

# Grants-in-Aid for Scientific Research (KAKENHI [Multi-year Fund]) Spending Rules: Funding Conditions

<Grant-in-Aid for JSPS Fellows (JSPS International Research Fellow)>

Shown below are the funding conditions that must be observed by the members of a funded project (the Principal Investigator [the researcher hosting a JSPS International Research Fellow (“JSPS International Research Fellow”) who is selected under the JSPS Invitational Fellowships for Research in Japan; the “Hosting Researcher”] and the Co-Investigator [the JSPS International Research Fellow]) who receives a multi-year fund under the category of Grants-in-Aid for Scientific Research (KAKENHI [Multi-year Fund]); the “Grant-in-Aid for JSPS Fellows”) (the “Grant”) from the Japan Society for the Promotion of Science (“JSPS”) under the provisions of the Act on Regulation of Execution of Budget Pertaining to Subsidies, etc. (Act No. 179 of 1955; the “Budget Regulation Act”), the Basic Policy on the Management of the KAKENHI (Multi-year Fund) (adopted on April 28, 2011 by the Minister of Education, Culture, Sports, Science and Technology; the “Management Policy”), and the Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI [Multi-year Fund]) (Rule No. 19 of 2011; the “Handling Procedures”).

## 1. General rules

[Compliance with laws and regulations]

1-1 In conducting the funded project, the Principal Investigator and the Co-Investigator must comply with the provisions of relevant laws and regulations, including the Budget Regulation Act, the Enforcement Order for the Budget Regulation Act (Cabinet Order No. 255 of 1955), the Management Policy, the Handling Procedures, and these Funding Conditions.

[Definitions]

1-2 The terms used in these Funding Conditions are subject to the definitions provided for in Article 3 of the Handling Procedures.

[Responsibility of the members of the funded project]

1-3 The Principal Investigator and the Co-Investigator must always be mindful that the Grant is paid from taxpayer money and endeavor to faithfully conduct the funded project in line with the purposes for which the Grant is paid.

[Provision of a copy of these Funding Conditions]

1-4 The Principal Investigator must provide a copy of these Funding Conditions to the Co-Investigator and explain to him/her that he/she is also obligated to observe these Funding Conditions as a member of the funded project under the provisions of Article 11, paragraph 1 of the Budget Regulation Act.

[Grant management by research institutions]

1-5 The Principal Investigator and the Co-Investigator must ensure that the research institution with which the Principal Investigator (the Hosting Researcher) is affiliated and where the Co-Investigator (the JSPS International Research Fellow) engages in the research manages the Grant in accordance with the “Administrative Work and Other Tasks Concerning the Use of Grants-in-Aid for Scientific Research (KAKENHI [Multi-year Fund]) to Be Performed by Each Research Institution,” set forth separately by JSPS, and must carry out the procedures specified in these Funding Conditions through the research institution. The same rule applies if the Principal Investigator or the Co-Investigator changes the research institution.

[Ensuring the soundness and fairness of research activities (research integrity)]

1-6 The Principal Investigator and the Co-Investigator must comply with the Code of Conduct for Scientists, ensure the fairness and transparency of their research activities, and take necessary measures to fulfill accountability for their research activities using KAKENHI funds.

In addition, they must not commit or get involved in any improper grant spending (using research funds intentionally or by gross negligence for unintended purposes or in violation of the funding decisions or their attached conditions), fraudulent grant acquisition (receiving research funds by deception or other fraudulent means), or research misconduct (fabricating, falsifying, or plagiarizing data, information, or findings in published research achievements intentionally or as a result of a gross failure to adhere to the standard duty of care as researchers) in carrying out their research activities.

## 2. Use of direct expenses

[Fair and efficient use of direct expenses]

2-1 The Principal Investigator and the Co-Investigator must endeavor to use direct expenses (expenses necessary to conduct the funded project [including expenses necessary to compile research achievements]) in a fair and efficient manner, and must not use direct expenses for unintended purposes or in violation of these Funding Conditions.

[Expenses under each category of direct expenses]

2-2 Shown below are some examples of expenses under each category of direct expenses (expenses necessary to conduct the funded project [including expenses necessary to compile research achievements]):

Goods expenses: Goods purchase expenses

Travel expenses: Expenses of overseas and domestic business trips (for such purposes as gathering materials, conducting survey and research activities, having research meetings, and publishing research achievements) made by the Principal Investigator, the Co-Investigator, and Research Collaborators (transportation, accommodation, and daily allowances; no JSPS International Research Fellow is eligible for daily allowances)

Personnel expenses/rewards: Rewards, remunerations, wages, and salaries payable to Research Collaborators (such as postdoctoral fellows, research assistants [RAs], and researchers affiliated with overseas research institutions) who organize research materials, assist in experiments, translate or proof-read documents, provide expertise, distribute or collect questionnaires, gather research materials, or perform other tasks; as well as payments made to temporary work agencies

Miscellaneous expenses: Other expenses necessary to conduct the research (e.g., printing expenses, copying expenses, photo development and printing expenses, communication expenses [such as postage stamps and telephone calls], transporting expenses, research site lease expenses [only if it is difficult to conduct the funded project at the research institution], meeting expenses [such as meeting room charges and expenses of meals excluding alcoholic beverages], lease and rental expenses [such as lease and rental of computers, motor vehicles, and experiment equipment and tools], equipment repair expenses, transportation expenses not included in travel expenses, expenses of publishing research achievements [charges for contributions to academic journals, website creation expenses, expenses of producing pamphlets or other materials for publication of research achievements, expenses of activities to publicize research achievements to the general public, including children and students], and expenses of experiment waste disposal)

[Request for payment of the Grant]

2-3 For expenses necessary for each fiscal year, the Principal Investigator must request payment of the Grant from JSPS by submitting Form F-2-1 “Request for Payment” by March 1 of the fiscal year.

[Start of research and contracts]

2-4 For newly adopted research projects, the Principal Investigator and the Co-Investigator may start the research and conclude necessary contracts on or after the date of notice of provisional grant decision and the starting date of the Co-Investigator’s fellowship tenure as the JSPS International Research Fellow. Necessary expenses must be covered by direct expenses after the receipt of direct expenses or, before the receipt of direct expenses, may be paid by the research institution, which must be reimbursed for the paid expenses from direct expenses after the receipt of direct expenses.

[Request for advance payment of the Grant]

2-5 If the Principal Investigator requests advance payment of the Grant in the middle of each fiscal year due to a change in the research plan or other reasons, he/she must request payment of the Grant from JSPS by submitting Form F-3-1 “Request for Advance Payment” by September 1 or December 1 of the fiscal year. However, the Principal Investigator may not request advance payment of the Grant if the advancement payment shortens the research period substantially.

[Use of the Grant in the following fiscal year during the period of the funded project]

2-6 If any direct expenses are left unused due to a change in the research plan or other reasons, the Principal Investigator may use the remaining direct expenses in the following fiscal year. In this case, the Principal Investigator must report the research fund use plan for the following fiscal year by submitting Form F-7-1 “Report on the State of Implementation (Report on the State of Research Implementation)” referred to in 4-1.

[Restrictions on use of direct expenses]

2-7 Direct expenses must not be used to cover the following expenses:

- (1) Expenses for buildings and other facilities (excluding installation and other expenses needed to use goods purchased with direct expenses)
- (2) Expenses of handling accidents and disasters that may occur in the course of the funded project
- (3) Personnel expenses and rewards for the Principal Investigator or the Co-Investigator
- (4) Other expenses that should be covered by indirect expenses

[Restrictions on combined use of direct expenses with other expenses]

2-8 Direct expenses must not be used in combination with other expenses, except for the following cases:

- (1) Direct expenses are used to cover the cost of one business trip or one item that serves both the purposes of the funded project and other purposes by ensuring clear delineation between the use of direct expenses and other expenses.
- (2) Direct expenses are used for the funded project in combination with funds other than KAKENHI funds (excluding funds whose uses are limited, such as funds for commissioned projects, subsidies for current expenditures to private institution of higher education, and indirect expenses). (If direct expenses are used to cover the purchase cost of equipment, fixtures or books [“Equipment”], rules on the handling of the Equipment must be determined in advance so as not to interfere with the implementation of the funded project, for example, in the case where the Principal Investigator or the Co-Investigator changes his/her research institution).
- (3) Direct expenses are used to cover the purchase cost of a facility to be shared by multiple research projects (“Shared Facility”) in combination with funds that can be used to cover the purchase cost of Shared Facilities. (However, such Shared Facility must be used within the same research institution. Rules on the handling of the Shared Facility must be determined in advance so as not to

interfere with the implementation of the funded project, for example, in the case where the Principal Investigator or the Co-Investigator changes his/her research institution. In addition, the cost burden of each research project and the basis for calculating the costs must be determined in advance.)

- (4) Direct expenses are used to cover expenses necessary to conduct other funded projects in combination with other KAKENHI funds (Grants-in-Aid for Scientific Research single-year grants and multi-year funds). (However, such necessary expenses must be used within the same research institution. If such necessary expenses are used to cover the purchase cost of Equipment, rules on the handling of the Equipment must be determined in advance so as not to interfere with the implementation of the funded project, for example, in the case where the Principal Investigator or the Co-Investigator changes his/her research institution. In addition, the cost burden of each research project and the basis for calculating the costs must be determined in advance.)

[Deadline for delivery and payment]

- 2-9 Any delivery of goods and provision of services for the funded project must be completed within the period of the funded project. Expenses for such delivery and provision must be paid by the deadline for a Report on the Results.

[Employment of research collaborators]

- 2-10 To employ a Research Collaborator, the Principal Investigator and the Co-Investigator must have their research institution conclude an employment contract, as party to said contract, that details work descriptions, working hours, and other working conditions with the Research Collaborator.

3. Procedures necessary for changes to the funded project (rules for changing information provided in the form of the formal application for grant delivery)

[Matters that cannot be changed]

- 3-1 Information provided in the “Title of Research Project” and “Research Objectives” sections cannot be changed. The Principal Investigator cannot be changed, either, except in the cases referred to in 3-5, 3-6, 3-8, or 3-9. In addition, the period of the funded project cannot be shortened.

[Abolishment of the funded project]

- 3-2 To abolish the funded project, the Principal Investigator must make an application by submitting Form F-5-1 “Request for Approval to Abolish Funded Project” and obtain JSPS’s approval. In addition, the Principal Investigator must return any unused portion of the Grant and, within 61 days from the approval of abolishment, report to JSPS the results of the funded project completed by the time of abolishment by submitting Form F-6-2 “Report on the Results (Report on the Settlement of Accounts)” and Form F-7-2 “Report on the Results (Report on the Research Results)” (the Report on the Research Results will be made public by the Database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics).

[Change of the research institution]

- 3-3 If the Principal Investigator changes his/her research institution where the Co-Investigator is engaged in the research, they must notify JSPS by submitting Form F-10-1 “Notice of Change of Principal Investigator’s Research Institution.”

[Loss of eligibility of the Principal Investigator]

- 3-4 The Principal Investigator must abolish the funded project in accordance with the procedures specified in 3-2 if he/she loses the status of the Hosting Researcher of the JSPS International Research Fellow, if he/she becomes unable to continue the funded project for longer than one year, if he/she becomes unable to conduct the funded project due to the restrictions on parallel grant application/receipt specified in the Application Procedures for Grants-in-Aid for Scientific Research, or if he/she is found ineligible to

receive the Grant due to his/her improper fund spending, fraudulent fund receipt, or research misconduct in any project other than the funded project.

3-5 If the Principal Investigator desires that the funded project be continued through his/her replacement because he/she loses the status of the Hosting Researcher of the JSPS International Research Fellow, he/she must make an application by submitting Form F-9-2 “Application Form for Approval to Change the Project Members” and obtain JSPS’s approval. If the Principal Investigator is replaced by a researcher of another research institution, the new Principal Investigator must notify JSPS by submitting Form F-10-2 “Notice of Change of Affiliation After the Replacement of the Principal Investigator.”

3-6 If the position of the Principal Investigator becomes vacant and the Co-Investigator desires to continue the funded project through the Principal Investigator’s replacement, the Co-Investigator must make an application by submitting Form F-9-2 “Application Form for Approval to Change the Project Members” and obtain JSPS’s approval. If the Principal Investigator is replaced by a researcher of another research institution, the new Principal Investigator must notify JSPS by submitting Form F-10-2 “Notice of Change of Affiliation After the Replacement of the Principal Investigator.”

[Loss of eligibility of the Co-Investigator (JSPS International Research Fellow)]

3-7 The Principal Investigator must abolish the funded project in accordance with the procedures specified in 3-2 if the Co-Investigator loses the status of the JSPS International Research Fellow, if the Co-Investigator becomes unable to continue the funded project for longer than one year, if the Co-Investigator needs to be removed due to the restrictions on parallel grant application/receipt specified in the Application Procedures for Grants-in-Aid for Scientific Research, or if the Co-Investigator is found ineligible to receive the Grant due to his/her improper grant spending, fraudulent grant acquisition, or research misconduct in any project other than the funded project. However, if the funded project is suspended for longer than one year as a result of the suspension of the Co-Investigator’s fellowship as the JSPS International Research Fellow due to his/her maternity leave or childcare leave (“Maternity/Childcare Leave”), the procedures specified in 3-11 or 3-12 apply.

3-8 If the Co-Investigator losing the status of the JSPS International Research Fellow becomes a researcher registered with the Cross-Ministerial Research and Development Management System (e-Rad) as a researcher “eligible for KAKENHI application” as a result of meeting the following requirements at the research institution where he/she has been engaged in the research or if the Co-Investigator selected as the JSPS International Research Fellow as a result of receiving the JSPS IKUSHI PRIZE is selected as a JSPS Fellow after the cancellation of the fellowship as the JSPS International Research Fellow and desires to use the Grant for the remaining period of the funded project at the research institution where he/she has been engaged in the research, the Principal Investigator must make an application by submitting Form F-9-2 “Application Form for Approval to Change the Project Members” and obtain JSPS’s approval.

<Requirements>

- a. The Co-Investigator works for the research institution to conduct its research activities as part of his/her job (he/she can be a paid or unpaid or full-time or part-time researcher and is not required to conduct research activities as his/her main job).
- b. The Co-Investigator is actually engaged in research activities of the research institution (excluding the case where he/she is engaged only in research assistance).
- c. The Co-Investigator is not a student, including a graduate student (excluding the case where he/she is employed mainly to conduct research activities at the research institution [such as university faculty staff and corporate researchers] and has a student status).

3-9 If the Co-Investigator losing the status of the JSPS International Research Fellow becomes a researcher registered with the Cross-Ministerial Research and Development Management System (e-Rad) as a

researcher “eligible for KAKENHI application” as a result of meeting the requirements specified in 3-8 at a research institution other than the research institution where he/she has been engaged in the research or if the Co-Investigator selected as the JSPS International Research Fellow as a result of receiving the JSPS IKUSHI PRIZE is selected as a JSPS Fellow after the cancellation of the fellowship as the JSPS International Research Fellow and desires to use the Grant for the remaining period of the funded project at a research institution other than the research institution where he/she has been engaged in the research, the Principal Investigator must make an application by submitting Form F-9-2 “Application Form for Approval to Change the Project Members” and obtain JSPS’s approval. The new Principal Investigator must notify JSPS by submitting Form F-10-2 “Notice of Change of Affiliation After the Replacement of the Principal Investigator.”

[Extension of the period of the funded project]

3-10 If the Principal Investigator desires to extend the period of the funded project to the fiscal year following the last fiscal year of the research plan due to a change in the research plan or other reasons, he/she must make an application and obtain JSPS’s approval by submitting Form F-14 “Application Form for Approval to Extend the Period of the Funded Project” by March 1 of the last fiscal year of the research plan as long as he/she has the status of the Hosting Researcher of the JSPS International Research Fellow and the Co-Investigator has the status of the JSPS International Research Fellow in the extended fiscal year, and the research can be completed before either of them loses the status. If the Co-Investigator’s fellowship as the JSPS International Research Fellow is suspended due to his/her Maternity/Childcare Leave, the procedures specified in 3-11 or 3-12 apply.

[Suspended provision of Grant-in-Aid for JSPS Fellows (JSPS International Research Fellow) due to the suspension of the Co-Investigator’s fellowship as the JSPS International Research Fellow by reason of taking Maternity/Childcare Leave]

3-11 If the Principal Investigator suspends the funded project for longer than one year because the Co-Investigator’s fellowship as the JSPS International Research Fellow is suspended due to his/her Maternity/Childcare Leave, the Principal Investigator must notify JSPS by submitting Form F-13-1 “Notice of Suspension of Research.” If there is any unused Grant at the time of the suspension of the funded project, the unused Grant must be properly maintained by the research institution until the funded project restarts.

[Extension of the period of the funded project as a result of the suspended provision of Grant-in-Aid for JSPS Fellows (JSPS International Research Fellow) due to the suspension of the Co-Investigator’s fellowship as the JSPS International Research Fellow by reason of taking Maternity/Childcare Leave]

3-12 In the event that the funded project is suspended because the Co-Investigator’s fellowship as the JSPS International Research Fellow is suspended due to his/her Maternity/Childcare Leave, if the Principal Investigator desires to extend the period of the funded project due to a change in the research plan or other reasons, the Principal Investigator must make an application by submitting Form F-13-2 “Application Form for Approval to Extend the Period of the Funded Project for Maternity Leave, Childcare Leave, or Research Stay Abroad, etc.” and obtain JSPS’s approval. The period of the funded project may be extended for its period suspended by the suspension of the Co-Investigator’s fellowship as the JSPS International Research Fellow due to his/her Maternity/Childcare Leave.

[Minor changes]

3-13 Information provided in the “Annual direct expenses,” “Itemized breakdown of annual direct expenses,” “Research plan,” and “Details of major goods” sections of the form of the formal application for grant delivery may be changed if necessary to conduct the funded project.

[Handling of Equipment]

3-14 The Principal Investigator must donate Equipment purchased with direct expenses to his/her research institution immediately after the purchase (books that may hinder the research process if immediately

donated must be donated at a later time, once the donation no longer hinders the research process). However, if immediate donation of Equipment, excluding books, hinders the research process, the Principal Investigator may postpone the donation by making an application through submission of Form F-15 “Application Form for Approval to Postpone Donation” and obtaining JSPS’s approval. (Such donation may be postponed until the Co-Investigator loses the status of the JSPS International Research Fellow, except for the cases where the procedures specified in 3-8 or 3-9 are carried out.)

[Handling of interest and profit on currency exchange]

3-15 As a general rule, the Principal Investigator must transfer all interest and foreign currency transaction gains related to direct expenses to his/her research institution.

[Handling of income]

3-16 The Principal Investigator and the Co-Investigator must transfer to JSPS any income that may arise from the funded project after submitting a Report on the Results.

#### 4. Reporting of the implementation status of the funded project

[Submission of a Report on Implementation Status]

4-1 After the end of each fiscal year, excluding the last fiscal year of the research plan, the Principal Investigator must report the implementation status of the funded project for the fiscal year to JSPS by May 31 of the following fiscal year by submitting Form F-6-1 “Report on Implementation Status (Report on Accounts Status)” and Form F-7-1 “Report on Implementation Status (Report on Research Implementation Status)” (the Report on Research Implementation Status will be made public by the Database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics).

#### 5. Reporting of project results

[Submission of a Report on the Results]

5-1 By May 31 of the fiscal year following the last fiscal year of the research plan (or within 61 days after the abolishment of the funded project is approved), the Principal Investigator must report the results of the funded project to JSPS by submitting Form F-6-2 “Report on the Results (Report on the Settlement of Accounts)” and Form F-7-2 “Report on the Results (Report on the Research Results)” (the Report on the Research Results will be made public by the Database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics). If there is any unused Grant at the time of the reporting, the unused Grant must be returned to JSPS.

#### 6. Submission of a Report on the Research Achievements

[Measures taken in case that a Report on the Research Achievements is not submitted]

6-1 If the Principal Investigator fails to submit a Report on the Research Achievements (Forms C-19, C-41, F-19-1, F-19-2, or Z-19) or Report on the Research Progress (Forms C-21, C-42, F-21, or Z-21) for any other project funded by Grants-in-Aid for Scientific Research (KAKENHI) by the deadline, the Principal Investigator and the Co-Investigator must suspend the implementation of the funded project until the Principal Investigator submit the Report to JSPS (or must follow different instructions that may be given by Ministry of Education, Culture, Sports, Science and Technology (MEXT) or JSPS).

6-2 If the Co-Investigator fails to submit a Report on the Research Achievements (Forms C-19, C-41, F-19-1, F-19-2, or Z-19) or Report on the Research Progress (Forms C-21, C-42, F-21, or Z-21) for any other project funded by Grants-in-Aid for Scientific Research (KAKENHI) by the deadline, the Co-

Investigator must suspend the implementation of the funded project until he/she submits the Report to JSPS (or must follow different instructions that may be given by MEXT or JSPS).

## 7. Publication and use of research achievements

[International dissemination of research achievements]

7-1 The Principal Investigator and the Co-Investigator must endeavor to actively disseminate the research achievements of the funded project on an international scale, for example, by publishing articles in international academic journals, writing international joint papers, or making presentations at international conferences or other opportunities.

[Mandatory announcement for publication of research achievements]

7-2 When publishing any research achievements of the funded project, the Principal Investigator and the Co-Investigator must announce that the achievements are of research conducted with the Grant. In particular, when publishing any research achievements of the funded project in an article, they must definitely state that the achievements are of research conducted with the Grant in the acknowledgments or other designated parts of the article (the JSPS KAKENHI Grant Number JPxxxxxxx (8-digit project number) must be included).

[Reporting of publication of research achievements]

7-3 If the Principal Investigator publishes any research achievements of the funded project in a book, magazine, or other publications after submitting Form F-7-2 “Report on the Results (Report on the Research Results)” in the fiscal year following the last fiscal year of the research plan or obtains any industrial property right to any research achievements of the funded project, he/she must notify JSPS by submitting Form F-24 “Report on the Publication of Research Achievements” (the Report on the Publication of Research Achievements will be made public by the Database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics).

[Sharing of useful tips on how to conduct international research activities]

7-4 If requested by their research institution, the Principal Investigator and the Co-Investigator must endeavor to share with the research institution any useful tips on how to conduct international research activities that they may find through the funded project as long as such sharing does not impede the implementation of the funded project.

## 8. Miscellaneous provisions

[Reporting of research progress]

8-1 The Principal Investigator and the Co-Investigator must report the progress of the funded project to MEXT or JSPS if requested by the organization.

[Human rights protection and compliance with laws and regulations]

8-2 The Principal Investigator and the Co-Investigator must comply with relevant laws and regulations if they conduct any of the following research required to comply with relevant laws and regulations in the funded project:

- Research that needs social consensus (stakeholders’ consent or cooperation)
- Research that needs to pay attention to personal information handling (such as confidentiality of personal information and human rights protection)
- Research that needs bioethical or safety considerations (such as human genome or gene analysis research, research involving specified embryos, and research involving genetic modification experiments)
- Research that involves providing technology controlled by the Foreign Exchange and Foreign Trade

Act (Act No. 228 of 1949) (including transport of data using a recording medium and transmission of data by email) to non-residents or foreign countries or exporting goods controlled by the Act

[Cooperation in KAKENHI review]

8-3 The Principal Investigator and the Co-Investigator must actively meet requests to update the Database of JSPS Review Committee Candidates, which is used to select KAKENHI reviewers.

[Organization and retention of related documents]

8-4 The Principal Investigator must keep books on the balance of the Grant, organize receipts and other related documents, and retain such books and related documents (may retain them in the form of electronic or magnetic records) for at least five years after the period of the funded project ends.