full-time researcher or a researcher positioned as full time at the core institution. However, a researcher who is not employed full-time may qualify as a PI if his/her affiliated core institution guarantees the implementation of the project including the provision of an appropriate research environment (e.g. laboratory, equipment, personnel). In any case, the PI must be eligible to receive Grants-in-Aid for Scientific Research (*Kakenhi*). As the PI 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 period of the project's implementation.

#### 6. Project Period

Start from August 2020 (Up to 5 years)

<From August 2020 through July 2025 (under FY2020 call)>

#### 7. Project Funding

(1) JSPS provides Japanese core institutions with the following funding: Up to ¥10 million per fiscal year (Total funding: up to ¥50 million over 5 years)

(2) JSPS covers the following major expenses of Japanese core institutions:

- ① International travel expenses

- ② Domestic travel expenses
- ③ Cost of consumable supplies
- ④ Honorariums
- ⑤ Others

(3) Provision Methods, etc.

- ① JSPS consigns the administration of projects to the Japanese core institution.
- ② The provision and use of funds is processed on a single fiscal-year basis.

※Please refer to Appendix 1 “Handling Expenses under JSPS A3 Foresight Program “ for more details.

8. Number of Projects Slated to Start in FY 2020

2 projects

9. Application Procedure at JSPS

(1) Application Documents:

Applicants submit to the head of their institution the below forms ① and ②. The institutions compile and submit the documents along with Form ③ to JSPS. JSPS receives application documents only from the institutions (not directly from individuals). After submitting the paper documents, the forms should be submitted as electronic data by using the file transfer system “proself”. JSPS will provide the more information on the system usage after the applying institutions submit their paper documents.

- ① Application Form A for Project under A3 Foresight Program (Form A: common among 3 countries)  
1 original (A4 size, with pages printed on both sides) and the electronic data.
- ② Application Form B for Project under A3 Foresight Program (Form B: Supplement for Japanese side)  
1 original (A4 size, with pages printed on both sides) and the electronic data.
- ③ Concerning Submission of Application Documents for A3 Foresight FY2020  
1 original (A4 size)

(2) Period for Acceptance:

Monday, 6 January to Friday, 17 January 2020 (no later than 17:30)

※Please note that applicants’ affiliated institutions may set earlier deadlines.

(3) The PIs on the China and Korea sides are to submit Form A (Common among 3 countries) to NSFC and NRF respectively. Please note an application from one country will be invalid if the contents of its Form A are different from the other two countries.

Though the application deadline is the same for all 3 countries, the details of the recruitment and implementation methods are set by each country and may differ. Please confirm the details through the PI in each country.

#### 10. Points to Keep in Mind

(1) Counterpart core institutions should be a university or research institute in China and Korea.

(2) This program supports projects of up to five years carried out through networks of collaborating organizations and researchers in hubs formed among core institutions in the A3 countries.

(3) Please take care so that the content of Form A does not conflict with that of Form B. We will consider Form A to be correct if there are any conflicts.

(4) Researchers eligible to receive JSPS financial support under this program are as follows:

① Researchers employed at a university or research institute (In case of Japan, researchers eligible to apply for MEXT Grants-in-Aid for Scientific Research.)

② Postdoctoral researchers at universities or research institutes

③ Researchers enrolled in a postgraduate course, either master's or doctoral course

Researchers only from A3 countries are eligible to participate in this program. (For detailed rules, researchers on the Chinese and Korean sides, please contact NSFC or NRF.)

(5) In principal, funding provided under this program is for implementing projects among the A3 countries. It is not for supporting travel by Japanese researchers to China/Korea or other countries to conduct only fieldwork or surveys.

(6) 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 organization are exempted.) For information on the approval of projects overlapping program categories, see Appendix 2 "Table, Overlapping Program Restrictions."

Once an application is submitted, the project's representative may not be changed.

(7) Japanese principal investigators who are now or have been supported under any of JSPS's international programs are required to describe those research activities and their relevance to the proposed project.

(8) If the applying institution is receiving or is scheduled to receive from another program's funding that is relevant to the proposed project, it must state so and clearly describe the relationship of that funding to the project.

(9) The application form sent to the reviewer is printed in black and white (grayscale). Please be careful when preparing it so that the contents are not blurred when printed.

#### 11. Screening Criteria in JSPS Reviews

Applications are screened from the following perspectives:

##### (1) Scientific/academic merit

- Degree to which the proposed project is recognized under global standards as being leading-edge and unique in the relevant field.
- Whether there is a clear need and value to implementing the project with the proposed counterpart institutions.
- Degree to which the collaboration between the core institutions in Japan and the counterpart countries can be expected to yield results of sufficiently high academic value to contribute to the establishment of a world-class research hub.
- Degree to which the project will build upon and expand the core institutions' past international research activities and accomplishments.

##### (2) Fostering young researchers

- Whether the project includes a program for honing the skills and expertise of young researchers.

##### (3) Creating an implementation framework on the Japan side

- Plans to build a world-class research hub under the A3 matrix should be strategically placed within the core institution's overall education and research program.
- Japanese core institutions should have in place on an institutional level a system for ensuring the ongoing implementation of the proposed project.
- The project should be capable of enlisting the participation of researchers in Japan who are qualified to build a world-class research hub.
- The project should be capable of continuing its operation as a world-class research hub after funding under this program has ended.

#### (4) Network building with Chinese and Korean core institutions

- The match-up of Japanese and counterpart institutions under the project should be one that holds good promise for sustained research collaboration.
- A clear-cut framework for implementing the project, such as a signed cooperative agreement, should be established between the core institutions.
- The project should have a clear vision of how to build a world-class research hub, and be expected to contribute to the continuous development of collaboration between the core institutions in the future.

#### (5) Appropriateness of research plan

- Whether the plan is sufficiently concrete to achieve the project objectives and its contents are highly attainable.
- Whether the research plan is practicable in terms of its fiscal and operational scope.

#### 12. Selection Procedure

JSPS, NSFC and NRF conduct separate reviews of the applications they receive. Based on these review results, they make joint selections. The results will be sent to the applying institutions in or after July 2020.

#### 13. Post-selection funding request to JSPS

Upon selection, JSPS will inform the applying institutions of the implementation procedures and send them the prescribed forms. Please submit the required documents, including implementation plan and funding request, to JSPS by the specified deadline.

#### 14. Duty of Core Institutions, etc.

(1) Core institutions are to establish a homepage and proactively post information about the project both during and after the funding period. Though JSPS does not participate in negotiations regarding the rights to results yielded through the project's implementation, core institutions are to acknowledge JSPS's support by mentioning the A3 Foresight Program, when announcing the results.

(2) JSPS's International Program Committee carries out an interim evaluation of projects at their 3-year juncture and also conducts a post-project evaluation. Japanese core institutions should provide JSPS with all the information including project reports requested to perform these assessments. The amount of funding for the fiscal years after the interim evaluation will be based on its results.

#### 15. Measures Against Misuse of Research Funds and Handling of Personal Information, etc.

(1) JSPS will take appropriate measures (e.g. terminate project/seminar, require reimbursement of part or all of allocated funds) in cases of misuse of research funds, improper practices (e.g. fabrication, falsification, plagiarism), unjustifiable acts (e.g. discrimination, harassment), or violation of laws. Please refer to Appendix 3 “Rules for Responding to Misconduct and Misuse of Funds in Research Activities” for more details.

(2) Researchers participating in research activities (excluding Seminars) under this program are obligated to complete before the activity starts a research ethics education course so as to prevent research misconduct.

(3) 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 JSPS programs.

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

When conducting research projects that include researchers residing the EU’s European Economic Zone, agreement must be obtained from said researchers to handle their personal information in accordance with the General Data Protection Regulation (GDPR).

[https://ec.europa.eu/info/law/law-topic/data-protection\\_en](https://ec.europa.eu/info/law/law-topic/data-protection_en)

## 16. Others

(1) JSPS does not support research with military objectives.

(2) JSPS does not bear responsibility for any accident, sickness or other such incident that may occur over the period of the project’s implementation.

(3) Along with the development of information communication technology (ICT) over recent years, scientific journals are using the Internet to provide free access to research papers. This “open access” trend is proliferating rapidly across the globe. Many public grant institutions are either promoting or requiring open access for the results of research projects they fund. Researchers who author papers under the A3 Foresight Program are, within the degree possible, asked to proactively give open access to their published papers.

## (2) Security Trade 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, 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 controls (\*) are carried out under the Foreign Exchange and Foreign Trade Act (Act No. 228 of 1949) (hereinafter referred to as "Foreign Exchange Law"). Therefore, in principle, in order to export (provide) cargo and technology regulated by the Foreign Exchange Law, it is necessary to first obtain permission of 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 imposed, the allocation of project funding may be cancelled or the decision to allocate funding withdrawn.

(\*) Japan's Security Export Control System, established on the basis of international agreements, mainly consists of two components. ① "List rules" which require METI permission in principle when exporting cargo or providing technology that carry specifications and/or functions higher than certain levels, such as carbon fiber and numerically controlled machine tool (etc.), and ② "Catch-all regulation" which requires METI permission when exporting cargo or providing technology that are not subject to regulation under the List rules but do fall under certain regulatory requirements (application requirements, consumer requirements and/or informed requirements).

Not only export of cargo but also provision of technology is subject to regulation under the Foreign Exchange Law. When providing a "List rules" technology to nonresidents or providing it in a foreign country, prior permission for such provision is required. "Provision of technology" includes not only providing technical information such as design drawings, specifications, manuals, samples, and prototypes via storage media such as paper, mail, CD, USB memory, but also providing work knowledge and technical assistance at seminars through technical instruction, skill training (etc.). Researchers should be aware that there may be cases in which technologies subject to regulation under the Foreign Exchange Law are involved when mentoring foreign students and/or conducting joint research activities with overseas groups.



Detailed information on security export control is posted on the METI website.

· Ministry of Economy, Trade and Industry: Security Export Control

<https://www.meti.go.jp/policy/anpo/englishpage.html>

· Center for Information on Security Trade Controls

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

#### 17. Information on China and Korea

China: NSFC's contact information:

Division of Asia, Africa and International Organization

Bureau of International Cooperation (国際合作局亜非処)

National Natural Science Foundation of China: NSFC

(Add) 83, Shuangqing-lu, Haidian-qu, Beijing, 100085, CHINA

(Tel) +86 (0)10 6232 6998

(Fax) +86 (0)10 6232 7004

Korea: NRF's contact information:

Global Exchange Program Team

Directorate for International Affairs

National Research Foundation of Korea (NRF)

(Add) 25, Heolleungno, Seocho-gu, Seoul, 137-748, KOREA

(Tel) +82 (0)2-3460-5612

(Fax) +82 (0)2-3460-5709

#### 18. JSPS contact information

Japan Society for the Promotion of Science (JSPS)

<Address> 5-3-1 Kojimachi, Chiyoda-ku, Tokyo 102-0083 Japan

<E-mail> [foresight@jsps.go.jp](mailto:foresight@jsps.go.jp)

<TEL> +81 (0)3-3263-1826

<URL> <http://www.jsps.go.jp/english/e-foresight/index.html>

## Handling Expenses under JSPS A3 Foresight Program

## 1. Implementation Method

Under the A3 Foresight Program, JSPS entrusts research projects to the Japanese PIs' affiliated core institutions, and concludes a consignment contract with the institutions.

## 2. Handling Expenses Incurred in Implementing the A3 Foresight Program

## 1) Preamble

In implementing this program, the cost burden is mutually shared among JSPS, NSFC and NRF, with each agency providing equal funds to cover the expense items. (For more information, please see the tables "Cost-sharing with Counterpart Countries" below.)

When expending funds, please be sure to do so within the parameters and rules provided in Section 2), "Use of Funds," below.

## 2) Use of Funds

The grant disbursed to the core institutions comprises "networking (research) funds" and a "consignment (administrative) fee." "Total funding" in the Call for Proposals is only the "networking funds."

## (1) Networking Funds

- ① Travel costs: Charged to the expense items "International Travel," and "Domestic Travel" on Form A: They include international and domestic travel (for research, holding seminars, collecting documents, meetings to present research and results, etc.) for members on the Japanese side (transportation and lodging costs and per diem), and domestic travel (living expenses and domestic travel costs in Japan) for members on the China and Korean side.
- ② Consumable supplies: Costs are charged to "Seminars and Meetings" (as one of their expenses), "Equipment" and "Materials" on Form A:  
This includes the cost of purchasing goods and supplies.
- ③ Honorariums: This cost is charged to "Seminars and Meetings" (as one of their expenses) and "Others" on Form A:  
This includes remuneration to persons cooperating in the project's research and seminars (compiling materials, assisting in experiments, doing translations/reviews, providing expertise, distributing/retrieving questionnaires, collecting research documents, etc.)

④ Others: Charged to “Seminars and Meetings” and “Others” on Form A:

This includes costs for implementing projects not included in items ① to ③ (ex. printing, copying, photo developing, communication (stamps, phone), meeting expenses, rental fees (PC, car, experimental equipment, etc.), equipment repair costs, presentation of research results (cost of posting in journals, creating a website.)

⑤ Costs for which These Funds May Not be Applied

- i . Acquiring real estate
- ii . Maintaining the equipment of universities and their overseas offices (Office rental fees, water/utility fees, labor costs, etc.)
- iii . Purchasing capital equipment and office supplies usually provided by the university (Ex. desks, chairs, copy machine, PCs for administrative use, research equipment, etc.)
- iv . Repair costs of equipment/facilities incurred by accidents/disasters during project implementation
- v .Reparation for any accident, sickness or other such incident that occurs during project implementation
- vi . Costs to employ researchers, students and/or administrative staffs
- vii . Expenses with no direct relation to the project

⑥ Limitation on research expenditures

50% or more of the total project funding must be used for “travel.” Regarding lodging, however, if it is judged to be more economical to contract lodging rather than pay per diem to individual researcher, the lodging cost may be charged to other expense items. If this will result in the “travel” expenses falling below 50%, JSPS should be consulted in advance.

(2) Consignment Fee

This is to cover administrative costs incurred in implementing a project. This fee is 10% of the “networking funds” and is allocated separately from them. Please use it strategically and efficiently under the responsibility of the head of each institution.

(3) Consumption Tax

An amount equivalent to the national and local consumption taxes is included in the “networking funds.”

Basic rules of cost-sharing with counterpart countries

Under this program, the cost burden is mutually shared among JSPS, NSFC and NRF, with equal amount of funds provided by each agency to cover the expense items. The cost sharing method can be chosen by agreement between the PIs of the three countries from the following two patterns.

(1) Travel and Maintenance

Please choose [Pattern1] or [Pattern2] from the below.

[Pattern 1]

The sending side covers the cost of overseas travel, living expenses (accommodations, meals and municipal transportation) and domestic travel in the counterpart country.

[Pattern 2]

The sending side covers the cost of overseas travel to the nearest airport of the destination; the receiving side covers living expenses (accommodations, meals and municipal transportation) and the domestic travel cost.

(2) Seminars

- Seminars may be held in Japan, China and Korea, not in other countries.
- The cost of holding a seminar is to be covered by the host country.

(3) Exchange between China and Korea

JSPS does not cover the cost of exchange between Chinese and Korean researchers.

Cost-sharing with China and Korea

[Pattern 1]

Institution		JSPS	Counterpart Agency
Cost Items			
Japan-side researchers	International airfare	○	X
	Maintenance in counterpart country	○	X
	Travel expenses within Japan	○	X
	Research grant	○	X
Other-side researchers	International airfare	X	○
	Maintenance in Japan	X	○
	Travel expenses in home country	X	○
	Research grant	X	○
Cost for holding seminars in Japan		○	X
Cost for holding seminars in counterpart country		X	○
Research equipment costs at core institution		X	X

[Pattern 2]

Institution		JSPS	Counterpart Agency
Cost Items			
Japan-side researchers	International airfare	○	X
	Maintenance in counterpart country	X	○
	Travel expenses within Japan	○	X
	Research grant	○	X
Other-side researchers	International airfare	X	○
	Maintenance in Japan	○	X
	Travel expenses in home country	X	○
	Research grant	X	○
Cost for holding seminars in Japan		○	X
Cost for holding seminars in counterpart country		X	○
Research equipment costs at core institution		X	X

## 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	○	×	×	×	—
⑥Program for Fostering Globally Talented Researchers	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.

■: 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 (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 disbursement 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.



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.