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

FY2024

Fund for the Promotion of Joint International Research
(Fostering Joint International Research)

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.

July 16, 2024

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

Introduction

This document, "Application Procedures for Grants-in-Aid for Scientific Research -KAKENHI-" describes the procedures and other matters relevant to the "Call for Proposals for the Grants-in-Aid for Scientific Research -KAKENHI- for FY2024", including "Fund for the Promotion of Joint International Research (Fostering Joint International Research)" (hereinafter referred to as Fostering Joint International Research)

The contents are:

"II. Call for Proposals" provides such basic issues as the range of envisaged total budget, project period etc. Schedule from call for proposals, proposal submission, and screening review to grant delivery is also described.

The subsequent sections, "III. Instructions for Prospective Applicants", and "IV. Instructions for Administrative Staff of Research Institution" describe conditions for application, required procedures, and other matters, to be followed by the respective actors.

The major changes in the call for proposals for FY2024 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.

Plagiarism and/or misappropriation of the research contents of others are strictly impermissible. Applicants must comply with research ethics. Please note that the use of generative AI in the preparation of the Research Proposal Document causes the risk of inadvertent infringement of copyright and leakage of personal information and confidential information. It is the responsibility of the individual researcher to make appropriate decisions about the usage of generative AI.

・The research using the KAKENHI fund should be carried out by the researcher(s)' own initiative and responsibility. Therefore, the implementation of a KAKENHI research project and publication of the research results are solely attributed to the researcher(s)' 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 for Call for Proposal in Fiscal Year 2024**＞

(1) Research Integrity

○In response to the "Policy for Securement of Research Integrity" (April 27, 2021, Decision of the Integrated Innovation Strategy Promotion Council), etc., JSPS is taking necessary measures to ensure the transparency of research activities.
Starting from the FY2024 call for proposals, research integrity information registered in e-Rad will be linked to the KAKENHI electronic application system, and you will be requested to enter the necessary information in your Research Proposal Document based on the e-Rad registered research integrity details.
Please note, in particular, that application cannot be made if the Principal Investigator has not registered the status of pledge regarding his/her research integrity information for his/her affiliated institution. Therefore, please make sure to confirm the registration status of the relevant information in advance. (Refer to III. Instructions for Prospective Applicants 1. Procedures to be Completed Prior to Application (2))

(2) Development of Security Export Control Systems

○Researchers who conduct KAKENHI-funded research activities and plan to export (provide) technologies restricted under the Foreign Exchange and Foreign Trade Act (Act No. 228 of 1949) are required to fully confirm security export control systems, response measures, and other matters, in accordance with the said Act and the rules and regulations of their affiliated research institution. Starting from research projects to be funded in FY2025, JSPS will, by the time of official grant decision, confirm whether the provision of goods and technologies subject to export controls under the Foreign Exchange and Foreign Trade Act is planned in the relevant research projects and, if there is an intent to provide them, whether the research institution has developed a control system. In the case that the provision is planned, it is necessary to establish a control system. Therefore, research institutions must develop a system necessary to properly conduct the relevant affairs and make sure to register the status of establishment in e-Rad. (Refer to IV. Instructions for Administrative Staff of Research Institution 2. Issues to Be Completed Beforehand by the "Research Institution" 10 and V. Other Relevant Issues 7. Security Export Control Policy (Coping with Technology Leakage Overseas))

(3) Research Data Management

○ Starting from FY2024, researchers are asked to prepare research Data Management Plans (DMPs) of their projects under all research categories in principle. Details such as an example of a DMP will be given at the time of provisional grant decision. As such, please store, manage, and take other measures for research results and data of your research projects in accordance with your DMPs. (Refer to I. Outline of the Grants-in-Aid for Scientific Research -KAKENHI- 6. Dissemination, Etc. of Research Achievements Supported by KAKENHI (4))

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[References]

    The application forms (Research Proposal Document) and other application materials are

contained in separate files. Please refer to "Supplementary edition to the Application Procedures for Grants-in-Aid for Scientific Research -KAKENHI- for FY2024 (Fund for the Promotion of Joint International Research (Fostering Joint International Research) (Forms/Procedures for Preparing and Entering a Research Proposal Document).

The application forms (Research Proposal Document) and other application materials can be downloaded from the JSPS website (cf. URL below).

URL: https://www.jsps.go.jp/english/e-grants/grants09_fostering.html

I. Outline of the Grants-in-Aid for Scientific Research -KAKENHI-

1. Purpose and Character of Grants-in-Aid for Scientific Research -KAKENHI-

Grants-in-Aid for Scientific Research (hereinafter referred to as "KAKENHI") are competitive research funds that are intended to promote development of scientific research (based on original ideas of researchers), encompassing basic to applied researches in all fields ranging from humanities and social sciences to natural sciences. The grants provide financial support for creative and pioneering research projects that will become the foundation of social development. The research projects are selected by peer-review process.

< The position of "KAKENHI" in the policy on the promotion of science, technology and scientific research in Japan>
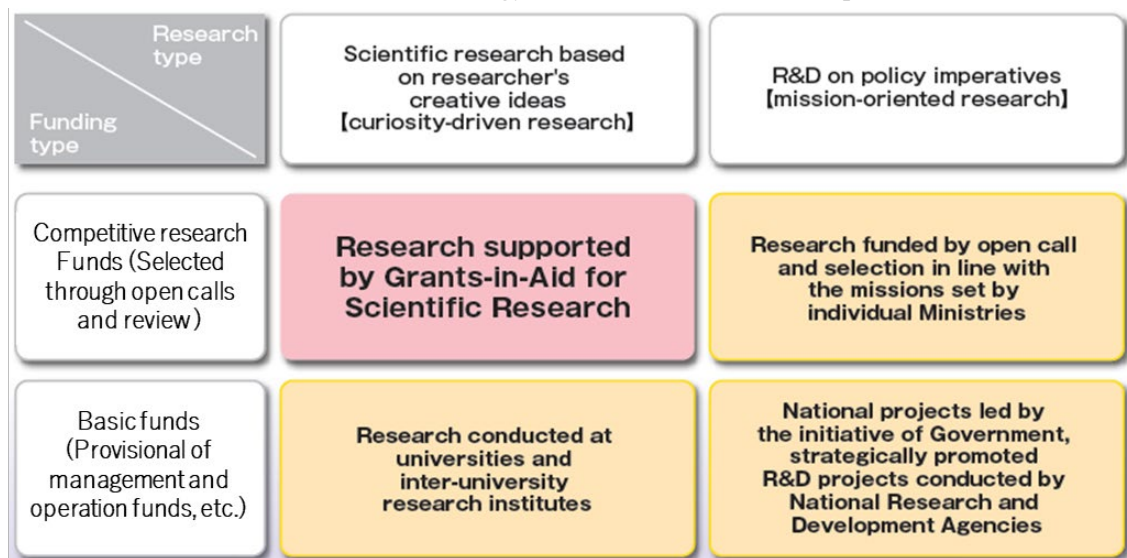
2. Research Categories

Different research categories of KAKENHI listed below are provided so as to meet the variety of the research content and budget scale.

❖ As of July 2024

Research categories	Purposes and description of each research category	Type of fund*1
Grants-in-Aid for Scientific Research		
Grant-in-Aid for Specially Promoted Research	Outstanding and distinctive research conducted by one or a relatively small number of researchers expected to achieve remarkably excellent research results that opens up a new scientific field. The research period is 3 to 5 years. (In a truly necessary case, period up to 7 years is acceptable.) The budget ranges from 200 million to 500 million yen per project (Only in a truly necessary case, budget exceeding 500 million yen is asked for.).	SG
Grant-in-Aid for Scientific Research on Innovative Areas (Research in a Proposed Research Area)	This category is intended to foster novel research areas proposed by diverse groups of researchers that are expected to lead to development and heightening of Japan's research level in the respective fields, to be conducted by collective research efforts through collaboration, scholarly training, shared use of equipment, etc. The period is 5 years. The budget range is generally set between 10 million to 300 million yen per fiscal year per proposed area. 【After the FY2023 call for proposals, JSPS will only offer expenditures for compiling the research achievements of completed research areas. 】	SG

I. Outline of the Grants-in-Aid for Scientific Research -KAKENHI-

Grant-in-Aid for Transformative Research Area	(A) Research areas proposed through co-creative and interdisciplinary efforts of diverse researchers, which aim to create research areas that will lead the way to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan and nurturing young researchers, and will contribute to the development of the proposed research areas through efforts for joint research and shared use of equipment, etc. (5 years; more than 50 million yen and up to 300 million yen per fiscal year per research area (In a truly necessary case, a budget exceeding 300 million yen may be requested.)) (B) Research areas proposed by compact groups of researchers who will be bearers of the next generation of research with a smaller budget scale (about 3 or 4 groups), which aim to create research areas that will lead the way to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan through more challenging and exploratory research, and expected to lead to the Transformative Research Areas (A) in the future. (3 years; 50 million yen or less per fiscal year per research area)	SG		

Grant-in-Aid for Scientific Research	(S): Creative/pioneering research conducted by one or a relatively small number of researchers.
	     5 years (in principle) 50 million to 200 million yen
	 (A), (B), (C): Creative/pioneering research conducted by one researcher or jointly by multiple researchers.
	     (A) 3 to 5 years; 20 million to 50 million yen
	     (B) 3 to 5 years: 5 million to 20 million yen
	     (C) 3 to 5 years; 5 million yen or less
		(S)	SG	

		(A)		
		(B)	MF	
		(C)		

Grant-in-Aid for Challenging Research (Pioneering/Exploratory)	Research conducted by a single or multiple researchers that aims at radically transforming the existing research framework and/or changing the research direction and has a potential of rapid development.
	 The scope of the (Exploratory) category encompasses research proposals that are highly exploratory and/or are in their budding stages.
	   (Pioneering) 3 to 6 years; 5 million to 20 million yen
	   (Exploratory) 2 to 3 years; 5 million yen or less
		MF		

Grant-in-Aid for Early-Career Scientists	Research conducted by an individual researcher (*2) who is less than 8 years after Ph.D. acquisition. 2 to 5 years; 5 million yen or less	MF		
Grant-in-Aid for Research Activity Start-up	Research conducted by a single researcher who has been newly hired by a research institution, or who has returned from his/her childcare leave, etc. or from the nursing of his/her preschool child(ren). 1 to 2 years; 3 million yen or less (1.5 million yen or less if the research period is 1 year)	MF		
Grant-in-Aid for Encouragement of Scientists	Research conducted by an individual who is ineligible for application for other KAKENHI categories (e.g., individuals who belong to educational or research institutions, private companies, etc. and engage in the researches to contribute to the promotion of the science). 1 year; 100 thousand to 1 million yen	SG		
Grant-in-Aid for Special Purposes	Research projects of pressing urgency and importance.	MF		
Grant-in-Aid for Publication of Scientific Research Results				
Publication of Research Results	Subsidy for publication and/or international dissemination of research achievements of high academic values executed by academic associations and other organizations.	SG		
Enhancement of International Dissemination of Information	Subsidy for efforts by academic societies and other scholarly organizations to strengthen international dissemination of academic information for the purpose of international academic exchange.			
Scientific Literature	Subsidy for academic publication of research results (books) authored by an individual or a group of researchers.			
Databases	Subsidy for creation and operation of a database open to public use by an individual or a group of researchers.			
Grant-in-Aid for JSPS Fellows	Funding period is up to 3 years for research conducted by JSPS Fellows (including Foreign JSPS Fellows). As for Cross-border Postdoctoral Fellowship (CPD) the period is up to 5 years	MF		

Fund for the Promotion of Joint International Research		
International Leading Research	This grant aims to enable research groups led by top-level researchers in our country to play a central role in the international network, thereby achieving research results of high scientific value internationally. With the participation of postdoctoral fellows and graduate students, the grant seeks to foster researchers who can play leading roles in the international research community in the future. (7 years (extendable up to 10 years); up to 500 million yen)	MF
Fostering Joint International Research	Support of joint international research project conducted by a KAKENHI grantee in collaboration with researcher(s) at a foreign university or a research institution over a period of 6 to 12 months. The grant seeks to markedly advance research plans for the root research project and to foster independent researchers who can be internationally competitive. (The budget is up to 12 million yen.) [The category name has been changed from FY2023 call for proposals.]	
International Collaborative Research	Support of joint international research project conducted by multiple domestic researchers and a researcher who belongs to overseas research institution. In addition to the development of scientific research, the grant seeks to build out infrastructure of joint international research or further strengthen joint international research and to foster researchers who can be internationally competitive. (The period is 3 to 6 years. The budget is up to 20 million yen.) [The category name has been changed from FY2023 call for proposals.]	
Home-Returning Researcher Development Research	Support of research to be conducted by a Japanese researcher with current affiliation abroad who is to be newly appointed at university or research institution in Japan. (The period is up to 3 years. The budget is up to 50 million yen.)	

*1 SG: Series of Single-year Grants, MF: Multi-year Fund

*2 Including those who are expected to acquire their Ph.D. and those deemed less than eight years after the acquisition of their Ph.D. by exempting the period of maternity leave or the period of raising preschooler(s) following their Ph.D. acquisition.

3. Role sharing between MEXT and JSPS

Up to FY 1998, all aspects of KAKENHI funding were handled by the Ministry of Education (the predecessor of the MEXT). From FY1999 on, these tasks have been gradually transferred to JSPS. The current role-sharing between MEXT and JSPS is as shown below.

Research category	Call for proposals, Review Preparation of the document(s) for procedures, Reception of proposal submission	Grant delivery Notifications of provisional grant decision Reception of the application form (after provisional grant decision) and other documents for the relevant procedures. Notification of grant decision
Scientific Research on Innovative Areas, Grant-in-Aid for Transformative Research Areas Grant-in-Aid for Special Purposes	MEXT	JSPS
Specially Promoted Research, Scientific Research, Challenging Research, Early-Career Scientists, Research Activity Start-up, Encouragement of Scientists, Publication of Scientific Research Results, JSPS Research Fellow, Fund for the Promotion of Joint International Research (International Leading Research, Fostering Joint International Research, International Collaborative Research, Home-Returning Researcher Development Research)	JSPS	JSPS

4. Rules pertaining to KAKENHI

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

(1) Three types of rules pertaining to KAKENHI

The following three sets of rules pertain to various aspects of KAKENHI.

1) Application Rules: rules concerning the submission of research proposals

2) Assessment Rules: review (rules concerning the pre-assessment) of applications, and rules concerning the interim, ex-post, and other progress assessment of granted projects.

3) Spending Rules: rules concerning the use of KAKENHI

These three sets of rules apply as follows.

	Application rules	**Assessment rules**	**Spending rules**
KAKENHI (Multi-year Fund) Fund for the Promotion of Joint International Research (Fostering Joint International Research)	JSPS Application Procedures	JSPS Rules concerning the review and assessment for Grants-in-Aid for Scientific Research	JSPS For researchers: Funding conditions For research institutions: Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)) – "Fund for the Promotion of Joint International Research (Fostering Joint International Research)", to be performed by each research institution

(2) Appropriate use of KAKENHI

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

Researchers receiving KAKENHI have a duty to comply with the related laws, regulations and utilization rules by researchers (subsidiary conditions or funding conditions), and also to use such grants appropriately. To ensure grantees comply with this requirement, we check whether no inappropriate use of KAKENHI will be made, when an application is made. To facilitate the appropriate use of KAKENHI, research institutions to which the researchers belong are responsible for the management of the KAKENHI. The Administrative work that each research institution is required to carry out (rules for use for institutions) is determined. 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. <u>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.</u>

Research institutions should take rigorous measures so as to eliminate business malpractice.

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

(3) Important Notes on the use of KAKENHI

KAKENHI (Multi-year Fund) is handled as single funding for the whole research period. Therefore, it is possible to use the grant to cover the expenditures extending over fiscal year boundaries.

Moreover, if an amount of grant money 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. In case such a grant carry-over becomes necessary in the final year of the research period, the grantee may choose to request an official approval of one-year extension of the research period.

* **Under the grant "Fostering Joint International Research," the period of a project may be extended to the last day of the fiscal year that falls three years after the date that the research institution submitted the formal application for grant delivery.**

(4) Penalty for non-submission of "Report on the Research Achievements"

1) The "Report on the Research Achievements" plays an important role in making the achievements of the research funded by KAKENHI widely known to the public, and thereby returning the outcome of KAKENHI supported by citizens' tax, to the society.

The contents of the "Report on the Research Achievements" submitted by KAKENHI grantees are compiled and made available to the public on the "Database (KAKEN)" of the National Institute of Informatics and other platforms. "Report on the Research Achievements" should be submitted via the research institution to which the KAKENHI grantees belong.

2) **No KAKENHI grant will be awarded to a researcher who failed to submit the "Report on the Research Achievements" at the end of his/her research period without any justifiable reason.** If such a non-compliance case is uncovered, the decision of grant award to the researcher in question may be cancelled, the on-going grant may be suspended, and return of the delivered grant may be ordered. In addition, relevant information, such as the name of the research institution to which the researcher in question belongs, may be made public. Therefore, it is the responsibility of the representative of the research institution to ensure that the report on the research achievements is submitted without fail.

(5) 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.

5. "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, dated September 9, 2005; amended 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 is 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 research proposal documents with due care to clearly state the differences between the project to be submitted and his/her 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) Applicants are urged to state in the Research Proposal Document the status of applications and acquisitions of other competitive research funds (including those of other ministries) and other research grants (such as name of research grant, title of research project, research period, amount of budget, effort, etc.) as well as the information on all affiliated institutions and positions (such as side jobs, participation in a foreign recruitment program, position of professor emeritus without employment contract, etc.). Untruthful statement or misrepresentation may result in rejection of the research project, cancellation of grant, or reduction of the research budget.

    3) Applicants are required to make a pledge that they have appropriately reported to their affiliated research institutions the information necessary to ensure the transparency of all research activities that they are involved in, including information on research funds and side jobs, etc., as well as information on donations and information on supports other than monetary funds, for example, through the provision of facilities and/or equipment. The status of pledge will be confirmed with e-Rad registration details. Please note that applicants cannot make applications if they have not made a pledge. If it is found that applicants have not appropriately made reports contrary to their pledge, it may result in rejection of the research project, cancellation of grant, or reduction of the research budget.

4) 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

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"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 where more than one competitive research fund and other research grants (all current research funds that are allocated to individual research contents, including both domestic and overseas grants-in-aid, subsidies, joint research funds, commissioned research funds, etc.; hereinafter the same) are unnecessarily and redundantly allocated to the same research project (meaning, the name and content of the research to which the competitive research funds are allocated; hereinafter the same) by the same researcher. Any of the following cases fall under "Unreasonable Duplication."
○Cases where simultaneous applications have been made to more than one competitive research funds / other 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 funds / other research funds 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.

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

"Improper Grant Spending", "Fraudulent Grant Acquisition" and "Research Misconduct" refer to the following type of acts respectively.

・ "Improper Grant Spending":

Use of Competitive Research Funds for other purposes, intentionally or by gross negligence, for example, by conducting fictitious business transactions ("azukekin") with a trader through fictitious order placements, or by charging costs higher than actually needed for personnel, travel expenses, etc., or use of Competitive Research Funds in violation of the content of the funding decision or the conditions it implies

・ "Fraudulent Grant Acquisition":

Receiving Competitive Research Funds by deception or other fraudulent means, for example, by applying under the name of another researcher, or by making false entries in application documents

・ "Research Misconduct":

Fabrication, Falsification, or Plagiarism of data, information, or findings published research achievements

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

1) <u>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.</u> Besides, 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, he/she may be required to return the given KAKENHI completely or partially.

Moreover, <u>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 research achievements 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.</u>

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

*Note: This applies to those schemes newly starting a call for proposals in FY2024 (and onward) for "Competitive Research Funds other than KAKENHI" (including funds under the jurisdiction of other Offices and Ministries) as well. It also applies to those schemes that ended before FY2023.
Please refer to the website below for the schemes to which this specifically applies at present.
URL：https://www8.cao.go.jp/cstp/compefund/

【Period of KAKENHI suspension】

Improper Grant Spending and Fraudulent Grant Acquisition of KAKENHI

	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.**	**(1) Impact of the misconduct on the society is substantial and maliciousness of the misconduct is judged to be high**	**5 years**
		(2) Cases other than (1) and (3)	**2 to 4 years**
		(3) The impact of the misconduct on the society is small and the maliciousness of the misconduct is judged to be low	**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.	-		**Depending on the extent to which a researcher violated his/her duty to exercise due care: Upper limit: 2 years, lower limit: 1 year**

For cases judged as subcritical to the punitive suspension measures, a sharp reprimand is administered to the individual(s) concerned.

The following cases are pertinent to the "sharp reprimand" penalty.

1. Among the case II above, the researchers in case that the influence on society and the maliciousness of their conducts are judged to be insignificant and the amount of money involved is small.

2. Among the case IV above, the researchers in case that the influence on society and the maliciousness of their conducts are judged to be insignificant.

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.

2) The relevant information of each Improper Grant Spending, Fraudulent Grant Acquisition of KAKENHI or 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 and Ministries and the Ministry of Education, Culture, Sports, Science and Technology. Thereby the penalized researcher may be also subject to restriction in application of and/or participation to research projects in other competitive funds other than KAKENHI.

* "Application and/or participation" 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).

3) 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), adopted by MEXT and "Guidelines for Responding to Misconduct in Research (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 competitive research funds disbursed by MEXT or the independent administrative legal entities 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"

(Revised by the Minister of MEXT on February 1, 2021)

URL: https://www.mext.go.jp/a_menu/kansa/houkoku/1343904_21.htm

○ "Guidelines for Responding to Misconduct in Research"

(Decided by the Minister of MEXT on August 26, 2014)

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

(Reference) 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 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 KAKENHI for them.**
・**Someone instructed his/her students to submit false work attendance sheets, made the university pay 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 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 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 research achievement supported by 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.**

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

KAKENHI research achievements are made broadly available to other researchers and to the general public, through posting and publication 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 Acknowledgement for KAKENHI grant in research publications

When publishing research achievements of a KAKENHI project, researchers should be sure to express that the project has been supported by a KAKENHI grant, by stating in the "Acknowledgment" or other designated section of the paper. "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 is to be included.

> 〈Examples〉
> 【English】This work was supported by JSPS KAKENHI Grant Number JP12K34567.
> 【Japanese】本研究は JSPS 科研費 JP12K34567 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.

> 〈Examples〉
> 【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)' organization, JSPS nor MEXT.
> 【Japanese】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

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.

In addition, with the formulation of the Basic Policy for the Realization of Immediate Open Access to Academic Papers, etc. (February 16, 2024, Decision of Council for Integrated Innovation Strategy) and the Concrete Measures to Implement the "Basic Policy for the Realization of Immediate Open Access to Academic Papers, etc." (February 16, 2024, Decision of Council for Integrated Innovation Strategy) (February 21, 2024, Agreement of Related Offices and Ministries), starting from a new KAKENHI call for proposals in FY2025, the publication of academic papers and supporting data on institutional repositories and other information infrastructure is required immediately after they are published in academic journals. JSPS plans to announce specific measures, etc. in the Application Procedures for Grants-in-Aid for Scientific Research, etc. to be published later.

○Implementation policy on the promotion of open access of publications of JSPS projects

  (March 9, 2017, Decision of JSPS President):

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

○Basic Policy for the Realization of Immediate Open Access to Academic Papers, etc.

  (February 16, 2024, Decision of Council for Integrated Innovation Strategy)

  URL: https://www8.cao.go.jp/cstp/oa_240216.pdf

○Concrete Measures to Implement the "Basic Policy for the Realization of Immediate Open Access to Academic Papers, etc."

(February 16, 2024, Decision of Council for Integrated Innovation Strategy)

(February 21, 2024, Agreement of Related Offices and Ministries)

URL: https://www8.cao.go.jp/cstp/openscience/r6_0221/hosaku.pd

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【**What is "Open Access"**】
"Open Access" refers to the basic idea that research papers published in peer-reviewed journals, etc. should be made freely accessible by anyone on line.

【**Different Routes to Open Access**】
There are 3 main ways of open access implementation ((1) to (3) below)

(1) 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).

(2) A way to make the article open access by posting the article on the Web established by the research community or public institution

(3) 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.

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(4) Management of Research Data

On October 23, 2023, JSPS established and published its policy on the handling of research data. This policy stipulates JSPS's basic principles regarding the storage, management, and publication of research data generated during research activities funded by KAKENHI and other research grants provided by JSPS.

As such, the Principal Investigator of an adopted KAKENHI-funded research project must prepare a Data Management Plan (DMP) based on the data policy and other rules of his/her research institution, including the storage and management of research data generated as results during research activities as well as the publication or non-publication of such data, and conduct research activities while storing, managing, and publishing research data in accordance with the plan. In addition, he/she must add metadata specified by JSPS (*1) to research data that is subject to management in accordance with the DMP, etc.

The plan can be revised in the process of carrying out research activities.

Research institutions are requested to formulate their data policies stipulating such matters as the scope of data managed under and covered by the policies and criteria for publishing and sharing such research data. At the same time, they are asked to create an environment, develop a support system, and take other measures, so that researchers can conduct research data management based on data policies.

(Reference) Addition of metadata

Metadata specified by JSPS refers to common metadata items specified in the Basic Policies on the Management and Utilization of Research Data Created by Publicly-Funded Research Activities (April 27, 2021, Decision of Council for Integrated Innovation Strategy) and other metadata items additionally specified by JSPS, based on its discussions on the purpose, scope, etc. of each grant.

You can register metadata on (the public platform of) the NII Research Data Cloud research data infrastructure system (*2), and search for registered metadata (of research data that has been made public) on the CiNii Research search platform of the said system.

You can also register metadata on other interoperable platforms that enable metadata search (including institutional repositories other than JAIRO Cloud (*3), a leading institutional repository, databases that obtain DOIs via JaLC (*4), and sectoral databases linked to CiNii Research (*5)).

Please consult with a person in charge of metadata registration at the affiliated institution.

(Reference) Supplementary terminology notes

(*1) Metadata refers to information on the nature of the very data for publication, including the created date and time, creator, format, and title of data, and is utilized mainly for centralized and efficient management of data.

(*2) The research data infrastructure system (NII Research Data Cloud) refers to a system positioned as the "core platform for the management and utilization of research data in Japan" in the Basic Policies on the Management and Utilization of Research Data Created by Publicly-Funded Research Activities. The system consists of GakuNin RDM, a management platform to manage research data, JAIRO Cloud, a public platform for the publication of research data, and a search platform for metadata search.

(*3) JAIRO Cloud is a cloud-based service to provide an institutional repository environment (available for JPCOAR members), jointly operated by the Japan Consortium for Open Access Repository (JPCOAR) and the National Institute of Informatics (NII). JPCOAR operates its community site and user helpdesk, among others, while the NII (*6) is in charge of development.

(*4) Japan Link Center (JaLC) is an institution with the authority to add digital object identifiers (DOIs) under international standards to academic contents including research papers in electronic form. The institution is jointly operated by the Japan Science and Technology Agency (JST), the National Institute for Materials Science (NIMS), the NII, and the National Diet Library (NDL).

(*5) CiNii Research is a database service that allows anyone to search for academic information, such as research papers, books and magazines, and doctoral theses. The service is developed and operated by the NII.

(*6) The NII refers to the National Institute of Informatics, Inter-University Research Institute Corporation Research Organization of Information and Systems.

JSPS plans to ask researchers to report information on published research data that is generated during their KAKENHI-funded projects to JSPS in their Reports on the Results or Reports on the State of Implementation as well as to publish them as research results on the Grants-in-Aid for Scientific Research Database (KAKEN),

in accordance with their DMPs. For other details, please refer to the notification of the provisional grant decision, etc.

○The Sixth Science, Technology, and Innovation Basic Plan (Cabinet Decision on March 26, 2021)　P.58-61
　URL: https://www8.cao.go.jp/cstp/kihonkeikaku/6honbun.pdf

○Basic Policies on the Management and Utilization of Research Data Created by Publicly-Funded Research Activities (April 27, 2021, Decision of Council for Science, Technology and Innovation)
　URL: https://www8.cao.go.jp/cstp/tyousakai/kokusaiopen/sanko1.pdf

○Basic Policies on the Handling of Research Data of Projects Funded by JSPS Grants
　(October 23, 2023, Decision of JSPS President)
　URL: https://www.jsps.go.jp/file/storage/open_science/basic_policy.pdf

II. Call for Proposals

1. Research Categories for which a Call for Proposals is Organized

> **Fund for the Promotion of Joint International Research**
> **(Fostering Joint International Research)** [KAKENHI (Multi-year Fund)]

A) Purpose:

This grant supports KAKENHI grant recipients who are currently carrying out KAKENHI research projects. Its purpose is to markedly advance those projects by implementing them through international joint research, thereby achieving enhanced research results. In so doing, the grant seeks to foster independent researchers who can play leading roles within the international scientific arena.

*The category Fostering Joint International Research supports two types of research plans. A plan for further advancing root research projects that have already made some progress through international joint research, and a plan for advancing newly initiated root research projects carried out in parallel and interactively with international joint research.

B) Funding target:

A single researcher who meets the below application requirements may apply. His/her research plan must include conducting international joint research with overseas joint researchers for a set period of time at one or more overseas universities or research institutions. **The grant does not support simple overseas dispatches such as for studying abroad.**

*When formulating the research plan, please give due attention to the feasibility of the project in view of the situation, etc. of the countries or regions in which the affiliated institutions of overseas joint researchers are located.

C) Application requirements:

1) The applicant must have been selected for a Grant-in-Aid for Scientific Research, a Grant-in-Aid for Early-Career Scientists or Grant-in-Aid for JSPS Fellows as of July 1, 2024. At the time of this grant application, he/she must be a Principal Investigator in that currently implemented Grant-in-Aid project.

2) The Applicant who is 45 years of age or under as of April 1, 2024 (she/he who was born on and after April 2, 1978.)

D) Range of total budget:

Up to ¥12 million to include costs for "Travel Expenses and Accommodation Fees", "Research Grants and "Cost of Replacement Staff".

* Consideration will be given to allotting applicants the full amount of their requested in their application form.

E) Period of overseas stay:

>A total of at least 6 months. In principle, the stay should be for a period of from 6 months through one year. Within the research period of adopted project permission may be given to extend an overseas stay for longer than one year. During the overseas stay, visits back to Japan may be permitted as long as they do not impede the grantee's research activities in the counterpart institution(s).

F) Research period:

>After receiving official grant approval and having coordinated and made preparations with your overseas counterpart institution(s) and your affiliated institution in Japan, you should submit a formal application for grant delivery no later than March 31, 2026. Your overseas research must begin by the fiscal year following the year you submitted your formal application for grant delivery. The grant funds may be spent after your institution submits the formal application for grant delivery. (You may not spend the funds immediately after receiving a provisional grant decision.) Starting from the fiscal year that the formal application for grant delivery is submitted the grant may be spent up to the end of the third fiscal year irrespective of the last year of the research plan which you are currently implementing.

<Important Notes>

1) The formal application for grant delivery must be withdrawn if the overseas research plan is not determined by March 31, 2026, precluding the submission of a formal application for grant delivery (Except in the case of the formal application for grant delivery being withheld in connection with taking maternity or childcare leave or a research stay abroad, etc.).

2) In principle, the overseas counterpart institution(s) to which you planned to visit at the time of application cannot be altered. Therefore, you must apply for permission from JSPS if you should change the institution(s) you will visit for unavoidable reasons after receiving the notification of either the provisional or the official grant decision to offer the grant-in-aid.

3) <u>A researcher is not eligible to apply if, at the time of application for this grant, he/she is scheduled to receive a grant to participate in a long-term overseas dispatch or overseas research activity under a project related to international joint research or international exchange administered by the Japanese government or by an independent administrative institution, including a researcher who is selected (or provisionally selected) as JSPS Research Fellow (CPD), JSPS Overseas Research Fellow or Overseas Challenge Program for Young Researchers.</u> If you are currently conducting or scheduled to conduct such other funded or commissioned projects, please be sure to check your eligibility for this grant. Note that time of application for this grant refers to the deadline for the submission of the application documents (September 18, 2024).

4) JSPS Fellows (PD, RPD, or DC) can apply for this research category as the principal investigator only if they obtain a Researcher Number and are given application eligibility by their host research institutions.

As JSPS Fellows (DC) are supposed to earn a Ph.D. as doctoral students, their host researchers or affiliated institutions of their current KAKENHI research projects should make sure that they will not be burdened with excessive responsibilities in performing their current KAKENHI research projects.

5) A researcher is not eligible to apply for this fund if his/her current KAKENHI research project is a project funded by the Grant-in-Aid for JSPS Fellows (JSPS International Research Fellow).

6) A researcher who loses his/her eligibility for KAKENHI application after his/her JSPS Fellowship tenure must abolish his/her KAKENHI research project. For this reason, you need to carefully set your research period.

7) Upon returning to Japan after your overseas stay, you are asked to cooperate with the Japan Society for the Promotion of Science (JSPS) in conducting its follow-up survey.

2. Schedule from Application to Grant Delivery

(1) Procedures that need to be completed prior to the deadline for the submission of the application documents

Principal Investigator should sufficiently cooperate with the research institution, and should adequately respond to its requests.

The Date and Time	Procedures to be Performed by the Principal Investigator (See "III Instructions for Prospective Applicants")	Procedures to be Performed by the Research Institution (See "IV Instructions for Administrative Staff of Research Institution")
From July 16 (Tuesday), 2024 **Start of the Call for Proposals**	1) Preparing the Application The Principal Investigators should access the Electronic Application System using the e-Rad ID and Password which has been provided by the research institution and preparing the application. 2) Submission (Sending) of the Application Documents The Principal Investigator should submit (send) the application documents to the research institution he/she belongs to, by the deadline decided by the research institution.	Procedures to be completed, if the need arises 1) The Research Institution obtains an ID and Password for e-Rad from the person in charge of the operation of e-Rad (This does not apply if the research institution already obtained them.) *The issue of the ID and the Password takes about 2 weeks (max.). 2) Registration of the Researcher Information in e-Rad and other matters. 3) Research institutions issue an ID and password to the Principal Investigators. (This does not apply if the researcher already obtained an ID and a password.) 4) Submission of the "Self-assessment Checklist on the Implementation of the System", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions". **Deadline for submission: September 30 (Monday)** 5) Submission of the "Checklist Pertaining to the Current Status" based on "Guidelines for Responding to Misconduct in Research" **Deadline for submission: December 1 (Sunday)** *If both Checklists have been submitted separately after April 2024, there is no need for resubmission. 6) Submission (Sending) of the Application Documents
September 18 (Wednesday) 4:30 pm （JST） **Deadline for the Submission (to be strictly observed)**		

Notes:

1. After the Principal Investigator submits (Sends) the application to the research institution (mentioned in "Procedures to be Performed by the Principal Investigator" 2)), the research institution should submit (Send) to the JSPS the application by the deadline for the submission (mentioned in "Procedures to be Performed by the Research Institution" 6).
   Next, he or she should verify the section "III. Instructions for Prospective Applicants,　4. Preparation of the KAKENHI Application Form (Research Proposal Document)", etc. as well as verify the procedures designated by the research institution, etc. (deadline for the submission of the application, etc., in the research institution) with the office worker in charge in the research institution.

2. When the researcher is applying for KAKENHI, he or she should register the researcher information beforehand in e-Rad. The research institution should perform the registration in e-Rad. Therefore, the researcher who is planning to apply should verify the state of the registration with the office worker in charge in the research institution.

3. The research institution should submit a "Self-assessment Checklist on the Implementation of the System", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)" and a "Checklist Pertaining to the Current Status" based on "Guidelines for Responding to Misconduct in Research" (mentioned in "Procedures to be Performed by the Research Institution" 4,5). If it has not been submitted, no official grant decision will be made for the researchers belonging to the research institution in question.
The research institution that did not submit these two checklists in FY2023 should submit them in FY2024 format after April 1, 2024 onwards.

(2) Schedule after the Submission of the Application Documents (plan)

The schedule below is as of July 14, 2024. There may be changes in the plan including the timing of the provisional grant decision. When the changes occur, it will be announced on the JSPS website and through the research institutions.

It is reminded that the review may fail to be on schedule for the research categories being subject to the comprehensive review (Refer to 3. Review Panels and Other Matters　(2) Review Methods and Other Matters) in particular, and consequently the provisional grant decision may be delayed.

If after receiving a provisional grant decision approval your overseas research plan is determined, a formal application for grant delivery may be submitted at any time before March 31, 2026.

Fostering Joint International Research	
October 2024 to January 2025:	Review
Late February 2025:	Notification of review results Provisional grant decision ※1
Late March 2025	Disclosure of review results
By March 31, 2026:	Formal application for grant delivery (Whenever preparations are ready)
After formal application for grant delivery:	Official grant decision (Whenever preparations are ready)
After official grant decision:	Grant delivery※2

※1 The notification of review results of Fostering Joint International Research will be given on the same day as the provisional grant decision.
　　In addition, depending on the volume of grant applications received, the date of the provisional grant decision may be delayed.
※2 Even for amounts of ¥3 million or more, the grant will be remitted in one lump sum.

3. Review Panels and Other Matters

(1) Concerning KAKENHI Review
　　Omitted

(2) Review Methods and Other Matters

The review of grant applications for the grant "Fostering Joint International Research" is carried out by the Scientific Research Grant Committee of the Japan Society for the Promotion of Science (JSPS) based on the application documents (research proposal document) submitted by the applicant. The review takes place behind closed doors.

Reviewers are asked to strictly observe the following confidentiality obligations because applicants have included research results or ideas yet to be made public in their Research Proposal Documents on the premise that the review process is closed to the public.

・Reviewers must not disclose in any form any contents of Research Proposal Documents submitted or other information obtained through the review process to any third party, including their superiors, colleagues, and subordinates, in order to protect applicants' intellectual property and ensure the fairness of the peer-review system.
・Reviewers must not use any information obtained through the review process for their own benefit.
・Reviewers must strictly manage all review materials.

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

* In the review process, the reviewers can utilize, as necessary, the "researchmap" and the database of Grants-in-Aid for Scientific Research (KAKEN) (Refer to III. Instructions for Prospective Applicants　7. Registration of the Researcher Information in "researchmap").

(3) Notification of the Review Results
　1) JSPS will issue a notification to the PI and the research institution via the electronic application system on whether the research project has been adopted or not, based on the results of the review.
　2) For the PI who had requested for disclosure of the review results in the event that his/her research proposal was not adopted, JSPS will disclose the approximate ranking per the desired review area via the electronic application system.

III. Instructions for Prospective Applicants

1. Procedures to be Completed Prior to Application

The following three requirements must be completed prior to the submission of the research proposal:

(1) Ascertainment of the Eligibility for KAKENHI Application,

(2) Confirmation of the Researcher Information Registered in the e-Rad System,

(3) Confirmation of the ID and the Password to use the Electronic Application System.

(1) Ascertainment of the Eligibility for KAKENHI Application

Under the grant "Fostering Joint International Research," projects that are being carried out in the KAKENHI categories of "Grant-in-Aid for Scientific Research (excluding "Overseas Scientific Investigation")", "Grant-in-Aid for Early-Career Scientists" or "Grant-in-Aid for JSPS Fellows" at the time of grant application are hereinafter called "root research projects." This Fund works to markedly advance those projects.

To apply for a grant under "Fostering Joint International Research", a researcher must have the eligibility for KAKENHI application and meet the below application requirements for "Fostering Joint International Research".

If a researcher has the KAKEHI application eligibility at two or more research institutions, he/she must choose one of them to make his/her grant application. The application may be made from a research institution other than the one administering the researcher's root research project.

However, **JSPS Fellows may make an application only from their host research institutions**.

【**Eligibility for KAKENHI application**】

(i) **At the time of the proposal submission, a researcher needs to have been approved by his/her research institution (*1) as an eligible researcher who meets the Requirements 1), 2) and 3) stated below, and have his/her Researcher Information properly registered in the e-Rad system as eligible for KAKENHI application (*2).** **<Requirements>** a) The applicant must be an individual belonging to a research institution with a job assignment including a research activity within the said institution. (Whether the job is paid/unpaid, or full-time/part-time is irrelevant. It is not a prerequisite of eligibility that the research activity constitutes the main part of his/her job.) b) The applicant must be actually engaged in research activity in his/her research institution. (Those who are only engaged in research assisting jobs are ineligible.) c) The applicant must not be a graduate student nor any other categories of student. (However, an individual who has a position in a research institution with a research activity as his/her main job (e.g., a university teaching staff, a researcher belonging to a company, etc.) and holds a student status at the same time is eligible.) (*1) Here, the research institution must be such that designated according to the Article 2 of the "Rules for

the Handling of Grants-in-Aid for Scientific Research" (issued by the MEXT)

(*2) JSPS Fellows (DC) are deemed eligible for application, regardless of whether they actually meet all the requirements through a) to c) above. However, please check with your research institution regarding the requirements that it must meet.

(Reference) Requirements that the research institution must meet

(See IV. Instructions & Proceduress for Administrative Staff of Research Institution 2. Issues to Be Completed Beforehand by the "Research Institution"):

<Requirements>
- The research institution must authorize the research project for which KAKENHI is granted, as its proper activity.
- The research institution must take responsibility for management and accounting of the KAKENHI delivered to its researcher staffs.

(ii) **The individual must not be categorized as ineligible for grant acquisition in the fiscal year covered by a call for proposals, as a penalty for his/her improper grant spending, fraudulent grant acquisition, or research misconduct using the KAKENHI or other Competitive Research Funds.**

【**Application Requirements for "Fostering Joint International Research"**】

(i) **The applicant must have been selected as of July 1, 2024. At the time of this grant application, he/she must be a Principal Investigator in that currently implemented for a Grant-in-Aid for Scientific Research, a Grant-in-Aid for Early-Career Scientists, or Grant-in-Aid for JSPS Fellows.**

(ii) **The Applicant who is 45 years of age or under as of April 1, 2024 (she/he who was born on and after April 2, 1978.)**

<Note:1>

The Principal Investigators constitute the "members of funded projects", as stipulated in the Law on the Improvement of the Administration of the Budget for Grants-in-Aid (1955, Act no. 179). In an event that they have committed improper grant spending, fraudulent grant acquisition, research misconduct, etc., the eligibility for KAKENHI application will be suspended for a period of time specified by the rule.

In addition, it may happen to researchers that they are treated as indicated below, even if a researcher has application eligibility of Fostering Joint International Research.

- If it is judged in the research institution to which researchers belong that it is not appropriate to let them conduct their research activities as activities of the research institution in question, it may happen that the research institution does not recognize the application. It may also happen that the application for funding by these researchers in question is not recognized and that the application for funding of the KAKENHI is rejected.
- No KAKENHI will be funded, if there is a new application from researchers who do not submit the report on the research achievements at the end of the research period, without any reason, even if their research has been adopted after screening. Moreover, if researchers have failed, without good reason, to submit the scheduled report on the research achievements, then implementation of other Grants-in-Aid for Scientific Research due to be implemented in the same fiscal year will be suspended.

Under the grant "Fostering Joint International Research," the grantee's stay overseas must be for a period of 6 months or longer. Therefore, it may be necessary to replace the grantee at his/her institution during the overseas stay. The grant may be used to cover the cost of the replacement staff. Whereas grantees do not necessarily need to finish coordinating with their affiliated institution(s) on how to carry their duties at the time of application submittal, they do need to coordinate with their affiliated institution beforehand to lay the groundwork for a smooth overseas stay.

In the case of an applicant with two or more affiliated institutions, the institution(s) from which he or she does not make the grant application is referred to here as "other institution(s)." Applicants may have duties at the other institution(s) that will be difficult to carry out in their absence. In this case, they should carry out sufficient coordination with the other institution(s) before they embark upon their overseas stay.

If funding is required to cover the cost of replacement staff at the other institution(s), the applicant should request it from the research institution from which he /she applied for the grant (the institution that will administer the grant funds). Thusly, it is possible to use the grant funds for this purpose.

JSPS Fellows should prepare their overseas research plans considering their fellowship tenure. Since JSPS Fellows (DC) in particular are supposed to pursue a Ph.D, they should carefully prepare the plan in order to ensure that their overseas stay for this research category does not hinder their progress toward earning a Ph.D.

<Note: 2 >
The Grant-in-Aid for JSPS Research Fellows (JSPS International Research Fellows) is not considered as a root research project to apply for this research category.

(2) Confirmation of the Researcher Information Registered in the e-Rad System

To apply for a grant under Fostering Joint International Research, the Principal Investigator must be eligible at the time of the submission (sending) of application from his/her affiliated institution to JSPS and be registered in the e-Rad system as "Eligible to Apply for KAKENHI."

Therefore, the Principal Investigator must first verify the content of his/her registration in e-Rad.

The registration in the e-Rad system is handled **by the research institution to which the researcher belongs**. Principal Investigator should check with the administrative section of his/her institution about the registration procedures including the registration deadline within the institution, the method of confirmation of the current contents of registration, etc. If any of the entry items (such as "affiliation", "position", etc.) of the researcher who has been already registered in the e-Rad system need updating, they should be duly completed.

*Registration of researcher information in e-Rad and linkage to the electronic application system regarding the implementation of research integrity measures

Starting from the FY2024 call for proposals, research integrity information registered in e-Rad will be linked to the electronic application system, and you will be requested to enter the necessary information in your

Research Proposal Document based on the e-Rad registered research integrity details.

Please note, in particular, that the application cannot be made if the Principal Investigator has not registered in e-Rad the status of pledge regarding his/her research integrity information for his/her affiliated institution. Therefore, please make sure to confirm the registration status of the relevant information in advance. For details, please check carefully the Supplement to the Application Procedures for Grants-in-Aid for Scientific Research.

(3) Confirmation of the ID and the Password to Use the Electronic Application System

Your e-Rad ID and password will be issued when your research institution completes your researcher registration on e-Rad. When applying, access the Electronic Application System using your e-Rad ID and password and prepare the application documents.

Moreover, <u>once the ID and the password have been provided, they can be used, even if the applicant changes the research institution to which they belong. The applicant must strictly protect the login ID and password in order to prevent them from being disclosed to others</u>.

2. Restrictions on Parallel Grant Application/Receipt

A researcher who intends to submit research proposal(s) to KAKENHI should be well acquainted with the "Restrictions on Parallel Grants Application/Receipt" before starting preparation of research proposal document(s) to check if applications to the intended categories are permitted.

(1) The Basic Policy for Restriction on Parallel Grant Application/Receipt

KAKENHI consists of different "Research Categories" and "Application Sections" set on the basis of budget scale, content, and other factors of the intended research, so as to meet various needs and research styles of the applicants. On the other hand, in consideration of the necessity to support many excellent researchers with limited funding resources, and of the possible detrimental influence of overcrowding applications on the proper management of the review process, the "Rules for Restrictions on Parallel Submission of Research Proposals" have been set up, according to the following basic principles.

Restrictions on parallel grant application/receipt do apply to the current round of call for proposals.

○ Give considerations so as to ensure that as many excellent researchers as possible can be supported with limited funding resources.

○ Give considerations so as to ensure that the number of applications does not become excessive in comparison with the review scheme of each research category.

○ The restrictions to be enforced are primarily directed to the applicant as Principal Investigator who bears all responsibility for the implementation of the research project(s). In some cases, such as the research categories with large budget scale, however, the restrictions may be also extended to individuals as the Co-Investigator.

○ The restriction on parallel submission of research proposals and the restriction on simultaneous receipt of grants are separately set on each of the KAKENHI categories, in accordance of the basic concepts outlined above and by taking into consideration the purpose, characteristics and other factors of each KAKENHI category.

Accordingly, <u>the applicant should be well acquainted with the description the rules given below,</u> <u>and the "Table of Restrictions on Parallel Grants Application/Receipt" (Refer to</u> Attached Table Table of Restriction).

In case a particular research project falls under the concept of "unreasonable duplication" as put forward in the "Guidelines on the Proper Implementation of Competitive Research Funds" (refer to I. Outline of the Grants-in-Aid for Scientific Research -KAKENHI- 5."Guidelines on the Proper Implementation of Competitive Research Funds," etc .), it may be judged as such in the review process. Therefore, the applicant should take due precautions in preparing his/her research proposal document.

(2) Restrictions on Parallel Grant Application/Receipt

The applicant should be well acquainted with the "Table of Restrictions on Parallel Grants Application/Receipt" (Refer to Attached Table Table of Restriction on Parallel Grant Application/Receipt), and the description the rules given below.

1) Consequently, he/she cannot make more than one application for Fostering Joint International Research at the same time. The same applies if the applicant is carrying out two or more root projects concurrently.

2) There is no restriction on parallel grant application/receipt between a research project in this grant category and one in another grant category other than International Collaborative Research (including Fostering Joint International Research (B) adopted before FY2022). However, there is a restriction on overlapping implementation between the root project and project(s) in another grant category.

3) If a research project is adopted under this grant category (Fostering Joint International Research), it may be carried out concurrently with the root project.

4) One researcher may receive only one grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research) and Fostering Joint International Research (A). (Here, "receiving a grant" means to receive the official grant decision.) A researcher whose Fostering Joint International Research project was adopted under FY2023 Fund is not allowed to apply for the grant under the FY2024 Fund even if his/her formal application for grant delivery has not been submitted due to unfinished coordination with the applicant's affiliated institution in Japan or with his/her overseas counterpart institution.

(3) Important Notes

1) Even if parallel submission of research proposals, etc. is possible according to the rules on restriction of duplication, the researcher should consider the restrictions in case of "Situations where the applicant cannot carry out his/her responsibility as a Principal Investigator or a Co-Investigator, due to participation in multiple research projects." Altogether, he or she should consider the content of "Elimination of Unreasonable Reduplication and Excessive Concentration" mentioned on I. Outline of the Grants-in-Aid for Scientific Research - KAKENHI - 5. "Guidelines on the Proper Implementation of Competitive Research Funds", etc.

2) Even if an application is received on the Electronic Application System, it may not be screened due to the restriction on parallel grant application/receipt. Please verify this before submitting your application

documents.

3) **There are no restrictions on parallel grant application/receipt between KAKENHI and other competitive research funds schemes.** Still, applicants should read the description in the column "Elimination Unreasonable Duplication and/or Excessive Overconcentration in the Grant Allocation" (Refer to I. Outline of the Grants-in-Aid for Scientific Research - KAKENHI - 5. "Guidelines on the Proper Implementation of Competitive Research Funds", etc.). As stated on II. Call for Proposals 1. Research Categories for which a Call for Proposals is Organized, researchers should also check whether they are scheduled to receive a grant to participate in a long-term overseas dispatch or overseas research activity under projects related to international joint research or international exchange administered by the Japanese government or by an independent administrative institution, including those who are selected (or provisionally selected) as JSPS Research Fellow (CPD), JSPS Overseas Research Fellow or Overseas Challenge Program for Young Researchers.

(4) Special Provisions for the Restriction on Parallel Grant Application/Receipt due to the extended research period

When a Principal Investigator of an on-going project of KAKENHI (Multi-year Fund) extends the research period in the final fiscal year (except for extensions in which the Principal Investigator suspends his/her research for maternity/childcare leaves, research stay abroad, etc.), **the restriction on parallel grant application/receipt does not apply** between the on-going project and the research proposal under Fostering Joint International Research.

Attached Table   Table of Restriction on Parallel Grant Application/Receipt

Restriction on Parallel Grant Application/Receipt between Fund for the Promotion of Joint International Research and Fostering Joint International Research

Column A \ Column B			Fostering Joint International Research
			New Proposal
			Principal Investigator
International Leading Research	New Proposal	Principal Investigator	
	Continued	Principal Investigator	
Fostering Joint International Research (former name : Fostering Joint International Research (A))	New Proposal	Principal Investigator	——
	Continued	Principal Investigator	▲
International Collaborative Research (former name : Fostering Joint International Research (B))	New Proposal	Principal Investigator	×
		Co-Investigator	
	Continued	Principal Investigator	×
		Co-Investigator	

※ If you have applied for International Collaborative Research in FY 2024 as a Principal Investigator, you may not apply for Fostering Joint International Research.

※ If your proposal has been adopted for Fostering Joint International Research, you may not apply in parallel as a Principal Investigator for International Collaborative Research, which is scheduled for a future call.

Blank cell: The researcher can apply for both research projects.

－: A researcher can only apply for one research project in one and the same research category (application section) (In case he/she has a continued research project mentioned in column A, he/she cannot apply for a research project mentioned in column B)

×: The researcher can only apply for one research project (in case he/she applied for a research project mentioned in column A, he/she cannot apply for a research project mentioned in column B).

▲: The researcher cannot apply for a research project mentioned in column B (He/she only implements the research of a continued research project mentioned in column A).

3. Root Research Projects and Other Research Projects

(1) Projects qualified as "root research projects"

Research projects adopted as of July 1, 2024 under Grant-in-Aid for Scientific Research, Grant-in-Aid for Early-Career Scientists or Grant-in-Aid for JSPS Fellows whose implementation is ongoing at the time this grant application is submitted.

Qualified also are research projects that have been extended for the purpose of maternity leave or childcare leave and are still ongoing in FY2024 and projects that are suspended in FY 2024 for maternity or childcare leave, the suspension of the JSPS Fellowship due to illness, injury, or nursing care of family members[*1], or research stay abroad[*2], etc. (This includes ongoing single-year projects whose formal application for grant delivery in being withheld due to maternity or childcare leave or research stay abroad, etc. taken in FY2024.).

> *1 "Suspension of the JSPS Fellowship due to illness, injury, or nursing care of family members" applies only to JSPS Fellows (limited to PD, RPD, or CPD) hired by their host research institution under the JSPS's Employment Support Program for Young Researchers to improve the Research Environment.
> *2 "Suspension due to research stay abroad, etc." does not apply to the Grant-in-Aid for JSPS Fellows.

* Projects not qualified as "root research projects"

- Research projects scheduled to end in and before FY2023 approved for carry-over to FY 2024 (single-year projects) and projects approved for extension into FY2024 (Multi-year Fund projects, excluding projects extended for maternity or childcare leave).

- Research projects in their last fiscal year whose Principal Investigator applied in the previous year for a Grant-in-Aid for Specially Promoted Research or Grant-in-Aid for Scientific Research (S) and was adopted for the grant.

- Research projects whose formal application for grant delivery was withdrawn or scheduled to be abolished by the Principal Investigator due to the restriction on parallel grant application/receipt or other reasons.

- A research project newly adopted in or before FY2024 whose funding request is being withheld.
  (Excluding ongoing single-year projects whose formal application for grant delivery in being withheld due to maternity or childcare leave or research stay abroad, etc. taken in FY2024.)

(2) Conducting research under both a root research project and another project(s)

Regarding the concurrent implementation of a root research project and another KAKENHI research project(s): Even if the Principal Investigator of the root project is staying overseas, the other KAKENHI project(s) may be continued if it can be carried out by a co-investigator (etc.) under the responsibility of the Principal Investigator.

4. Preparation of the KAKENHI Application Form (Research Proposal Document)

Grants-in-Aid for Scientific Research is Competitive Research Funds intended to provide financial support for creative and pioneering research conducted by individual researchers. Therefore, <u>the contents of the Research Proposal Document must be original planned by the applicant</u>.

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

<u>When formulating the research plan, please give due attention to the feasibility of the project in view of the situation, etc. of the countries or regions in which the affiliated institutions of overseas joint researchers are located.</u>

Applicants should note that the entire Research Proposal Document, including the title of the research project will be reviewed, and will be publicized widely in the Grants-in-Aid for Scientific Research (KAKENHI) Database (KAKEN) if the research proposal is adopted. Therefore, make sure to select a title that effectively reflects the content of the research project.

For submission of a research proposal, the applicant (Principal Investigator) has to complete the relevant Research Proposal Document.

The Research Proposal Document consists of two parts: "Items to be entered in the Website" and "Forms to be uploaded as an attached file".

The Principal Investigator (applicant) should complete the Research Proposal Document (PDF file) by entering the "Items to be entered in the Website" and by uploading the "Forms to be uploaded as an attached file" to the Electronic Application System. Then he/she should submit (send) the Research Proposal Document to the administrative section of his/her research institution, by the deadline set by the institution.

Preparation and submission of the KAKENHI Research Proposal Document should follow the procedures detailed below.

(1) Preparation of KAKENHI Research Proposal Document

For the preparation of the KAKENHI research proposal document, <u>the applicant must first access the Electronic Application System using his/her e-Rad ID and Password</u>.

On the Research Proposal Document

The KAKENHI Research Proposal Document consists of the following two parts:

Items to be entered in the Website:

Items to be directly entered by the Principal Investigator (applicant) on the website of the KAKENHI Electronic Application System

Forms to be uploaded as an attached file:

A part containing such entries as "Significance and Necessity of the Joint International Research" and "Research Objectives, Research Method of the Joint International Research, etc.", etc. to be prepared by downloading the form from the "Grants-in-Aid for Scientific Research – KAKENHI-" page within the JSPS website and by uploading the filled form to the KAKENHI Electronic Application System so as to compile a

PDF file of the research proposal document. (Paper-based applications will not be accepted.)

(URL: https://www.jsps.go.jp/english/e-grants/grants09_fostering.html)

Research category Application Section	Research Proposal Document		
	Items to be entered in the Website (First part)	Forms to be uploaded as an attached file (File ID)	Items to be entered in the Website (Second part)
Fostering Joint International Research	To be entered in the Electronic Application System (Title of research project, Fundamental data on the research project such as total budget, Data on the project members, etc.)	S-61	To be entered in the Electronic Application System (Research Expenditure and Description of Each Expenditure Categories, The Status of Application and Acquisition of Research Grants, etc.)

(Reference) Revision of the Research Proposal Document

Starting from the FY2019 call for proposals, the "Research Achievements of the Principal Investigator (PI) and Co-Investigator(s) (Co-I(s))" column in the Research Proposal Document was revised as the "Applicant's Ability to Conduct the Research and the Research Environment" column, based on the idea that "research achievements are necessary to confirm the applicant's ability to conduct the research under the research plan for application, and the exhaustive description of such achievements will not be required."

Please read the Supplement to the Application Procedures "Forms/Procedures for Preparing and Entering a Research Proposal Document" carefully in preparing a Research Proposal Document..

(2) Electronic Submission of the Research Proposal Document

1) A Principal Investigator (applicant) to the research category "Fostering Joint International Research" should prepare his/her Research Proposal Document (PDF file) by entering the "Items to be entered in the Website" and by uploading the separately prepared "forms to be uploaded as an attached file" to the Electronic Application System, following the instructions in the "FY2024 Procedures for Preparing and Entering a Research Proposal Document for "Fund for the Promotion of Joint International Research (Fostering Joint International Research)" and "FY2024 Procedures for Preparing and Entering a Research Proposal Document (items to be entered in the Website) (Fund for the Promotion of Joint International Research (Fostering Joint International Research)".

2) The Research Proposal Documents are collected and submitted to JSPS by the research institution to which the Principal Investigator (applicant) belong.

Therefore, **the applying Principal Investigator should submit (send) his/her Research Proposal Document to the administrative section of his/her research institution by the deadline set by the institution. (It is not allowed to submit the Research Proposal Document directly to JSPS.)**. Before submission, the applying Principal Investigator should carefully check the contents of the Research Proposal Document (PDF file) he/she prepared, and subsequently proceed to the "Check Completed and Submission" stage of the submission process. (This amounts to submitting the Research Proposal Document

(PDF file) to the administrative section of his/her research institution.) **After the "Approval" process by his/her institution, no further corrections or modifications to the submitted Research Proposal Document are possible after the date of submission (transmission) to JSPS.** (Refer to IV. Instructions for Administrative Staff of Research Institution 4. Submission and Other Matters of the Research Proposal Document)

3) The personal information contained in the Research Proposal Document and any personal information registered in Electronic Application System will be used for purposes such as the elimination of unreasonable duplication and/or excessive concentration in the allocation of competitive research funds, the appropriate funding of KAKENHI grants, and to conduct questionnaires on scientific technology policies including KAKENHI grants (this includes providing the data to external contractor(s) in charge of electronic processing and management of the KAKENHI data). Any such information will also 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 PI, 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 database of Grants-in-Aid for Scientific Research (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.

(3) Important Checkpoints of the Research Proposal Document

In preparing a Research Proposal Document, the applicant should pay attention to the following points among others, so as to avoid "outright rejection by incompleteness of the research proposal document".

1. Qualification as a KAKENHI project

The following kinds of research plans fall outside the scope of funding target:

A) A research plan which merely aims at purchasing ready-made research equipment.

B) A research plan whose purpose is to build a large-size research facility or equipment which is more appropriate to be funded by other resources.

C) A research plan whose purpose lies at developing and selling goods and/or services (including market research associated with such as them).

D) An entrusted research conducted as regular business.

E) A research plan with a yearly budget less than 100,000 yen.

2. Eligibility of the Project Members

The Principal Investigator may organize a research team with appropriate combination of Research Collaborator(s), as needed by the nature of the research project.

The Principal Investigator is subject to verification of their KAKENHI eligibility by their respective research institute by the time of research proposal submission (See Notes (*1・2)).

On the other hand, to be a Research Collaborator, registration to the e-Rad system is not a requirement.

〈Requirements〉

1) The applicant must be an individual belonging to a research institution with job assignment including research activity within the said institution. (Whether the job is paid/unpaid, or full-time/part-time is irrelevant. It is not a prerequisite of eligibility that the research activity constitutes the main part of his/her job.)

2) The applicant must be actually engaged in research activity in his/her research institution. (Those who are only engaged in research assisting jobs are ineligible.)

3) The applicant must not be a graduate student or any other categories of student. (However, an individual who has a position in a research institution with research activity as his/her main job (e.g., university teaching staff, researcher belonging to a company, etc.) and holds a student status at the same time is eligible.).

(*1): Here, the research institution must be such that designated according to the Article 2 of the "Rules for the Handling of Grants-in-Aid for Scientific Research" (issued by the MEXT)

(*2) JSPS Fellows (DC) are deemed eligible for application, regardless of whether they actually meet all the requirements 1) to 3). However, they need to check with their research institutions about whether the research institutions meet the requirements for research institutions.

(Reference) Requirements that the research institution must meet (See IV. Instructions for Administrative Staff of Research Institution 2. Issues to Be Completed Beforehand by the "Research Institution"):

〈Requirements〉
・ The research institution must authorize the research project for which KAKENHI is granted, as its proper activity.
・ The research institution must take responsibility for management and accounting of the KAKENHI delivered to its researcher staffs.

KAKENHI employee is generally bound by their employment contract to concentrate on the research work relevant to the employment-related work specified in his/her employment contracts. Therefore, such a KAKENHI employee cannot apply for Fostering Joint International Research which is to be conducted within the working hours of his/her employment.

The Principal Investigators constitute the "members of funded projects", as stipulated in the Law on the Improvement of the Administration of the Budget for Grants-in-Aid (1955, Act no. 179). In an event that they have committed improper grant spending, fraudulent grant acquisition, research misconduct, etc. the eligibility for KAKENHI application will be suspended for a period of time specified by the rule.

In the following cases, an individual registered in the e-Rad system as "Eligible for KAKENHI application" may be subject to different treatment.

・ In case the research institution to which the individual belongs has made a judgement that it is not appropriate to let the individual conduct the said research activity as a part of his/her work within the institution, the institution may withhold the submission of his/her KAKENHI proposal, or may withhold the formal application for grant delivery of a provisionally adopted KAKENHI grant resulting in declination of the grant in question.

・ In case a KAKENHI recipient has failed to submit the "Report on the Research Achievements" that is due after

the completion of the research period of his/her KAKENHI without any good reason, no new KAKENHI grant(s) will be delivered to him/her, even if the grant(s) have been provisionally adopted. Moreover, if a KAKENHI recipient has failed to submit the "Report on the Research Achievements" by the due date, then the delivery of KAKENHI grant(s) for that FY will be suspended.

1) Principal Investigator (Applicant)

(A) Principal Investigator is the main recipient of the grant who bears full responsibility for the implementation of the research project (including summarization of the research achievements).

An individual who is anticipated to become unable to carry through the Principal Investigator's responsibility over the entire research period due to, for example, loss of the KAKENHI eligibility caused by Principal Investigator's own accord, should refrain from becoming a Principal Investigator.

(Note)

The Principal Investigator is the researcher who plays the central role in the implementation of the research plan and thus bears a heavy responsibility. An individual who is anticipated to lose his/her eligibility for KAKENHI application during the research period due to his/her own accord so that is anticipated to be unable to carry through the responsibility, should refrain from becoming a Principal Investigator. (Substitutions of the Principal Investigator of an on-going KAKENHI project are not permitted.)

(B) Principal Investigator must be registered in the e-Rad system as "Eligible for KAKENHI Application." It is also required that he/she is *not* designated as "ineligible for grant receipt" in the fiscal year covered by a call for proposals (suspension of eligibility), as a penalty for such misconducts as improper grant spending, fraudulent grant acquisition or research misconduct associated with KAKENHI or any other competitive funds.

2) Research Collaborator

(A) Research Collaborator is an individual who cooperates in the implementation of a research project other than the Principal Investigator.

(B) Registration as "Eligible for KAKENHI application" in the e-Rad system is *not* a requirement for becoming a Research Collaborator.

For example, the following people can also participate in the research project as a Research Collaborator:
a postdoctoral researcher, a graduate student, a research assistant (RA), a JSPS Research Fellows (CPD), JSPS Research Fellows (PD, RPD, DC) who are not registered as eligible for KAKENHI application in their host research institution, **a researcher belonging to an overseas research institution**, a researcher belonging to a corporation not designated as a research institution according to Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research, and an individual offering research support such as technician and intellectual property specialist.

3. Requirements for the Appropriation of Research Expenditure

1) Expenditures that can be covered by direct expense

Expenditures necessary for the implementation of the research plan (including those necessary for summarization of the research achievements)

Under the grant "Fostering Joint International Research," the expense items (i.e. equipment, consumables, travel, personal cost/honoraria, miscellaneous) are divided among the categories "travel expenses and accommodation fees", "research funding", and "cost of replacement staff (note)".

The purpose of Fostering Joint International Research is **to support research plans carried jointly by Principal Investigators with researchers at overseas universities and research institutions for a set period of time**. This should be born in mind when calculating the costs necessary to implement the research plan. Expenses need to carry out related research activities in Japan may be included.

As, however, project funding is to be expended based on the rules of your affiliated research institutions, they should be consulted so as to follow their rules when calculating expenses. Particularly **when calculating travel expenses, accommodation fees, and cost of replacement staff, be sure to coordinate and check with the administrative staff in charge at your affiliated institution in order to avoid excessive use of such expenses**.

*If any expenditure in the categories "Research Funding" and "Cost of Replacement Staff" exceeds 6-million yen or if any equipment will be purchased for the use in Japan, the necessity of such expenditure should be specified in the Research Proposal Document.

【Expenditures that can be covered by direct expense】

	Expenses for Goods (Equipment Costs/ Consumables Expenses)	Travel Expenses	Personnel Cost/Honoraria	Miscellaneous Expenses
Travel Expenses and Accommodation Fees		○		○
Research Funding	○	○	○	○
Cost of Replacement Staff	○	○	○	○

* The cost of replacement staff needs to be entered in the grant application; however, a concrete plan is not required at the application stage.

(Note) "Cost of replacement staff" refers to mainly the cost of securing someone to substitute for the Principal Investigator at his/her research institution while he/she is overseas. (The cost comprises mainly personnel cost and honoraria.) To facilitate the Principal Investigator's overseas stay, if there is a duty that cannot be carried out by his/her replacement staff for some reason, he/she may include the cost to carry out that duty while at the overseas counterpart institution in the budget plan under "Expenses for Goods (Equipment Costs and Consumables Expenses)."

The following are examples of allowable expenses.

- Salary of part-time lecturer to give lectures and perform other duties in place of the Principal Investigator
- Honorarium and travel expense for inviting the part-time lecturer
- Funds for paying a part-time staff, TA or RA to support the personnel who carry out the Principal Investigator's education, research, university committee and other duties in his/her absence.
- The cost of equipment used by the Principal Investigator in carrying out his/her duty to educate students at the counterpart institution.

The following types of expenditures are not allowed.
- The cost of computers, tables and chairs (etc.) used in preparing for lectures given by the replacement staff
- The cost of teaching aids and consumable supplies used in giving lectures by the replacement staff
- Travel costs of the replacement staff when traveling on other business such as related to entrance exams or public relations (etc.).
- If the replacement staff is a collaborating researcher in the root research project, the payment of an honorarium to him/her is not allowed.

* If the Principal Investigator is carrying out or scheduled to carry out a project under a program funded or commissioned by the Japanese government or an independent administrative institution, "Cost of replacement staff" of the "Fostering Joint International Research" may not be used to cover the cost of replacement staff for those projects.

* While you may use the direct expense for the cost of replacement staff, the cost of buyout will not be covered in Fostering Joint International Research.

[Reference: 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 (excluding Scientific Research on Innovative Areas Platforms for Advanced Technologies and Research Resources), 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, International Collaborative Research (including Fostering Joint International Research (B) before name change), 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, Transformative Research Areas (Scientific Research on Innovative Areas Platforms for Advanced Technologies and Research Resources), Scientific Research on Innovative Areas (Research in a Proposed Research Area) (Platforms for Advanced Technologies and Research Resources), Fostering Joint International Research (including the Joint International Research (A) before name change). As for the research category of Fostering Joint International Research (including the Joint International Research (A) 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)" (Oct 9, 2020, Agreement among Research Promotion Bureau, Science and Technology Policy Bureau, Research and Development Bureau and Higher Education Bureau)
URL: 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.

2) Differentiating root research projects

Expenses for projects under the grant "Fostering Joint International Research," root research project, and other

KAKENHI projects must be separately computed since they are different grant programs. Make sure just to compute the funding needed to carry out a research plan for a project under this grant.

Direct funding under the grant "Fostering Joint International Research" cannot be used to fund root research projects or other KAKENHI projects. This should be borne in mind particularly when computing the funding to be used in the Japan portion of Fund projects.

3) Expenditures that cannot be covered by KAKENHI

    A. Costs associated with buildings and other facilities (excluding expenditure for minor installations necessary for installation of research equipment purchased by the KAKENHI direct expense).

    B. Expenditures for measures to deal with accidents or disasters that occurred during the implementation of funded project

    C. Personnel cost/Honoraria for the Principal Investigator

    D. Other than expenditures above, 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 research project.

    Indirect expense will be placed for all the research categories of this Call for Proposals. Applicant does not need to state the indirect expense in his/her Research Proposal Document.

4. Selection by the Applicant of a Desired Review Area in the Review Process

The applicant should select one of the 10 areas listed below, as the suggested review area for his/her research proposal.

Area for Review	① **Informatics**	⑥ **Chemistry**
	② **Environmental Science**	⑦ **Engineering**
	③ **Humanities**	⑧ **Biological Science**
	④ **Social Sciences**	⑨ **Agricultural Science**
	⑤ **Mathematics/Physics**	⑩ **Medicine, Dentistry and Pharmacy**

5. When preparing a research proposal, <u>it should be borne in mind</u> that review is conducted based on the necessity and impact of the international joint research to be conducted under the proposed project. <u>**Review is carried out**</u> <u>from a multifaceted perspective, not only the field of specialization.</u>

6. No mistakes in the format, etc. of the Research Proposal

  1) No garbled characters and so on.

    <u>The electronic form of the Research Proposal Document (PDF files) submitted through the system</u> <u>will be used as they appear in the review. It is the Principal Investigator's responsibility to check</u> <u>whether the contents of the Research Proposal Document converted to the PDF file are complete</u> <u>(missing characters, charts, garbled characters, etc.)</u> before submitting (sending) of research proposal document. Research Proposal Documents using colored figures and text will be used as they appear in the

review.

2) Verification of the Application Forms

It should be verified whether the application format is in conformity with the prescribed format. As for the forms to be uploaded, in particular, verify not only the total number of pages but also the number of pages instructed for each column is met. For example, neither following case 1 in which the total number of pages is different nor following case 2 in which the total number of pages is same but the number of pages instructed for each column are different are inconformity with prescribed format.

	Number of page(s) of Form					Total Number of Pages
	Summary, Significance and Necessity of the Joint International Research, etc.	Research Objectives, Research Method of the Joint International Research, etc.	Role of Overseas Joint Researchers and the state of preparation	Applicant's Ability to Conduct the Research and the Research Environment	Issues Relevant to Human Right Protection and Legal Compliance	
Correct Number of Pages	3	3	2	2	1	1 1
Incorrect Number Case 1	3	2	2	2	1	1 0
Incorrect Number Case 2	2	3	3	2	1	1 1

5. 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.** (Refer to III. Instructions for Prospective Applicants 5. Completion of Research Ethics Education Course or Other etc.)

[Extraction from the Statement "Code of Conduct for Scientists -Revised Version-" by the Science Council of Japan dated January 25, 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/file/storage/general/j-kousei/data/rinri.pdf

6. Completion of Research Ethics Education Course or Other etc.

Principal Investigators taking part in a research funded by the KAKENHI, are requested to have completed properly the following procedures including research ethics, by the time they submit the formal application for grant delivery of a newly adopted research project in the FY2024 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 Principal Investigator 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 current institution for the validity of the procedure he/she conducted in the past.

・The Principal Investigator must either 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” published by the Editorial Committee of the JSPS named “For the Sound Development of Science, the “e-Learning Course on Research Ethics [eL CoRE] or “APRIN e-learning program (eAPRIN)”, or attend a lecture on research ethics conducted by research institutes based on “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 Principal Investigator must understand thoroughly and 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 the JSPS, by the time of the formal application for grant delivery.

7. Registration of the Researcher Information in "researchmap"

　The “researchmap (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 (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 the e-Rad, many university faculty databases and so on. The Japanese Government as a whole is going to further utilize the researchmap.

Furthermore, since the posted information in the researchmap and/or the Grants-in-Aid for Scientific Research Database (KAKEN) is to be handled as a reference according to the necessity in the review of the KAKENHI applications, the registration of the researcher information into the researchmap is encouraged. In addition, when doing so, make sure to register the "Researcher Number" because the posted information is to be searched with the "Researcher Number" when referring to the posted information in the researchmap in the course of the review.

< 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. Cooperation to Review

The Grants-in-Aid for Scientific Research-KAKENHI- adopts a peer-review process in which the researchers selected from their own community engaged themselves in the assessment and reviewing of each research proposals on the basis of its scientific merit. The KAKENHI review is conducted thanks to the cooperation of more than 8,000 researchers as reviewers. The peer review forms the basis of the autonomy of academic community and plays an important role in ensuring quality of scientific research and its improvement. The review of applications is carried out with the constructive and mutually critical spirit of scientists and based on the purely academic value. It is no exaggeration to say that the KAKENHI review system is indispensable in supporting Japan's scientific research into the future among other research funds.

The Grants-in-Aid for Scientific Research (KAKENHI) program is supported by researchers who have responsibilities not only to conduct the funded research projects as applicants and grant recipients but also as reviewers. It is important for researchers to find out excellent research proposals as reviewers in order to support the scientific research as is the case of putting out excellent research results with KAKENHI funds. It is expected that the above-stated understanding is share in the academic community. Furthermore, participating to the review process has an aspect of fostering researchers through enhancing their capability to conduct the objective and academic assessments based on the various views of fellow reviewers leading up to broaden their horizons.

In order to support the peer-review system of KAKENHI by the whole body of researchers by appropriately sharing the burden of proposal review without putting an extra load on some researchers. **The researchers' positive participation in the review process is well appreciated when they are requested to become the KAKENHI reviewer by JSPS or MEXT in the future.** JSPS has registered the Principal Investigators' information including their names and affiliated research institutions in the Database of Review Committee Candidate (153,000 entries as of FY2023) and has utilized it so as to select the fair and excellent reviewers. The request to update the registered information is made through the researchers' research institutions every year, researchers' cooperation for updating is also well appreciated.

IV. Instructions for Administrative Staff of Research Institution

1. Sharing the Aim and Purpose of the KAKENHI System

The KAKENHI provides a financial support for the creative and pioneering researches based on the original ideas of researchers.

Review of the submitted research proposals is conducted by the peer review process, in which researchers selected from their own community engage themselves in the assessment and reviewing of each research proposals on the basis of its scientific merit. The KAKENHI review process is based on the participation of more than 8,000 reviewers.

While the KAKENHI review process has been continually improved by, for instance, the introduction of new review methods from the FY2018 grant, the growing needs of KAKENHI have resulted in the number of new applications exceeding ninety thousand in recent years. The workload on the researchers who are cooperating as reviewers is getting heavier along with the increase in the applicant number. Pressing concern is that if the burden on the reviewers keeps increasing to be excessive, it may seriously affect the reviewers' own research and educational activities, and may also result in deterioration of the quality of the review process. One of the possible factors for the recent increase in the application number may be attributed to the fact that some of research institutions seem to set the KAKENHI application as one of their organizational activity indicators. Application for the KAKENHI grant per se should be made on the basis of the initiative of the researchers. Therefore, such action on the part of research institutions as to set quota to the constituent researchers is undesirable.

All research institutions are requested to share and disseminate within themselves the primary purpose and aim of the KAKENHI system afresh.

2. Issues to Be Completed Beforehand by the "Research Institution"

(1) Requirements as a "Research Institution" and Procedures for Designation and Change

In order to apply for KAKENHI, a researcher needs to belong to a "Research Institution".

Concerning the "Research Institution" cited here, the following four types of "Research Institution" have been designated as eligible in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education, Culture, Sports, Science and Technology).

1) Universities and inter-university research institutions
2) MEXT facilities and other institutions engaged in scientific research
3) Technical colleges
4) Institutions designated by the MEXT (see Note as below)

Note:

In order to become research institution, institutions not falling under 1) to 3) first need to receive the designation by the MEXT. Therefore, institutions should consult with the Scientific Research Aid Division of the Research Promotion Bureau of the MEXT.

Moreover, if changes in one of the following items have been scheduled, institutions that have received the designation by the MEXT and already have been recognized as research institution should promptly report the content of these changes to the Scientific Research Aid Division of the Research Promotion Bureau of the MEXT.

    A)   Abolition or dissolution of the research institution
    B)   Name and address of the research institution, and name of the representative
    C)   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

Moreover, researchers who belong to such institutions should consider that, in order to conduct research activities using KAKENHI, **the research institution should meet the requirements mentioned below**.

＜**Requirements**＞
   (1) The research institution must authorize the research project for which KAKENHI is granted, as its proper activity.
   (2) The research institution must take responsibility for management and accounting of the KAKENHI delivered to its researcher staffs.

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(2) Ascertainment of the Eligibility to Apply of the Affiliated Researcher

Researchers who intend to apply for KAKENHI should meet the requirements (Refer to III. Instructions for Prospective Applicants 1. Procedures to be Completed Prior to Application (1)) and must have eligibility for KAKENHI applications. Therefore, they should sufficiently verify these requirements with the research institution.

Please also check the important points regarding eligibility described in the section.

When applying, it should also be borne in mind that the applicant's research institution will be committed to carrying out the following functions when it submits a formal application for grant delivery for the research project.

   - Prepare a replacement environment to facilitate the subject researcher's stay for a set period at an overseas research institution

   - Administer the KAKENHI grant funds used by the subject researcher during his/her overseas stay

   - Make sure that the subject researcher is <u>not</u> scheduled to receive a grant to participate in a long-term overseas dispatch or overseas research activity under a project related to international joint research or international exchange administered by the Japanese government or by an independent administrative institution, e.g., that he/she is not a researcher who is selected (or provisionally selected) as JSPS Research Fellow (CPD), JSPS Overseas Research Fellow or Overseas Challenge Program for Young Researchers.

Since conducting international joint research with overseas joint researchers for a set period of time at overseas universities or research institutions is the premise for the program, the understanding and cooperation of research institutions such as the development of support system that can secure replacement staff and the flexible handling of research expenses used in overseas is essential to maximize its impact. We appreciate your understanding on the aim of the grant and ask for your continued generous support.

(3) Registration of the Researcher Information and Confirmation ID and Password in the e-Rad System

For the researcher to apply for KAKENHI as Principal Investigator or Co-Investigator, he or she must be registered in e-Rad as a researcher who is qualified to apply for KAKENHI in the researcher's data, and access the Electronic Application System using their e-Rad ID and Password to perform procedures.

Regarding the registration (update) of the researcher information as well as the provision of an ID and a Password for the researcher, the administrative staff in the research institution to which the researcher belongs should

perform the following procedures using e-Rad. (For specific procedures, please refer to the "Manual for Research Institutions" (for Research Institution Office Representatives and for Research Institution Office Workers: the section of "Procedures for Researchers.")

URL：https://www.e-rad.go.jp/manual/for_organ.html

1) In order to register (update) the researcher information and provide the researcher with an ID and a Password, the research institution needs to have an ID and a Password for use of the research institution. If the research institution has not yet obtained them, it should first of all download a registration form from the e-Rad Portal site, conduct a registration application.

It may take up to approximately two weeks for the "ID and Password for use of the research institution" to arrive after registration application the "Application for Use of the Electronic Application System."

    *1. Please refer to "How to Apply for the Registration on Research Institutions"
        (URL: https://www.e-rad.go.jp/organ/entry.html) on the e-Rad website on downloading an application form for the ID and password for e-Rad.
    *2. Research institutions that already obtained an ID and a password for e-Rad issued do not need to obtain it again.
    *3. It is not necessary to obtain an ID and a password for e-Rad for each research category of the KAKENHI.

2) After obtaining an ID and a Password for use of the research institution, the administrative staff in the research institution should check whether there are researchers without an e-Rad ID and Password and provide an ID and a Password to a researcher who is planning to apply as a Principal Investigator and a Co-Investigator but does not have an ID and a Password. The ID and password for each researcher is issued through registration of the researcher information in e-Rad.

    *1. When providing the login ID and password, research institutions must make it known to researchers that they must strictly protect the login ID and password in order to prevent them from being disclosed to others.
    *2. Once the ID and the password for the researcher have been provided, they can be used even if the research institution changes.
    *3. Please be sure to obtain and use the latest version of the Operation Manual.

3) The administrative staff should register (update) the researcher who is planning to apply as a Principal Investigator as the one who is qualified to apply for KAKENHI in the researcher's data. If there is any item, such as the affiliation, the position, or others, that needs to be corrected, even though he or she has already been included in the researcher list of the research institution, it should be duly corrected.

Moreover, concerning the registration of the researcher information in e-Rad, there is no registration period (deadline). Therefore, registration is possible at any time.

However, **since Research Proposal Document will not be accepted after the deadline for submission (sending) of Research Proposal Document, applicants should complete the registration (update) of the researcher information early, in order to have sufficient time to submit them**.
In order not to negatively affect the compilation of the applications within the research

<u>institution, when completing the applications, the research institution should perform the various procedures (including the procedures within the research institution), positioning this specific procedure as one of the important procedures to be performed by the research institution.</u>

(4) Submission of 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)"

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.), 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, "those research institutions which Principal Investigators applying for KAKENHI in FY2024 belong to" and "those research institutions which Principal Investigators continuing research projects using KAKENHI are scheduled to belong to in FY2024" <u>must submit</u> in accordance with the procedure and forms posted on the MEXT website (URL:https://www.mext.go.jp/a_menu/kansa/houkoku/1324571.htm) <u>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 December 1, 2024 (Sunday) via e-Rad</u>. If the "Self-Assessment Checklist on the Improvement of the System" has already been submitted in April 2024 or later, it is not necessary to submit it again.

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

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

< Inquiries >

(Concerning forms of the guidelines and submission)

Office of Competitive Research Funding Administration, Research Environment Division, Science and Technology Policy Bureau, the 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 use of e-Rad）

Helpdesk of the Cross-ministerial Research and Development management system of the MEXT

Telephone: 0570-057-060 (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/contact.html

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

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 "Guidelines for Responding to Research Misconduct"

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

Therefore "those research institutions which the Principal Investigators applying for KAKENHI in FY2024 belong to" and "those research institutions which Principal Investigators continuing research projects using KAKENHI are scheduled to belong to in FY2024" **must submit** in accordance with the procedure and forms posted on MEXT **the "Checklist on the Research Misconduct" to the Office for Research Integrity Promotion, Research Environment Division, Science and Technology Policy Bureau of MEXT by September 30, 2024 (Monday) via e-Rad.**

For details, refer to the website

(URL: https://www.mext.go.jp/a_menu/jinzai/fusei/1420301_00005.html)

If the "Checklist on the Research Misconduct" has already been submitted in April 2024 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

email: jinken@mext.go.jp

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

(Concerning the research institute e-Rad registration)

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

Telephone: 0570-057-060 (Navi Dial)

Office hours: 9:00-18:00, except on Saturdays, Sundays, National Holidays and the New Year Holidays

(from December 29 through 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, 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 Course based on the "Guidelines on Research Misconduct"

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 of "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.".

・ 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".

(7) On the Submission of the Report on the Research Achievements

The research institution to which researchers belong has to collect and submit the report on the research achievements. If the research institution has failed, without good reason, to submit the report on the research achievements at the end of the research period, it may happen that it is treated as indicated below. Therefore, it is the responsibility of the representative of the research institution to ensure that the report on the research achievements is submitted without fail.

・No KAKENHI will be delivered to researchers who do not submit the report on the research achievements at

the end of the research period, without good reason. Moreover, it may happen that the official grant decision to the researcher is cancelled, that an order to return the grant is issued, or that the information such as the name of the research institute said researcher belongs to is disclosed in public.

Furthermore, if researchers have failed to submit the scheduled report on the research achievements without justified reason, then execution of other KAKENHI implemented in the same fiscal year will be suspended.

(8) Obtaining Sufficient Knowledge about the Contents of the Application Procedures

The research institution should beforehand disseminate the contents of the Application Procedures to all the researchers on the campus. JSPS would especially like to request the dispersion of information on the items listed in the Application Procedures and the submission deadlines of Research Proposal Document, in order to avoid potential misunderstandings.

(9) 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

(10) Development of Security Export Control Systems

Starting from research projects to be funded in FY2025, JSPS will confirm at the time of formal application for grant delivery, in case affiliated researchers plan to provide cargo and technologies subject to export controls under the Foreign Exchange and Foreign Trade Act (Act No. 228 of 1949) (hereinafter referred to as "Foreign Exchange Act"), whether their affiliated institutions have established a security export control system. The confirmation regarding the establishment of such system will be made with registration details on the "research institution information" (establishment of a security export control system) in e-Rad. Research institutions should develop a system necessary to properly conduct the relevant affairs and make sure to register the status of establishment of a security export control system on the "research institution information" screen in e-Rad.

IV. Instructions for Administrative Staff of Research Institution

○Reference: (Materials for Research Institution Administrative Staff) Updates to the Features of

the Cross-ministerial R&D Management System (e-Rad), p.7.

URL：https://www.e-rad.go.jp/dl_file/20240131_ReleaseForJimuBuntansha.pdf

Refer to "V. Other Relevant Issues 7. Security Export Control Policy (Coping with Technology Leakage Overseas)" for details of Security Export Control Systems.

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

The contents of the Research Proposal Document should be verified in each research institution, and all the Research Proposal Document should be submitted to JSPS together. When doing so, special attention should be paid to the following points.

(1) Ascertainment of the Eligibility for KAKENHI Application

It should be verified whether the Principal Investigator listed in the Research Proposal Document is researcher who meet the requirements that are stipulated in the Application Procedures (refer to Ⅲ. Instructions for Prospective ApplicantsInstructions 1. Procedures to be Completed Prior to Application (1)), and also whether the researcher information is registered in e-Rad as "Eligible to Apply for KAKENHI".

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

(2) Confirmation of the Researcher Information Registered in the e-Rad System

Regarding the registration (update) of the researcher information necessary when applying, the administrative staff in the research institution to which the researcher belongs should perform the procedures using e-Rad.

Moreover, if there is any item such as the institution, the position, or others that needs to be corrected, the applicant needs to correct information on the researcher list even though applicant has already been included in the researcher list of the research institution.

* Registration of researcher information in e-Rad and linkage to the electronic application system regarding the implementation of research integrity measures

Starting from the FY2024 call for proposal, research integrity information registered in e-Rad will be linked to the electronic application system, and you will be requested to enter the necessary information in your Research Proposal Document based on the e-Rad registered research integrity details.

Please note, **in particular, that application cannot be made if the Principal Investigator has not registered in e-Rad the status of pledge regarding their research integrity information for their affiliated institution. Therefore, please inform researchers to make sure to confirm the registration status of the relevant information in e-Rad**. For details, please check carefully the Supplement to the Application Procedures for Grants-in-Aid for Scientific Research.

(3) Verification of the Principal Investigator

The research institution should verify whether the Principal Investigator who has been listed in the Research Proposal Document prepared the Research Proposal Document, after verifying the column "II. Call for Proposals" in this Application Procedures for Grants-in-Aid for Scientific Research.

(4) Verification of the Application Forms

It should be verified whether the application format is in conformity with the prescribed format. As for the forms to be uploaded, in particular, verify not only the total number of pages but also the numbers of pages instructed for each column is met. (Refer to III. Instructions for Prospective Applicants 4. Preparation of the KAKENHI Application Form (Research Proposal Document) (3) 6)

4. Submission and Other Matters of the Research Proposal Document (Preparing 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 Investigators prepared, and verify their contents and other matters.

(2) The research institution should perform the "approval" process on all the Research Proposal Document (PDF files) that has no mistakes in their contents. (Completed to submit the Research Proposal Document (PDF files) to JSPS.)

Only the Research Proposal Document whose application status has become "Received by JSPS" by the due date of submission (sending) is deemed as having been submitted to JSPS.

(3) The research institution can, at any time prior to the deadline for submission, draw back the Research Proposal Document (PDF file) that it has already submitted to JSPS, and correct the content as necessary and resubmit it. However, please do not draw it back on the due date of submission (sending) because resubmission may not be completed by the deadline due to concentration of access.

(4) After the due date of submission to JSPS, no further corrections or modifications can be made to the Research Proposal Document and Letter of Intent (PDF file) for which the research institution has already performed the "approval" process.

[The deadline for the submission (sending) of the Research Proposal Document]

September 18, 2024 (Wednesday), 4:30 pm (JST)   (This deadline should be strictly observed.)

Note 1: Research Proposal Document that is submitted (sent) after this deadline will not be accepted for any reason. Therefore, the documents should be submitted (sent) well in advance.
Note 2: After the deadline above, it is not possible to draw back or to re-submit them.

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(5) The ID and the password which are used in the e-Rad are designed to verify the individual. Therefore, the handling and administration of them should be done carefully when carrying out the application procedures.
Moreover, an outline of the procedures for electronic application can be found below. However, for details on the operating environment, procedure, etc. of the "Electronic Application System", please refer to the "Operation Manual" as shown below.
URL: https://www-shinsei.jsps.go.jp/kaken/topkakenhi/shinsei_ka.html

Outline of the Electronic Application Procedures
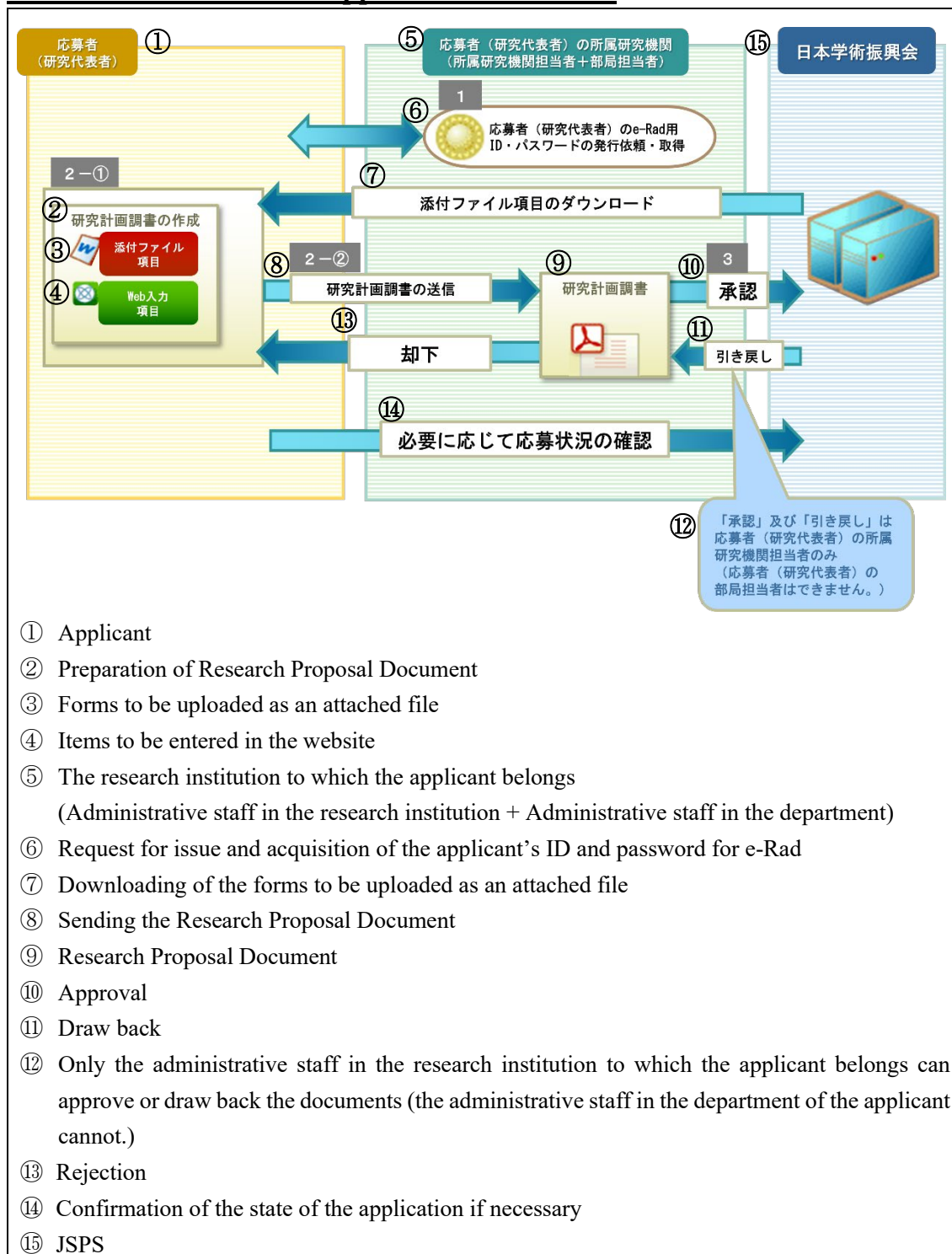
① Applicant

② Preparation of Research Proposal Document

③ Forms to be uploaded as an attached file

④ Items to be entered in the website

⑤ The research institution to which the applicant belongs

(Administrative staff in the research institution + Administrative staff in the department)

⑥ Request for issue and acquisition of the applicant's ID and password for e-Rad

⑦ Downloading of the forms to be uploaded as an attached file

⑧ Sending the Research Proposal Document

⑨ Research Proposal Document

⑩ Approval

⑪ Draw back

⑫ Only the administrative staff in the research institution to which the applicant belongs can approve or draw back the documents (the administrative staff in the department of the applicant cannot.)

⑬ Rejection

⑭ Confirmation of the state of the application if necessary

⑮ JSPS

[The administrative staff in the research institution to which the applicant (Principal Investigator) belongs]

1　　The research institution is to verify the applicant's e-Rad registered information.

[The applicant (Principal Investigator)]

2-(1)　The applicant accesses the "Electronic Application System", using the ID and the password, and prepares the Research Proposal Document (PDF file), by entering the items to be entered in the website and by uploading the forms to be uploaded as an attached file.

2-(2)　If there are no mistakes in the Proposal for Grant-in-Aid (PDF file) the applicant prepared, he or she should submit (send) the Proposal for Grant-in-Aid (PDF file) to the person in charge of the research institution to which he or she belongs, by performing the "completed and submission" process.

[The administrative staff in the research institution to which the applicant (Principal Investigator) belongs]

3　　By approving the Research Proposal Document (PDF file) the administrative staff in the research institution to which the applicant belongs submits (sends) it to JSPS.

Moreover, if the Research Proposal Document (PDF file) that the applicant submitted is not approved due to mistakes or other reasons, it will be rejected and the applicant will be requested to make corrections.

In the case of withdrawing or making corrections to the Research Proposal Document (PDF file) submitted (sent) to JSPS due to mistakes or other reasons, the administrative staff draws back the document, rejects it as necessary, requests the applicant to make corrections, and re-submit (re-send) the document to JSPS.

To reject or correct the Research Proposal Document (PDF file) submitted (sent) to JSPS due to mistakes or other reasons, the administrative staff in the research institution draws it back, rejects it if necessary, asks the applicant to correct it, and then resubmits (resends) it to JSPS.

V. 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 Area (Research in a Proposed Research Area)

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 Centers 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":
This 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":
This 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: • 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

Research Platform Resource Support Program	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)
	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 4 platforms marked with an (*) above is set up. (Core Institution: The Institute of Medical Science, The University of Tokyo)

Each platform's website can be found in the link collection below:
URL : https://www.mext.go.jp/a_menu/shinkou/hojyo/mext_01901.html

2. Concerning the Promotion of the Shared Use of Research Equipment

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

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

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

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

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

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

○ "The Sixth Science, Technology, and Innovation Basic Plan (Cabinet Decision on March 26, 2021)"

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

○ Unified Rules for Administrative Procedures, Etc. Pertaining to Competitive Research Funds

(May 5,2021, Revised on May 24, 2023, Agreement of the Liaison Meeting of Related Offices and Ministries

on Competitive Research Funds)

URL: https://www8.cao.go.jp/cstp/compefund/toitsu_rule_r50524.pdf

3. Promotion of the 'Dialogue on Science and Technology with Citizens' （A Basic Approach Policy）

In "On the Promotion of the 'Dialogue on Science and Technology with Citizens' (A Basic Course of Action)" (June 19, 2010, the Minister of State for Science and Technology Policy and the Experts of the Council for Science and Technology Policy) which has been 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 and other 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 to ensure the proper implementation of the Dialogue on Science and Technology between Citizens, on the one hand, and researchers and other researchers who have received public research funds, on the other hand, 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 interim/ex-post assessment of Scientific Research on Innovative Areas (Research in a Proposed Research Area) and Transformative Research Area(A). Therefore, based on the above-mentioned Basic Approach 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 in the researchers community of the research achievements in the area of life science produced in Japan, 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. Furthermore, JSPS would like researchers to understand in advance that, in response to 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.dbcls.jp/guidelines/data-sharing-guidelines

5. Inter-University Bio-Backup Project

The purpose of the Inter-University Bio-Backup Project 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 IBBP Center (Inter-University Bio-Backup Project for Basic Biology) (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 IBBP 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 IBBP.

Any researcher who belongs to a university or a research institution may apply for storage. Biological genetic resources that can be stored in IBBP 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 IBBP.

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 Grants-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 provision 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. Security Export Control Policy (Coping with Technology Leakage Overseas)

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.

In Japan, export controls (*1) are carried out under the Foreign Exchange and Foreign Trade 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.

(*1)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).

Particularly, 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, DVD, 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. Please also bear in mind that the provision of technologies,

etc. acquired in KAKENHI-funded projects or the provision of technologies, etc. already in possession with the use of KAKENHI may also be subject to restrictions.

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

Pursuant to the Foreign Exchange Act, exporting "List Rules" cargo or providing "List Rules" technology to a foreign country requires the development of a security export control system (*2). Therefore, JSPS may, by the time of official grant decision, confirm whether the provision of cargo and technology subject to export controls under the Foreign Exchange Act is planned in KAKENHI-funded projects and whether a control system has been established if there is an intent to provide them. In case there is an intent to provide them but no control system has been established, JSPS requires the development of such system by the time of the provision or by the end of the relevant project, whichever is earlier. JSPS may also report the status of confirmation to the Ministry of Economy, Trade and Industry at its request.

In addition, any violation of the Foreign Exchange Act regulations with regard to technologies, etc. acquired in KAKENHI-funded projects may result in no official grant decision being made or cancellation of grant delivery.

(*2) Exporters or persons conducting similar transactions are obliged to observe "compliance standards for exporters and persons conducting similar transactions" as prescribed in Article 55-10, Paragraph 1 of the Foreign Exchange Act. The security export control system as referred here means an internal control system of an organization to prevent illegal export, etc. through proper export of "List Rules" cargo or proper provision of "List Rules" technology to a foreign country, based on the control system prescribed in the "compliance standards for exporters and persons conducting similar transactions."

○Ministry of Economy, Trade and Industry: Security Trade Control (General)
   URL: https://www.meti.go.jp/policy/anpo/

○Ministry of Economy, Trade and Industry: "Handbook on Security Trade Control"
   URL: https://www.meti.go.jp/policy/anpo/seminer/shiryo/handbook.pdf

○Center for Information on Security Trade Controls
   URL: https://www.cistec.or.jp/index.html

○ "Guidance for the Control of Sensitive Technologies for Security Export for Academic and Research Institutions 3rd Edition"
   URL: https://www.meti.go.jp/policy/anpo/law_document/tutatu/t07sonota/t07sonota_jishukanri03.pdf

8．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

"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)
URL: https://www.mofa.go.jp/mofaj/files/000211409.pdf

9. Improvement of Treatment of Students in the Doctoral Course

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

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

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

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

10. 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.

11. Promoting Efforts to Support Gender Equality and Foster Human Resources

The Science, Technology, and Innovation Basic Plan (Cabinet Decision on March 26, 2021), the Basic Plan for Gender Equality (Cabinet Decision on December 25, 2020), and Education and Human Resource Development Policy Package toward the Realization of Society 5.0 (Decision by the Council for Science, Technology and Innovation on June 2, 2022) aim to create research environments that make it easier for both men and women to continue their research activities when life events occur, such as childbirth, childcare, and nursing care, as well as to promote the appointment of excellent female researchers as project leaders, among other measures. Another goal is to increase the proportion of female students in middle and high school who advance to master's and doctoral courses especially in the science and engineering fields through initiatives to communicate the fascination of these areas to female students in middle and high school, their parents, and their teachers, thereby overcoming the current situation with a low percentage of female students going to doctoral courses in natural science and increasing the number of potential bearers of knowledge in Japan.

In addition, if due consideration is not paid to sexual differences in research and development processes that require such consideration, it may cause inappropriate impact at the stage of social implementation. As such, research and technological development that properly give attention to sexual differences, such as those in physique and the structure and functioning of bodies, are needed.

In light of these points, in KAKENHI-funded projects, JSPS will take into account efforts to promote the participation and advancement of female researchers and expand the range of human resources that will play a role in science and technology in the future.

To advance science, it is important to secure an environment that allows diverse researchers to exercise their potentials and advance their activities. In September 2023, 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! (URL: https://cheers.jsps.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.

12. "HIRAMEKI ☆TOKIMEKI SCIENCE ~welcome to the university　Laboratory~ KAKENHI" Program

The "HIRAMEKI☆TOKIMEKI SCIENCE" program is conducted in order 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 directly instill scientific curiosity and a rich sense of inspiration, excitement, and intellectual creativity in pupils in their fifth and sixth years of elementary school and students in middle and high school, who will go on to shoulder the future of Japan. As we are looking for such experience-based programs, regardless of areas of research, please take advantage of this opportunity.

URL：https://www.jsps.go.jp/hirameki/

(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)

VI. Inquiries

1. Inquiries about the invitation of applications should be directed to the following divisions <u>through the research institution.</u>

(1) For inquiries concerning the invitation of applications:

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

Telephone: 03-3263-4927

* Available from 9:30 to 12:00, 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)).

(2) 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 on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3)

(3) For inquiries concerning the use of the Cross-ministerial Research and Development management system (e-Rad):

e-Rad Help Desk:

Telephone: 0570-057-060 (navigation 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
(Monday to Sunday) 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.

(4) For matters related to the "Self-Assessment Checklist on the Improvement of the System and Other Matters", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)":

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

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

(5) 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

(6) For matters related to use of support by Platform formed by "Foundation of Scientific Research Support":

Grants-in-Aid for Scientific Research Team, Scientific Research Aid Division,

Research Promotion Bureau, MEXT

Telephone: 03-6734-4087

(7) For matters related to the "National Bioscience Database":

National Bioscience Database Center, Japan Science and Technology Agency (JST)

Telephone: 03-5214-8491

(8) 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

(9) For matters related to the "National BioResource Project":

National BioResource Project (NBRP) Executive Office

(Established in the Research Organization for Information and Systems, National Institute of Genetics)

Telephone: 055-981-6809

(10) 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/

(11) 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

2. The application forms (Research Proposal Document) can be downloaded from the following website.

JSPS's website on Grants-in-Aid for Scientific Research

URL：https://www.jsps.go.jp/english/e-grants/grants09_fostering.html