

**JSPS International Joint Research Program
JSPS-NSF Partnerships for International Research and Education (PIRE)
FY2017 CALL FOR PROPOSALS**

Notes:

- (1) This "FY2017 Call for Proposals" is an English translation of the official announcement in Japanese. Applicants should observe [the accompanying Japanese Application Guidelines](#).
- (2) This "FY2017 Call for Proposal" provides the application guidelines on the JSPS side. Please consult with NSF about the application guidelines for the US side.

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.

A call is issued for applications under the Partnerships for International Research and Education (PIRE Program) carried out jointly by JSPS and National Science Foundation (NSF).

1. Program Outline

(1) Aims

In cooperation with NSF, this program provides funding for international joint research carried out between excellent researchers in Japanese universities and institutes and their US 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

All fields of the humanities, social sciences and natural sciences (fields mutually selected by JSPS and NSF)

(3) Project period

5 years (Starting date must be before early March 2018)

(4) Project funding by JSPS

Up to JPY ¥10 million per fiscal year (Up to JPY ¥50 million for entire project period)

(5) Number of Projects slated to start in FY2017

1-4 project(s)

3. Eligibility of Japanese applicants

The applicant must, in principle, be a researcher who is employed full-time at a university or research institution as 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). (Full-time employment is defined by each institution.)

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

Institutions specified as eligible in the Procedure for Handling of Grants-in-Aid for Scientific Research:

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

4. Financial Terms

(1) Expenses support by JSPS

Research Expenses: Equipment costs, domestic travel expenses (transportation, living allowances), international travel expenses (airfare, per diem), salary, others

* JSPS covers these costs for the Japanese teams. (NSF covers the costs for the US teams.)

* Researchers eligible to receive JSPS financial support under this program are as follows:

Researchers conducting research at the above-listed Japanese research institutions. (including postdoctoral researchers and students in doctoral and master courses who are sufficiently capable and experienced to carry out the subject research.)

Consignment fee to host institutions: Up to 10% of the project's research budget (excluding the above "Research Expenses").

(2) Project funding

- 1) JSPS consigns the administration of projects to the Japanese PI's affiliated institution.
- 2) The issuing and use of project funding is to be done a per-fiscal-year basis.

5. Application Procedure

This program has a two-step screening process. To JSPS, applications are submitted using the JSPS on-line application system.

(1) 'Preliminary Proposals': A preliminary screening process is conducted only on the NSF side, so Japanese Principal Investigators (PIs) need not submit a 'Preliminary Proposal' to JSPS. The closing date for accepting preliminary proposals at NSF is 14 September 2016.

Japanese researchers who wish to apply for this program are to contact their counterpart US researchers to make sure that they submit their preliminary proposals to NSF. Only the proposals that pass NSF's preliminary screening may be submitted to both JSPS and NSF as 'Full Proposals'. (Please refer to the 'Full Proposals' section below.) NSF will inform the US teams of their preliminary screening results. The Japanese teams may ask their counterpart US teams for their results. JSPS will only inform the Japanese teams if their counterpart passed the preliminary screening at NSF.

(2) 'Full Proposals': Japanese PIs whose counterpart US PIs' preliminary proposals are accepted by NSF are to submit their full proposals to JSPS. Please follow the instructions below.

Although application forms for the full proposals differ in format between NSF and JSPS, the contents of the two proposals submitted to NSF and JSPS by the research groups must be the same. If the contents of the two proposals are found to differ, the screening or selection of the

project may be cancelled.

1) On-line application system

JSPS receives applications via its on-line application system. For details, please refer to http://www.shinsei.jps.go.jp/topkokusai/top_kokusai.html (Posted only in Japanese.)

Institutions that have already received an institutional ID for JSPS international programs do not need to reapply for this program.

2) Instructions for on-line application system

Screening is conducted in eight fields, not including the combined or interdisciplinary field, in the list of subject codes.* Please note that researchers whose research is in a combined or interdisciplinary field should select one of the 8 fields in which they would like their proposal to be screened.

*Please refer to <http://www.shinsei.jps.go.jp/bunkasaimoku-b/> (Posted only in Japanese.)

3) Period for accepting applications

From 3 April 2017 through 24 April 2017

* Please note that the applicant's affiliated institution may set an earlier deadline.

* The deadline for NSF applications is the same date. Please inquire to NSF regarding the first date of the application period.

4) Supplementary document

Japanese PIs are to submit the following supplementary document to JSPS:

- A full version of the American PI's application (full proposal) to NSF

6. Other instructions

- (1) When applying, PIs on the Japanese side should reference NSF's application information.

NSF website:

http://www.nsf.gov/funding/pgm_summ.jsp?pims_id=505038&org=NSF&sel_org=NSF&from=fund

- (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 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. (Such researchers are those responsible for implementing an already-selected project as its research representative, coordinator, or chief seminar organizers, or researchers with similar capacities. However, the heads of institutions and/or departments who represent the implementing organization are exempted.) For information on the approval of projects that overlap program categories, see Appendix 2 "Table, Overlapping Program Restrictions." The restriction on projects overlapping programs is not meant to limit application by researchers who are already representing another JSPS project or who are in the process of applying for one. In the case of projects that overlap program categories, the representative must choose one or the other: An existing project will be terminated if its representative changes because s/he was selected for a new project. This should be borne in mind by those who are or will become the representative of a project under another program category. Once an application is

submitted, the project's representative may not be changed.

- (4) Note that researchers selected as PIs (or equivalent) for projects under the Japan Science and Technology Agency's Strategic Basic Research Program who receive added PIRE funding from JST are not eligible to be PIs under this program.
- (5) Researchers who are currently, or have been, supported under any of JSPS's international programs in the past 5 years are required to describe the results or expected results of that research activity and, if any, its relevance to the project/seminar being applied for.

7. Screening criteria for JSPS review

The following criteria are utilized in selection process:

- Scientific excellence of projects
- Necessity of cooperation with the United States, added value gained, and mutual research advancement through transfer of knowledge and expertise
- Impact of outcomes on improving the quality of life, contributing to socioeconomic development, and/or solving prevailing social issues
- Participation of young researchers and contribution to fostering them
- Feasibility and concreteness of the research plan and expectation of its advancing the research

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

- Description within detailed research plan for achieving the project objectives
- Appropriateness of the budget plan

Japanese researchers should check NSF's application guidelines to learn about its screening criteria.

8. Selection Procedure

1) At JSPS, the screening process is conducted in two stages: A document review by referees and a panel review to determine which proposals to refer to NSF. JSPS and NSF then make the final selections jointly. JSPS notifies the results to the head of the Japanese applicants' institutions in August 2017.

2) Projects that are not selected will receive the following evaluation results:

Declined A: Higher scores among the declined projects

Declined B: Average scores among the declined projects

Declined C: Lower scores among the declined projects

3) Results can also be obtained using JSPS's on-line application system.

9. Post-selection Funding Request to JSPS

Upon selection, Japanese principal investigators must submit an implementation plan and funding request using the prescribed form through the head of their research institutions. JSPS will make funding allocations based on these documents and/or its budgetary condition each fiscal year. (There may be cases when a project does not receive the maximum amount of funding based on an assessment of its research plan and/or JSPS's budgetary limitations.)

10. Obligation of Japanese PIs and Their Affiliated Institutions

- (1) Project funds allocated by JSPS are to be administered by the institution with which JSPS has concluded an agreement and to which the 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) Due acknowledgement of support by JSPS and the counterpart organization(s) should be made in any publication resulting from projects or seminars carried out under this program.
- (4) An interim evaluation of projects (5-year projects) is conducted at their 3-year juncture. After project funding ends, a post-project evaluation will be conducted by JSPS's International Program Committee. The results of the interim evaluation may be reflected in the ensuing years' funding allocations.

11. Others

- (1) JSPS does not support any research project related to military affairs.
- (2) JSPS will not bear responsibility for any injury, sickness or accident incurred during travel related to the projects/seminars.
- (3) PIs on both sides are obligated to ensure the protection and proper distribution of intellectual property resulting from projects/seminars in accordance with the laws and regulations of their countries. The PI's affiliated institution is to establish rules in advance regarding the jurisdiction of intellectual property rights.
- (4) Handling of personal information
Personal information provided by applicants will be handled according to the "Act for the Protection of Personal Information Retained by Independent Administrative Institutions" and JSPS's "Personal Information Protection Policy," and be used solely for the purpose of implementing the program.

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

- (5) Researchers are asked to make a positive effort to carry out their activities in a manner that makes their content and results easy to understand and explain.

12. Contact information

- (1) JSPS Contact Information:
International Policy Planning Division
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@jsps.go.jp
- (2) NSF Contact Information:
National Science Foundation (NSF)
Tel: +1 (0)703-292-7250 / 2464
Email: PIRE-info@nsf.gov

13. Other Points to Bear in Mind

(1) Supporting diverse career paths for young postdoctoral researchers

When a project is selected under an open recruitment, direct funding may be used to hire young postdoctoral researchers. In this case, a positive effort should be made to secure and advance their respective career paths.

(2) 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, improper practices (e.g. fabrication, falsification, plagiarism), unjustifiable acts (e.g. discrimination, harassment), or violation of laws.

Please refer to the attached document* regarding appropriate use of competitive funds.

(*Japanese only)

(3) Measures against misconduct in research activities

The following measures will be taken if acts of misconduct (fabrication, falsification, plagiarism) are found to occur in research activities conducted under this program:

(i) Cancel or alter agreements with host institutions and/or require them to reimburse part or all of their consignment fees

(ii) Place project application and participation restrictions on perpetrating researchers

Subject of Measures		Degree of Research Misconduct	Restricted from applying for grants (from the fiscal year following the year that the misconduct was confirmed*)
Persons involved in fraudulent acts	(a) Particularly malicious persons in cases where, for example, the person intends to commit research misconduct from the start of his/her research		10 years
	(b) Authors of papers, etc. related to research in which research misconduct has been committed (excluding (a) above)	Authors and others responsible for such papers, etc. (e.g., chief editors, lead authors or persons found to bear responsibility equal to these persons)	Cases where it is judged that the impact of the misconduct on research progress in the subject field is large, the social impact is major, and/or the level of maliciousness involved is high 5 to 7 years
			Cases where it is judged that the impact of the misconduct on research progress in the subject field is small the social impact is minor and/or the level of maliciousness involved is low 3 to 5 years
		Authors other than those noted above	2 to 3 years
	(c) Persons who participated in the research misconduct other than those in (a) or (b)		2 to 3 years
Authors and others responsible for the papers, etc. (e.g., chief editors, lead authors, and/or persons found to bear responsibility equal to these persons) who were related to the research in which the research misconduct was committed, but who were not directly involved in the misconduct		Cases where it is judged that the impact of the misconduct on research progress in the subject field is large, the social impact is major, and/or the level of maliciousness involved is high	2 to 3 years
		Cases where it is judged that the impact of the misconduct on research progress in the subject field is small the social impact is minor and/or the level of maliciousness involved is low	1 to 2 years

*However, grant application and grant-project participation will be suspended for the rest of the fiscal year that the misconduct was confirmed.

(iii) Restrict application and participation in this program of researchers who are restricted from applying or participating in other programs financed through competitive funding systems or basic government funding.

(iv) Act of misconduct and names of perpetrators made public by MEXT

(4) Concerning the promotion open access of papers written on research supported by this program

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. Accordingly, researchers are asked whenever possible to advance the open access of papers written on research supported under this program.

【Reference 1: What is ‘Open Access’】

In the case of articles in peer-reviewed open-access format, it is defined as: “free availability on the public Internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, parse them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers” ‘BOAI; Budapest Open Access Initiative (2002)

【Reference 2: Implementation of Open Access】

There are 3 main ways to implement open access (①~③ below)

- ① In the case of articles published in conventional subscription-based academic journals, after a set period of time (embargo*), for example 6 months, the author can, after receiving the publisher’s permission, publish the article on the website of the research institute that the author belongs to (institutional repository**) or publish the latest manuscript on the researcher’s own website (self-archiving***), and thus give the article open access.
- ② The article’s author can bear the cost of the Article Processing Charge (APC) and make the article available in open access.
- ③ Others (publication of an article on the website of a research community or a public organization and thus make it available in open access format)

* “Embargo”

The period from publication of an article in an academic journal until it can be published in its entirety on an online archiving system (repository).

** Institutional Repository

An online archiving system created by a university or research institution for the use of conserving and transmitting intellectual products. Together with reforming the distribution system of academic information by having the researchers publish their own articles, these repositories fulfill important roles, such as the transmission of research and education achievements of the research institution, PR for both the research institution and the researcher, guaranteeing the accountability of research and education activities towards society, and the long-term conservation of intellectual products.

***Self-archiving

The publishing online (in general on institutional repositories) of articles, dissertations, or data that were previously published in academic journals by those other than the publisher (the researcher or research institution) in order to make them available in open access.