

FY2024
Japan Society for the Promotion of Science
JSPS Doctoral Course (DC) Research Fellowships
Application Guidelines

February 2023
Japan Society for the Promotion of Science
(<https://www.jsps.go.jp/>)

*This document contains detailed information on the Call for Proposals for Grant-in-Aid for Scientific Research—KAKENHI— for JSPS Research Fellows.

This English version is provided for the convenience of prospective applicants for JSPS Doctoral Course (DC) Research Fellowships who experience difficulty in reading the Japanese original, which should be referred to in case of inconsistency.

Introduction

- Starting from JSPS Doctoral Course (DC) Research Fellowships to be awarded in FY2024, the applications for Grant-in-Aid for Scientific Research—KAKENHI—JSPS Research Fellows (hereinafter, “Grant-in-Aid for JSPS Fellows”) will be accepted at the same time as the applications for JSPS Research Fellowships. The aim is to reduce the procedures on the part of applicants and research institutions, and also to provide an opportunity for early-career researchers to gain experience on formulating their research plans in view of the anticipated research expenditure. For the outline of major changes, see Attachment 1 “Changes to the Application Procedures for FY2024 JSPS Doctoral Course (DC) Research Fellowships.” Applicants should read the instructions in these Application Guidelines and other documents carefully in preparing the application documents.

[Content of the Application Guidelines, etc.]

- I. FY2024 Application Guidelines for JSPS Doctoral Course (DC) Research Fellowships
- II. JSPS Doctoral Course (DC) Research Fellowships, Application Procedures for Grant-in-Aid for Scientific Research—KAKENHI— FY2024 【JSPS Research Fellows—DC】
- III. Other Relevant Information
- IV. Inquiries

Of the above, I. FY2024 Application Guidelines for JSPS Doctoral Course (DC) Research Fellowships (hereinafter, “Research Fellowship Application Guidelines”) describes the eligibility, fellowship tenure, application procedures, deadline for acceptance of applications, etc. for the application for JSPS Research Fellowships.

II. JSPS Doctoral Course (DC) Research Fellowships, Application Procedures for Grant-in-Aid for Scientific Research—KAKENHI— FY2024 【JSPS Research Fellows—DC】 (hereinafter, “KAKENHI Application Procedures”) explains how to prepare the application forms (research proposal documents) for Grant-in-Aid for JSPS Fellows, and administrative tasks, etc. to be completed by the research institutions.

III. Other Relevant Information outlines matters related to Chapters I. and II.

[Objectives, etc. of the Research Fellowship Program]

Providing outstanding young researchers at an early stage in their careers the opportunity to choose their own research topics, etc. independently based on free thinking and focus on advancing their research is critically important in fostering creative researchers who will become future leaders of scientific research in Japan.

To this end, the Japan Society for the Promotion of Science (“JSPS”) solicits JSPS DC Research Fellows and provides support to doctoral degree holders with outstanding research skills who wish to pursue research at universities and other research institutions.

JSPS will also offer funding for research conducted by DC Research Fellows through the Grant-in-Aid for JSPS Fellows.

[Notes]

- Applications for JSPS DC Research Fellowships and Grant-in-Aid for JSPS Fellows must be submitted using only the JSPS Electronic Application System for Research Fellowship Programs, which is used for applications for the Research Fellowship Programs.
- After you are awarded DC Research Fellowship, the notification of provisional grant decision for Grant-in-Aid for JSPS Research Fellow and formal application for grant delivery, etc. shall be sent using the conventional JSPS Electronic Application System for KAKENHI.

Table of Contents

I. JSPS Doctoral Course (DC) Research Fellowships FY2024 Application Guidelines

1. Fields of Research.....	1
2. Fellowship Categories and Estimated Number of Awards	1
3. Eligibility	1
4. Eligibility of Former JSPS Research Fellows.....	3
5. Fellowship Tenure.....	3
6. Host Research Institution	3
7. Monthly Stipends.....	3
8. Research Funding	4
9. Application Procedures.....	4
10. Deadline for JSPS' Acceptance of Applications.....	6
11. Selection and Disclosure of Results.....	6
12. Notes on the Application Documents and Selection Process.....	8
13. Obligations, etc. of Research Fellows, Host Researchers, and Host Research Institutions	8
14. Post-selection Procedures, etc. Required for Successful Applicants	9
15. Encouraging Research Activities Abroad.....	11
16. Obligations to Cooperate in Surveys after the Fellowship Tenure.....	11

II JSPS Doctoral Course (DC) Research Fellowships, Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI- FY2024 【JSPS Research Fellows—DC】

1. Recipients.....	12
2. Range of total budget (total budget throughout the research period)	12
3. Research period	13
4. Application Eligibility (etc.)	13
5. Application Documents	13
6. Budgets.....	14
7. Research Project and Plan	15
8. Rules on Receiving Grants and Restriction on Parallel Grant Application/Receipt.....	15
9. Appropriate use of KAKENHI (etc.).....	16
10. “Guidelines on the Proper Implementation of Competitive Research Funds” etc.	16
11. Dissemination, Etc. of Research Achievements supported by KAKENHI	20
12. Code of Conduct for Scientists to Adhere	22
13. Review Panels and Other Matters	23
14. Preparation of the KAKENHI Application Form (Research Proposal Document), etc.	23
15. Procedures to Be Completed by the Research Institution.....	25
16. Procedures on the Handling of Grants-in-Aid for Scientific Research.....	28
17. Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)).....	28

III Other Relevant Information

[Points to keep in mind when applying for the Research Fellowships and KAKENHI]

1. Completion of Research Ethics Education Coursework	29
2. Security Export Control Policy (Coping with Technology Leakage Overseas)	29
3. Handling of Personal Information	30

[Points to keep in mind when applying for KAKENHI]

4. Support through Platforms for Advanced Technologies and Research Resources	31
5. Promotion of the Shared Use of Research Equipment	32
6. Promotion of the ‘Dialogue on Science and Technology with Citizens’ (A Basic Approach Policy)	33
7. Cooperation with the National Bioscience Database Center	33
8. Inter-University Bio-Backup Project	34
9. National BioResource Project	34
10. Registration of the Researcher Information in “researchmap”	34
11. Strict Implementation of United Nations Security Council Resolution 2321	35
12. Improvement of Treatment of Students in the Doctoral Course	35
13. Securing University Research Administrators (URAs) and other Management Personnel	35
14. About HIRAMEKI-TOKIMEKI SCIENCE	36

IV Inquiries

Reference: [Outline of the Application Procedures]	38
--	----

Attachment 1: Changes to Application Procedures for FY2024 JSPS Doctoral Course (DC) Research Fellowships	39
---	----

February 2023

I. JSPS Doctoral Course (DC) Research Fellowships FY2024 Application Guidelines

1. Fields of Research

All fields of humanities, social sciences, and natural sciences

2. Fellowship Categories and Estimated Number of Awards

JSPS DC1 Research Fellowship (Graduate students enrolled in doctoral courses):

Approx. 700 fellowships

JSPS DC2 Research Fellowship (Graduate students enrolled in doctoral courses):

Approx. 1,100 fellowships

*The number of awards may change depending on availability of funding budgets.

3. Eligibility

Eligibility for each fellowship category is described below. Applicants must meet these eligibility criteria at the start of the fellowship tenure. (Doctoral courses shall be in accordance with the Standards for Establishment of Graduate Schools.* Please check with your university or affiliated research institution if you are using the early completion program or other programs unique to your institution.)

*This shall include, of those that are deemed to provide education equivalent to a doctoral course pursuant to Article 6-2 of the Degree Regulations (Order of the Ministry of Education, Science and Culture), those designated under Article 2-1(4) of the Rules for the Handling of Grants-in-Aid for Scientific Research (Notification of the Ministry of Education, Science and Culture).

(1) DC1 Research Fellowship (Graduate students enrolled in doctoral courses)

Criteria for enrollment status	<p>An applicant (including international students) must be enrolled in a doctoral course at a university in Japan and meet either of the following criteria as of April 1, 2024:</p> <ul style="list-style-type: none"> (i) Be enrolled in the 1st year or the equivalent (i.e., enrollment period of less than 12 months) of the second half of a doctoral course (following a master's course in the first half) (ii) Be enrolled in the 3rd year or the equivalent (i.e., enrollment period of at least 24 months and less than 36 months) of a 5-year integrated master's-doctoral course (iii) Be enrolled in the 1st year or the equivalent (i.e., enrollment period of less than 12 months) of a 3-year doctoral course-only program (iv) Be enrolled in the 2nd year or the equivalent (i.e., enrollment period of at least 12 months and less than 24 months) of a 4-year doctoral course for medical, dental, pharmaceutical, or veterinary degrees <p>*For (i) through (iii), those who intend to enroll in the second half of a doctoral course, etc. in April 2024 are also eligible.</p> <p>*Note that applicants who have taken leave from their doctoral course studies after submitting the application may not comply with the eligibility criteria.</p>
--------------------------------	---

(2) DC2 Research Fellowship (Graduate students enrolled in doctoral courses)

Criteria for enrollment status	<p>An applicant (including international students) must be enrolled in a doctoral course at a university in Japan and meet either of the following criteria as of April 1, 2024:</p> <p>(i) Be enrolled in the 2nd or 3rd year or the equivalent (i.e., enrollment period of at least 12 months and less than 36 months) of the second half of a doctoral course (following a master's course in the first half)</p> <p>(ii) Be enrolled in the 4th or 5th year or the equivalent (i.e., enrollment period of at least 36 months and less than 60 months) of a 5-year integrated master's-doctoral course</p> <p>(iii) Be enrolled in the 2nd or 3rd year or the equivalent (i.e., enrollment period of at least 12 months and less than 36 months) of a 3-year doctoral course-only program</p> <p>(iv) Be enrolled in the 3rd or 4th year or the equivalent (i.e., enrollment period of at least 24 months and less than 48 months) of a 4-year doctoral course for medical, dental, pharmaceutical, or veterinary degrees</p> <p>*Note that applicants who have taken leave from their studies after submitting the application may not comply with the eligibility criteria.</p>
--------------------------------	---

(3) Application by students enrolled in long-term study programs

Students using a long-term study program will not be awarded Fellowships. Therefore, a student currently enrolled in a long-term study program may apply for Fellowship, but must switch back to the standard study term on or before April 1 of the fiscal year in which the fellowship tenure starts. To be eligible, applicants must meet the criteria for enrollment status set forth in 3. Eligibility regardless of whether they use a long-term study program.

For details, please check with your affiliated research institution (university, etc.) as each institution will have its own rules on long-term study programs.

(4) Handling of leave from studies in determining the eligibility for application

The period of leave from doctoral course studies will not be counted as enrollment period. However, if the total period of leave is less than 6 months, it must be included in your enrollment period to determine your eligibility. (For example, if you have enrolled for 6 months and taken leave for 6 months, your enrollment period will be 6 months, so you are eligible to apply for DC1. If you have enrolled for 7 months and taken leave for 5 months, your period of leave is less than 6 months in total, so you must add those months to the enrollment period. Your enrollment period will be equivalent to 12 months, and you are eligible to apply for DC2.)

Leave from studies will be counted in months; even a one-day leave will be counted as one month. However, if your affiliated institution has specific rules on grounds of academic semesters, etc., you should count the period of leave based on those rules. (For example, if an institution starts its fall semester on Sep. 25, it might consider a leave from Sep. 25 to Sep. 24 of the following fiscal year a 12-month leave.)

4. Eligibility of Former JSPS Research Fellows

Former JSPS Research Fellows are not eligible to apply again.

Awardees of the FY2023 DC1 Fellowships and DC2 Fellowships* are not eligible to apply for the FY2024 awards, unless the applicant has formally declined the awarded fellowship by the time of the application.

*Of the awardees of the FY2023 DC1 Fellowships and DC2 Fellowships, those who could not meet the eligibility criteria for Fellowships due to impacts of COVID-19 and were granted special treatment under the “Special Measures on the Eligibility Criteria for JSPS Research Fellowship Categories DC, PD, and RPD Awarded in FY2023 in Response to Impacts of COVID-19 [Notice]” (JSPS-RF No. 153 dated Oct. 14, 2022).

- Link to the above Notice: <https://www.jsps.go.jp/j-pd/data/R5tokureitsuchi.pdf>

5. Fellowship Tenure

(1) DC1 Research Fellows: Three (3) years from April 1, 2024 through March 31, 2027

(2) DC2 Research Fellows: Two (2) years from April 1, 2024 through March 31, 2026

6. Host Research Institution (The institution at which the Fellow is enrolled for doctoral course studies)

The host research institution shall be a graduate school of a university in Japan at which a DC1 Fellow or DC2 Fellow is enrolled.

*As per the provisions on “Delegation of research guidance” under Article 13 of the Standards for Establishment of Graduate Schools, Fellows may conduct necessary research at other graduate schools or research institutions (including overseas research institutions). For studies abroad, refer to 15. Encouraging Research Activities Abroad.

7. Monthly Stipends

Awardees of DC Fellowships will receive monthly stipends from JSPS.

The amounts of stipends for FY2024 are as follows:

(1) DC1 Research Fellowships: JP200,000 yen per month

(2) DC2 Research Fellowships: JP200,000 yen per month

If a DC1 Fellow or DC2 Fellow earns a doctoral degree and completes the designated procedures, their fellowship category will be changed to PD Research Fellowship and the amount of stipends will be changed (anticipated grant amount for FY2024: JP362,000 yen per month) for the remainder of the fellowship tenure. For information on changing the fellowship category to PD Research Fellowship after receiving a doctoral degree, refer to paragraph (2) under 14. Post-selection Procedures, etc. for Successful Applicants.

Note that the amounts of stipends and handling of stipends after changing the fellowship category to PD Research Fellowship are subject to changes.

8. Research Funding

JSPS Research Fellows are eligible to receive Grant-in-Aid for JSPS Research Fellows as research funding to carry out their research plan provided in the application documents. Starting from Research Fellowships to be awarded in FY2024, the applications for Grant-in-Aid for JSPS Fellows will be accepted at the same time as the applications for JSPS Research Fellowships*. For details, see II. KAKENHI Application Procedures.

*The application for Grant-in-Aid for JSPS Fellows will only be accepted at the same time as the application for JSPS Research Fellowships. If you are in need of the Grant-in-Aid, be sure to apply now.

9. Application Procedures (see Outline of Application Procedures on Page 38)

[All applications must be submitted through the JSPS Electronic Application System]

Applications for JSPS Research Fellowships and Grant-in-Aid for JSPS Research Fellows must be submitted using the JSPS Electronic Application System. (Application documents sent in by postal mail will not be accepted.) For details, visit the JSPS website > JSPS Electronic Application System > Research Fellowship Programs 研究者養成事業 page.

- Link to JSPS Electronic Application System: <https://www.shinsei.jsps.go.jp/index.html>

In preparing your application documents, be sure to read through the *Procedures for Preparing the Application Documents for FY2024 JSPS Research Fellowships* and the relevant Operation Manual for the JSPS Electronic Application System.

- Link to Procedures for Preparing the Application Documents: https://www.jsps.go.jp/j-pd/pd_sin.html
- Link to Operation Manual: <https://www.shinsei.jsps.go.jp/topyousei/download-yo.html>

(1) Organization handling the application procedures (hereinafter, the “Applying Organization”)

Application must be made through the following organizations:

- DC1 Research Fellowships: The graduate school at which the applicant is enrolled at the time of application, or from which the applicant has earned a master’s degree (provided, if the applicant is enrolling at or has graduated from an overseas graduate school, application shall be submitted to the host research institution.)
- DC2 Research Fellowships: The host research institution

(2) Use of the JSPS Electronic Application System (“System”)

An applicant must first obtain an ID and password from their Applying Organization, and submit the application documents using the System.

(3) Documents to be submitted [No paper-based applications will be accepted]

- Application documents (for DC)

The application documents consist of the following four sets of information:

(a) Application information (language: Japanese)

A form to provide educational background, title of research proposal, etc. Enter the information directly in the System.

(b) Application content file (language: Japanese or English)

Statements on the research plan, self-analysis on applicant's ability to conduct research, etc. Download the prescribed format from the JSPS website or the System. Upload the file to the System after completing the statements.

- * In addition to accepting the applications for JSPS Research Fellowships and applications for Grant-in-Aid for JSPS Fellows at the same time, JSPS has revised the funding categories of the Grant-in-Aid for JSPS Fellows. Therefore, when preparing the research plan, applicants are advised to take note of the instructions in the application content file and the *Procedures for Preparing the Application Documents for FY2024 JSPS Research Fellowships*.
- * The examiners will receive monochrome printouts of the application forms. When preparing the application documents, applicants should make sure that the information will be clearly visible on print.
- * Follow the recommended procedures described in the following link when converting the application content file into PDF format and uploading it to the System. Be careful as the System may not be able to correctly output PDF files that are created in a different manner.

• Link to the recommended procedures: https://www.jsps.go.jp/j-pd/data/boshu/naiyo_torikomi.pdf

[Note]

Protection of Human Rights and Compliance with Laws and Regulations

If a proposed research plan includes research activities that require actions based on guidelines, laws and regulations, etc. (including guidelines, laws and regulations, etc. of the countries/regions in which joint international research may be conducted), including research that requires obtaining consent and/or cooperation of counterparts, research that requires special attention in the handling of personal information, and research that requires actions related to bioethics and/or biosafety, JSPS will also review the actions and measures to be implemented. This will apply to surveys, research, experiments, and other activities that would require approval by any internal or external intelligence committee, ethics board, or other review boards, for example, questionnaire/interview/behavioral surveys involving personal information (including personal histories and videos), surveys, etc. of domestic and foreign cultural heritage sites, use of donated specimens, research of invasive nature, human genome analysis, genetic recombination experiments, and animal testing.

(c) Evaluation report (language: Japanese or English)

To be prepared by the current academic supervisor (evaluator). Applicants must use the System to ask their evaluator to provide the evaluation report. Each evaluator will be issued an ID and password to log into the System where they should prepare the evaluation report. Note that neither the applicant nor the Applying Organization can view the content of the evaluation report.

(d) [Research Plan] Attachment: Envisaged Budget for FY2024 Grant-in-Aid for Scientific Research—KAKENHI—JSPS Research Fellows (language: Japanese or English)

A template to provide the Research Budget and Necessity, and Status of Application, Acquisition, etc. of Research Grants to be prepared in applying for Grant-in-Aid for JSPS

Research Fellows. Enter the information directly in the System. (You do not have to provide information if you are not applying for Grant-in-Aid for JSPS Research Fellows.)

*For information on the application documents and instruction on how to prepare your application, refer to II. KAKENHI Application Procedures, sections 5. Application Documents and 14. Preparation and Submission, etc. of KAKENHI Application Documents (Research Proposal Document).

(4) Submission of application documents

All applications must be submitted to JSPS through your Applying Organization. Applications sent to JSPS directly will not be accepted.

10. Deadline for JSPS' Acceptance of Applications

[Applicants]

Applicants must submit the application documents through the System according to the deadline specified by their Applying Organizations. Before submitting your application, be sure to contact the host researcher to-be (after you are awarded the fellowship) and obtain consent to host you.

*Be sure to check in advance with your Applying Organization on the deadline for submission, as the deadlines will vary for each organization.

[Applying Organizations]

Applying Organizations must approve the application documents on the System, and submit the application documents to JSPS by the following deadline. By submitting the application, the Applying Organization is deemed to have agreed that the DC2 applicant will engage in research activities at said Applying Organization if awarded fellowship.

- Deadline for Submission (Transmission) from the Applying Organization to JSPS: 5:00 p.m. Japan Standard Time (JST), Wednesday, June 7, 2023 [No exceptions]

*Applications submitted after the above deadline will not be accepted. Applying Organizations are advised to submit the applications well in advance of the deadline.

11. Selection and Disclosure of Results

(1) Selection

Each application will be screened based on the review section chosen by each applicant. Selection will be carried out through a two-stage document review in which the members of the Screening Committee for JSPS Research Fellowships for Young Scientists (six examiners) will conduct document reviews in two stages.

For details on the selection, see the JSPS Research Fellowship for Young Scientists 特別研究員 webpage > Selection Process 選考方法 section.

- Link to JSPS Research Fellowship for Young Scientists, Selection Process page:

https://www.jsps.go.jp/j-pd/pd_houhou.html

The general screening policy is as follows:

[Screening policy]

DC1 Research Fellowships, DC2 Research Fellowships

- (i) That the applicant provides the background leading to the establishment of the research theme, and that the approach is significant; that the method of research is unique, and that the future prospects of the research project are described.
- (ii) That the applicant has great potentials to become an outstanding researcher who will shoulder the future of science.

(2) Disclosure of selection results

- (i) The selection results will be disclosed to applicants and Applying Organizations over the System. An announcement will be posted on the JSPS Research Fellowship for Young Scientists (特別研究員) webpage upon disclosure of the results.

- Link to JSPS Research Fellowship for Young Scientists webpage:

<https://www.jsps.go.jp/j-pd/index.html>

*JSPS does not accept individual inquiries on the selection.

- (ii) JSPS will disclose the awardees under the primary selection, candidates under the secondary selection, and unsuccessful applicants by early October 2023.
- (iii) For candidates under the secondary selection, JSPS plans to disclose the awardees under the secondary selection, a waiting list, and unsuccessful applicants by early January 2024.
- (iv) For applicants on the waiting list, JSPS plans to disclose the awardees and unsuccessful applicants by late February 2024.
- (v) For unsuccessful applicants and their Applying Organizations, JSPS will disclose the approximate ranking among unsuccessful applicants for each review section. JSPS will also disclose the scores assigned by the Screening Committee for each review criteria.

*For more information on the notifications of review results for Grant-in-Aid for JSPS Fellows, refer to II. KAKENHI Application Procedures, section 13. Review Panels, etc., (2) Notification of Review Results.

12. Notes on the Application Documents and Selection Process

- (1) Applicants must use the format provided by JSPS for the application content file. JSPS does not accept changes to the formats, addition of pages other than the given formats, or uploading of documents other than those specified.
- (2) The application documents cannot be revised or supplemented after the submission deadline once they are submitted by the Applying Organizations to JSPS.
The information provided in the application forms will be reflected in the certificate and other documents after becoming a Fellow. Therefore, applicants should make sure that the information given, including the affiliation, title, etc. of the host researcher, is accurate by checking with their affiliated institution.
- (3) An applicant may submit only one application. If an applicant submits two or more applications, all applications will be invalid.
- (4) If any statement in the application documents is found to be false, JSPS may disqualify the Fellow, and terminate the fellowship, retroactively to the start of the fellowship tenure even if the fellowship has already been awarded.
- (5) The results of screening are valid only for the fellowship to be awarded in FY2024.

13. Obligations, etc. of Research Fellows, Host Researchers, and Host Research Institutions

- (1) During the fellowship tenure, Fellows must focus on their research based on the research plan provided in the application, unless they suspend their fellowships for childbirth/childcare, or due to injury or illness. While this does not uniformly rule out the various activities other than research activities as a Fellow, it is the responsibility of each Fellow to position their research activities as a principal activity, and manage their overall activity appropriately during the fellowship tenure so as to ensure that their performance is not compromised. Furthermore, Fellows are not allowed, in principle, to change their research theme or research plan. If it is evident that the Fellow cannot continue their research or if they cannot achieve the intended research results due to material issues in the progress of the research, JSPS may disqualify the Fellow and terminate the fellowship.
- (2) In principle, JSPS DC1 and JSPS DC2 Research Fellows cannot hold any status other than the status of a Fellow during the fellowship tenure, except for holding the status of graduate students (including enrollment at partner graduate schools in foreign countries to confer joint degrees, double degrees, etc. under an international joint diploma program or other joint educational programs).
- (3) If a Fellow accepts a full-time position or an equivalent job, JSPS may disqualify the Fellow and terminate the fellowship.
- (4) If a JSPS DC1 Research Fellow or a JSPS DC2 Research Fellow withdraws, suspends, or takes leave from the doctoral course (excluding periods subject to suspension of fellowship for childbirth/childcare, or due to illness), JSPS will disqualify the Fellow and terminate the fellowship.
- (5) Fellows must submit a research report at the end of each fiscal year and immediately after the completion of the fellowship tenure. (This shall not apply if the duration of suspension of fellowship for childbirth/childcare or due to illness extends throughout the entire fiscal year.)

- (6) In addition to the obligations in item (5) above, Fellows must submit the required documents for any assessments on the progress of research, etc. which may be conducted at the end of each fiscal year or after the completion of their fellowship tenures. If deemed necessary, JSPS may request Fellows to give oral presentations or provide status reports, etc.
- (7) If a Fellow is found to have breached any of the obligations above, or engaged in inappropriate behavior as Fellow, including research misconduct and misuse of research funds, JSPS may disqualify the Fellow and terminate the fellowship, and also demand for repayment of stipends already paid. Fellows will be asked to submit a written pledge upon acceptance of the fellowship award. Details are set forth in the Compliance Rules and Procedural Guidelines for JSPS Research Fellowships for Young Scientists, which can be found on the JSPS website.

- Link to the Compliance Rules and Procedural Guidelines:

https://www.jsps.go.jp/j-pd/pd_tebiki.html

*As the rules and guidelines are revised every fiscal year, the information may differ from those at the start of your fellowship tenure.

- (8) Host researchers and host research institutions will be asked to submit a Notice of Acceptance as part of the fellowship acceptance procedure to express their consent to assume the responsibility for the acceptance of Fellows and to provide guidance to ensure that their Fellows will abide by the provisions set forth in the Compliance Rules and Procedural Guidelines.
- (9) Host researchers and host research institutions are responsible for providing Fellows with a research environment to ensure that they have access to the facilities, equipment, literature, samples and specimen, communication environment (information systems, e-mail accounts), etc. that they need in carrying out the research activities.

Host researchers and host research institutions must provide their Fellows with guidance on the management for safety and health in accordance with the rules of each institution.

14. Post-selection Procedures, etc. Required for Successful Applicants

- (1) Confirmation of eligibility, etc. for successful applicants

Successful applicants will receive instructions on the post-selection procedures around mid-January 2024.

Applicants who fail to submit the required documents, including evidence to confirm eligibility, by the deadline will not be awarded fellowships. Note also that, as a result of review of the submitted documents, applicants who are found not to meet the eligibility criteria at the start of the fellowship tenure will not be awarded fellowships.

- (2) Change of fellowship category of applicants for DC1 or DC2 Research Fellowships for earning a doctoral degree after the selection or during the fellowship tenure

If an awardee of DC1 Research Fellowship or DC2 Research Fellowship completes the doctoral course and earns a doctoral degree, the fellowship category will be changed to PD Research Fellowship by completing the designated procedures. The PD Research Fellowship qualification will begin at the start of the fellowship tenure if the doctoral degree is granted prior to the commencement of fellowship, or from the following month if during the fellowship tenure, and will last for the

remainder of the fellowship tenure. Note that awardees cannot change their fellowship category to PD Research Fellowship unless the doctoral degree is granted from the graduate school indicated at the time of application at which they intended to enroll (or such other graduate school, if the awardee has changed the host research institution). For more information on the necessary procedures, etc. refer to the Compliance Rules and Procedural Guidelines, which can be found on the JSPS website.

(3) Other fellowships, scholarships, etc. (including student loans)

- (i) Upon accepting the JSPS Research Fellowship, those who are receiving student loans from the Japan Student Services Organization or other scholarships that cannot be received simultaneously with JSPS fellowship stipends must withdraw from such scholarships. (See the proviso under III. Other Relevant Information, 3. Handling of Personal Information)
- (ii) Upon accepting the JSPS Research Fellowship, international students who are grantees of the Japanese Government (Monbukagakusho: MEXT) Scholarships or any foreign government scholarships, etc. must withdraw from such scholarships. (See the proviso under III. Other Relevant Information, 3. Handling of Personal Information)
- (iii) If a Fellow, during the fellowship tenure, is found to be receiving funds that are not acknowledged by JSPS, JSPS may disqualify the Fellow and terminate the fellowship, and also demand for repayment of stipends already paid.

*For more information on items (i)-(iii), refer to the Compliance Rules and Procedural Guidelines, which can be found on the JSPS website.

(4) Taxes imposed on monthly stipends

Monthly stipends to be paid to Fellows are considered employment income and are taxable under Japanese tax law.

(5) Receiving other research funding, etc.

JSPS Research Fellows (DC) may receive research funding provided by organizations other than JSPS as well as allocation of research grants received by other researchers during their fellowship tenure. Fellows are also entitled to apply for the JSPS Overseas Challenge Program for Young Researchers and receive parallel grants.

- Link to JSPS Overseas Challenge Program for Young Researchers: <https://www.jsps.go.jp/j-abc/>
To receive these research funds, etc., you must meet certain criteria stipulated in the Compliance Rules and Procedural Guidelines. For information on necessary procedures and details, refer to the Compliance Rules and Procedural Guidelines, which can be found on the JSPS website.

(6) Receiving compensation

Fellows are entitled to receive compensation for labor, etc. during their fellowship tenure, subject to certain requirements in light of the intent of the JSPS Research Fellowship program. For more information, refer to the Compliance Rules and Procedural Guidelines, which can be found on the JSPS website.

(7) Other relevant information

Information on application status, etc. for the past few years are posted on the JSPS Research Fellowship for Young Scientists webpage.

*For information on the procedures after provisional grant decision for Grant-in-Aid for JSPS Fellows, refer to II. KAKENHI Application Procedures, section 14. Preparation and Submission, etc. of KAKENHI Application Documents (Research Proposal Documents), (3) Schedule after Submission of Research Proposal Documents.

15. Encouraging Research Activities Abroad

Having the experience of engaging in research abroad is critically important in promoting world-class research. Therefore, from the perspective of fostering outstanding researchers, JSPS strongly encourages young researchers to pursue their research activities abroad.

Note, however, that if a Fellow plans to conduct research at overseas research institutions outside the scope of the “delegation of research guidance” as set forth in 6. Host Research Institution (The institution at which the Fellow is enrolled for doctoral course studies), the length of staying abroad must be no longer than two-thirds of the fellowship tenure.

*A JSPS Research Fellow cannot enroll in an overseas university or graduate school as student, except for partner universities in foreign countries to confer joint degrees, double degrees, etc. under an international joint diploma program or other joint educational programs.

16. Obligations to Cooperate in Surveys after the Fellowship Tenure

For the purpose of promoting science in Japan, and improving and enhancing the fellowship programs, etc., JSPS conducts surveys, etc. on former Fellows to track their career paths and other status at the end of the fellowship tenure and for approximately ten years. Applicants should be aware that cooperating in these surveys is a condition for the fellowship award.

Note that JSPS may contact you after the fellowship tenure for these surveys and/or for the review of the fellowship programs. You must promptly notify JSPS when there are changes to your contact address, place of employment, e-mail address, etc.

<Announcement>

As part of an initiative to promote gender equal participation, JSPS offers a program to support female researchers in continuing their career after childbirth for awardees of the JSPS Research Fellowships and Overseas Research Fellowships. This program provides aid funds to support eligible fellows during suspension of fellowship for childbirth to maintain the health of female researchers during maternity and post-delivery. The program aims to provide researchers the sense of security to continue their careers. For more information on the application and detailed content of the support, visit the following site:

<https://cheers.jsps.go.jp/support/>

JSPS also runs the website CHEERS! for researchers. The site aims to support the diverse careers of all researchers, such as balancing research activities and life events. JSPS will release useful information on, for example, how to balance research and child raising and actively carry out various initiatives through CHEERS! to create a network among researchers. Researchers are encouraged to utilize the website.

JSPS-CHEERS!: <https://cheers.jsps.go.jp/>

II JSPS Doctoral Course (DC) Research Fellowships,
Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI-
FY2024
【JSPS Research Fellows—DC】

1. Recipients

Research projects carried out by one JSPS Research Fellows (DC) whose research plan contains excellent concepts expected to be advanced in the future.

2. Range of total budget (total budget throughout the research period)

Two funding categories:

- (1) JSPS Research Fellow (DC1) up to 3 years
(2) JSPS Research Fellow (DC2) up to 2 years

Funding Category	Range of total budget		
	Research Period 3years	Research Period 2years	Research Period 1year
A	2.4 million yen or less.	1.6 million yen or less.	0.8 million yen or less.
B (This category is applicable if the research plan requires the total budget to exceed the amount under Funding Category A. The allocated amount will be decided as falling under Funding Category B only if the need for the excess is acceptable in light of the evaluation made at the acceptance of the fellowship award. *2)	Over 2.4 million yen and up to 4.5 million yen.	Over 1.6 million yen and up to 3 million yen.	Over 0.8 million yen and up to 1.5 million yen.

*1 The eligible amount of funding is ¥100,000 or more per fiscal year for the research period. Grant amounts will be disbursed in units of ¥100,000.

*2 Even if an applicant chooses to apply for Funding Category B, the application may still be evaluated as Funding Category A if the need to exceed the range of total budget in Funding Category A is not deemed acceptable in light of the evaluation made at the acceptance of the fellowship award.

*3 Regardless of whether you choose Funding Category A or B for your application, it will not affect the review for the Grant-in-Aid for JSPS Fellows. Please select the appropriate funding category according to the content of your research plan.

*4 JSPS change the Grant-in-Aid for JSPS Research Fellows to a multi-year fund starting from FY2023.

*5 Application for the Grant-in-Aid for JSPS Fellows is acceptable only when you are applying for JSPS Doctoral Course (DC) Research Fellowships. Therefore, please note that even if you change your eligibility for JSPS Research Fellow from DC to PD after the deadline for submission of application documents, you are not allowed to change your eligibility to PD and newly apply for the Grant-in-Aid for JSPS Fellows under the PD funding

category and range of total budget.

3. Research period

DC1: Within three years from April 1, 2024 to March 31, 2027

DC2: Within two years from April 1, 2024 to March 31, 2026

- * Each of the above periods is the period of awarding JSPS Doctoral Course (DC) Research Fellowships for the fiscal year 2024.

Within this fellowship tenure, the research period may be set for a maximum of three years for DC1 and two years for DC2, with FY2024 as the first year.

4. Application Eligibility (etc.)

(1) Applicant Eligibility

Those who are eligible for application in accordance with this KAKENHI Application Procedures are the applicants for JSPS Doctoral Course (DC) Research Fellowships for the fiscal year 2024.

*** the Grant-in-Aid for JSPS Fellows (Research Fellows) can be applied for only when you are applying for JSPS Doctoral Course (DC) Research Fellowships.**

You cannot apply again in the second or third year of the fellowship tenure, so if you wish to apply for the Grant-in-Aid for JSPS Fellows (Research Fellows), you must complete the application procedure this time.

(2) Research Team

In carrying out a project under the Grant-in-Aid for JSPS Research Fellows, the Fellow becomes the Principal Investigator and conducts the research by him or herself. As the Principal Investigator, s/he is stipulated as the member of a funded project under the Law on Optimizing Implementation of Budgets Relating to Subsidies (Law No.179, 1955). As such, s/he bears full responsibility for the implementation of the project (including compiling the research achievements).

(3) Research institutions to which the Research Proposal Document is to be submitted

Your application should be made through the research institution where you will be engaged in research as JSPS Research Fellow (hereinafter referred to as the “host research institution”). Those who have not yet decided on the host research institution should apply through the Applying Organization for the JSPS Research Fellow. (For information on the host research institution, please review “6. Host Research Institution (The institution at which the Fellow is enrolled for doctoral course studies)” of “I. JSPS Doctoral Course (DC) Research Fellowships Application Guidelines.”

5. Application Documents

Starting with the call for proposals for the fiscal year 2024, the application documents for the call for proposals for the Grant-in-Aid for JSPS Fellows (Research Fellows) will be accepted at the same time as applications for the Doctoral Course (DC) Research Fellowships. Therefore, please submit the application documents for the Grant-in-Aid for JSPS Fellows (Research Fellows) at the same time as the application for the Research Fellowships. In accordance with the funding category stipulated in “2. Range of Total Budget,” in the case of the Grant-in-Aid for JSPS Fellows (Research Fellows), applicants may choose either Funding Category A or B. No choosing is necessary if the applicant does not apply for the Grant-in-Aid for JSPS Fellows.

In preparing “(d) [Research Plan] Attachment: Envisaged Budget for FY2024 Grant-in-Aid for Scientific Research—KAKENHI—JSPS Research Fellows” of “(3) Documents to be submitted” in “9. Application Procedures” of “I. JSPS Doctoral Course (DC) Research Fellowships Application Guidelines” (hereinafter referred to as the “Envisaged Budget”), please enter the information about "Research Expenditure and Necessity" and "Status of Application and Acquisition of Research Grants" based on the envisaged total budget for each of Funding Categories A and B into the "JSPS Electronic Application System for Research Fellowship Programs." If you are not applying for the Grant-in-Aid for JSPS Fellows, no entry is necessary.

The Envisaged Budget will be used as the **"Research Proposal Document"** for review, together with the content of your research plan, including the title of your research proposal, etc. in your application for JSPS Research Fellows. The Research Proposal Document consists of the following:

[Research Proposal Document]

(Information provided in the application information)

- Eligibility
- Title of research proposal
- Applicant's name

(Information provided in the application content files)

- Research plan

(Envisaged Budget for the Grant-in-Aid for JSPS Fellows)

- Research Expenditure and Necessity
- Status of Application and Acquisition of Research Grants

Please confirm the deadline for submitting the application documents, which is specified in "10. Deadline for JSPS's Acceptance of Applications" of "I. JSPS Doctoral Course (DC) Research Fellowships Application Guidelines."

6. Budgets

1) Expenditures that can be covered by direct expense

Expenditures necessary for the implementation of the research plan (including those necessary for compiling the research achievements) can be covered by the direct expense.

For concrete details, please refer to the Spending Rules, Section 2-2.

*If any of the expenditure categories (equipment costs, travel expenses, or personnel cost/honoraria) exceeds 90% of the total yearly expenditure in any fiscal year of the research period, or if the expenditure in category Consumables or Miscellaneous constitutes a significant portion of the total expenditure, the necessity of that spending should be clarified in Research Proposal Document.

As this funding is meant for use by JSPS Research Fellows to carry out their own research. Please bear in mind that is for the autonomous use of the Fellow.

2) Expenditures that cannot be covered by KAKENHI

The following kinds of spending cannot covered by KAKENHI:

- ① Costs associated with buildings and other facilities (excluding expenditure for installations necessary for installation of research equipment purchased by the KAKENHI direct expense).
- ② Expenditures for measures to deal with accidents or disasters that occurred during the implementation of funded project
- ③ Personnel cost/honoraria for the Principal Investigator
- ④ Other expenditures that are apt to be covered by indirect expense

3) Important Points in the Use of KAKENHI Grants

The Grant-in-Aid for JSPS Research Fellows is funded under the KAKENHI Multi-year Fund. Therefore, it is possible to use the grant to cover the expenditures extending over fiscal year boundaries.

Moreover, if an amount of grant remains unused by the end of a fiscal year, it can be carried over to the successive fiscal year(s) as long as they are within the overall research period, without going through prior authorization procedures.

If your fellowship tenure will continue into the fiscal year following the final fiscal year of the research period (due to suspension of fellowship, etc.), you may choose to extend your funded project period for one additional year by obtaining prior approval for extension of research period.

4) Continued use of Grant-in-Aid for JSPS Research Fellows when formally employed by a research institution

If a JSPS Fellow is formally employed and withdraws from the fellowship and loses status, but continues to meet the eligibility criteria to apply for KAKENHI grants*, JSPS will allow said former JSPS Fellow to continue the use of Grant-in-Aid for JSPS Research Fellows during the original funded project period.

* Researchers who meet the eligibility criteria to apply for KAKENHI grants shall mean those who have the application eligibility as set forth in the Application Procedures for Grants-in-Aid for Scientific Research—KAKENHI—FY2024:

- Specially Promoted Research, and Scientific Research (S/A)
- Scientific Research (B/C), Challenging Research (Pioneering/Exploratory), and Early-Career Scientists
- Research Activity Start-up

7. Research Project and Plan

The research proposal you are applying with must be the same as that specified in “Application Form for DC Research Fellowships.”

The research plan stated in the Research Proposal Document for the Grant-in-Aid for JSPS Fellows should be the research plan specified in “Application Form for DC Research Fellowships”, which is the research plan stipulated in “(b) Application content files” of “(3) Documents to be submitted” in “9. Application Procedures” in “I. JSPS Doctoral Course (DC) Research Fellowships Application Guidelines”. The research plan should be clear on how the research expenditure will be used, and the calculation methods should be reasonable. It should be prepared in such a way that allows for the research results to be compiled and reported at the end of the project period.

8. Rules on Receiving Grants and Restriction on Parallel Grant Application/Receipt

(1) Rules on Receiving Grants

To be eligible for funding under another Grant-in-Aid category, JSPS Fellows must satisfy all of the following three conditions. Also, the other grant must be seen as advancing further the Fellow’s research during his/her tenure. A JSPS Research Fellow must obtain a Researcher No. if he/she wishes to apply for another Grant-in-Aid category which he/she is eligible to apply for and receive grants as a Principal Investigator or Co-Investigator in parallel with the Grant-in-Aid for JSPS Research Fellows.

- 1) The other grant must not impede the implementation of the research project that s/he is conducting as a JSPS Research Fellow.
- 2) The grant must not be for the same project that the JSPS Research Fellow is conducting.
- 3) The grant must be issued to the same research institution that the JSPS Research Fellow notified JSPS as being his/her host research institution.

When JSPS Fellows receive Grants-in-Aid for Scientific Research, they will also need to follow the separate procedures established under the system for JSPS Research Fellows. Please check the “Compliance Rules and Procedure Guidance for JSPS Research Fellow” .

(2) Restricting Duplication

- 1) DC Fellows may not apply for and receive grants as Principal Investigator in KAKENHI funding categories other than Grant-in-Aid for JSPS Research Fellows.
- 2) DC Fellows may participate in funded research projects under other KAKENHI funding categories as Co-Investigators only if their host research institutions grant them the eligibility to apply for Grants-in-Aid. As DC Fellows are pursuing their doctoral course studies to earn their doctoral degrees, host researchers, PIs of the funded projects, and/or their affiliated institutions must ensure that DC Fellows do not take on excessive responsibility for the implementation of KAKENHI-funded projects.
- 3) DC Fellows may participate in KAKENHI-funded research projects as Research Collaborators regardless of their eligibility to apply for Grants-in-Aid.

*They should check the application guidelines for their eligibility under each grant category and verify the category's duplication restrictions.

9. Appropriate use of KAKENHI (etc.)

(1) Rules Pertaining to KAKENHI

KAKENHI (Multi-year Fund) are governed by the application with modifications of the “Law on Optimizing Implementation of Budgets Relating to Subsidies” (Law No. 179, 1955) and the application of the “Basic Policy on the Management of the KAKENHI (Multi-year Fund)(Decision by the Minister of Education, Culture, Sports, Science and Technology)”, the Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund))” (Rule No. 19, 2011) and other rules.

(2) Appropriate Use of KAKENHI

KAKENHI are funded by the tax of citizens and other sources, so please ensure that the KAKENHI is used efficiently and effectively, for example through planning for the communal use of purchased items.

Researchers receiving the KAKENHI have a duty to comply with the related laws, regulations and spending rules by researchers (subsidiary conditions), and also to use such grants appropriately.

To facilitate the appropriate use of KAKENHI, research institutions (host research institutions administering the “Grant-in-Aid for JSPS Research Fellows”) to which the researchers belong are responsible for the management of KAKENHI. The Administrative work that each research institution is required to carry out (rules for use for institutions) is determined by JSPS.

The research institutions are responsible for the appropriate accounting of KAKENHI. It is desirable, for example, to set up an accounting system for proper management of KAKENHI budget and expenditure, purchase order and delivery inspection, and internal auditing. To prevent improper business transactions, it is important, in addition to appropriate delivery inspections, to make all traders thoroughly informed of the KAKENHI rules and thus obtain cooperation of traders in the prevention of this kind of fraudulent accounting. Research institutions should take rigorous measures so as to eliminate business malpractice.

KAKENHI applicants and their research institutions must have full understanding of the KAKENHI rules prior to the submission of their research proposals.

(3) Penalty for the Case of Infringement of Related Laws and Regulations

If there have been serious falsehoods in the application documents, or violation of relevant laws, regulations and guidelines, the delivery of KAKENHI may be suspended or cancelled.

10. “Guidelines on the Proper Implementation of Competitive Research Funds” etc.

The “Guidelines on the Proper Implementation of Competitive Research Funds” (Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Research Funds, September 9, 2005; revised December 17, 2021) states common understandings among the research-related ministries and offices in regard to allocation of competitive research funds, in terms of elimination of such inappropriate practices as unreasonable duplication and/or excessive overconcentration in the grant allocation, fraudulent acquisition and/or unlawful use of grants, and misconducts in research activities. The implementation of the KAKENHI system as well as other competitive research funds scheme follows the above-mentioned “Guidelines” and other related rules. Applicants are urged to take special notice of the following points.

(1) Elimination of Unreasonable Duplication and/or Excessive Overconcentration in the Grant Allocation

1) Towards elimination of “Unreasonable Duplication and/or Excessive Overconcentration” (*) of competitive research funds, relevant information on funding applications are shared among the pertinent ministries and funding agencies, making use of the Cross-ministerial Research and Development management system (e-Rad).

Therefore, applicants, when submitting more than one KAKENHI applications and/or other competitive research funds, are urged to prepare their application documents with due care to clearly state the differences between the project to be submitted and their other projects so as to make it clear that they do not constitute unreasonable duplication.

In case a particular KAKENHI application is recognized as constituting a case of unreasonable duplication and/or excessive overconcentration, that application may not be granted.

- 2) The following conducts may result in rejection of the research project, cancellation of grant, or reduction of the research budget: untruthful statement or misrepresentation in any of the entry of the status of applications and acquisitions of other competitive research funds (including those of other ministries) and other grants in the research proposal document (such as name of research grant, title of research project, research period, amount of budget, affiliated institution/position upon application/acquisition of such grants, etc.); if it is found that the applicant has not appropriately shared with his/her affiliated research institution, the information necessary to ensure the transparency of all research activities that he/she is involved in, including information on research funds and side jobs, etc., as well as information on donations, etc., and information on supports other than monetary funds, for example, through the provision of facilities and/or equipment.
- 3) Inquiries on the status of acceptance of facilities and/or equipment used for the research, the status of management of such facilities/equipment, and request for other information may be made to researchers, etc.

(*) Elimination of Unreasonable Duplication and Excessive Overconcentration in Grant Allocation

“Guidelines on the Proper Implementation of Competitive Research Funds” -Extract-
(Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Research Funds, September 9, 2005; revised December 17, 2021)

2. Elimination of Unreasonable Duplication and/or Excessive Overconcentration in the Grant Allocation

(1) Basic Policy of the Unreasonable Reduplication and Excessive Overconcentration

- i) In the “Guidelines”, “Unreasonable Duplication” refers to a situation in which more than one competitive research funds are unnecessarily and duplicative allotted to one and the same research project by one and the same researcher. Either of the following cases falls under “Unreasonable Duplication”.
- Cases where simultaneous applications have been made to more than one competitive research funds for substantially the same research project, and where these research projects are redundantly adopted .
 - Cases where an application has been made again for substantively the same research project as another project that has already been adopted, and for which the allotment of competitive research funding has already been completed.
 - Cases where there is duplication in the use of research funds among more than one research projects.
 - Other cases corresponding to those above.
- ii) In these guidelines, “Excessive Concentration” is a situation in which the entire research funds that are allotted to one and the same researcher or research group (hereinafter referred to as “researcher, etc.”) in the fiscal year in question exceeds the limit within which they can be used effectively and efficiently, and in which the research funds cannot be used within the research period. Either of the following cases falls under “Excessive Concentration”.
- Cases where, in the light of the abilities of the researcher, etc. and the research methods, etc., excessive research funds are allotted.
 - Cases where, in comparison with the effort (the time allocation rate (%) of time necessary for the implementation of the research activities with the entire working time of researcher) that is being allotted to the research project in question, excessive research funds are allotted.
 - Cases where the purchase of unnecessarily expensive equipment is carried out.
 - Other cases corresponding to the cases mentioned above.

(2) Dealing with “Improper Grant Spending”, “Fraudulent Grant Acquisition” or “Research Misconduct”

- “Improper Grant Spending”, “Fraudulent Grant Acquisition” and “Research Misconduct” refer to the following type of acts respectively.
- “Improper Grant Spending” :
 - Use of competitive research funds for other purposes, intentionally or by gross negligence, for example, by conducting fictitious business transactions (“azukekin”) with a trader through fictitious order placements, or by charging costs higher than actually needed for personnel, travel expenses, etc., or use of competitive research funds in violation of the content of the funding decision or the conditions it implies.
- “Fraudulent Grant Acquisition” :
 - Receiving competitive research funds by deception or other fraudulent means, for example, by applying under the name of another researcher, or by making false entries in application documents.
- “Research Misconduct” :
 - Fabrication, falsification, or plagiarism of data, information, or findings published research achievements based

on the intent of the researcher, or the failing of the researcher to fulfill the basic duty of care that he/she has.

- (i) **No KAKENHI will be offered, for a fixed period of time, when a researcher or related party has committed an improper grant spending of KAKENHI, has committed a fraudulent grant acquisition of KAKENHI, or has committed a research misconduct.** Moreover, for research projects for which it is established that an improper grant spending of grants, a fraudulent grant acquisition of grants or research misconduct has been committed, the researcher in question may be required to return the given KAKENHI completely or partially.

Moreover, an outline of the improper grant spending of KAKENHI, the fraudulent grant acquisition of KAKENHI, and/or the research misconduct in question of the researcher who falls in those categories (containing an outline of the outcome of the investigation in the research institution, the names of the people involved, the name of the system, the institution they belong to, the research project, the budget, the fiscal year of the research, the fraudulent content, details of the measures taken, etc.) will be made public.

Also researchers who have committed improper grant spending or fraudulent grant acquisition of competitive research funds other than the KAKENHI (including funds under the jurisdiction of other Offices and Ministries) etc., and/or has committed research misconduct by means of these competitive research funds, and therefore are excluded from receiving these funds in question for a certain period of time, will not receive the KAKENHI for the same period of time.

Note: This applies to those schemes newly starting a call for proposals in FY2024(and onward) for “competitive research funds other than KAKENHI etc. (including funds under the jurisdiction of other Offices and Ministries)” as well. It also applies to those schemes that ended before FY2023. Refer to the website below for the schemes to which this specifically applies at present.

URL:https://www8.cao.go.jp/cstp/compefund/kyoukin_r2-3.pdf

○Period of KAKENHI suspension

[Improper Grant Spending and Fraudulent Grant Acquisition of KAKENHI]

Researcher categories	Extent of the improper grant spending		Period of KAKENHI suspension
I. Researchers who committed improper grant spending of KAKENHI and researchers who conspired in such acts	1. Misappropriation of KAKENHI for personal gain		10 years
II. Researchers who committed improper grant spending of KAKENHI and researchers who conspired in such acts	2. Other than 1.	(i) Cases of major seriousness and maliciousness	5 years
		(ii) Cases other than (i) and (iii)	2 to 4 years
		(iii) Cases of minor seriousness and maliciousness	1 year
III. Researchers who acquired KAKENHI 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 grant spending of KAKENHI, but failed to exercise due care and used the funds as a result.	-		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 cases 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 cases IV above, the researchers in case that the influence on society and the maliciousness of their conducts are judged to be insignificant.

[Research Misconduct]

Individual Involvement in the Misconducts			Negative Impacts on Science and on Public at Large Degree of Maliciousness	Period of KAKENHI Suspension
Subject of Research Misconduct	(a) Particularly malicious individual(s) who, for example, had intention of research misconduct from the very beginning of the research			10 years
	(b) 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		
	(c) 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
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 year(s)

* In cases where specific issues for extenuation such as voluntary withdrawal of the paper in question may be taken into account, the suspension period can be shortened as judged fit.

- (ii) The relevant information of each research misconduct case may be provided to the offices of the research funding agencies (including Incorporated Administrative Agencies) under the jurisdiction of the relevant Office. Thereby the penalized researcher may be also subject to restriction in application of and/or participation to research projects in other competitive research funds other than KAKENHI.

Note: “Application and/or participating” means proposing new research projects, applying, responding to call for proposals, newly participating to research as a person involved in collective research, etc. and participating as a Principal Investigator or a person involved in collective research, etc. in research projects in progress (continued research projects).

- (iii) Research institutions are required to comply with the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards) (revised in February 1, 2021), Ordered by the Minister of Education, Culture, Sports, Science and Technology” and the “Guidelines for Responding to Research Misconduct (adopted August 26, 2014 by MEXT)”. Therefore, research institutions should pay adequate attention to these two sets of Guidelines when researchers implement their research activities. In case where the status of the system improvement in line with these guidelines is recognized inadequate based on the survey results, the measures such as the reduction in indirect cost of all kinds of grants disbursed by MEXT or the Incorporated Administrative Agencies under the control of MEXT to the research institution(s) in question, can be taken.

- “Guidelines on the Management and Audit of Public Research Funds at Research Institutions”
URL: https://www.mext.go.jp/a_menu/kansa/houkoku/1343904_21.htm
- “Guidelines for Responding to Research Misconduct”
URL: https://www.mext.go.jp/a_menu/jinzai/fusei/index.htm

Note: Examples of improper grant spending, fraudulent grant acquisition and research misconduct of KAKENHI.

<p>○ Improper grant spending</p> <ul style="list-style-type: none"> Someone instructed a trader to forge fictitious transaction pretending to have purchased expendables, made the university pay a KAKENHI for them, and then instructed the trader to keep the money as deposit for future use. Someone instructed a trader to forge a fictitious transaction, obtaining a false invoice which carries item names different from those actually ordered and delivered, and then made the university pay a KAKENHI for them. Someone instructed his/her students to submit false work attendance sheets, made the university pay a KAKENHI for them, and then kept the money as a pooled fund of his/her lab. Someone visited destination not listed on the overseas travel itinerary, in order to have a meeting on cooperative research unrelated to the purpose of the KAKENHI research project. <p>(Note) The expenditure of the KAKENHI for fictitious and other transactions, like the ones mentioned in the case examples above, are all considered “misappropriation or misuse”, even if the expenditure was intended for the purpose of conducting the KAKENHI research project.</p> <p>○ Fraudulent grant acquisition</p> <ul style="list-style-type: none"> A researcher ineligible for the KAKENHI funding made application and acquired a KAKENHI grant. <p>○ Research misconduct</p> <ul style="list-style-type: none"> Someone manipulated or forged experimental data or figures in a research paper published as an achievement of the research supported by a KAKENHI. Someone published books of his/her achievement with KAKENHI which contained an article translated from an original English research paper with no prior consent from the author(s) nor proper quotation statement.

11. Dissemination, Etc. of Research Achievements supported by KAKENHI

KAKENHI research achievements are made available to other researchers and to the general public, through posting of the “Research Outline” and the “Report on the Research Achievements” on the Grants-in-Aid for Scientific Research Database (KAKEN) operated by the National Institute of Informatics.

Moreover, the expenses for outreach-related activities including dissemination of international research achievements by publishing research papers, etc., can be covered by direct expenses. The KAKENHI grantees are urged to actively pursue public promotion of their international research achievements through the aid of KAKENHI so as to make them widely known to the public at large.

Upon disseminating the research achievements, please take note of the following issues as well.

(1) The acknowledgment for KAKENHI grant in research publications

When publishing research achievements of the KAKENHI project, researchers should be sure to express that the project has been supported by the KAKENHI grant, by stating in the “Acknowledgment” section of the paper the “JSPS KAKENHI Grant Number JP8 digits” in the case of English publication or “JSPS 科研費 JP8 桁の課題番号” in the case of Japanese publication.

〈Example〉

【English】 This work was supported by JSPS KAKENHI Grant Number JP12KJ3456.

【Japan】 本研究は JSPS 科研費 JP12KJ3456 の助成を受けたものです。

(2) The implementation of the fair and conscientious research activities

The research using the KAKENHI should be carried out based on researcher’s own self-awareness and responsibility. Therefore the publication on the implementation of the research or research achievements, etc. should not come from the government request and the views and responsibilities on the research achievements should be attributed to the researchers themselves.

On the occasion such as researchers release the research achievements using the KAKENHI broadly to the public, the examples of the indication noting that the research achievements are based on the personal views are given below.

〈Example〉

【English】 Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the author's(s') organization, JSPS nor MEXT.

【Japan】 本研究の成果は著者自らの見解等に基づくものであり、所属研究機関、資金配分機関及び国の見解等を反映するものではありません。

(3) Promotion of “Open Access” to the research papers supported by KAKENHI grants

The Japan Society for the Promotion of Science (JSPS) endorses general policy of promotion of open access of publications of research results funded by public grants including KAKENHI. Note that open access is not mandatory if there are justifiable reasons for deferral such as copyright-related issues, or insufficient repository infrastructure at the research institution.

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

URL: https://www.jsps.go.jp/data/Open_access.pdf

【Reference 1: What is “Open Access”】

“Open Access” refers to the idea that research papers published in peer-reviewed journals, etc. should be made freely accessible by anyone on line.

【Reference 2: Different Routes to Open Access】

There are three main ways of open access implementation ((i) to (iii) below)

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

*1: “Embargo”

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

*2: Institutional Repository

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

*3: Self-archiving

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

(iv) Management of Research Data

As to the management and utilization of research data obtained through the implementation of research activities, in order to secure the

autonomy of Japan's research and development activities and promote international open science, policies such as the Sixth Science, Technology, and Innovation Basic Plan (Cabinet Decision on March 26, 2021) and Basic Policies on the Management and Utilization of Research Data Created by Publicly-Funded Research Activities (April 27, 2021, Decision of Council for Science, Technology and Innovation) call for initiatives towards strategic storage and management of research data as well as broader utilization of the research results.

Therefore, there is a plan in which, starting from the FY2024 KAKENHI call for proposals, upon formal application for grant delivery, the Principal Investigator of an adopted research project will be asked to formulate a Data Management Plan ("DMP") outlining the storage and management, etc. of research results and research data of his/her research project.

- The Sixth Science, Technology, and Innovation Basic Plan (Cabinet Decision on March 26, 2021) P.58-61

URL: <https://www8.cao.go.jp/cstp/kihonkeikaku/6honbun.pdf>

- Basic Policies on the Management and Utilization of Research Data Created by Publicly-Funded Research Activities (April 27, 2021, Decision of Council for Science, Technology and Innovation)

URL: <https://www8.cao.go.jp/cstp/tyousakai/kokusaiopen/sanko1.pdf>

12. Code of Conduct for Scientists to Adhere

To ensure the quality of scientific knowledge and to gain trust of society on scientists and scientific communities, it is essential to exercise fair and conscientious research activities with the adherence to the code of conduct for scientists. Applicants must understand and practice the contents of both the Statement "Code of Conduct for Scientists -Revised Version- " (section I. "Responsibilities of Scientists") by the Science Council of Japan and the booklet "For the Sound Development of Science -The Attitude of a Conscientious Scientist-" (especially section I "What Is a Responsible Research Activity?") issued by the Japan Society for the Promotion of Science (JSPS).

And also take note that upon the formal application for grant delivery, it shall be confirmed through the electronic application system whether the Principal Investigator will have taken the research ethics education coursework, etc.

[Extraction from the Statement "Code of Conduct for Scientists – Revised Version –" by the Science Council of Japan dated on 25 January 2013]

I. Responsibilities of Scientists

(Basic Responsibilities of Scientists)

- 1 Scientists shall recognize that they are responsible for assuring the quality of the specialized knowledge and skills that they themselves create, and for using their expert knowledge, skills and experience to contribute to the health and welfare of humankind, the safety and security of society and the sustainability of the global environment.

(Attitude of Scientists)

- 2 Scientists shall always make judgments and act with honesty and integrity, endeavoring to maintain and improve their own expertise, abilities and skills, and shall make the utmost effort to scientifically and objectively demonstrate the accuracy and validity of the knowledge they create through scientific research.

(Scientists in Society)

- 3 Scientists shall recognize that scientific autonomy is upheld by public trust and the mandate of the people, understand the relationships between science, technology, society, and the natural environment from a wide-ranging perspective, and act in an appropriate manner.

(Research that Answers to Social Wishes)

- 4 Scientists shall recognize that they are responsible for answering to the wishes of society to investigate into truths and to achieve various issues. When using research funds that are to be provided for establishing the research environment and for conducting research scientists shall always recognize that such broad social expectations exist.

(Accountability and Disclosure)

- 5 Scientists shall strive to disclose and actively explain the roles and significance of their own research, evaluate the possible effects of their research on people, society and the environment as well as the changes that their research might engender, neutrally and objectively disclose the results of this evaluation, and build a constructive dialogue with society.

(Dual Use of Scientific Research Outcomes)

- 6 Scientists shall recognize that there exist possibilities that their research results, contrary to their own intentions, may be used for destructive actions, and shall select appropriate means and methods as allowed by society in conducting research and publicizing the results.

* URL: <http://www.scj.go.jp/ja/scj/kihan/>

[“For the Sound Development of Science – The Attitude of a Conscientious Scientist –” by the Japan Society for the Promotion of Science (JSPS)]

(Japanese version (text version)) (“For the Sound Development of Science” Editorial Committee on JSPS)

* URL: <https://www.jsps.go.jp/j-kousei/data/rinri.pdf>

13. Review Panels and Other Matters

(1) Review Methods and Other Matters

The review for the KAKENHI is carried out by the Scientific Research Grant Committee of the JSPS, and it is based on the Research Proposal Document. The review takes place behind closed doors.

As applicants provide unpublished research results and research ideas, and other information in their Research Proposal Documents on the premise that the review will be conducted privately, JSPS asks reviewers to maintain their confidentiality obligations, including the following.

- In order to protect the intellectual property of the applicants and ensure fairness of the peer review system, reviewers must not disclose the content of the Research Proposal Documents or any other information, in whatever form, that they learn in the course of the review to any other person including their superiors, colleagues, or subordinates.
- Reviewers must not use any information that they learn in the course of the review for their own benefit.
- Reviewers have the obligation to keep the review materials under strict control.

The details on “assessment rules” (“Rules concerning the review and assessment for the Grants-in-Aid for Scientific Research” (called “review and assessment rules”)) can be checked on the JSPS website.
(URL: https://www.jsps.go.jp/j-grantsinaid/01_seido/03_shinsa/index.html).

(2) Notification of the Review Results

The results of the application screening for the Grant-in-Aid for JSPS Research Fellows will be notified to the host research institutions.

Regarding the schedule, please refer to “(3) Schedule after Submitting the Research Proposal Documents (plan)” of “14. Preparation of the KAKENHI Application Form (Research Proposal Document), etc” in this KAKENHI Application Procedures.

14. Preparation of the KAKENHI Application Form (Research Proposal Document), etc.

(1) Preparation of KAKENHI Research Proposal Document

Grants-in-Aid for Scientific Research is a competitive research funds intended to provide financial support for creative and pioneering research conducted by individual researchers. Therefore, the contents of the Research Proposal Document must be original planned by the applicant.

In preparing Research Proposal Document, plagiarism and/or misappropriation of the research contents of others are strictly impermissible. Applicants must comply with research ethics.

The prepared Research Proposal Document must be submitted together with the application form for the JSPS Doctoral Course (DC) Research Fellowships for the fiscal year 2024. For details such as submission deadlines and methods, please refer to “9. Application Procedures” and “10. Deadline for JSPS’ s Acceptance of Applications” of “I. JSPS Doctoral Course (DC) Research Fellowships Application Guidelines.”

(2) Points to Keep in Mind When Preparing the Research Proposal Document

- (1) Each year, errors are found in the entry of the requested grant amount. Make sure to enter the amount in units of thousand yen (e.g., if the amount is 100,000 yen, enter “100 thousand yen”).
- (2) For details regarding the use of the JSPS Electronic Application System (the JSPS Electronic Application System for Research Fellowship Programs), please refer to its Operation Manual (URL: <https://www.shinsei.jsps.go.jp/topyousei/download-yo.html>).
- (3) For Budget, please check “6. Budgets” The cost of “buyout” (i.e., the cost for hiring someone taking over a

part of the duties other than research) cannot be covered by the direct expense for the Grant-in-Aid for JSPS Research Fellows.

[Direct Expense of Competitive Research Funds to Cover the Costs of Assignments Other Than Research]

The cost of “buyout” (i.e., the cost for hiring someone taking over a part of the duties other than research (*) of the Principal Investigator or Co-Investigator(s)) can be covered by the direct expense so that they can secure ample amount of time for research projects (the buyout system).

* The kinds of duties that can be covered by the buyout system are those authorized as proper jobs of the researcher at his/her research institution, excluding (i) research activities, and (ii) administrative work for institutional management. They include educational and related activities, e.g., educational activities (teaching and preparation for teaching, supervising students) and social engagement activities (medical practices, outreach activities). Activities associated with business profit are excluded.

Starting from the FY2021 Call for Proposals, the buyout system is applicable in the research categories listed below. A KAKENHI applicant who wish to use the buyout system should do so according to the buyout scheme agreed upon between him/her and his/her research institution.

When an applicant wishes to use the buyout system, enter the cost of the buyout in the “Miscellaneous expense” column, and enter the word “buyout” in the “Item” column of the Research Proposal Document form. (Please refer to the supplementary volume of “Application Procedures for Grants-in-Aid for Scientific Research—KAKENHI—” (Forms/Procedures for Preparing and Entering a Research Proposal Document)).

[Research categories subject to the buyout system]

Specially Promoted Research, Transformative Research Areas, Scientific Research on Innovative Areas (Research in a Proposed Research Area) (excluding “Platforms for Advanced Technologies and Research Resources”), Scientific Research, Challenging Research (including “Challenging Exploratory Research”), Early-Career Scientists (including “Young Scientists (A/B)”), Research Activity Start-up, International Leading Research, Fostering Joint International Research (B), Home-Returning Researcher Development Research (limited to those who belongs to the domestic research institutions), Special Purposes.

[Research categories **not** subject to the buyout system]

Encouragement of Scientists, Publication of Scientific Research Results, JSPS Fellows, Scientific Research on Innovative Areas (Research in a Proposed Research Area) (Platforms for Advanced Technologies and Research Resources), Fostering Joint International Research (A) (including the Joint International Research before name change). As for the research category of Fostering Joint International Research (A) (including the Joint International Research before name change) it is possible to budget the cost for hiring replacements.

As for the details of the expenses covered by the buyout system and matters to be done by the research institution refer to the following.

"Amendment Enabling Direct Expense of Competitive Research Funds to Cover the Costs of Duties Other Than Research (Introduction of Buyout System)" (October 9, 2020, Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Research Funds)

https://www.mext.go.jp/a_menu/shinkou/torikumi/1385716_00003.htm

The objective of the buyout system is to increase the number of hours the PI (or Co-I) can devote to the funded project on the basis of his/her own needs and request. Accordingly, items such as the actual presence of the PI's (or Co-I's) needs and request, and the resulting expansion of research time devoted to the funded project (increased number of hours for research) may be subject to later inspection in relation to the grant spending. In the event that the buyout expenditure is found to be used improperly (e.g., the increase in hours devoted to the funded project is not verified), an order to return the delivered grant may be issued. Therefore, the research institution should ensure the appropriate implementation of the buyout system.

(3) Schedule after Submitting the Research Proposal Documents (plan)

The selection results for the Grant-in-Aid for JSPS Research Fellows (JSPS Research Fellow) will be notified to the host research institutions after the KAKENHI screening process is concluded. Grant amounts will be disbursed in units of ¥100,000.

The schedule (tentative) for issuing notifications of informal decision of grant disbursal is as follows:

There may be changes in the plan including the timing of the provisional grant decision due to COVID-19. When the changes occur it will be announced on the JSPS website and through the research institutions.

Late April 2024: Provisional grant decision

Late May: Formal application for grant delivery

Late June: Official grant decision

Mid-July: Remittance

*It is, to be reminded that, depending on the situation of the national budget, etc, enactment, this schedule may be subject to change at a later stage.

(4) Points to keep in mind after submission of the Research Proposal Document

Provisional awardees of the JSPS Research Fellowship must, at a later date after the disclosure of the selection result, must enter their academic unit number of the host research institution which is registered in e-Rad, in relation to their application for the Grant-in-Aid for JSPS Fellows (DC Research Fellows).

Details will be informed around mid-January 2024 as part of the necessary procedures after the provisional grant decision.

15. Procedures to Be Completed by the Research Institution

The Research Proposal Document prepared by the Principal Investigator must be submitted together with the application form for the JSPS Doctoral Course (DC) Research Fellowships for the fiscal year 2024. For details on submission deadlines and methods, please refer to “9. Application Procedures” and “10. Deadline for JSPS’ s Acceptance of Applications” of “I. JSPS Doctoral Course (DC) Research Fellowships Application Guidelines.”

Please also note the following points when applying for the Grant-in-Aid for JSPS Fellows (DC Research Fellows).

(1) Ascertainment of the Eligibility for KAKENHI Application

It should be verified whether the Principal Investigator listed in the Research Proposal Document are researchers who meet the requirements that are stipulated in this KAKENHI Application Procedures.

Moreover, it should be verified certainly that they must not be categorized as ineligible for grant acquisition in FY2024 in KAKENHI and other competitive research funds, as a penalty for their improper grant spending, fraudulent grant acquisition, or research misconduct.

(2) Verification with the Principal Investigator

The research institution should verify whether the Principal Investigator who have been listed in the Research Proposal Document have completed the Research Proposal Document, after confirming the description in the column “1. Recipients” ~“13. Review Panels and Other Matters” in this KAKENHI Application Procedures.

(3) Submission of the “Self-Assessment Checklist on the Improvement of the System” Based on the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)”

When implementing the adopted research projects with KAKENHI grant the research institutions must comply with the content of the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)” (Adopted by the Minister of MEXT. Revised on February 1, 2021) (hereinafter referred to as “Guidelines on Public Research Funds”), they must set up a system of the management and audit for implementing the public research funds and report the state of implementation and other matters by submitting a “Self-Assessment Checklist on the Improvement of the System based on the Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)” (hereinafter referred to as “Self-Assessment Checklist on the Improvement of the System”).

Therefore, “the research institutions planning to accept the Principal Investigators who will propose new projects for “Grant-in-Aid for JSPS Research Fellows” program in FY2024” and “the research institutions planning to accept the Principal Investigators who will continue their KAKENHI-funded research projects in FY2024” **must submit in accordance with the procedure and forms posted on the MEXT the “Self-Assessment Checklist on the Improvement of the System” to the Office of Competitive Research Funding Administration, Research Environment Division,**

Science and Technology Policy Bureau of the MEXT by the specified deadline via e-Rad.**Researchers affiliated to a research institution which has not turned in the said checklist cannot receive the official grant decision.**

Note: When using e-Rad, an ID and a password for the research institution are necessary.

< Inquiries >

(Concerning forms and submission of the Guidelines on Public Research Funds)

Office of Competitive Research Funding Administration, Research Environment Division, Science and Technology Policy Bureau, MEXT

Telephone: 03-5253-4111 (ext. 3866, 3827)

e-mail: kenkyuhi@mext.go.jp

URL: https://www.mext.go.jp/a_menu/kansa/houkoku/1324571.htm

(Concerning the research institute e-Rad registration)

Helpdesk of the Cross-ministerial Research and Development Management System (e-Rad) of MEXT

Telephone: 0570-066-877 (Navi Dial)

Office hours: 9:00-18:00, except on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3)

URL: <https://www.e-rad.go.jp/organ/entry.html>

(Time period when e-Rad is available for use)

(Monday to Sunday) 0:00 - 24:00 (in operation 24 hours a day, 365 days a year)

However, even during the above-mentioned time period, it may happen that the operation of e-Rad is disrupted or suspended, when maintenance and inspection is being carried out. If the operation is scheduled to be disrupted or suspended, this will be announced beforehand on the portal site

(4) Submission of the “Checklist Pertaining to the Current Status” Based on the “Guidelines for Responding to Research Misconduct”

When implementing the research projects with KAKENHI grant the research institutions must comply with the content of the “Guidelines for Responding to Research Misconduct” (Adopted by the Minister of MEXT on 26 August 2014) (hereinafter referred to as “Guidelines on Research Misconduct”) and submit a “Checklist Pertaining to the Current Status based on the Guidelines for Responding to Research Misconduct” (hereinafter referred to as “Checklist on the Research Misconduct”).

Therefore “those research institutions which the Principal Investigators applying for KAKENHI in FY2024 belong to” and “those research institutions which Principal Investigators continuing research projects using KAKENHI are scheduled to belong to in FY2024” **must submit in accordance with the procedure and forms posted on the MEXT the “Checklist on the Research Misconduct” to the Office for Research Integrity Promotion, Research Environment Division, Science and Technology Policy Bureau of the MEXT by the specified deadline via e-Rad.**

Researchers affiliated to a research institution which has not turned in the said checklist cannot receive the official grant decision.

*Please note that while the “Checklist on the Research Misconduct” is the same in using e-Rad for submission with the “Self-Assessment Checklist on the Improvement of the System”, the submission destination is different. Both checklists must be submitted.

Note: When using e-Rad, an ID and a password for the research institution are necessary.

< Inquiries >

(Concerning the format and submission of Guidelines for Responding to Research Misconduct)

* Differs from the contact information for the Guidelines on Public Research Funds.

Office for Research Integrity Promotion, Research Environment Division, Science and Technology Policy Bureau, MEXT

Telephone: 03-6734-3874

e-mail: jinken@mext.go.jp

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

(Concerning the research institute e-Rad registration)

Helpdesk of the Cross-ministerial Research and Development Management System (e-Rad) of MEXT

Telephone: 0570-050-060 (Navi Dial)

(Office hours: 9:00-18:00, except Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3))

URL: <https://www.e-rad.go.jp/organ/entry.html>

(Time period when e-Rad is available for use:)

(Monday to Sunday) 0:00 - 24:00 (in operation 24 hours a day, 365 days a year)

Even during the above-mentioned time period, the operation of e-Rad may be disrupted or suspended, when maintenance and inspection is being carried out. If the operation is scheduled to be disrupted or suspended, this will be announced beforehand on the portal site.

(5) Ensuring Research Integrity Among Research Institutions

In order to promote the creation of science, technology, and innovation in Japan, we must continue to strengthen overseas joint research with various partners based on the principle of open science. At the same time, in light of newly emerging risks as a consequence of the globalization and openness of research activities in the recent years, there is a growing concern that the values of openness and transparency which constitute the basis of the research environment will be lost and the danger of researchers unknowingly being trapped in conflict of interest or conflict of responsibilities. In such climate, it is vital for our country to build a globally reliable research environment to protect the values that constitute the basis of research environment while encouraging necessary global collaboration and international exchanges. Therefore, it is vital for universities and research institutions, etc. to observe the “Policy on Measures to Ensure Research Integrity Against New Risks as a Consequence of the Globalization and Openness of Research Activities (April 27, 2021, Decision of Council for Science, Technology and Innovation)” and formulate relevant rules and systems to manage conflict of interests and conflict of responsibilities, etc., and to autonomously secure the soundness and fairness of research (research integrity) among researchers and at universities and research institutions, etc.

From such perspective, MEXT and JSPS check whether reasonable efforts can be secured while eliminating unreasonable duplication and excessive concentration of competitive research funds and ensuring transparency of research activities. In addition, MEXT and JSPS may make inquiries to affiliated institutions, as necessary, on the status of formulation of rules and status of identification and management of information as affiliated institution.

- “Policy on Measures to Ensure Research Integrity Against New Risks as a Consequence of the Globalization and Openness of Research Activities (April 27, 2021, Decision of Council for Science, Technology and Innovation)”

URL: https://www8.cao.go.jp/cstp/tougosenryaku/integrity_housin.pdf

(6) Issuance of a login ID and password of the "JSPS Electronic Application System for KAKENHI" to Principal Investigators (JSPS Research Fellows)

For the research proposal that has been adopted as a result of the review for the Grant-in-Aid for JSPS Fellows (Research Fellows), the Principal Investigator must make a formal application for grant delivery by accessing the "JSPS Electronic Application System for KAKENHI." The host research institution should issue login IDs and passwords for the "JSPS Electronic Application System for KAKENHI" to Principal Investigators who will make a formal application for grant delivery.

Details about the procedures will be notified to the host research institution around April 2024.

(7) Preliminary schedule for provisional grant decision, etc.

The schedule below is as of February 7, 2023. There may be changes in the plan including the timing of the provisional grant decision due to COVID-19. When the changes occur, it will be announced on the JSPS website and through the research institutions.

Late April 2024:	Provisional grant Decision
Late May 2024:	Formal application for grant Deliver
Late June 2024:	Official grant decision
Middle of July 2024:	Grant delivery

* The schedule is subject to change depending on the status of budget approval and other factors.

16.Procedures on the Handling of Grants-in-Aid for Scientific Research

URL: https://www.mext.go.jp/a_menu/shinkou/hojyo/1307764.htm

17.Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund))

URL: https://www.jsps.go.jp/j-grantsinaid/28_kitei/data/kikin_yoryo_r40318.pdf

III Other Relevant Information

[Points to keep in mind when applying for the Research Fellowships and KAKENHI]

1. Completion of Research Ethics Education Coursework

Anyone who is awarded the Research Fellowship must complete the following with respect to the research ethics education coursework and other programs, by the date of the submission of necessary documents for the award of the Research Fellowship.

- JSPS Research Fellows must either read through and learn the teaching materials by him/herself concerning the research ethics education coursework such as “For the Sound Development of Science – The Attitude of a Conscientious Scientist” published by the JSPS Editorial Committee of “For the Sound Development of Science, the “e-Learning Course on Research Ethics [eL CoRE] or “APRIN e-learning program (eAPRIN),” etc., or attend a lecture on research ethics conducted by research institutions based on the “Guidelines for Responding to Misconduct in Research” (adopted by the MEXT on August 26, 2014), by the time of the formal application for grant delivery.
- JSPS Research Fellows must understand thoroughly and exercise the proper research practices in conducting his/her research, from amongst the contents of both the Statement “Code of Conduct for Scientists -Revised Version-” by the Science Council of Japan and the booklet “For the Sound Development of Science -The Attitude of a Conscientious Scientist-” issued by JSPS, by the time of the formal application for grant delivery.

After completing the above, the awardee of the Research Fellowship (Principal Investigator) will confirm the completion of the research ethics education coursework through the “JSPS Electronic Application System for KAKENHI,” when making the formal application for delivery of the Grant-in-Aid for JSPS Fellows. If you already completed the research ethics education coursework, or you had already completed the coursework and were transferred to another research institution, please make sure to fully confirm with the host research institution about the status of taking the research ethics education coursework.

Please take appropriate measures when taking the research ethics education coursework, in compliance with relevant policies of the host research institution.

*Host research institutions should conduct the research ethics education coursework in accordance with the “Guidelines on Research Misconduct” and ensure that the Research Fellow is fully informed of the matter they should consider in conducting their research. The institutions should also thoroughly monitor the status of taking the coursework in accordance with relevant internal policies.

2. Security Export Control Policy (Coping with Technology Leakage Overseas)

In Japan, export controls (*) are carried out under the Foreign Exchange and Foreign Trade Act (Act No. 228 of 1949) (hereinafter referred to as “Foreign Exchange Act”). Therefore, in principle, in order to export (provide) cargo and technology regulated by the Foreign Exchange Act, it is necessary to obtain permission of the Minister of Economy, Trade and Industry. It is reminded that KAKENHI grantees must observe the Foreign Exchange Act as well as other laws, guidelines and circular notices issued by the government.

Violation of related laws, regulations, guidelines, etc. may result in disqualification and termination of fellowship, and a demand for repayment of stipends received, all in addition to legal dispositions and penalties.

(*) Japan's Security Export Control System established on the basis of international agreements mainly consists of (i) “List rules” which require permission of the Minister of Economy, Trade and Industry in principle when exporting cargo or providing technology that carry specifications and/or functions higher than certain levels, such as carbon fiber and numerically controlled machine tool etc., and (ii) “Catch-all regulation” which requires permission of the Minister of

Economy, Trade and Industry when exporting cargo or providing technology that are not subject to regulation under the List rules but do fall under certain regulatory requirements (application requirements, consumer requirements and/or informed requirements).

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

*2 It means types of residents who are strongly influenced by non-residents; more specifically, the specified types stipulated by Paragraph 1 (3), item 11 (i) through (iii) of the ministerial ordinance “Transactions or acts of providing technology that require a permit pursuant to Article 25, Paragraph 1 of the Foreign Exchange and Foreign Trade Act and Article 17, Paragraph 2 of the Foreign Exchange Order.”

Research institutions conduct studies on various cutting-edge technologies. As universities, in particular, are hosting more international students and overseas researchers amidst globalization, they are facing greater risks of advanced technologies, research materials and equipment being leaked and misused for the development and production of weapons of mass destruction (WMD), etc. For this reason, in implementing various research activities including research projects funded with KAKENHI, research institutions are asked to take systematic measures to ensure that the research achievements which have potential risks of being diverted to military use are not transferred to WMD developers, terrorist organizations, or people carrying out other dubious activities.

Details of the security trade control are published on the websites including the Ministry of Economy, Trade and Industry website.

- Ministry of Economy, Trade and Industry: Security Trade Control (General)
<http://www.meti.go.jp/policy/anpo/>
- Ministry of Economy, Trade and Industry: “Handbook on Security Trade Control”
<https://www.meti.go.jp/policy/anpo/seminer/shiryo/handbook.pdf>
- Center for Information on Security Trade Controls
<http://www.cistec.or.jp/index.html>
- “Guidance for the Control of Sensitive Technologies for Security Export for Academic and Research Institutions 3rd Edition”
https://www.meti.go.jp/policy/anpo/law_document/tutatu/t07sonota/t07sonota_jishukanri03.pdf

3. Handling of Personal Information

1) All personal information contained in the application documents will be strictly managed in accordance with the Act on the Protection of Personal Information and the JSPS’ s regulations on personal information protection. JSPS will use such information solely for the purpose of its operation. (This includes providing personal information to external private companies, etc. commissioned for the electronic processing and management of the data. Further, for the personal information contained in the Research Proposal Document for the Grant-in-Aid for JSPS Fellows, this includes the provisions in 2) below.) Applicants should note, however, that JSPS may provide certain personal information of the awardees of DC1 and DC2 Research Fellowships to the Japan Student Services Organization to check for duplications. JSPS may also provide JSPS’ s Overseas Offices with information on Fellows who are traveling overseas to pursue research after the start of the fellowship tenure. If an applicant is selected for Fellowship, the applicant’ s registered name, the review section, title of the research proposal, host research institution, affiliation, name and position of the host researcher, and research reports will be published.

2) The personal information included in the Research Proposal Document will be used for the elimination of unreasonable duplication and/or excessive concentration in the allocation of competitive research funds, the appropriate funding of

KAKENHI grants, and to conduct questionnaires on scientific technology policies including KAKENHI grants. (This includes providing the data to external contractor(s) in charge of electronic processing and management of the KAKENHI data.) The information included in the Research Proposal Document is to be provided to the e-Rad system. (The information registered in the e-Rad system is utilized for proper assessment of research and development by national funding, development of effective and efficient comprehensive strategy, planning and development of resource allocation policy, etc. Therefore, the information will be supplied to the Cabinet Office through the e-Rad system. The applicant may be requested to cooperate in verification of the information and other related works.)

The information on the adopted KAKENHI projects (the title of research project, the name of Principal Investigator and his/her affiliated research institution, the grant to be delivered, research period, etc.) is categorized as “information planned to be made public”, as laid down in Article 5, paragraph 1, item 1 of the “Act on Access to Information Held by Independent Administrative Agencies” (Act No.140 of 2001). The information will be made public through press release materials, the Grants-in-Aid for Scientific Research Database (KAKEN) of the National Institute of Informatics, and other means.

The researchers and their affiliated research institutions are requested to carry out the application procedures with full understanding of the information handling (utilization, provision and disclosure) stated above.

[Points to keep in mind when applying for KAKENHI]

4. Support through Platforms for Advanced Technologies and Research Resources

In order to respond effectively to the diverse needs of researchers of KAKENHI research projects, the Grant-in-Aid for Transformative Research Areas (A) - Platforms for Advanced Technologies and Research Resources forms a resource and technical support platform for research (hereinafter referred to as “Platform”) under the close cooperation of relevant institutes with inter-university research institutes and Joint Usage/Research Centers, or International Joint Usage / Research Center as core institutes. Together with providing technical support towards individual research projects and providing advanced problem solving methods to researchers, it provides an integral promotion of cooperation between researchers, interdisciplinary integration, and human resources development. Applications for technical support, etc. are open for each of the Platforms below where it concerns research projects carried out through KAKENHI. Researchers desiring technical support, etc. from each of the Platforms are requested to check their respective websites, etc. and actively apply.

* “Technical Support, etc.” points to the sharing of equipment with researchers from a wide range of research fields, technical support and the collecting, conservation, and providing of resources (documents, data, experiment samples, specimen, etc.), and support for conservation techniques, etc.

“Advanced Technology Support Platform Program” has scientific value and an advanced nature through the combination of multiple facilities and equipment, and provides shared use of equipment and technical support to researchers in a wide variety of research areas.

“Research Platform Resource Support Program” collects, conserves, and supplies the resources that are the basis of research (documents, data, experiment samples, specimen, etc.) and also conducts support for conservation techniques, etc.

Area	Platform Name	Core Institution	Support Function
Advanced Technology	Platform of Advanced Bioimaging Support (*)	National Institute for Physiological Sciences National Institute for Basic Biology	Advanced technical support and user training for : <ul style="list-style-type: none"> · Light microscopy · Electron microscopy · Magnetic resonance imaging · Imaging analysis

	Platform of Advanced Animal Model Support(*)	The Institute of Medical Science The University of Tokyo	Support for constructing animal models, Support for pathological analysis, Support for physiological analysis, and Support for molecular profiling
	Platform for Advanced Genome Science (*)	National Institute of Genetics	Advanced genome analysis (de novo genome sequencing; re-sequencing for genome variation detection; analysis of transcriptome, epigenome and metagenome; ultra-high sensitivity analysis for single cells, single molecules, etc.; big-data analysis and advanced bioinformatics; by using of the latest facilities and technologies)
Area	Platform Name	Core Institution	Support Function
Research Platform Resource Support Program	Platform of Supporting Cohort Study and Biospecimen Analysis (*)	The Institute of Medical Science, The University of Tokyo	Support for cohort study using bioresources, Support for maintaining and utilizing human brain resources, and Support using biospecimen
	Supply Platform of Short-lived Radioisotopes for Fundamental Research	Research Center for Nuclear Physics, Osaka University	Supply short-lived radioisotopes produced by accelerators for fundamental research in various scientific fields.

Also, Committee on Promoting Collaboration in Life Sciences that functions as a general information point and coordinator across the four Platforms marked with an asterisk (*) above is set up. (Core Institution: The Institute of Medical Science, The University of Tokyo)

Each Platform's website can be found in the links on the site below:

URL : https://www.mext.go.jp/a_menu/shinkou/hojyo/mext_01901.html

5. Promotion of the Shared Use of Research Equipment

In “Reform of Competitive Research Funds: Towards a Sustained Output of Research Achievements (Interim Summary)” (June 24, 2015, Competitive Research Fund Reform Review meeting) it was decided that, when the original research objectives were fully achieved, versatile and large equipment should, in principle, be shared.

The government also addresses the need to promote the implementation and common use of research facilities and equipment, to establish a framework for the introduction, renewal, and utilization of organizational research facilities (core facilities), and to formulate and publicize policies for the internal and external sharing of research facilities and equipment in the Comprehensive Package to Strengthen Research Capacity and Support Young Researchers (January 23, 2020, Council for Science, Technology, and Innovation) and the Sixth Science, Technology, and Innovation Basic Plan (Cabinet Decision on March 26, 2021).

With this in mind, when purchasing equipment with competitive research funds, please actively work on the use of equipment purchased with other research funds, and the purchase and shared use of equipment from several research funds where it concerns especially large and versatile equipment. Please also make ensure that sharing is possible within the rules of the said competitive research funds, and no obstacle is made to the execution of the research project.

○ “Reform of Competitive Research Funds: Towards a Sustained Output of Research Achievements (Interim Report)”

(June 24, 2015, Competitive Research Fund Reform Review meeting)

URL: https://www.mext.go.jp/b_menu/shingi/chousa/shinkou/039/gaiyou/1359306.htm

- “The Sixth Science, Technology, and Innovation Basic Plan (Cabinet Decision on March 26, 2021)”

URL : <https://www8.cao.go.jp/cstp/kihonkeikaku/6honbun.pdf>

- Unified Rules for Administrative Procedures, Etc. Pertaining to Competitive Research Funds (March 3, 2021, Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Research Funds)

URL: https://www8.cao.go.jp/cstp/compefund/toitsu_rule_r30305.pdf

6. Promotion of the ‘Dialogue on Science and Technology with Citizens’ (A Basic Approach Policy)

In the “Promotion of the ‘Dialogue on Science and Technology with Citizens’ (A Basic Course of Action)” (Adopted by the Minister of State for Science and Technology Policy and the Executive Members of the Council for Science and Technology Policy on June 19, 2010) which was compiled in June 2010, the activity in which researchers explain the content and achievements of their research activities to society and citizens in an easy-to-understand form is placed in the above-mentioned ‘Dialogue on Science and Technology with Citizens’. Researchers who have received an allotment of public research funds amounting more than 30 million yen per year per case are requested to positively work on the ‘Dialogue on Science and Technology with Citizens’. Universities and other research institutions are also requested to make positive efforts in order for researchers who have received public research funds to ensure the proper implementation of the ‘Dialogue on Science and Technology with Citizens’, for example, by setting up support systems.

For KAKENHI, there is the question “Are you positively trying to publicize and disseminate the research content and research achievements?”, especially in the research progress assessment of Specially Promoted Research, for which researchers receive a relatively large amount of research funds, and in interim and ex-post assessment of Scientific Research on Innovative Areas (Research in a Proposed Research Area). Therefore, based on the above-mentioned basic policy, researchers should disseminate the achievements of research funded with KAKENHI to society and citizens in an even more positive way.

7. Cooperation with the National Bioscience Database Center

The National Bioscience Database Center (URL: <https://biosciencedbc.jp/>) has been established in the Japan Science and Technology Agency (JST, a national research and development agency), in order to promote the integrated use of databases in the area of life science that have been created by various research institutions and other institutions.

This Center spurs the active participation of related institutions, and based on four pillars, namely (1) the planning of strategies, (2) creation and operation of portal websites, (3) research on and development of core technology for the integration of databases and (4) the promotion of the integration of biotechnology-related databases, it is promoting projects aiming at the integration of databases in the area of life science. In this way, through wide sharing and utilization of the research achievements in the area of life science produced in Japan in the researcher community, the Center aims at invigorating overall research in the area of life science, including research and development connected to basic research and industrial applied research.

JSPS would like to request researchers to cooperate by providing to the Center copies of raw data related to achievements published in research papers and other output in the area of life science, or copies of created open databases.

Moreover, the copies provided will be able to be utilized on a non-exclusive basis as reproductions, alterations, or in other necessary forms. JSPS would like researchers to understand in advance that, in response to the requests of the institutions that received copies, it would also like request researchers to cooperate by providing all the information necessary for utilizing the copies.

Furthermore, the National Bioscience Database Center has developed guidelines for data on humans, in order to promote the sharing and use of data related to research in the area of life science, with due considerations to the protection of personal information.

NBDC human data sharing guidelines

URL: <https://humandbs.biosciencedbc.jp/guidelines/>

< Inquiries >

National Bioscience Database Center, Japan Science and Technology Agency

Telephone: 03-5214-8491

8. Inter-University Bio-Backup Project

The purpose of the Inter-University Bio-Backup Project (IBBP) is to “back up” biological genetic resources, which are indispensable research resources in various research areas, and to avoid damage or loss of biological genetic resources due to unforeseen accidents, disasters, etc. The project newly commenced from 2012.

In the National Institute for Basic Biology of the Inter-University Research Institute Corporation National Institutes of Natural Sciences, which is the core of this project, the Inter-University Bio-Backup Project for Basic Biology (IBBP Center, URL: <http://www.nibb.ac.jp/ibbp/>) has been established as a backup center for biological genetic resources. It is equipped with the newest equipment necessary for the backup of biological genetic resources.

Any researcher who belongs to a university or a research institution may apply for storage. Biological genetic resources that can be stored in the IBBP Center are samples that can be proliferated (amplified) or cryopreserved (for vegetable seeds, the refrigeration or deep-freezing preservation condition needs to be definite), and being not pathogenic is also a condition. Since backup is provided free of charge, researchers should make use of the IBBP Center.

< Inquiries >

Executive Office, IBBP Center, Inter-University Research Institute Corporation National Institutes of Natural Sciences

Telephone: 0564-59-5930, 5931

9. National BioResource Project

The National BioResource Project (NBRP) strategically collects and preserves important bioresources that are the basic and foundation of life science research at the core bases of this project and provides them to universities and research institutes, thereby contributing to the development of life science research in Japan. In the future, in order to contribute to the development of life science research in Japan, it is necessary to continually collect useful bioresources.

For that matter, please deposit (*) available bioresources among bioresources developed by Grant-in-Aid for Scientific Research (limited to the bioresource targeted for NBRP). Please cooperate with the NBRP collecting activities.

It is recommended to utilize the resources already collected in NBRP from the viewpoint such as efficient implementation of research.

(*) Deposit: This is a procedure to approve the use (preservation/provision) in this project without transferring the various rights related to the resource. By specifying specific conditions in the deposit agreement, you can add usage conditions such as restrictions on usage and quotation of articles to users.

List of NBRP core bases representative agencies

URL: <https://nbrp.jp/resource/>

10. Registration of the Researcher Information in “researchmap”

The “researchmap ([URL: https://researchmap.jp/](https://researchmap.jp/))” is the Japan’s largest researcher information database as a general guide to Japanese researchers. The information on the research achievements registered in the researchmap is ready to be openly available over the Internet and the database itself is linked to e-Rad, many university faculty databases and so on. The Japanese Government as a whole is going to further utilize the researchmap. Please be sure to register your information (as a researcher) on the site.

< Inquiries >

Service Support Center (in charge of the “researchmap”)

Department for Information Infrastructure Japan Science and Technology Agency

Web inquiry form: <https://researchmap.jp/public/inquiry/>

11. Strict Implementation of United Nations Security Council Resolution 2321

In the face of the nuclear test by Democratic People's Republic of Korea (DPRK) in September 2016 and repeated launches of ballistic missiles, the United Nations Security Council adopted the United Nations Security Council Resolution 2321 on November 30, 2016 (ET, New York) deciding to impose additional and stronger sanctions on DPRK. In this regard, MEXT issued a letter of request entitled “Strict Implementation of United Nations Security Council Resolution 2321 (Request)” (28 受文科際第 98 号) to relevant organizations as of February 17, 2017.

“Scientific and technical cooperation” as set forth in Paragraph 11 in the main text of the Resolution not only includes technologies regulated by the Foreign Exchange and Foreign Trade Act of Japan, but all cooperative activities except for medical exchanges. Therefore, it is critical that research institutions exercise strict implementation of the Resolution when conducting various research activities including said sponsored research.

The UNSC Resolution 2321 can be found at:

○ MOFA: United Nations Security Council Resolution 2321, Japanese translation (MOFA Notice No.463 (issued on December 9, 2016)

<https://www.mofa.go.jp/mofaj/files/000211409.pdf>

12. Improvement of Treatment of Students in the Doctoral Course

“The 6th Science, Technology, and Innovation Basic Plan (Cabinet Decision on March 26, 2021)” addresses the need to enhance financial support for doctoral students in particular, in order to attract outstanding talents from home and abroad, and calls for research institutions to provide greater employment opportunities for doctoral students as research assistants (RAs) and to improve their treatment. To this end, the Basic Plan, for example, sets a numerical target to triple the number of doctoral students to receive subsidy roughly equivalent to their living cost (which is equivalent to about 30% of students enrolling in doctoral courses to receive such subsidy).

Furthermore, the “Guideline on Recruiting and Fostering Postdoctoral Fellows, Etc. (December 3, 2020, Committee on Human Resources, the Council for Science and Technology)” states that doctoral students “are students, but at the same time, also researchers in a certain way, and therefore it is the key responsibility of universities that foster researchers to provide the environment for research activities and to ensure proper treatment...It is of particular importance to treat them based on appropriate assessment of their contribution, by establishing compensations that meet the nature and content of their jobs and paying hourly wages according to the actual work hours under the proper labor management. When submitting applications to competitive research funds and other grants, universities and institutions must record the expenditures necessary to employ RAs as direct expense, and revise the school rules as necessary to make sure that the RAs are paid proper compensations.”

Based on the above, when employing a doctoral student as RA, etc. for a KAKENHI project, set the hourly wage according to the nature and content of his/her job based on the standard of each research institution and pay the wage according to the actual work hours under the proper labor management.

Furthermore, when employing a doctoral student as RA, etc., be mindful not to overload him/her with excessive work hours and make sure that he/she can maintain a good balance between the work and his/her own research and study hours.

13. Securing University Research Administrators (URAs) and other Management Personnel

“The Sixth Science, Technology, and Innovation Basic Plan” (Cabinet Decision on March 26, 2021) identifies the importance of efforts to improve the security of professional quality and treatment so that the positions of University Research Administrators (URAs) and other management personnel will become attractive. The Comprehensive Package to

Strengthen Research Capacity and Support Young Researchers (January 23, 2020, Council for Science, Technology, and Innovation) also addresses the need to establish career paths for management personnel, URAs, engineers, etc. In light of these initiatives, research institutions are encouraged, to the extent possible, to secure certain lengths of fixed-term employment (of about five years or longer) for URAs and other management personnel (who are currently hired or will be hired newly by research institutions) when engaging them in the management of KAKENHI research programs, by using not only KAKENHI, but also funds such as indirect expenses and basic costs under other external funds, and donations, for example.

In addition, please make active efforts to provide support in securing career paths for these management personnel, for example, enrolling them in URA training, etc. Also consider utilizing the indirect expenses for such efforts.

14.About HIRAMEKI★TOKIMEKI SCIENCE –Welcome to a University Research Lab– Science That Inspires and Inspirts

The “HIRAMEKI★TOKIMEKI SCIENCE” program is designed to offer opportunities to gain a deeper understanding of the meaning of science and its roles in daily life to society, as part of efforts to give back to society and promote KAKENHI-funded research achievements.

Based on their KAKENHI-funded academic studies, researchers themselves communicate the fun and fascination of scientific pursuit directly to the younger generation in an easy-to-understand manner. They thus instill intellectual curiosity and a rich sense of creativity in pupils in their fifth and sixth years of elementary school and students in middle and high school, who will go on to shoulder the future of Japan. As we are looking for such experience-based programs, regardless of areas of research, please take advantage of this opportunity.

URL: <https://www.jsps.go.jp/hirameki/>

IV Inquiries

○ Inquiries relating to applications for JSPS Research Fellows

Research Fellowship Solicitation & Selection Team, Research Fellowship Division, Japan Society for the Promotion of Science

Phone: 03-3263-5070

Hours: Monday through Friday (excluding national holidays) 9:30 a.m.-12:00 p.m. and 1:00 p.m.-5:00 p.m.

E-mail: yousei2@jsps.go.jp

Website for JSPS Fellows: <https://www.jsps.go.jp/j-pd/index.html>

Frequently Asked Questions on application: https://www.jsps.go.jp/j-pd/pd_qa.html

Applicants should download the Procedures for Preparing the Application Documents, application forms (application content files), etc. from the “JSPS Research Fellowship for Young Scientists” (特別研究員) webpage > “Application Procedures” (申請手続) section.

○ Inquiries relating to the Grant-in-Aid for JSPS Fellows

*Inquiries about the invitation of applications should be directed through the research institution.

Research Aid Division I, Research Program Department, Japan Society for the Promotion of Science

Phone: 03-3263-0976

Hours: Monday through Friday (excluding national holidays) 9:30 a.m.-12:00 p.m. and 1:00 p.m.-5:00 p.m.

○ Inquiries concerning the use of the JSPS Electronic Application System for Research Fellowship Programs :

• Call center for JSPS Electronic Application System

Telephone: 0120-556-739 (toll-free)

Available from 9:30 to 17:30 every day except Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3)

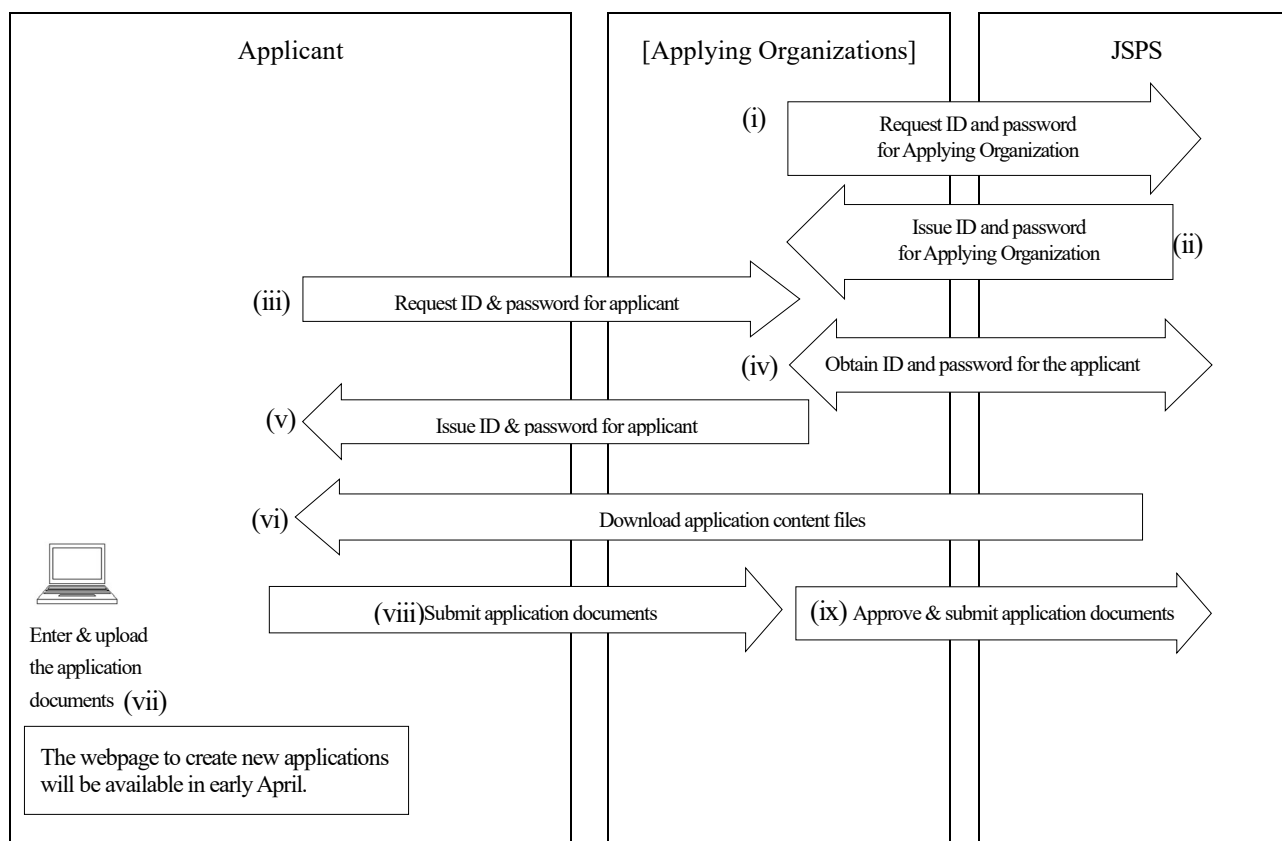
[Outline of the Application Procedures]

- ① [Applying Organizations] Download the "Application form for using JSPS electronic application system (for research fellowship programs)" from the "Procedures for Applying Organizations" page (https://www.shinsei.jps.go.jp/topousei/kikan_top.html) of "Guide to e-Application" on JSPS's website and send the completed form to the JSPS by email in PDF format. (An Applying Organization that has already obtained an ID and password for Research Fellowship Programs can continue to use the issued ID and password. There is no need to reapply.)
- (ii) [JSPS] JSPS will issue an ID and password, and notify the Applying Organization by e-mail.
- (iii) [Applicants] Ask the Applying Organization to issue an ID and password for applicants. Applicants may use their ID and password across the JSPS Research Fellowships for Young Scientists (PD, DC2, DC1, RPD).
- (iv) [Applying organization] Access the "JSPS Electronic Application System for Research Fellowship Programs" using the ID and password for the Applying Organization, and obtain an ID and password for the applicant.
- (v) [Applicants] Receive the ID and password for applicants from the Applying Organization*.
- (vi) [Applicants] Download the "application content files" from the JSPS "Research Fellowship for Young Scientists" (特別研究員) webpage (<https://www.jps.go.jp/j-pd/index.html>) > "Application Procedures" (申請手続) section.
- (vii) [Applicants] Access the "JSPS Electronic Application System for Research Fellowship Programs" using the ID and password issued and follow the instructions on the screen. Here, you can;
 - Enter the "application information" (items to be entered on the website);
 - Request your evaluator to prepare the "evaluation report" ;
 - Complete the "application content files" downloaded as per (vi) above and register them; and
 - Complete the "Envisaged Budget for the Grant-in-Aid for JSPS Fellows" (items to be entered on the website).
- (viii) [Applicants] After the evaluation report has a "submitted" status, check to make sure that the "application information", "application content files", and "Envisaged Budget for the Grant-in-Aid for JSPS Fellows" as per item (vii) above are completed. Once you are sure that everything is complete, proceed to "Check completed/Submit" operation to submit your application documents to the Applying Organization*.
- (ix) [Applying Organization] Check to make sure that the content, etc. of the application documents is completed. If everything is complete, approve the application documents, and submit the application to JSPS.

Some of the tasks marked with an asterisk may be handled by the administration office of each academic unit and not by the administrative office of the Applying Organization.

(Note) Steps (vii) through (ix) will be enabled once the webpage to create new applications for FY2024 awards is made available in early April.

<General Flow of the Application Procedure>



Changes to Application Procedures for FY2024 JSPS Doctoral Course (DC) Research Fellowships

Starting from JSPS Doctoral Course (DC) Research Fellowships to be awarded in FY2024, the applications for JSPS Research Fellowships and the applications for Grant-in-Aid for Scientific Research—KAKENHI—for JSPS Research Fellows (hereinafter, “Grant-in-Aid for JSPS Fellows”) have been combined. The aim is to reduce the procedures on the part of applicants and research institutions, and also to provide an opportunity for early-career researchers to gain experience on formulating their research plans in view of the anticipated research expenditure.

This document outlines the changes to the application procedures, etc. for JSPS Research Fellowships as a result of this integration.

1. How to Prepare Your Statement for the Application Content File

*Refer to *I. Application Guidelines for JSPS Doctoral Course (DC) Research Fellowships* > 9. Application Procedures > (3) Documents to be submitted > (b) Application content file, and *II. KAKENHI Application Procedures* > 2. Range of total budget.

○Changes in how to prepare your statement for the application content file based on the revised funding categories

JSPS has revised the funding categories of Grant-in-Aid for JSPS Fellows, and also changed what to state in the research plan in the application documents for JSPS Research Fellowships. Applicants are to complete the application content file in line with the funding category they choose (Funding Category A or B) for Grant-in-Aid for JSPS Fellows.

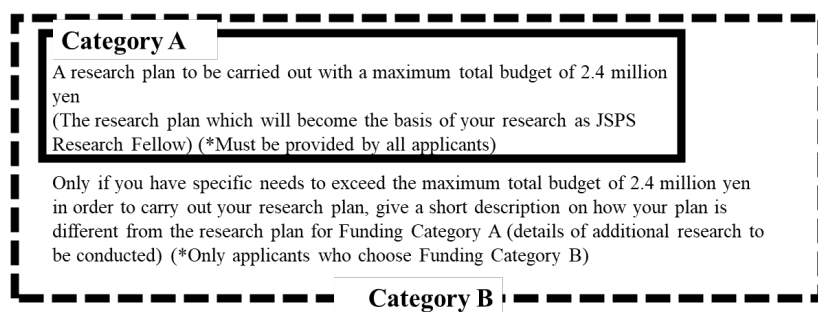
Your choice of Funding Category A or B **will not be an evaluation criterion in the document review for the selection of Research Fellows.**

<How to complete **2. [Research Plan] (2) Research Objectives, Description, etc.** in the new application content file>

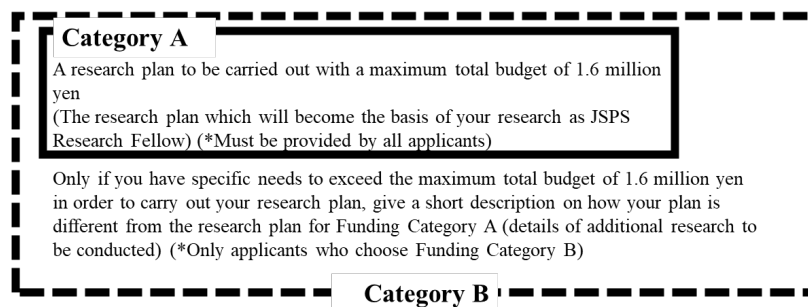
Research plan based on funding category	Applicants choosing Funding Category A	Applicants choosing Funding Category B
Funding Category A • The research plan which will become the basis of your research as JSPS Research Fellow (*Must be provided by all applicants)	Must provide statement	Must provide statements
Funding Category B • Only if you have specific needs to exceed the maximum total budget for Funding Category A in order to carry out your research plan, give a short description on how your plan is different from the research plan for Funding Category A (details of additional research to be conducted) (*Only applicants who choose Funding Category B)	No need to provide statement	

<Diagram of General Framework of Research Plans for Each Funding Category>

(Example) If you are a DC1 Fellow to be carrying out a project under Grant-in-Aid for JSPS Fellows for a research period of three years



(Example) If you are a DC2 Fellow to be carrying out a project under Grant-in-Aid for JSPS Fellows for a research period of two years



2. Application Documents for Grant-in-Aid for JSPS Fellows

*Refer to *I. Application Guidelines for JSPS Doctoral Course (DC) Research Fellowships* > 9. Application Procedures > (3) Documents to be submitted > (d) [Research Plan] Attachment: Envisaged Budget for FY2024 Grant-in-Aid for Scientific Research—KAKENHI—JSPS Research Fellows, and *II. KAKENHI Application Procedures* > 5. Application Documents.

1) Content of the application documents (Research Proposal Documents)

In applying for Grant-in-Aid for JSPS Research Fellows, applicants are to complete the “Research Expenditure and Necessity” and “The Status of Application and Acquisition of Research Grants” forms based on the funding category they choose (Funding Category A or B) according to the content of their research plan. The information must be entered directly in the JSPS Electronic Application System for Research Fellowship Programs. (You do not have to provide information if you are not applying for Grant-in-Aid for JSPS Research Fellows.)

The information will serve as the **[Research Plan] Attachment: Envisaged Budget for FY2024 Grant-in-Aid for Scientific Research—KAKENHI—JSPS Research Fellows.** It will be used as your Research Proposal Documents in the review panel for KAKENHI along with the content of your research plan, including the title of your research proposal, etc. in your application for JSPS Fellows. The Research Proposal Documents consist of the following:

[Research Proposal Documents]

(Information provided in the application information)

- Eligibility
- Title of research proposal
- Applicant’s name

(Information provided in the application content file)

- Research plan

(Envisaged Budget for Grant-in-Aid for JSPS Fellows)

- Research Expenditure and Necessity
- The Status of Application and Acquisition of Research Grants

2) Submission of application documents

Applicants must submit the Research Proposal Documents together with the application for JSPS Research Fellowships using the JSPS Electronic Application System for Research Fellowship Programs.

3. Administrative Tasks, etc. to be Completed by Research Institutions

*Refer to *II. KAKENHI Application Procedures* > 15. Procedures to be Completed by the Research Institution, and *III. Other Relevant Information.*

1) Administrative tasks in relation to the applications for Grant-in-Aid for JSPS Fellows

As a result of combining (i) the applications for JSPS Research Fellowships and (ii) the applications for Grant-in-Aid for JSPS Fellows, some of the procedures that research institutions have been handling at the time of application for Grant-in-Aid for JSPS Fellows (in Jan.-Feb. of the fiscal year prior to the start of the fellowship tenure) must be performed at the time of application for JSPS Research Fellowships (in Apr.-Jun. of the fiscal year prior to the start of the fellowship tenure). Please refer to the following table in carrying out the procedures.

<[Amended] Administrative tasks to be performed by Applying Organizations in relation to the applications for Grant-in-Aid for JSPS Fellows >

Task items	At the time of application for Grant-in-Aid for JSPS Fellows (At the time of application for JSPS Research Fellowships)	At the time of fellowship acceptance procedure - At the time of provisional grant decision & official grant decision procedures
(1) Confirmation of eligibility (Confirm that the Principal Investigator is eligible to apply for Grant-in-Aid)	○	○
(2) Confirmation with Principal Investigator (Confirm that the Principal Investigator has prepared the Research Proposal Documents after reading the information set out in the KAKENHI Application Procedures)	○	—
(3) Submission of Self-Assessment Checklist on the Improvement of the System based on the <i>Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)</i>	○	—
(4) Submission of Self-Assessment Checklist Pertaining to the Current Status based on the <i>Guidelines for Responding to Misconduct in Research</i>	○	—
(5) Ensuring research integrity at research institutions	○	—
(6) Issuance of login ID and password for the JSPS Electronic Application System for KAKENHI to Principal Investigators (JSPS Research Fellows)	—*1	○*2

* “○” items require administrative tasks; “—” items do not require administrative tasks

*1 As a result of combining (i) the applications for JSPS Research Fellowships and (ii) the applications for Grant-in-Aid for JSPS Fellows, the conventional JSPS Electronic Application System for KAKENHI will no longer be used for (ii) the applications for Grant-in-Aid for JSPS Fellows. The applicants will submit their applications by themselves using the application preparation screen on the JSPS Electronic Application System for Research Fellowship Programs.

*2 To be issued for successful applicants of JSPS Research Fellowships only (*Host research institutions will receive detailed instructions around April 2024)

(Research ethics education)

Successful applicants must complete the research ethics educational course, etc. prior to submitting the documents for the acceptance of fellowship. Applying Organizations should advise applicants about this requirement when they submit their formal applications for the delivery of Grant-in-Aid for JSPS Fellows.

(Host research institution’s Affiliated Department Number and confirmation of host research institution)

Successful applicants of JSPS Research Fellowships will need to know the Affiliated Department Number of their host research institution (which is registered in the e-Rad) in applying for Grant-in-Aid for JSPS Fellows. Please inform the successful applicants after the selection results are disclosed. Details are scheduled to be announced in the JSPS Research Fellowships acceptance procedure around mid-January 2024. Even if the Principal Investigator (successful applicant) is

found to have changed his/her host research institution before the start of the fellowship tenure, please complete the necessary procedures during the same JSPS Research Fellowships acceptance procedure.

2) Electronic Application Systems

- Applications for Grant-in-Aid for JSPS Fellows are to be submitted on the JSPS Electronic Application System for Research Fellowship Programs, not the conventional JSPS Electronic Application System for KAKENHI.

- Issuance of applicant's login ID and password for the JSPS Electronic Application System for KAKENHI

The procedures for provisional grant decision for Grant-in-Aid for JSPS Fellows and formal application for grant delivery by successful applicants will be completed using the conventional JSPS Electronic Application System for KAKENHI. (*Host research institutions will receive detailed instructions around April 2024.) Applicants do not need an applicant's ID or login password for the JSPS Electronic Application System for KAKENHI at the time of application for JSPS Research Fellowships or application for Grant-in-Aid for JSPS Fellows.

- Confirmation of Research Proposal Documents by the host institution's KAKENHI administration office

Starting from the FY2024 call for proposals, the Research Proposal Documents for Grant-in-Aid for JSPS Fellows will no longer be accessible from the JSPS Electronic Application System for KAKENHI. Applying Organizations are advised to take measures if different offices are in charge of JSPS Fellowships and KAKENHI within their institution. For example, Applying Organizations may register a new account in the JSPS Electronic Application System for Research Fellowship Programs for the KAKENHI administration office as "administration staff."

*Research institutions can control the access from the administration staff account created for the KAKENHI administration office, restricting access to certain information such as applicant's contact information that was not available from the conventional JSPS Electronic Application System for KAKENHI. Details will be announced after mid-March 2023 in the Operation Manual for the JSPS Electronic Application System for Research Fellowship Programs (<https://www-shinsei.jps.go.jp/docs/manual2yo.pdf>).

- Flow from Application for JSPS Research Fellowships & Application for Grant-in-Aid for JSPS Fellows to Official Grant Decision

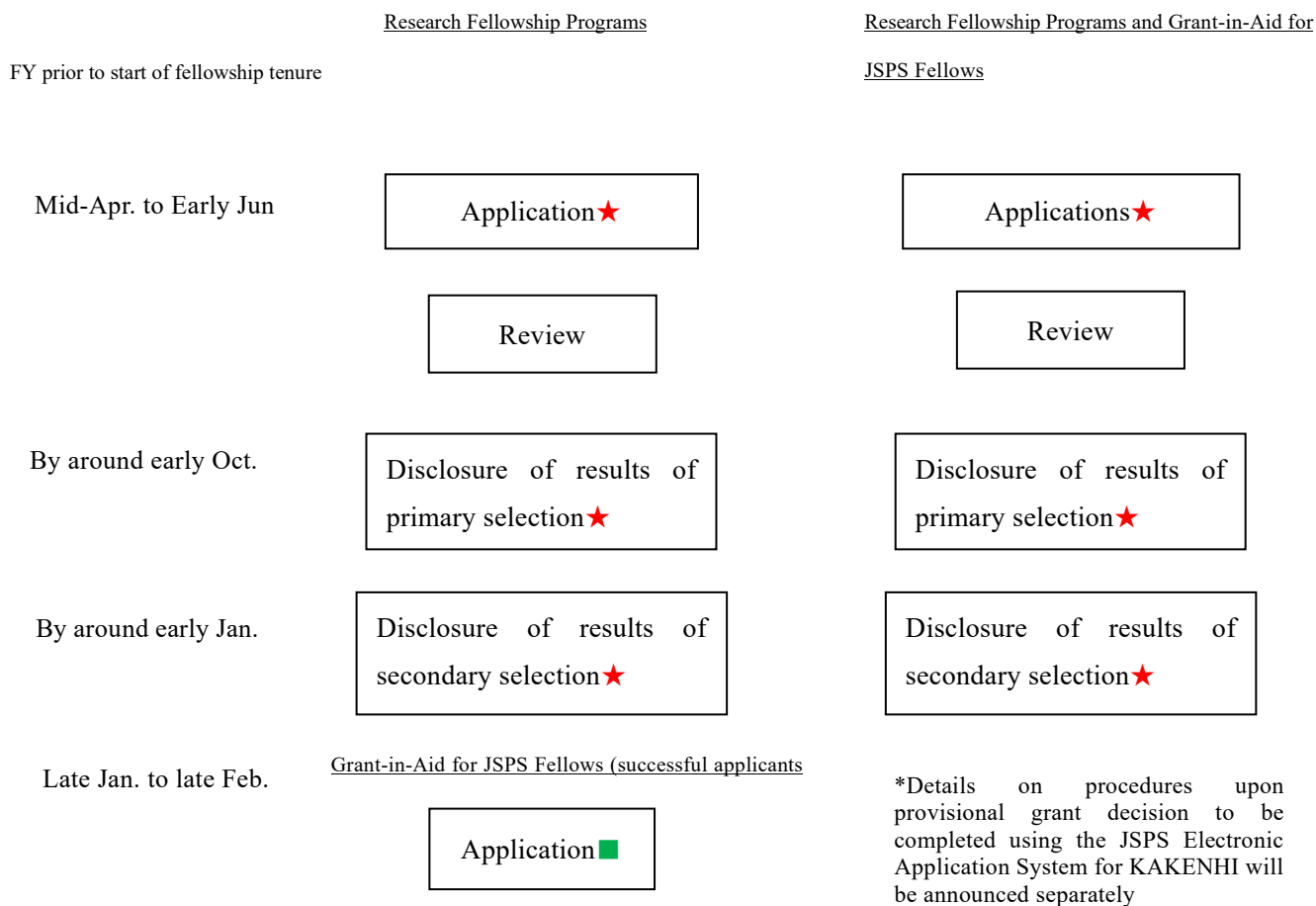
(*Not including procedures for successful applicants from the waiting list)

★ : JSPS Electronic Application System for Research Fellowship Programs
 ■ : JSPS Electronic Application System for KAKENHI

Before changes



Amended



First FY of fellowship tenure

