



Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI-

FY2023

JSPS Research Fellows
【JSPS Research Fellow】

This English version is provided for convenience of prospective KAKENHI applicants who experience difficulty in reading the Japanese original, which should be referred to, in case of dispute.

January, 2023

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

Introduction

This document describes the procedures and other matters relevant to the “Call for Proposals for the Grants-in-Aid for Scientific Research-KAKENHI- for FY2023” including the “JSPS Research Fellows” [JSPS Research Fellow].

The contents are :

- I Call for Proposals**
- II Preparation of the KAKENHI Application Form (Research Proposal Document),etc.**
- III Completion of Research Ethics Education Coursework,etc.**
- IV Handling of Research Projects to be Continued in FY2023**
- V Procedures to be Completed by the Research Institution**
- VI Other Relevant Issues**

“I. Call for Proposals” provides for the Research Category, such basic issues as the subjects in the research category to be called, the range of envisaged total budget, a project period is also described.

The subsequent sections “II. Preparation of the KAKENHI Application Form (Research Proposal Document,etc.)”, “III. Completion of Research Ethics Education Coursework,etc.”, “IV. Handling of Research Projects to be Continued in FY2023”, and “V. Procedures to be Completed by the Research Institution” describe conditions for application, required procedures, and other matters, to be followed by the respective actors.

This Call for Proposals announced prior to the finalization of the national budget for FY2023 so as to prospective applicants proceed with an early preparation for review and enable to commence their research activities as soon as possible. It is, therefore, to be reminded that depending on the situation of the national budget enactment, details on the grant allocation and other matters may be subject to change at a later stage.

The major change in the FY2023 call for proposals are listed on the following pages.

Explanation of Important Matters

- Grants-in-Aid for Scientific Research is a competitive research funding 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 research using the KAKENHI fund should be carried out by the researchers' own initiative and responsibility. Therefore, the implementation of a KAKENHI research project and publication of the research results are solely attributed to the researchers' responsibility and view, and do not reflect that of the funding sector nor of the government.
- 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).
- From the perspective of enhancing the quality of research activities among the international scientific research networks, researchers are urged to disseminate their research results aggressively to the international society by publication of scientific papers in international journals, co-authoring of international papers, presentations in international conferences, etc.

< Major Changes in the Call for Proposals for Fiscal Year 2023 >

(1) Grant-in-Aid for Scientific Research will become multi-year fund

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

(2) Major changes in schedule, procedures, etc. for the call for proposals for Grant-in-Aid for JSPS Research Fellows

- JSPS is planning to make major changes in the timing, procedures, etc. for the call for proposals for Grant-in-Aid for JSPS Research Fellows starting from the FY2024 call for proposals. Awardees of the FY2023 Fellowship, or JSPS Research Fellows who have been awarded fellowships before FY2022 should take extra note if you are not scheduled to receive grant under the FY2023 Grant-in-Aid for JSPS Research Fellows program. If you fail to apply for this call for proposals, you will not be eligible to apply for the call for proposals for Grant-in-Aid for JSPS Research Fellows for FY2024 or later. (See Page 3)

(3) Participation of DC Fellows as Co-Investigators

- Starting from FY2023, DC Fellows will be allowed to participate as Co-Investigators in projects under other KAKENHI research categories. (See Page 6)

(4) Support for expenses to be used for the preparation of academic settings

- If a host research institution employs a JSPS Fellow (PD, RPD, CPD), JSPS is planning to provide support to said research institution for expenses to be used for the preparation of academic settings. (See Page 4)

(5) 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 JSPS Fellow 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. (See Page 5)

(6) New “draw back” function for application documents has been implemented

- Starting from the current call for proposals, the administrative staff of research institutions can, at any time prior to the deadline for submission (transmission), draw back the Research Proposal Documents (application documents) that they have already submitted (transmitted) to JSPS, and correct the content as necessary and resubmit them. (See Page 33)

(7) Research Integrity

- In response to the “Policy for Securement of Research Integrity” (April 27, 2021, Decision of Council for Science, Technology and Innovation), JSPS is taking necessary measures to ensure the transparency of research activities.(See page 7, 31)

As an ongoing measure, applicants will be required to provide information to ensure the transparency of research activities in their Research Proposal Documents for the FY2023 Call for Proposals.

(Key Actions)

- It is explicitly stated that applicants must declare any domestic competitive research funds as well as any foreign research funds they are receiving in The Status of Application and Acquisition of Research Grants column of their Research Proposal Documents.
- Applicants must provide the affiliated institutions and job titles in applying for and acquiring the research grants for the research projects indicated in The Status of Application and Acquisition of Research Grants column of their Research Proposal Documents.
- Research Proposal Documents should be prepared so that the information necessary to ensure the transparency of all research activities that applicants are engaged in is appropriately shared with their affiliated research institutions in accordance with the handling procedures of said affiliated research institutions. If an applicant plans to handle any technology that is restricted under the Foreign Exchange and Foreign Trade Act of Japan (Act No. 228 of 1949), the applicant should carefully check the security export control system and determine how to handle such restricted technology and other matters in accordance with the Act and the rules, etc. of the affiliated research institution prior to submitting the Research Proposal Document.

If a Research Proposal Document is found to contain an untruthful statement, JSPS may reject the research proposal, cancel the grant decision, or reduce the research budget.

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References

The application forms (Research Proposal Document) and other application materials are contained in separate files. Please refer to “Supplementary Volume ‘Application Procedures for Grants-in-Aid for Scientific Research - KAKENHI - for FY2023 “JSPS Research Fellows” [JSPS Research Fellow] (Forms / Procedures for Preparing and Entering a Research Proposal Document).”

* The application procedures, Research Proposal Document (output image) and other application materials can be downloaded from the following JSPS website (cf. URL below).

URL: https://www.jsps.go.jp/j-grantsinaid/20_tokushourei/download.html

I. Call for Proposals

1. Purpose

The “Grant-in-Aid for JSPS Research Fellows” is a grant category within the Grants-in-Aid for Scientific Research Program (hereinafter referred to as “KAKENHI”). Its purpose is to give excellent young researchers at an early stage of their careers an opportunity to choose a research topic based on their own free ideas and to concentrate on advancing that research. Ultimately, the program seeks to foster researchers with abundant creativity who will shoulder the future of scientific research in Japan. JSPS Research Fellows receive this Grant-in-Aid in support of their research.

2. Recipients

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

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

Five funding categories:

Funding Category		Research Period 3years	Research Period 2years	Research Period 1years
Lab Research	PD (including RPD)	3.6 million yen or less.	2.4 million yen or less.	1.2 million yen or less.
	DC	3 million yen or less.	2 million yen or less.	1 million yen or less.
Non-Lab Research	PD (including RPD)	2.4 million yen or less.	1.6 million yen or less.	0.8 million yen or less.
	DC	1.8 million yen or less.	1.2 million yen or less.	0.6 million yen or less.
Special Research (Category when an applicant applies for funding in an amount that exceeds that of “Lab Research.” If the reason for requesting Special Research funding is deemed appropriate, there are cases when it is approved.)		4.5 million yen or less.	3 million yen or less.	1.5 million yen or less.

*Fellows may select their own research period within the length of their fellowship tenure. The fellowship tenure of RPD Fellows may span over four fiscal years (as a result of starting their research projects in July, October, or January), but even if they desire to receive the Grant-in-Aid

for JSPS Research Fellows for all four fiscal years, the total budgets must still be within the amounts set out in the above table.

*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.

*Only one application can be made for the same research project under the Grant-in-Aid for JSPS Research Fellows. Accordingly, if after receiving a preliminary notice of grant disbursement, a JSPS Research Fellow changes his/her eligibility from DC to PD, s/he may not submit a new application under the PD category. Your application for Grant-in-Aid for JSPS Research Fellows will be accepted under the eligibility at the time you prepare the Application for JSPS Research Fellowship. Therefore, note that once you submit your application for this Grant-in-Aid, you cannot change the funding category or total budget even if you change your eligibility from DC to PD before receiving a preliminary grant decision notice.

*“Lab Research” and “Non-Lab Research” are classified as follows. Select the funding category that is most suitable for your research plan.

1. In the Review Sections, “Humanities” and “Social Sciences” applications are, in principle, classified “Non-Lab Research.”

However, if a Non-Lab project requires a budget that exceeds the allocated amount (e.g. for field work), the applicant is permitted to choose either “Lab-Research” or “Special Research.” (In such cases, the applicant must clearly describe the reason for choosing the other funding category.)

2. In the Review Sections, “Mathematical and Physical Sciences,” “Chemistry,” “Engineering Sciences,” “Informatics,” “Biological Sciences,” “Agricultural and Environmental Sciences,” and “Medicine Dental and Pharmacy” applications are, in principle, classified as “Lab-Research.”

However, if your project requires a budget that exceeds the total amount for “Lab Research,” you may choose the “Special Research” funding category.

4. Research period

- | | |
|--------------------------------|---------------|
| (1) JSPS Research Fellow (PD) | up to 3 years |
| (2) JSPS Research Fellow (RPD) | up to 3 years |
| (3) JSPS Research Fellow (DC1) | up to 3 years |
| (4) JSPS Research Fellow (DC2) | up to 2 years |

5. Application Eligibility (etc.)

(1) Applicant Eligibility

Persons applying under this application procedure must have in FY 2023 been newly selected or scheduled to be selected as a JSPS Research Fellows (PD, RPD and DC). However, applicants under Section 6. “Eligible Research Projects” 2) are excluded.

(2) Research Team

In carrying out a project under the Grant-in-Aid for JSPS Research Fellows, the Fellow becomes the Principle Investigator and conducts the research by him or herself. As the Principle 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 Institution Submitting Research Proposal Document

Fellows are to apply for the grant via the research institution where they are carrying out their research (hereafter referred to as the “host research institution”). If DC Fellows do not yet have a host research institution, they should apply via the institution to which they applied to become a Research Fellow.

*The host research institution is the research institution at which the host researcher is employed. (If employed at plural institutions, the one where he/she is mainly employed becomes the host research institution.)

6. Eligible Research Projects

- 1) Eligible are research projects carried out by persons provisionally selected as a FY2023 JSPS Research Fellow.
- 2) Also eligible are research projects carried by persons whose tenure as a JSPS Research Fellow is extended from FY 2022 but whose FY2023 Grant-in-Aid for JSPS Research Fellows has not been officially approved.

JSPS is planning to make major changes in the timing, procedures, etc. for the call for proposals for Grant-in-Aid for JSPS Research Fellows starting from the FY2024 call for proposals. Applicants who fall under 1) or 2) above must apply at this time. Take note that if you fail to apply for this call for proposals, you will not be eligible to apply for the call for proposals for Grant-in-Aid for JSPS Research Fellows for FY2024 or later.

7. 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 be 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*

*Indirect expense which amounts to 30% of the direct expense, is intended for use by the research institution in covering expenditures needed by the research institution for the management and other things associated with the implementation of the funded project. Indirect expense will be placed in FY2023 for JSPS Research Fellows in the PD and RPD categories. Applicant does not need to state the indirect expense in his/her Research Proposal Document.

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) Support for expenses to be used for the preparation of academic settings

If a host research institution employs a JSPS Fellow (PD, RPD, CD), JSPS is planning to provide additional funding under the Grant-in-Aid for JSPS Research Fellows Program (Preparation of

Academic Settings). This special research support is to cover the expenses that host research institutions must incur in managing the employment of JSPS Fellows so as to ensure that they can focus on their research independently under the appropriate management of host research institutions in ensuring research integrity and security trade control, preventing research misconduct, etc. Details are to be announced separately.

5) 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—FY2023:

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

8. Research Project and Plan

The research project for which the Grant-in-Aid application is made **must be the same as the project in the application form that the Research Fellow submitted for the JSPS Research Fellowship for Young Scientists.**

The research plan for the Grant-in-Aid must coincide with the plan in the application form for the JSPS Research Fellowship for Young Scientists. The purpose of each cost item is to be clearly articulated and rationally justified in the plan.

Also, a concrete annual plan needs to be prepared that includes each fiscal year of the project's desired duration. 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.

9. 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”.

* See (2) Restricting Duplication for details on the Grants-in-Aid funding categories under which JSPS Research Fellow may receive grants concurrently.

(2) Restricting Duplication

【PD • RPD Fellows】

(1) PDs who are eligible to apply for Grants-in-Aid in their host research institution may in parallel apply for and receive Grants-in-Aid for JSPS Fellows as Principal investigator while concurrently applying for and receiving grants under the following five KAKENHI funding categories.

- 1) Grant-in-Aid for Scientific Research on Transformative Research Areas (A) and Innovative Areas (Research in a Proposed Research Area) (Publicly offered research)
- 2) Grant-in-Aid for Scientific Research (B and C)
- 3) Grant-in-Aid for Challenging Research (exploratory),
- 4) Grant-in-Aid for Early-Career Scientists, Grant-in-Aid for Young Scientists (A and B)
- 5) Fund for the Promotion of Joint International Research (Fostering Joint International Research)

(2) When Co-Investigators and/or Research Collaborators participate in the research project, there is no limitation placed on the grant categories they may use.

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

【DC Fellows】

(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.

10. 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.

11. “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 (“azuokekin”) 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 FY2023(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 FY2022. 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	/	2 to 3 years
	(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	2 to 3 years	
		Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are low, or the degree of severity of the acts is low	1 to 2 years	

* 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.

- Improper grant spending

- 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 oversea travel itinerary, in order to have a meeting on cooperative research unrelated to the purpose of the KAKENHI research project.

(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.

- Fraudulent grant acquisition

- A researcher ineligible for the KAKENHI funding made application and acquired a KAKENHI grant.

- Research misconduct

- 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.

12. 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.

- 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>

- Integrated Innovation Strategy 2020 (Cabinet Decision on July 17, 2020, pp.56-59)

URL: https://www8.cao.go.jp/cstp/togo2020_honbun.pdf

13. 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. (See page 24)

[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>

14. 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. The submitted Research Proposal Document is not returned to the applicants.

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.jps.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 by document to the host research institutions on the following schedule.

Please refer to pages 23 and 33 for the schedule of grant decision, etc.

II. 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.

In addition, if the research plan involves traveling abroad, etc., applicants should carefully determine the feasibility of the plan.

The JSPS Electronic Application System is used to prepare and submit (send) Research Proposal Document.

(URL for Electronic Application System: <https://www.shinsei.jps.go.jp/kaken/index.html>)

When preparing their Research Proposal Document, Principal Investigators use the login ID and password issued to them by the host research institution for the Electronic Application System for the Grant-in-Aid for JSPS Research Fellows. The proposal should be prepared and submitted (sent) to the host research institution based on the “Supplement: FY2023 Application Procedures for Grants-in-Aid for JSPS Research Fellows (JSPS Research Fellow) (Forms/Procedures for Preparing and Entering a Research Proposal Document).”

The host research institution will compile all the Research Proposal Document it received and submit (send) them to JSPS. Therefore, the Principal Investigators should submit the Research Proposal Document to the host research institution by the deadline set by the host research institution. (It is not allowed to submit the Research Proposal Document directly to JSPS and paper-based applications will not be accepted.)

Please refer to page 32 for the deadline for submission from the host research institutions to JSPS.

Please keep the login ID and password issued by the host research institution for the Electronic Application System for the Grant-in-Aid for JSPS Research Fellows, as they will be used to check the notification of the Review Results. Please refer to page 23 “4. Schedule after Submitting the Research Proposal Documents (plan)” for schedule of the notification of the Review Results.

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

- (1) If the Research Fellow will change (move) host research institutions before the deadline for submitting Research Proposal Documents, s/he should notify the host research institution of such

promptly before moving. After the departing and receiving host research institutions process the move-out and move-in transfer, the JSPS Research Fellow should submit (send) the Research Proposal Document to the receiving the host research institution. (S/he may continue to use the same login ID and password and the already-prepared Research Proposal Document at the receiving host research institution.)

- (2) The Research Proposal Document may not be amended after the host research institution has processed it and submitted (sent) it to JSPS.
- (3) 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”).
- (4) For details regarding the use of the JSPS Electronic Application System, please refer to its Operation Manual (URL: <https://www.shinsei.jsps.go.jp/kaken/index.html>).
- (5) For Budget, please check “7. Budgets” in “1. Call for Proposals”. 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. Handling of Personal Information

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 date 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 Principle 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.

4. 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 disbursement 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.

Even in the case of provisional selection, Fellows who do not satisfy the eligibility requirements for a postdoctoral fellowship due to the effects of the novel coronavirus infection can receive special handling. Pursuant to JSPS notice issued on 14 October 2022, JSPS will contact the Fellows in the

middle of January 2023. The Fellows who hope to receive special handling should complete the necessary procedures.

Schedule for provisional grant decision (tentative):

		Notification of the Review Results, Provisional grant decision	Formal application for grant delivery	Official grant decision	Grant delivery
1	Research projects continuing from the previous year	Early March	Late May	Late June	Middle of July
2	New research projects by employers in April	Late April	Late May	Late June	Middle of July
3	New research projects by employers in July	Early July	Middle of July	Early August	Late August
4	New research projects by employers in October	Early October	Middle of October	Early November	Late November
5	New research projects by employers in January	Early January	Middle of January	Early February	Late February

*The dates of grant delivery from 1 to 4 are applied for 2023. The date of grant delivery 5 is applied for 2024.

*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.

*Notifications of the review results will not be sent for research projects continuing into the second fiscal year and beyond.

III. Completion of Research Ethics Education Coursework, etc.

Principal Investigator (PI) taking part in a research funded by the KAKENHI, are requested to have completed properly the following procedures including research ethics, by the time he/she submits the formal application for grant delivery of a newly adopted research project in the FY2023 Grants-in-Aid for Scientific Research, and upon the formal application for a grant delivery, it shall be confirmed through the electronic application system whether they will have taken the research ethics education coursework, etc.

If a PI completed the research ethics related procedures in the past, or has moved from the research institute at which he/she completed the procedure, he/she should check with the administrative section of his/her host research institution for the validity of the procedure he/she conducted in the past.

As JSPS Research Fellows are required to take the above research ethics education at the time of their selection, it is not necessary for them to take it again. However, they are requested to follow the procedures set by their host research institution.

[Actions to be taken by the Principal Investigator]

- The PI 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.
- The PI 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.

IV. Handling of Research Projects to be Continued in FY 2023

1. Handling of Research Projects that is to be continued in FY 2023 (hereafter referred to as “continued research project”)

For a continued research project, PI does not need to submit any application form afresh. However, he/she has to prepare and submit the necessary documents, including the form of the formal application for grant delivery, after receiving a notification of the provisional grant decision.

2. Completion of Research Ethics Education Coursework, etc.

The PI should check with the administrative section of his/her host research institution about the rules concerning the research ethics education coursework, etc. For a continued research project upon the formal application for a grant delivery in every fiscal year, it shall be confirmed through the electronic application system whether the PI have taken the research ethics education coursework, etc.

V. Procedures to Be Completed by the Research Institution

1. Issues to Be Completed Beforehand by the “Research Institution”

The following procedures are to be carried out by the host research institution.

(1) Confirming Applicants and Informing Them of the Application Guidelines

The research institution is to confirm the applicants for the Grant-in-Aid for JSPS Research Fellows (JSPS Research Fellow) using the “List of Eligible Persons” on the menu of the JSPS Electronic Application System, and inform them of the contents of the application guidelines. (**The List of Eligible Persons is updated on Wednesday morning, 26 January 2023.**)

When carrying out applicant-related work, the research institution must maintain close contact with the person administering the JSPS International Research Fellow Program in each research institution and prevent the information leakage of any applicant for the Grant-in-Aid for JSPS Research Fellows (JSPS Research Fellow).

(2) Issuing Principal Investigators (JSPS Research Fellows) Login IDs and Passwords to the JSPS Electronic Application System

When applying for a Grant-in-Aid for JSPS Research Fellows, Principal Investigators will need to prepare their Research Proposal Documents on the JSPS Electronic Application System, accessed using the login ID and password issued for JSPS Research Fellows

Research institutions issue the Electronic Application System’s login IDs and passwords to Principal Investigators who apply for grants using the following procedure.

- 1) JSPS inputs information into the Electronic Application System on the following researchers: JSPS Research Fellows who will newly apply for a FY2023 Grant-in-Aid and continuing JSPS Research Fellows from FY 2022 who have remaining project time but are not scheduled to be funded in FY 2023. (This information is scheduled to be input into the system on Wednesday morning, 26 January 2023.)
- 2) Research institutions access the Electronic Application System and from the List of Eligible Persons in its menu output the principle investigator login IDs and passwords and issue them to the eligible Research Fellows.

*1 When the login ID and password is issued by a unit administrator, the host researcher’s academic unit number can only be retrieved by that unit. (However, if an error is made in the host researcher’s unit number entered in the Research Fellow’s application form or if the host researcher’s affiliated research institution registered on e-Rad is not the same as the research institution entered the Research Fellow’s application form, the host researcher’s academic unit number will be retrievable by all the units in the research institution.)

*2 When issuing Principal Investigators' login IDs and passwords for the Electronic Application System, they should be instructed to strictly manage them so that they are not disclosed to other persons.

*3 Please keep the login ID and password issued by the host research institution for the Electronic Application System for the Grant-in-Aid for JSPS Research Fellows, as they will be used to check the notification of the Review Results. Please refer to page 23 "4. Schedule after Submitting the Research Proposal Documents (plan)" for schedule of the notification of the Review Results.

(3) Informing Principal Investigators of "Office of Research Administration Number"

When preparing their Research Proposal Documents, Principal Investigators must enter the unit number registered with e-Rad of the office that does the administrative work involved in confirming the content of their proposal (hereafter called the "Office of Research Administration Number"). This enables each unit administrators in the research institution to confirm his/her unit's Research Proposal Documents on the Electronic Application System.

If a different Office of Research Administration Number is input, the unit administrator will not be able to confirm that Research Proposal Document. Accordingly, the research institution should inform Principal Investigators in advance of their "Office of Research Administration Number." If their Research Proposal Document is not confirmed in their unit, Principal Investigators should be informed to input their "Office of Research Administration Number."

(4) 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 FY2023" and "the research institutions planning to accept the Principal Investigators who will continue their KAKENHI-funded research projects in FY2023" **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 February 22 (Wednesday), 2023 via e-Rad.

For details, refer to the website

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

If the “Self-Assessment Checklist on the Improvement of the System” has already been submitted in April 2022 or later, it is not necessary to submit it again.

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

(5) 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 FY2023 belong to” and “those research institutions which Principal Investigators continuing research projects using KAKENHI are scheduled to belong to in FY2023” **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 February 22 (Wednesday), 2023 via e-Rad.**

For details, refer to the website

(URL: https://www.mext.go.jp/a_menu/jinzai/fusei/1420301_00001.htm)

If the “Checklist on the Research Misconduct” has already been submitted in April 2022 or later it is not necessary to submit it again.

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: kiban@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.

(6) Implementation of a Research Ethics Education Coursework Based on the “Guidelines on Research Misconduct,” etc.

Principal Investigators taking part in a new research project have to complete followings before the formal application for grant delivery.

- Either to read through and learn the teaching materials by oneself concerning the research ethics education coursework such as “For the Sound Development of Science -The Attitude of a Conscientious Scientist-” (JSPS Editing Committee “For the Sound Development of Science”), the “e-Learning Course on Research Ethics (eL CoRE)”, the “APRIN e-learning program (eAPRIN),” etc., or to attend a lecture on research ethics conducted by research institutions based on the “Guidelines on Research Misconduct” at their host research institution.
- To understand thoroughly and to exercise the proper research practices in conducting their 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

To that end, each research institution is requested to disseminate broadly what the researchers should consider, in conducting of their researches as well as carrying out an ethics education in research training session based on the “Guidelines on Research Misconduct.

As JSPS Research Fellows are required to take the above research ethics education at the time of their selection, it is not necessary for them to take it again.

As JSPS Research Fellows are required to take the above research ethics education at the time of their selection, it is not necessary for them to take it again. Whether they did so sufficiently should be verified by the host institution based on its own procedures.

(7) 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

- “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

2. Issues that Need to Be Verified when Compiling the Application Forms (Preparing the Research Proposal Document)

(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 the Application Procedures.

Moreover, it should be verified certainly that they must not be categorized as ineligible for grant acquisition in FY2023 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 “I. Call for Proposals” in this Application Procedures for Grants-in-Aid for Scientific Research.

(3) Confirm the Host Research Institutions

If Principal Investigators intend to change (move) their host research institutions before the deadline to submit the Research Proposal Documents, conduct the required move-out and move-in processing on the Electronic Application System.

3. Submission and Other Matters of the Research Proposal Document (Preparing the Research Proposal Document)

(1) Confirmation and Approval of the Research Proposal Document

- 1) The research institution should access the “Electronic Application System”, using the ID and the password for e-Rad, obtain the information of the Research Proposal Document (PDF files) that the Principal Investigator(s) prepared, and verify their contents and other matters.
- 2) The research institution should perform the “approval” process on all the Research Proposal Documents (PDF files) that has no mistakes in their contents.

(2) The deadline for submitting (sending) the Research Proposal Document is as follows

Submittal Deadline: 16:30 Friday, 22 February 2023 (This deadline should be strictly observed.)

***Research Proposal Document that is submitted (send) after this deadline will not be accepted for any reason. Therefore, the documents should be submitted (send) well in advance.**

(3) Points to Keep in Mind

- 1) Please refer to Operation Manual of the Electronic Application System for details on electronic application processing.
(URL: <https://www-shinsei.jps.go.jp/kaken/index.html>)
- 2) **Applicants cannot draw back, resubmit, or otherwise undo the submission of their Research Proposal Documents after the submission deadline. JSPS does not accept any corrections to the project duration or requested grant amount after the submission deadline. Therefore, applicants should check their Research Proposal Documents thoroughly before submitting (sending) them.**

4. Others

(1) Notification of Changes in a Research Institution as Specified by MEXT Minister in Article 2 of the “Procedure on Handling Grants-in-Aid for Scientific Research (MEXT notice)”

If changes in one of the following items have been scheduled, research institutions should promptly report the content of these changes to the Scientific Research Promotion Division, Research Promotion Bureau, MEXT.

- 1) Abolition or dissolution of the research institution
- 2) Name and address of a research institution, and name of the representative
- 3) Matters concerning laws, regulations, endowment acts, and other rules that prescribe the purpose of establishment, the business content, and the internal organization of the research institution

(2) Applying for a Grant-in-Aid for JSPS Research Fellow as Related to Hosting a JSPS International Research Fellow

Regarding the KAKENHI program’s Multi-year Fund and Grant-in-Aid for JSPS Research Fellows as related to hosting a JSPS International Research Fellow, please use the “Application Procedures for Grants-in-Aid for Scientific Research (KAKENHI), FY 2023, JSPS Research Fellows 【JSPS International Research Fellows】 .”

(3) Schedule for provisional grant decision (tentative):

		Notification of the Review Results, Provisional grant decision	Formal application for grant delivery	Official grant decision	Grant delivery
1	Research projects continuing from the previous year	Early March	Late May	Late June	Middle of July
2	New research projects by employers in April	Late April	Late May	Late June	Middle of July

3	New research projects by employers in July	Early July	Middle of July	Early August	Late August
4	New research projects by employers in October	Early October	Middle of October	Early November	Late November
5	New research projects by employers in January	Early January	Middle of January	Early February	Late February

*The dates of remittance from 1 to 4 are applied for 2023. The date of remittance 5 is applied for 2024.

*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.

*Notifications of the review results will not be sent for research projects continuing into the second fiscal year and beyond.

VI. Other Relevant Issues

1. 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 Support Platform Program	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

2. 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.

- “Management of Research Organizations and the Introduction of a New, Unified System for the Shared Use of Research Equipment”
(November 25, 2015, Advanced Research Foundation Division, Science and Technology Council)
URL: https://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu17/houkoku/1366220.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

3. 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.

4. 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

5. 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

6. 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/>

7. 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/>

8. 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.

(*) 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 oversea groups.

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

9. 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>

10. 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 94 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.

11. 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.

12. Promoting Gender Equality in JSPS Programs

To advance science, it is important to secure an environment that allows diverse researchers to exercise their potentials and advance their activities. In March 2020, JSPS established the “Basic Guidelines for Promoting Gender Equality in JSPS Programs” to promote gender equal participation in areas of science. As part of this initiative, JSPS opened a new website CHEERS! (<https://cheers.jps.go.jp/>) in an aim to support the diverse careers of all researchers, such as balancing research and life events. JSPS will release useful information on, for example, how to balance research and childcare and actively carry out various initiatives through CHEERS! to create a network among researchers. Researchers are encouraged to visit the website.

13. 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.

(Reference 1)

Procedures on the Handling of Grants-in-Aid for Scientific Research (omitted)

(Reference 2)

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

Inquiries

1. Inquiries about the Application Procedures should be directed to the following divisions through research institution.

(1) For inquiries concerning the Grant-in-Aid for JSPS Research Fellows

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

Telephone: 03-3263-0976, 0980, 1041

(2) For inquiries concerning proposal and selection of JSPS Research Fellow

Research Fellowship Division, Human Resource Development Department Program Department, Japan Society for the Promotion of Science

Telephone: 03-3263-5070

* Both (1) and (2) are available from 9:30 to 12:00 and from 13:00 to 17:00 every day except on Saturdays, Sundays, National Holidays, the New Year Holidays (from December 29 until January 3), and the Anniversary of the Foundation of JSPS (September 21).

(3) For inquiries concerning the use of the KAKENHI Electronic Application System:

• Call center

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)

(4) For inquiries concerning the use of the Cross-Ministerial Research and Development Management System (e-Rad)

• e-Rad help desk

Telephone: 0570-057-060 (Navi Dial)

* Available from 9:00 to 18:00 except on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3)

* The following phone number is also available. 03-6631-0622

< Important points >

① How to operate e-Rad

Manuals on how to operate e-Rad can be referred or downloaded from the portal site (URL: <https://www.e-rad.go.jp>). Please agree to the terms of service and apply.

② Time period when e-Rad is available

00:00 - 24:00 (in operation 24 hours a day, 365 days a year)

However 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) For matters related to 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)”

Competitive Research Funding Administration, Research Environment Division, Science and Technology Policy Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT)

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

(6) For matters related to the “Checklist Pertaining to the Current Status” based on the “Guidelines for Responding to Misconduct in Research”

Office for Research Integrity Promotion, Research Environment Division, Science and Technology Policy Bureau, MEXT
Telephone: 03-6734-3874

(7) For matters related to use of support by Platform formed by “Foundation of Scientific Research Support”

Grants-in-Aid for Scientific Research Team I and II, Scientific Research Aid Division, Research Promotion Bureau, MEXT
Telephone: 03-6734-4087

(8) For matters related to the “National Bioscience Database”

National Bioscience Database Center, Japan Science and Technology Agency (JST)
Telephone: 03-5214-8491

(9) For matters related to the “Inter-University Bio-Backup Project”

Executive Office, IBBP Center, Inter-University Research Institute Corporation National Institutes of Natural Sciences
Telephone: 0564-59-5930, 5931

(10) For matters related to the “National BioResource Project”

Division of Biobank, Department of Research Infrastructure, National Research and Development Agency Japan Agency for Medical Research and Development
Telephone: 03-6870-2228

(11) For matters related to the “researchmap”

Service Support Center (in charge of the researchmap), Department of Information Infrastructure, National Institute of Advanced Industrial Science and Technology (JST)
Web inquiry form: <https://researchmap.jp/public/inquiry/>

(12) For matters related to the “Security Export Control Policy”

Security Export Control Administration Division, Trade Control Department, Trade and Economic Cooperation Bureau, Ministry of Economy, Trade and Industry
Telephone: 03-3501-2800
FAX: 03-3501-0996

2. The Application Procedures can be downloaded from the following website.

URL : <https://www.jsps.go.jp/j-grantsinaid/index.html> [Japanese]

URL : <https://www.jsps.go.jp/english/e-grants/index.html> [English]