

JSPS A3 Foresight Program
FY2026 CALL FOR PROPOSALS

< New Horizons in Multimodal Analysis of the Brain >

Notes:

- (1) This “FY2026 Call for Proposals” is an English translation of important points in the official Japanese announcement. Applicants should observe the accompanying Application Guidelines in Japanese (https://www.jsps.go.jp/j-foresight/01_boshuyoko.html). In the event of any discrepancies between this English translation and the original Japanese version of the Call for Proposals, the Japanese version shall prevail.**
- (2) This “FY2026 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 “16. 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, scientific meetings (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 “New Horizons in Multimodal Analysis of the Brain”.

4. Eligible Countries

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 Rules 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, institutions or their departments must possess sufficient research funding, equipment/facilities, and human resources, and be capable of establishing an organizational structure for implementing the overall research project as a core institution.

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

- ① Universities and inter-university research institutes
- ② MEXT facilities and other institutions engaged in scientific research
- ③ Technical colleges
- ④ Institutions designated by MEXT

(2) Core institutions play a leading role in conducting collaborative research exchanges under this program. Each must have one project principal investigator (PI). 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 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 full period of the project's implementation. In addition to the PI, the core institution must have participating researcher(s) as it is the aim of this program to build sustained collaborative relationships among the core institutions.

6. Project Period

Japan and Korea	Start from August 2026 (5 years) <From August 2026 through July 2031>
China	Start from January 2027 (5 years) <From January 2027 through December 2031>

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 expenses of Japanese core institutions:

- ① International travel expenses
- ② Domestic travel expenses
- ③ Cost of goods
- ④ Honorariums/personnel cost*

* Personnel costs are limited to short-term employment expenses associated with temporary work. Continuous employment expenses are not covered.

- 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 2026

2 projects

9. Application Procedure at JSPS

(1) Application Documents:

Applying institutions submit the below forms to JSPS. JSPS receives applications only from institutions (not directly from individuals). The forms should be submitted as electronic data using the file transfer system “Box”. JSPS will provide the information on the use of this system to applying institutions after receiving a request from them by e-mail.

- ① Application Form A for Project under A3 Foresight Program (Form A: Common among 3 countries)
- ② Application Form B for Project under A3 Foresight Program (Form B: Supplement for Japanese side)
- ③ Cover Form (“Concerning Submission of Application Forms for A3 Foresight Program FY2026”)
- ④ Confirmation Form on Research Integrity Information
- ⑤ Confirmation Form on the Export Control System

(2) Application Deadline:

Tuesday, 13 January to Thursday, 12 February 2026 (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 form among all 3 countries) to NSFC and NRF respectively. Please note that all three countries' applications will be invalidated if the content of any country's Form A is not the same as the others. 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 5-year projects carried out through networks of collaborating organizations and researchers among core institutions in the A3 countries. Note that each partner country is required to bear equally the cost of the project. Please refer to Attachment 1 "Handling Expenses under JSPS A3 Foresight Program" for the cost sharing information.

(3) Please take care to be sure 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:

- ① Researchers employed at a university or research institute (In the 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

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

(5) 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. (Such researchers are those responsible for implementing an already-selected

project as its research representative, coordinator, chief seminar organizer or person in 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.

- (9) If the applying institution is receiving or is scheduled to receive funding from another funding program* that is relevant to the proposed project, it must state so and clearly describe the relationship of that funding to the project. Projects that are already receiving funding from another funding program will not be supported in duplicated areas.

* Here, a "funding program" is a program for supporting an organization.

- (8) Your application form will be printed out in black and white (gray scale) and mailed to reviewers. Please be careful so that the contents you create can be clearly seen when printed out.

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 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.

- The Japanese core institution should have in place on an institutional level a system for ensuring the continual implementation of the proposed project.
- The project should be capable of enlisting the participation of an adequate number of researchers in Japan who are qualified to build a world-class research hub. It should also have an effective scheme for mobilizing cooperation from researchers of different institutions in Japan.
- The Japanese core institution should be capable of continuing their operations as a world-class research hub after funding under this program has ended.
- A system should be established for accommodating gender balance in the project or a plan established for achieving it.

(4) Network building with Chinese and Korean core institutions

- The match-up of Japanese and counterpart institutions should hold 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 be expected to contribute to the continuous development of collaboration between the core institutions in the future.

(5) Appropriateness of collaborative research plan

- The project should have a clear vision of how to build a world-class research hub within the Asian region with A3 research/education institutions at its core.
- 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 2026.

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 website and proactively post information about the project both during and after the funding period. Though JSPS does not participate in negotiations over 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 all the information requested by JSPS to perform these evaluations, including project reports to perform these assessments. The amount of funding for the fiscal years after the interim evaluation will be based on its results.

15. Miscellaneous

(1) Disciplinary actions, including revocation of selection

In cases of misuse of research funds, specific research misconduct, including fabrication, falsification, plagiarism, violation of laws, or falsification of application documents, including unauthorized forging of signatures, JSPS will take appropriate actions, including cancelling the screening, revoking the selection, and requiring reimbursement of all or part of the allocated funds.

Please refer to the Rules for Responding to Misconduct and Misuse of Funds in Research Activities (Rule No.19 of 2006) for details regarding actions taken by JSPS against misuse of research funds.

https://www.jsps.go.jp/file/storage/general/english/e-inv/guideline/data/regulation_e.pdf

(2) Legal and regulatory compliance

If the proposed research plan involves any research that requires appropriate procedures based on guidelines or laws, including those of the partner countries or regions where the international collaborative research will be conducted, applicants must describe in the application form the measures and actions they will take to ensure that the research is conducted in accordance with the relevant guidelines and laws. This provision applies to research activities that would require the consent and cooperation of individual research subjects, consideration of the handling of personal information, and efforts to address bioethics and biosafety. Examples include written or oral surveys that involve the handling of personal information; action surveys, including personal histories and videos; national and international cultural heritage surveys; the use of donated samples; research involving invasiveness; human genetic analysis research; genetic recombination experiments; and animal experiments that require approval by information committees, ethics committees, or other bodies within or outside the research institution. Applicants must also provide a detailed description of the status of these procedures.

(3) Pursuit and implementation of research plans involving international joint research

Coordinators who are or have been involved in international collaborative research activities should clearly indicate in their application to this program the relevance of their current or past collaborative research activities to their plans.

If there are restrictions on entry to or departure from partner countries, coordinators should prepare an application that specifically details the researchers' reciprocal travel (to/from Japan) with a clear outlook based on the situation at the time of application.

(4) Safeguarding research integrity against new risks associated with the internationalization and openness of research activities

In order to advance science and technology and generate innovation in Japan, Japan has adopted Open Science as a primary guiding principle and must continue to actively promote international collaborative research with diverse partners. At the same time, new risks associated with the internationalization and open access of research activities in recent years have raised concerns that the fundamental values of the research environment, such as openness and transparency, may be undermined and that researchers may be unwittingly exposed to conflicts of interest and obligations. Under these circumstances, it is essential for Japan to establish an internationally reliable research environment in order to promote the necessary international cooperation and exchange, while protecting the values that form the fundamental basis of the research environment.

Therefore, it is important for universities and research institutions to autonomously ensure the soundness and fairness of research (research integrity) by researchers, universities, and research institutions. To this end, universities and research institutions must develop relevant regulations and management systems, including conflicts of interest and responsibilities, based on the *Policy Directions for Ensuring Research Integrity in Response to New Risks Associated with Increasing Internationalization and Openness of Research Activities* (adopted by the Integrated Innovation Strategy Promotion Council on April 27, 2021).

(5) Security export control (Measures to prevent technology leaks abroad)

●About security export control

Many new cutting-edge technologies are currently being researched in Japanese research institutions, and the internationalization of Japanese universities has increased the number of foreign students and researchers in Japan. Under these circumstances, there is an increasing risk of advanced technologies and equipment or materials used in research being leaked abroad and used in the development and production of weapons of mass destruction (WMD). Therefore, in carrying out research activities, including those contracted out to them, research institutions should take systematic measures to ensure that research results and technologies that could be diverted for

military purposes are not transferred to persons or parties, such as WMD developers or members of terrorist groups, who might carry out proscribed activities.

In Japan, export control (*1) is carried out based on the Foreign Exchange and Foreign Trade Act (Act No. 228, enacted in 1949), hereafter referred to as 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). Japanese laws, regulations and directives, including the requirements of the Foreign Exchange Act, must be complied with at all times. If any of the laws or guidelines are violated in the conduct of research, the allocation of project funding may be cancelled or the decision to allocate funding may be revoked, in addition to legal action and penalties.

(*1) Japan's security export control system is based on international agreements and is implemented mainly through two rules: the List Control and the Catch-all Control. Under the List Control, the export or provision of materials and/or technologies related to carbon fiber, computerized numerically controlled machines or other items or technologies exceeding a certain level of specifications and/or functions generally requires the permission of the Minister of METI. Under the Catch-all Control, if materials and/or technologies that are not subject to the regulations of the List Control are to be exported or provided, and certain regulatory requirements (use, consumer and information requirements) are met, permission must be obtained from the Minister of METI.

Not only goods exports, but also technology provision is subject to the Foreign Exchange Act. Prior approval must be obtained when providing List Controlled technologies to non-residents of Japan, including residents who fall under the special categories (*2), or when providing such technologies outside of Japan. Technology transfer includes not only the provision of technical information such as blueprints, specifications, manuals, samples, and prototypes in paper format, via email, and on media such as CDs, DVDs, and USB flash drives, but also the transfer of working knowledge through technical consulting, skills training, and technical support seminars.

Additionally, activities such as the admission of foreign students and joint research may involve a significant amount of technology exchange that may be subject to the Foreign Exchange Act. It should be noted that the provision of technology obtained through this program as well as technology already owned as a result of the implementation of the program may also be subject to the regulations.

Furthermore, international students funded by foreign governments may, even if they hold valid residence status, fall into specific categories of residents subject to export control regulations under

the Foreign Exchange Act. Accordingly, host institutions must carefully assess the sources of scholarships and other financial support provided to international students.

(*2) Residents of the specific categories refer to those who are heavily influenced by non-residents. The categories are specified in Article 1(3)(k)(1) to (3) of the Service Transactions or Activities Requiring License under Article 25(1) of the Foreign Exchange and Foreign Trade Act and Article 17(2) of the Foreign Exchange Act.

In order to comply with the Foreign Exchange Act, it is essential to implement a security export control system when List-controlled goods or technologies are to be exported or provided abroad. (*3) Therefore, it is necessary to determine whether the project involves the provision of goods or technology that are subject to export restrictions under the Foreign Exchange and Foreign Trade Act at the inception of the research project (the date of the contract). If the intent is to provide them, there are cases when it will be necessary to verify whether there is a control system in place by the time that the research starts (the day the contract is concluded). If the intention is to provide them, the existence of a control system may be investigated.

(*3) Exporters are required to satisfy the Chapter VI-3 Compliance Standards for Exporters and Persons Conducting Similar Transactions stipulated in Items 10-1 of Article 55 of the Foreign Exchange Act. The Export Control system stipulated here is based on the control system in the Standards. This means that an internal control system needs to be established for proper exports/provisions of List-Controlled goods and technologies and for advance prevention of illegal exports.

Details on Security Export Control are contained on the following websites.

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

<https://www.meti.go.jp/policy/anpo/seminer/shiryo/handbook.pdf> (In Japanese)

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

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

https://www.meti.go.jp/policy/anpo/law_document/tutatu/t10kaisei/ekimu_tutatu.pdf (In Japanese)

●About the Japanese Version of the Bayh-Dole System

[Regarding the Overseas Transfer of Intellectual Property Rights Related to Commissioned Research and Development Under the Japanese Version of the Bayh-Dole System]

An expert meeting on economic security legislation was held on 4 June, 2024 to discuss necessary measures for preventing technology leakage and risk management in R&D programs supported by the

government. As a result, a report titled "Proposal on Measures to Prevent Technology Outflow of Critical Technologies for Economic Security – Measures in Government-Supported R&D Programs" was compiled. Based on its recommendations, relevant ministries and agencies, as well as related organizations, are mandated to work together in implementing measures to prevent technology leakage.

The proposal also includes matters related to the implementation of the Japanese version of the Bayh-Dole system based on Article 17 of the Industrial Technology Enhancement Act.

Under the Japanese version of the Bayh-Dole system, intellectual property rights arising from government-commissioned research and development can be attributed to the contractor (such as private companies). However, when transferring such intellectual property rights to a third party, prior approval from the government is required, except in cases of transfers to subsidiaries or parent companies.

Therefore, in cases where the transferee's subsidiary or parent company is a foreign company such when 1) a Japanese subsidiary of a foreign company transfers intellectual property to its parent company, when 2) a subsidiary of a domestic company becomes a subsidiary of a foreign company through M&A or other means and sells or transfers its business to the foreign company, or when 3) the headquarters of a domestic company relocates abroad and becomes a foreign company, there is a possibility that the results of government-commissioned research and development may not be effectively prevented from flowing overseas.

Based on this, the proposal states that when transferring intellectual property to a parent company or subsidiary that is a foreign company, the contractor must provide prior notification of such. The commissioning party must confirm the prior notification and ensure that thorough coordination is carried between the commissioning and contracting parties.

Accordingly, with such commissioned projects, the content of the proposal is to be reflected in the commissioning contract. Thus, when transferring intellectual property to foreign companies or other entities, ensure that prior notification is provided to JSPS and obtain approval in accordance with the contract terms.

(6) Strict Implementation of United Nations Security Council Resolution 2321

With respect to the strict implementation of United Nations Security Council resolutions, a request has been issued through the document titled "Strict Implementation of United Nations Security Council Resolution 2321" (Administrative Notice dated June 25, 2024, issued by the International Affairs Division, Ministry of Education, Culture, Sports, Science and Technology). Paragraph 11 of Resolution 2321 stipulates, as a general principle, the suspension of scientific and technological cooperation with individuals or organizations that are officially supported by, or represent, North Korea.

When preparing internationally co-authored papers featuring collaboration among multiple countries, there is a possibility of unintentional involvement of North Korean researchers as co-authors, even if there is no direct collaboration between your institution's researchers and those from North Korea.

Therefore, please ensure that thorough verification is conducted during the manuscript drafting stage and prior to paper submission, and take appropriate measures as necessary.

Details of the United Nations Security Council Resolution 2321 can be found at:

<https://www.mofa.go.jp/mofaj/files/000211409.pdf> (In Japanese)

(7) Promotion of open access to the research papers supported by this program

JSPS endorses a general policy of promoting open access. All research papers funded by public grants including KAKENHI are, in principle, given open access.

However, in cases where copyright or other issues make open access difficult, or where the repository infrastructure of the researcher's institution is not compatible with open access, this does not apply.

JSPS's open access implementation policy is described in the following webpage:

https://www.jsps.go.jp/data/Open_access.pdf (In Japanese)

(8) Management of Research Data

JSPS has established a policy that stipulates JSPS's basic principles regarding the storage, management, and publication of research data generated during research activities funded by research grants provided by JSPS.

Researchers selected for this program are required to comply with the data policies and other regulations of their research institutions. They must also prepare a Data Management Plan (DMP) that describes the policies and plans for the storage, management, disclosure, and non-disclosure of research data generated as a result of their research activities. Researchers must conduct their research activities in accordance with the DMP for the storage, management, and disclosure of their research data.

JSPS's basic policy on the handling of research data can be found on the following webpage.

https://www.jsps.go.jp/file/storage/open_science/basic_policy.pdf

(9) Acknowledgements in research papers

When publishing research results from a project under this program, researchers should acknowledge JSPS support in their publications. The acknowledgement should also include a chronological program number that will be assigned to their research project when it is selected.

Examples of acknowledgements in research papers are as follows:

[English]

This work was supported by JSPS A3 Program (grant number: JPJSA3F12345678).

[Japanese]

本研究は、【日本学術振興会日中韓フォーサイト事業】（課題番号：JPJSA3F12345678）の支援を受けたものです。

(10) Data Disclosure from NBDC

The Life Science Database Integration Project (<https://biosciencedbc.jp/>), implemented by the Bioscience Database Center (NBDC) of the Japan Science and Technology Agency (JST), is promoting the integrated use of life science databases created by various research and other institutions. Additionally, in the report "Progress and Future Directions of the Life Science Database Integration Project" (dated January 17, 2013), it was stated that NBDC (now the NBDC Project Promotion Office, Information Infrastructure Division) would take the lead in expanding the range of projects eligible for data and database provision.

Based on these considerations, we ask for your cooperation in the publication of the following types of data and databases related to the life sciences obtained through this program.

No.	Data type	Releaser	Releaser's URL
1	Summary of constructed, publicly open databases	Integbio Database Catalog	https://integbio.jp/dbcatalog/
2	Data contained in constructed, publicly open databases	Life Science Database Archives	https://dbarchive.biosciencedbc.jp/
3	Among the two, data/databases related to humans	NBDC Human Database	https://humandbs.dbcls.jp/

(11) Undergoing External Verification in accordance with the Basic Guidelines for Proper Conduct of Animal Experiments

Research institutions such as universities that conduct animal experiments are required to comply with the "Basic Guidelines for Proper Conduct of Animal Experiments at Research Institutions" (Ministry of Education, Culture, Sports, Science and Technology Notification No. 71, 2006, hereinafter referred to as the "Basic Guidelines"). In particular, the Basic Guidelines emphasize the proper conduct of animal experiments based on the 3Rs principle: use of alternatives (Replacement), reduction in the number of animals used (Reduction), and refinement of procedures to minimize pain and distress (Refinement).

In particular, the Basic Guidelines stipulate that the head of a research institution shall ensure transparency in the implementation of animal experiments by regularly inspecting and evaluating the institution's compliance with the Basic Guidelines. Additionally, it's stipulated that effort should be made to have the results of these inspections and evaluations verified by external parties outside the institution. If when applying for this program your research involves animal experimentation, ensure that your affiliated research institution undergoes external verification. If only certain facilities within your affiliated research institution have undergone external verification, ensure that the institution as a whole undergoes the verification process.

Basic Guidelines for Proper Conduct of Animal Experiments at Research Institutions (Ministry of Education, Culture, Sports, Science and Technology, Notification No. 71, 2006)

https://www.mext.go.jp/b_menu/hakusho/nc/06060904.htm

(12) National BioResource Project (NBRP)

The National BioResource Project (NBRP) has contributed to the advancement of life science research in Japan by strategically collecting and preserving important bioresources that serve as the foundation for basic and fundamental life science studies. These resources are stored at NBRP's core facilities and provided to universities and research institutions. To continue contributing to the advancement of life science research in Japan, it will be necessary to continuously collect valuable bioresources. Therefore, we ask for your cooperation in contributing to NBRP's collection efforts by depositing* any bioresources developed through this program that can be made available (limited to those targeted by NBRP) For bioresources already maintained by NBRP (including animals, plants, microorganisms, cells, genetic materials, and information), it is encouraged that they be used from a perspective of conducting research efficiently.

*Depositing: This is a procedure that allows the use (storage and provision) of relevant resources within this program without transferring any associated rights. By specifying detailed provision conditions in a deposit agreement, restrictions on usage, citation requirements in publications, and other usage conditions can be imposed on users.

NBRP Core Facility Upgrading Program – List of Targeted Bioresources and Representative Institutions; <https://nbrp.jp/resource/>

(13) Development of institution systems based on *Guidelines for Responding to Misconduct in Research*

All research institutions participating in this project are required to comply with the "Guidelines for Responding to Misconduct in Research," as issued by the Minister of Education, Culture, Sports,

Science and Technology (MEXT) on August 26, 2014. These guidelines must be followed at all times, both in the application process and during the course of the research activities.

If, as a result of an examination of the status of the institution's systems based on the above guidelines, MEXT finds deficiencies there, MEXT may take measures such as reducing the indirect costs of all competitive research funds allocated by MEXT and independent administrative institutions under the jurisdiction of MEXT.

Details of the "Guidelines for Responding to Misconduct in Research" can be found below:

https://www.mext.go.jp/b_menu/houdou/26/08/1351568.htm (In Japanese).

(14) Submission of a current status checklist in accordance with the *Guidelines for Responding to Misconduct in Research*

At the outset of research projects in this program, participating research institutions are required to submit a checklist, (hereinafter referred to as *Checklist for Research Misconduct*) detailing the current accommodation status of the Guidelines for Responding to Misconduct in Research. (Failure to submit this checklist will result in the project being unable to proceed.)

Therefore, participating research institutions should download the relevant forms from the website The Cross-Ministerial R&D Management System (e-Rad), fill in the forms, and submit (upload) the forms via e-Rad to MEXT's Office for Research Integrity Promotion, Research Environment Division, Science and Technology Policy Bureau by the start date of the research.

Research institutions that have already submitted a FY2025 Checklist are exempt from the above requirements. However, they must submit the FY2026 Checklist no later than September 30, 2026

For details on the Checklist, see the following website.

https://www.mext.go.jp/a_menu/jinzai/fusei/1420301_00008.html (In Japanese)

(15) Measures taken against misconducts in research activities in light of *Guidelines for Responding to Misconduct in Research*

The following strict measures will be taken if acts of misconduct are found in research activities conducted under this program:

(i) Measures including rescinding of funding contracts

When specific research misconduct (fabrication, falsification, plagiarism) is discovered in the conduct of a research project under the program, JSPS may, depending on the circumstances, modify or cancel its contract with the institution and demand a refund of all or part of its project funding. JSPS may also exclude such institutions from contracting in the following fiscal years.

(ii) Measures including restrictions on application and eligibility for the program

When a researcher has committed a specific research misconduct or when a researcher who has not directly committed such an act but is found to have a certain level of responsibility for the misconduct due to neglecting his/her duty to care as a person responsible for the research paper or report, JSPS may, depending on the degree of maliciousness involved in the misconduct and the degree of responsibility neglected, prohibit the researcher to apply for the program and restrict his/her participation eligibility for the program. JSPS also may refrain from providing any of JSPS research fundings, according to the Rules for Responding to Misconduct and Misuse of Funds in Research Activities (effective from 6 December 2006). Participation in the program will be restricted for the fiscal year in which the specific misconduct is discovered.

https://www.jsps.go.jp/j-kousei/data/fuseitaiou_kitei.pdf

The imposing of restrictions on application and eligibility for the program will be reported to the sections in charge of disbursing competitive research funds at MEXT and incorporated administrative agencies under its jurisdiction and to other ministries and agencies and incorporated administrative agencies under their jurisdictions (hereinafter referred to as Competitive research funding programs related to other ministries). This may restrict application for and eligibility to participate in competitive research funding systems linked to MEXT.

(iii) Measures for researchers whose applications and eligibility are restricted under other competitive research funding systems and the basic research funds

Researchers who are subject to restriction of eligibility for application and/or participation for other competitive research funding systems affiliated with MEXT than this program will also be subject to restriction of eligibility to apply for and participate in the program. Such competitive research funding systems include government subsidies for operating expenses to national universities/interuniversity research institutions and incorporated administrative agencies under MEXT jurisdiction, government subsidies for basic expenses to private educational institutions, and other ministries'/agencies' competitive research funding systems due to specific research misconduct in research activities.

(iv) Public reporting of cases of improper conduct

Misconduct committed in research activities carried out under this program will, as a rule, be made public by MEXT, to include the name, type and field of the incident, the funding category involved, a summary of the misconduct, and the measures taken by the research institution and funding agency.

The Guidelines for Responding to Misconduct in Research require research institutions to report their investigation results promptly when misconduct is determined to have been committed. Accordingly, research institutions are expected to carry out this process expediently.

https://www.mext.go.jp/a_menu/jinzai/fusei/1360483.htm

(16) Obligation to complete research ethics education coursework

In order to preclude research misconduct, researchers participating in research activities under this program are to complete research ethics education coursework before their joint research project starts or attend a lecture conducted by a research institution on research ethics education based on the Guidelines for Responding to Misconduct in Research (issued on 26 August 2014 by MEXT).

Once a project is selected for the program, the institution affiliated with the coordinator must ensure that all members of the Japanese team receive education on research integrity—such as by completing research ethics education coursework—prior to the date designated by JSPS.

For the Sound Development of Science—The Attitude of a Conscientious Scientist (Editing Committee “For the Sound Development of Science”)

https://www.jsps.go.jp/file/storage/general/j-kousei/data/rinri_e.pdf

e-Learning Course on Research Ethics (eL CoRE)

<https://elcore.jsps.go.jp/top.aspx>

APRIN e-learning program (eAPRIN)

(17) Registration of Researcher Information in *researchmap*

In Japan’s largest researcher information database, *researchmap*, registered information on research results can be openly disseminated on the Internet. As *researchmap* is linked to e-Rad as well as to many university faculty databases, it allows registered information to be accessed by alternative systems. Using *researchmap* precludes the need for researchers to re-register the same research information in multiple application forms and databases.

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

<https://researchmap.jp/>

(18) Registration on JSPS-Net

The JSPS Researchers Network (JSPS-Net) is a social media 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.

Researchers in the same and different research fields, researchers who work in the same regions, researchers who are interested in other researchers' work, and international program administrators can establish communities and form networks on the JSPS-Net platform, upon which each registered member can conduct future-oriented international exchange or launch and advance international joint research.

JSPS-Net also provides a service for matching Japanese researchers who wish to host young researchers or overseas researchers with such researchers looking for a host.

JSPS would appreciate coordinators' cooperation in joining JSPS-Net.

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

(19) Registration of LinkedIn

LinkedIn is the world's largest professional networking platform with more than one billion registered users in over 200 countries and regions. It serves as a hub for professionals around the world to share and exchange job and career information and generate financial opportunities.

Information about JSPS is also available on LinkedIn. We hope you will follow the JSPS International Academic Collaborations if you have experience with any of the JSPS projects.

<https://www.linkedin.com/company/jsps-international-academic-collaborations>

(20) Handling of personal information

Personal information provided by applicants will be handled according to the Act on the Protection of Personal Information and JSPS's Personal Information Protection Policy, and be used solely for the purpose of implementing the program (which includes sending out information on JSPS and the program and providing participant data to external contractor(s) conducting electronic processing and management of the program).

The names, positions and affiliations of both the Japanese and counterpart PIs and participants, research project/seminar titles, budget plans, implementation periods and reports may be disclosed via JSPS's website and publications, and informed to related organizations.

In the case of joint research projects involving researchers residing in the European Economic Area (EEA), including the European Union (EU) and the United Kingdom, the handling of personal information as described above must be executed in agreement with the relevant researchers in accordance with the General Data Protection Regulation (GDPR) and the UK GDPR.

<https://www.ppc.go.jp/enforcement/infoprovision/laws/GDPR/>

https://www.ppc.go.jp/enforcement/cooperation/cooperation/brexit_210628/(In Japanese)

(21) Use of Generative AI

Using generative AI when preparing your application risks an unintentional infringement of copyrights and leakage of personal or confidential information. It is the applicant's responsibility to consider this risk when deciding whether to use generative AI.

(22) JSPS shall not be liable for any disability, illness or other accident that may occur during the period of the implementation of the project.

(23) If the selected proposal becomes impossible or difficult to implement during the project implementation period due to a natural disaster or other unforeseen circumstances, support for the project may be suspended.

(24) The ownership of the rights to the research results of the A3 Program shall be determined by each core institution in accordance with the laws and regulations of Japan and the partner country, and the JSPS shall not be involved in this matter. Core Institutions shall establish ownership of intellectual property rights in advance through bylaws or other written formats.

16. Information on China and Korea

China: NSFC's contact information:

Division of Asia, Africa and International Organization (亜非処及国際組織処)

Bureau of International Cooperation (国際合作局)

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:

International Exchange Programs Team

Directorate for International Affairs

National Research Foundation of Korea (NRF)

(Add) 25, Heolleung-ro, Seocho-gu, Seoul, 06792, KOREA

(Tel) +82 (0)2-3460- 5682

(Fax) +82 (0)2-3460-5679

17. 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

(Note: Please replace the asterisk (*) with the at sign (@) when sending an email)

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

<URL> <https://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 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 China and Korea” 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.” The amount shown as the “Total funding” in the Call for Proposals indicates only the amount of the “networking funds.”

(1) Networking Funds

- ① Travel costs: This cost is charged to the expense items “International Travel” and “Domestic Travel” on Form A:

They include international and domestic travel (for research, holding scientific meetings (seminars), collecting documents, meetings to present research and results, etc.).

- ② Cost of goods: This cost is 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 • personnel cost: 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 scientific meetings (seminars) (compiling materials, assisting in experiments, doing translations/reviews, providing expertise, distributing/retrieving questionnaires, collecting research documents, etc.)

- ⑥ Others: This cost is charged to “Seminars and Meetings” (as one of their expenses) 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), overseas travel insurance fee).

⑤ Costs for which These Funds May Not be Applied

- i . Acquiring real estate
- ii . Maintaining the facilities of the core institutions and their overseas offices (Office rental fees, water/utility fees, labor costs, etc.)
- iii . Purchasing capital equipment and office supplies usually provided by the institutions (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 (Excluding temporary employment)
- 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” and “consignment fee”.

3. 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) Scientific meetings (seminars)

- Scientific meetings (seminars) may be held in Japan, China and Korea, not in other countries.
- The cost of holding scientific meetings (seminars) 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	Cost of overseas travel	✓	X
	Living expenses* and the cost of domestic travel in the counterpart country	✓	X
	Travel expenses within Japan	✓	X
	Research grant	✓	X
Counterpart-side researchers	Cost of overseas travel	X	✓
	Living expenses* and the cost of domestic travel in Japan	X	✓
	Travel expenses in home country	X	✓
	Research grant	X	✓
Cost for holding scientific meetings (seminars) in Japan		✓	X
Cost for holding scientific meetings (seminars) in counterpart country		X	✓
Research facilities costs at core institution		X	X

* "Living expenses" covers the cost of accommodations, meals and municipal transportation.

[Pattern 2]

Institution		JSPS	Counterpart Agency
Cost Items			
Japan-side researchers	Cost of overseas travel	✓	X
	Living expenses* and the cost of domestic travel in the counterpart country	X	✓
	Travel expenses within Japan	✓	X
	Research grant	✓	X
Counterpart-side researchers	Cost of overseas travel	X	✓
	Living expenses* and the cost of domestic travel in Japan	✓	X
	Travel expenses in home country	X	✓
	Research grant	X	✓
Cost for holding scientific meetings (seminars) in Japan		✓	X
Cost for holding scientific meetings (seminars) in counterpart country		X	✓
Research equipment costs at core institution		X	X

* "Living expenses" covers the cost of accommodations, meals and municipal transportation.

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 B Program A		① Bilateral Programs (Joint Research Projects/ Seminars)	② Internation al 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.