

# Grants-in-Aid for Scientific Research—KAKENHI— Spending Rules: Supplementary Conditions for FY2020

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

The following are supplementary conditions that a member of a funded project (the Principal Investigator (the researcher hosting the JSPS International Research Fellow who is selected under the JSPS Postdoctoral Fellowships for Research in Japan; the “Hosting Researcher”) and Co-Investigator(s) (said JSPS International Research Fellow(s))) must follow when conducting a project for which a grant under the Grants-in-Aid for Scientific Research (“Grant-in-Aid for JSPS Fellow,” hereinafter “Grant”) is received from the Japan Society for the Promotion of Science (JSPS) in compliance with the provisions of the Law on Optimizing Implementation of Budgets Relating to Subsidies (Act No. 179, 1955; hereinafter the “Optimization Law”) and JSPS’s Grant Management Procedures (Rule No. 17, 2003, hereinafter “Management Procedures”).

## 1. General rules

[Compliance with laws and regulations]

1-1 In implementing a funded project, the Principal Investigator and Co-Investigator(s) should comply with the provisions of all relevant laws and regulations, including the Optimization Law, the ordinance to enforce the Optimization Law (Government Ordinance No. 255, 1955), the Rules for the Handling of Grants-in-Aid for Scientific Research (the Ministry of Education Notification No. 110, 1965, hereinafter “Grant Handling Rules”), Management Procedures, and these supplementary conditions.

[Responsibilities of members of a funded project]

1-2 The Principal Investigator and Co-Investigator(s) should always be mindful that grants are paid from the money of taxpayers and strive to conduct the funded project with diligence in accordance with the objectives for which the project is funded.

[Distribution of the copies of these supplementary conditions]

1-3 The Principal Investigator shall distribute copies of these supplementary conditions to the Co-Investigator(s) and explain to them that they also have the responsibility to follow these supplementary conditions as a member of a funded project under the provisions of Article 11, Paragraph 1 of the Optimization Law.

[Management of the Grant by the Research Institution]

1-4 The Principal Investigator and Co-Investigator(s) must ensure that the research institution to which the Principal Investigator (the Hosting Researcher) is affiliated and where the Co-Investigator(s) (the JSPS International Research Fellow) engages in research as defined under Article 2 of the Grant Handling Rules (hereinafter “Research Institution”) manages the Grant in accordance with the Spending Rules (Administrative Work and Other Tasks Concerning the Use of Grants-in-Aid for Scientific Research (KAKENHI (Series of Single-year Grants))) to be performed by each research institution) set forth separately by JSPS, and shall carry out the procedures specified in these supplementary conditions through said Research Institution. The same shall also apply when the Principal Investigator and Co-Investigator(s) change their Research Institution.

[Ensuring fairness of research activities]

1-5 Researchers must not commit or engage in any improper grant spending (the use of research grants

for other purposes, or use of research grants in violation of the content of the funding decision or the conditions it implies, by intention or by gross negligence), fraudulent grant acquisition (receiving research grants by deception or other fraudulent means), or research misconduct (fabrication, falsification, or plagiarism of data, information, or findings in published research achievements based on the intent of the researcher, or the failing of the researcher to fulfill his/her basic duty of care).

## 2. Use of direct expenses

[Fair and efficient use of direct expenses]

2-1 The Principal Investigator and Co-Investigator(s) shall ensure the fair and efficient use of direct expenses (costs necessary for the implementation of the funded project (including costs necessary for the compiling of research results)), and must not use direct expenses for other purposes or in violation of these supplementary conditions.

[Costs covered by direct expenses]

2-2 Examples of costs that can be covered by each item of direct expenses (costs necessary for the implementation of the funded project (including costs necessary for the compiling of research results)) are described below:

Cost of goods: Costs for the purchase of goods.

Travel expenses: Costs for overseas and domestic business travel (for collection of materials, surveys, research meetings, presentation of research results, etc.) by the Principal Investigator, Co-Investigators and Research Collaborators (transportation, accommodation, and daily allowances) (however, a JSPS International Research Fellow is not eligible for daily allowances.).

Personnel costs/honoraria: Honoraria, remunerations, wages, and salaries payable to Research Collaborators (e.g., postdoctoral fellows, research assistants (RAs), researchers affiliated with overseas research institutions) engaged in organizing research materials, assisting in experiments, translation/proof-reading, provision of specialized knowledge, distribution/collection of questionnaires, and collection of research materials; and monies payable to worker dispatching agencies.

Miscellaneous expenses: In addition to the above, other costs for the implementation of said research (for example: printing costs, reproduction costs, photo development and printing costs, communication costs (postage stamps, telephone charges, etc.), transporting costs, lease of research venue (only if the funded project cannot be implemented at the facilities of the Research Institution), meeting costs (charges for meeting rooms, expenses for meals (excluding alcoholic beverages), etc.), lease/rental costs (computers, motor vehicles, experiment equipment and devices, etc.), equipment repair costs, transportation costs other than travel expenses, costs for publication of research results (fees for submitting manuscripts to academic journals, website creation fees, costs of preparation of pamphlets, costs of activities to publicize research results), and costs of disposal of experiment wastes), etc.

[Commencement of research and contracts]

2-3 In case of newly adopted research projects, the member of a funded project may start the research and conclude necessary contracts after receiving notice of provisional grant decision and after the date of commencement of the JSPS International Research Fellow's employment period; or in case of research projects continued from the previous fiscal year, on April 1 (however, in case the notice of

provisional grant decision is withheld due to non-submittal of the Report on the Research Achievements, after the date of notice of provisional grant decision). Necessary costs shall be expended after the receipt of direct expenses, or alternatively, costs may be paid by the Research Institution and adjusted after direct expenses are received.

[Use of direct expenses during the fiscal year]

2-4 Direct expenses may not be used beyond the fiscal year in which the funded project is to be implemented, even if the research period of the research project extends over several fiscal years, except as provided for in 2-6 below.

[Use of direct expenses in advance of the fiscal year by utilizing adjustment funds]

2-5 If the Principal Investigator, in the middle of a fiscal year, desires to use the Grant for the next fiscal year in advance for a funded project of the current fiscal year for reasons such as changes in the research plan, he/she must apply to JSPS by September 1 or December 1, 2020 and carry out the necessary procedure. However, the Grant cannot be used in advance if such usage will shorten the substantive research period.

[Use of direct expenses carried over into the following fiscal year]

2-6 The Principal Investigator may extend the period of the funded project of the current fiscal year in the event a funded project is not likely to be completed within the scheduled period due to factors that were not foreseeable at the time of the official grant decision, such as circumstances of the counterpart country, difficulty in surveys prior to the research, difficulty in determining the research method, conditions pertaining to the research plan, weather-related issues, difficulty in obtaining materials or for other uncontrollable reasons. Further, if the Principal Investigator desires to use all or part of the Grant in the following fiscal year, he/she must apply to JSPS by submitting Form C-26, "Reason for Need to Carryover Funds" by March 1, 2021 and carry out the necessary procedure.

[Use of direct expenses in the next fiscal year by utilizing adjustment funds]

2-7 If the reason(s) set forth in 2-6 occurred after the application deadline to JSPS, or if the situation does not fall under the reason(s) set forth in 2-6, but can be deemed uncontrollable, and the Principal Investigator desires to use all or part of the Grant received under this Grant-in-Aid program in the next fiscal year, he/she must apply to JSPS by the deadline indicated separately by JSPS and carry out the necessary procedure.

[Restrictions on use of direct expenses]

2-8 Direct expenses must not be used for any of the following costs:

- (1) Costs related to buildings and facilities (excluding costs for installation, etc., that may become necessary to install goods purchased using direct expenses);
- (2) Costs for dealing with accidents/disasters that may occur during the implementation of the funded project;
- (3) Personnel costs/honoraria to the Principal Investigator or Co-Investigator(s);
- (4) Other costs that should be expended from indirect expenses.

[Restrictions on combined use of funds]

2-9 Direct expense must not be used in combination with other expenses, except in the following cases:

- (1) If direct expenses are to be used to make one business trip or to purchase one item of a good which will serve both purposes of the funded project and other business, subject to identifying the distinction between the use of direct expenses and other expenses.
- (2) If direct expenses are to be used for the funded project by adding funds other than KAKENHI grants (excluding funds having restrictions on use, such as funds for commissioned projects, subsidies for current expenditures to private institution of higher education, and indirect expenses, etc.), (Provided that, if direct expenses are to be used to purchase equipment, fixtures or books (hereinafter "equipment, etc."), the handling of such equipment, etc., should be determined in advance so as not to interfere with the implementation of the funded project when, for example, the researchers change their affiliated research institutions.

- (3) If direct expenses are to be used for the purchase of equipment to be shared among multiple research projects (hereinafter “joint-use facility”) by adding funds that can be used for the purchase of joint-use facility. (Provided that such joint-use facility is used within the same research institution. The handling of such joint-use facility should be determined in advance so as not to interfere with the implementation of the funded project when, for example, the researchers change their affiliated research institutions. The cost burden of each research project and basis for calculation must be identified in advance.)
- (4) If direct expenses are to be used for expenses necessary for the implementation of various funded projects by adding other KAKENHI grants (Grants-in-Aid for Scientific Research single-year grants and multi-year funds). (Provided that such expenses are used within the same research institution. If direct expenses are to be used for the purchase of equipment, etc., the handling of such equipment, etc., should be determined in advance so as not to interfere with the implementation of the funded project when, for example, the researchers change their affiliated research institutions. The cost burden of each research project and basis for calculation must be identified in advance.)

[Deadlines for deliveries and payment]

- 2-10 The delivery of goods and rendering of services in relation to the funded project must be completed by March 31 of the fiscal year in which the funded project is implemented. Payments for such goods/services must be settled before the deadline for submitting the Report on the Results.

[Employment of Research Collaborators]

- 2-11 When hiring a Research Collaborator, the Principal Investigator shall have the affiliated Research Institution conclude an employment contract as party to said contract, detailing the content of work, working hours, and other terms and conditions.

3. Procedures necessary to change a funded project (rules on revising the information provided in the form of the formal application for grant delivery)

[Items that cannot be changed]

- 3-1 Information entered in the sections of “Title of the Research Project” and “Research Objectives” cannot be changed.

[Abolishment of a funded project]

- 3-2 To abolish a funded project, the Principal Investigator must file an application by submitting Form C-5-1, “Request for Approval to Abolish Funded Project” and obtain the approval of JSPS. In addition, the Principal Investigator must return the unused portion of the Grant and, within 61 days from the approval of abolishment, report to JSPS the results of the funded project up to the time of abolishment by submitting Form C-6, “Report on the Results (Report on the Settlement of Accounts)” and Form C-7-1, “Report on the Results (Report on the Research Results).” (The content of the Reports on the Research Results will be made available to the public on the Database (KAKEN) of the National Institute of Informatics.)

[Change of Research Institution]

- 3-3 If the Principal Investigator and the Co-Investigator(s) change the Research Institution to which they are affiliated or engaged in research with to a different research institution at the same time, they must notify JSPS by submitting Form C-10-1, “Notice of Change of Principal Investigator’s Research Institution.”

[Loss of eligibility of Principal Investigator]

- 3-4 The Principal Investigator must abolish the funded project by carrying out the procedure specified in 3-2 above in the following events: when he/she loses eligibility for application as a Hosting

Researcher of a JSPS International Research Fellow; when he/she becomes unable to continue the funded project; when he/she becomes unable to carry out the funded project due to restrictions on parallel grant application/receipt as specified in the Application Procedures for Grants-in-Aid for Scientific Research; or if he/she is found ineligible for grant receipt due to improper grant spending, fraudulent grant acquisition, or research misconduct in grants other than the funded project.

3-5 If a Principal Investigator, who loses eligibility for application as a Hosting Researcher of a JSPS International Research Fellow, desires that the funded project be continued by replacement of the Principal Investigator, he/she must submit Form C-9, "Application Form for Approval to Change the Project Members," and obtain the approval of JSPS. If the Principal Investigator is replaced by a researcher affiliated with a different research institution, the new Principal Investigator must notify JSPS by submitting Form C-10-2, "Notice of Change of Affiliation After the Replacement of the Principal Investigator."

3-6 If the Principal Investigator becomes absent and a Co-Investigator desires to continue the funded project by replacing the Principal Investigator, he/she must submit Form C-9, "Application Form for Approval to Change the Project Members," and obtain the approval of JSPS. If the Principal Investigator is replaced by a researcher affiliated with a different research institution, the new Principal Investigator must notify JSPS by submitting Form C-10-2, "Notice of Change of Affiliation After the Replacement of the Principal Investigator."

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

3-7 The Principal Investigator must abolish the funded project by carrying out the procedure specified in 3-2 above in the following events: when a Co-Investigator loses eligibility for application as Co-Investigator as a JSPS International Research Fellow; when said Co-Investigator becomes unable to continue the funded project; when said Co-Investigator must be removed from the funded project due to restrictions on parallel grant application/receipt as specified in the Application Procedures for Grants-in-Aid for Scientific Research; or if said Co-Investigator is found ineligible for grant receipt due to improper grant spending, fraudulent grant acquisition, or research misconduct in grants other than the funded project.

3-8 If a Co-Investigator, who loses eligibility for application as Co-Investigator as a JSPS International Research Fellow, becomes a researcher eligible for application under the FY2020 Application Procedures for Grants-in-Aid for Scientific Research—KAKENHI— (Specially Promoted Research, Scientific Research (S/A/B/C), Challenging Research (Pioneering/Exploratory), Early-Career Scientists) and/or the FY2020 Application Procedures for Grants-in-Aid for Scientific Research—KAKENHI— (Research Activity Start-up) at the same Research Institution in which he/she has been engaged in research to date, or if a Co-Investigator, who was awarded the JSPS IKUSHI PRIZE and was selected as JSPS International Research Fellow, renounces such selection and is selected as a JSPS Research Fellow, and he/she desires to use the grant for the fiscal year at the same Research Institution in which he/she has been engaged in research to date, the Principal Investigator must submit Form C-9, "Application Form for Approval to Change the Project Members," and obtain the approval of JSPS.

3-9 If a Co-Investigator, who loses eligibility for application as Co-Investigator as a JSPS International Research Fellow, becomes a researcher eligible for application under the FY2020 Application Procedures for Grants-in-Aid for Scientific Research—KAKENHI— (Specially Promoted Research, Scientific Research (S/A/B/C), Challenging Research (Pioneering/Exploratory), Early-Career Scientists) and/or the FY2020 Application Procedures for Grants-in-Aid for Scientific Research—KAKENHI— (Research Activity Start-up) at a research institution other than the research institution in which he/she has been engaged in research to date, or if a Co-Investigator, who was awarded the JSPS IKUSHI PRIZE and was selected as JSPS International Research Fellow,

renounces such selection and is selected as a JSPS Research Fellow, and he/she desires to use the grant for the fiscal year at a research institution other than the research institution in which he/she has been engaged in research to date, the Principal Investigator must submit Form C-9, "Application Form for Approval to Change the Project Members," and obtain the approval of JSPS. In addition, the new Principal Investigator must notify JSPS by submitting Form C-10-2, "Notice of Change of Affiliation After the Replacement of the Principal Investigator."

[Interruption due to childcare leave, etc.]

3-10 If a Co-Investigator desires to take maternity leave or childcare leave (hereinafter "childcare leave, etc.") and to resume receiving the unused portion of the Grant in the following fiscal year or later after returning from such childcare leave, etc., the Principal Investigator must submit Form C-13-1 "Application Form for Approval to Suspend the Project Due to Taking Leave Before/After Childbirth," and obtain the approval of JSPS. In addition, the Principal Investigator must return the unused portion of the Grant and, within 61 days from the approval of interruption, report to JSPS the results of the funded project up to the time of interruption by submitting Form C-6, "Report on the Results (Report on the Settlement of Accounts)" and Form C-7-1, "Report on the Results (Report on the Research Results)." (The content of the Reports on the Research Results will be made available to the public on the Database (KAKEN) of the National Institute of Informatics.)

[Extension of research period for childcare leave, etc.]

3-11 If a Co-Investigator interrupts his/her research during a fiscal year for to take childcare leave, etc., and resumes his/her research in the same fiscal year, but desires to extend the research period due to changes in the project research plan of the following fiscal year and beyond, the Principal Investigator must submit Form C-13-2, "Application to Extend the Research Period Due Suspended to Taking Leave Before/After Childbirth" by March 1, 2021 and obtain the approval of JSPS. By taking childcare leave, etc., the research period may be extended based on the length of interruption of research.

[Minor changes]

3-12 The information provided in the sections "Breakdown of direct costs by expense item," "Roles, etc. in the project," "Research implementation plan for the current fiscal year," and "Breakdown of major goods" may be changed if necessary in implementing the funded project.

[Handling of equipment, etc.]

3-13 The Principal Investigator must donate the equipment, etc., purchased using direct expenses to the affiliated Research Institution immediately after such purchases (or, in case of books where immediate donation may interfere with the research, whenever it no longer causes interference). However, if immediate donation may interfere with the research, the Principal Investigator may postpone the donation by submitting Form C-15, "Application for approval to postpone contribution," and obtain the approval of JSPS. (The length of postponement shall be up to when the Co-Investigator loses eligibility for application as Co-Investigator as a JSPS International Research Fellow.)

[Handling of interests and foreign exchange gains]

3-14 The Principal Investigator shall, as a general rule, transfer any interests on the direct expenses and gains derived from foreign currency exchange to the affiliated Research Institution.

[Handling of income]

3-15 The Principal Investigator and Co-Investigator(s) must return to JSPS any income related to the funded project that they may receive after the submission of the Report on the Results.

#### 4. Reporting of results

##### [Submission of the Report on the Results]

4-1 The Principal Investigator must report to JSPS the results of the funded project by May 31, 2021 (or, if the funded project is abolished, within 61 days from the approval of abolishment) by submitting Form C-6, “Report on the Results (Report on the Settlement of Accounts)” and Form C-7-1, “Report on the Results (Report on the Research Results).” (The content of the Reports on the Research Results will be made available to the public on the Database (KAKEN) of the National Institute of Informatics.) In addition, any portion of the Grant that was unused at the time of the reporting of results must be returned to JSPS.

##### [Submission of Report on the Results in case of carrying over the Grant into the following fiscal year]

4-2 In case of extending the period of the funded project and using the Grant carried over into the following fiscal year in accordance with the provisions of 2-6, the Principal Investigator must report to JPSP the results of the funded project at the end of the fiscal year in which the funded project was commenced by submitting Form C-17-1, “Report on the Results (Report on the Settlement of Accounts (2)).” In addition, the Principal Investigator must also report to JSPS the results of the funded project by May 31, 2022 (or, if the funded project is abolished, within 61 days from the approval of abolishment) by submitting Form C-6, “Report on the Results (Report on the Settlement of Accounts)” and Form C-7-1, “Report on the Results (Report on the Research Results).” (The content of the Reports on the Research Results will be made available to the public on the Database (KAKEN) of the National Institute of Informatics.)

#### 5. Submission of the Report on the Research Achievements, etc.

##### [Handling in case of failure to submit the Report on the Research Achievements, etc.]

5-1 In case the Principal Investigator fails to submit any of the Reports on the Research Achievements for other projects funded by Grants-in-Aid for Scientific Research—KAKENHI— (Forms C-19, C-41, F-19-1, F-19-2, Z-19, CK-19) or Reports on the Research Progress (Forms C-21, C-42, F-21, Z-21, CK-21) by the prescribed deadlines, he/she must suspend the execution of the funded project until such above-mentioned reports are submitted to JSPS. (If MEXT and/or JSPS instructs otherwise, he/she must follow such instructions.)

5-2 In case the Co-Investigator fails to submit any of the Reports on the Research Achievements for other projects funded by Grants-in-Aid for Scientific Research—KAKENHI— (Forms C-19, C-41, F-19-1, F-19-2, Z-19, CK-19) or Reports on the Research Progress (Forms C-21, C-42, F-21, Z-21, CK-21) by the prescribed deadlines, he/she must suspend the execution of the funded project until such above-mentioned reports are submitted to JSPS. (If MEXT and/or JSPS instructs otherwise, he/she must follow such instructions.)

#### 6. Presentation of research achievements

##### [Obligation of indication upon publication of research achievements]

6-1 When publishing the achievements of a funded project, the Principal Investigator and Co-Investigator(s) must indicate that the project has been supported by Grants-in-aid for Scientific Research. In particular, when publishing the achievements of a funded project in a research paper, etc., researchers must make sure to indicate that the project has been supported by Grants-in-aid for Scientific Research in the Acknowledgement section of the paper. (Be sure to include JSPS KAKENHI Grant Number JP and the 8-digit project number.)

##### [Report on the publication of research achievements]

6-2 The Principal Investigator must report to JSPS by submitting Form C-24 “Report on the Publication of Research Achievements” when he/she, after submitting Form C-7-1 “Report on the Results (Report on the Research Results)” in the fiscal year following the final year of the research plan, publishes the

achievements of the funded project in a book or journal, etc., or obtains industrial property rights. (The content of the Report on the Publication of Research Achievements will be made available to the public on the Database (KAKEN) of the National Institute of Informatics.)

## 7. Miscellaneous provisions

[Report on the status of implementation of the research]

7-1 The Principal Investigator and Co-Investigator(s) must report the status, etc., of implementation of the funded project when a report is requested by MEXT or JSPS.

[Protection of human rights and compliance with laws and regulations]

7-2 In implementing a funded project, the Principal Investigator and Co-Investigator(s) must conduct said funded project in compliance with related laws and regulations as shown below, when conducting research that cannot otherwise be conducted without complying with such related laws and regulations:

- When he/she needs to obtain social consensus (consent/cooperation of stakeholders);
- When he/she needs to give attention in the handling of personal information (e.g., confidentiality of personal information, protection of human rights);
- When he/she needs to implement bioethical and safety measures (e.g., when conducting research including human genome/gene analysis research, research including the handling of a specified embryo, and research including genetic modification experiments);
- When providing technology (including exporting of data in data storage media and sending data by e-mail) to a non-resident or to a foreign country, or exporting freight thereto, which is regulated by the Foreign Exchange and Foreign Trade Act (Act No. 228, 1949), etc.

[Organization and storage of related documents]

7-3 The Principal Investigator must maintain the books on the balance of the Grant, organize receipts and other related documents, and retain such books and documents for five years after the end of the funded project period.