

# **Grants-in-Aid for Scientific Research — KAKENHI —**

## **Spending Rules: Supplementary Conditions for FY2019**

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

The following are supplementary conditions that a member of a funded project (Principal Investigator [host researchers of JSPS International Research Fellow, selected under the JSPS Postdoctoral Fellowships for Research in Japan] and Co-Investigator [said JSPS International Research fellow]) must follow when conducting projects for which a single-year grant is received under the category Grants-in-Aid for JSPS Research Fellow from the Japan Society for the Promotion of Science (JSPS) in compliance with the provisions of the Law Concerning the Optimization of Budgets for Subsidies (No. 179, 1955, hereinafter “Optimization Law”) and JSPS’s Single-year Grant Management Procedures (Rule No. 17, 2003, hereinafter “Management Procedures”).

### **1. General rules**

#### **Observance of laws and ordinances**

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

#### **Responsibilities of the member of a funded project**

1-2 The Principal Investigator and Co-Investigator should always be mindful that the grant is paid from the money of the taxpayers and should remain diligent when implementing the funded project in accordance with the objective for which the project is funded.

#### **Distribution of the copy of the document of supplementary conditions**

1-3 The Principal Investigator should distribute copies of the supplementary conditions document to the Co-Investigator concerned. As a member of a funded project, the Co-Investigator is also accountable for their requirement to follow the supplementary conditions in compliance with Article 11 of the Optimization Law.

#### **The management of grants by the research institution**

1-4 The Principal Investigator and the Co-Investigator should ensure that their research institutions maintain the Grant-in-Aid in accordance with JSPS rules on what institutions are required to do concerning the use of single-year grants. (Such research institutions are those specified as eligible to receive Grants-in-Aid in Article 2 of the Grant Handling Rules and in which the Principal Investigator is employed and the JSPS International Research fellow is engaged in research.) The Principal

Investigator and the Co-Investigator should work with the institution in carrying out the procedures specified in the supplementary conditions. This also applies when the Principal Investigator and Co-Investigator have moved to a different institution.

### **Maintaining fairness when conducting research activities**

1-5 No improper grant spending, fraudulent grant acquisition, and research misconduct shall be committed in carrying out the research activities, nor shall anybody be involved in committing such acts. (Improper grant spending includes use of research grants for other purposes, intentionally or by gross negligence, or use of research grants in violation of the content of the funding decision or the conditions it implies. Fraudulent grant acquisition includes receiving research grants by deception or other fraudulent means. Research misconduct includes 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.)

## **2. Use of direct expense**

### **Fair and efficient use of direct expense**

2-1 The Principal Investigator and the Co-Investigator are to ensure the fair and efficient use of direct expense, namely the costs necessary to implement the funded project, including compiling and reporting the research results. They are strictly warned against using such funding for other purposes or violating the supplementary conditions.

### **Items of direct expense**

2-2 Items of expense under direct expense (funds necessary to implement the funded project including summarizing the research achievements) are to be categorized in cost items. The following are the cost items and examples of their breakdown under direct expense.

Goods costs: For the purchase of goods

Travel expenses: Transportation, accommodation and daily allowances for the Principal Investigator, Co-Investigator and other participants engaged in overseas or domestic travel to collect materials, conduct surveys, attend meetings, present research results, and other purposes, etc. (However, JSPS International Research fellow (Co-Investigator) is not paid the daily allowance.)

Personnel costs/honoraria: Remunerations, wages and salaries payable to persons (e.g., postdoctoral fellows, research assistants (RAs), researchers belonging to an overseas research institution) participating in research for document creation/management, experiments, translation, proof-reading, provision of specialized knowledge, distribution and collection of questionnaires or the collection of research materials; and money payable to temporary workers, etc.

Miscellaneous expenses: Costs not categorized into any of the abovementioned cost items that are intended for implementing the research. For example, other costs may be incurred through printing, creating reproductions, developing and printing photos, communication (such as stamps and telephone bills), transportation, leases for research venues (only if

none of the institution's facilities are adequate for conducting the funded project), charges for meeting rooms and meals (excluding alcoholic beverages) served at meetings, lease/rental (of equipment and devices), repairs of equipment, transportation costs other than travel expenses, presentation of research results (e.g., contributions to academic journals, website creation, preparation of pamphlets to publicize, and activities to inform the public about research results), and disposal of experiment wastes, etc.

#### **Start of research and contract**

2-3 Research in newly adopted projects may start immediately upon receiving notice of provisional grant decision and necessary contracts may be signed from that time.. Research projects that continue from the previous fiscal year may start from April 1 and necessary contracts may be signed from that time. However, in cases when the notice of provisional grant decision is withheld by JSPS because a Report on the Research Achievements has not yet been submitted, the research may start immediately upon receiving the notice of provisional grant decision and necessary contracts may be signed. The necessary costs should be paid after the receipt of direct expense. Alternatively, they should be paid by the institution and the account settled after the direct expense is received.

#### **Use of direct expense within the fiscal year**

2-4 It is not allowed to use direct expense beyond the fiscal year in which the funded project is to be implemented, even if the research period of the project continues for two or more years, except where the provision in 2-6 below applies.

#### **Direct expense moved forward from the next fiscal year under the adjustment funds**

2-5 Regarding funded projects during the fiscal year, a Principal Investigator who wishes during the fiscal year to move forward his/her grant from the next fiscal year due a change in the research plan or other valid reason should apply to JSPS by September 1 or December 1, 2019 and carry out the necessary procedure. However, if the effective research period is shortened, the grant cannot be moved forward.

#### **Use of direct expense in the following fiscal year**

2-6 There may be cases where the funded project is expected not to be able to be completed within the planned deadline due to an adverse situation in the counterpart country, difficulties in determining the methods for prior surveys and research, the conditions of the research plan, weather events, a shortage of material or other unavoidable reasons that were not expected at the time of the official grant decision. If this is deemed likely, the Principal Investigator may wish to have the project period extended and to use all or part of the grant in the following fiscal year. In this case it is necessary to fill out Form C-26, "Reason for Need to Carryover Funds" and submit it to JSPS and to complete the necessary procedures by March 1, 2020.

#### **Direct expense used in next fiscal year under the adjustment funds**

2-7 If for reasons stated in [2-6] that occurred after the application deadline stipulated by JSPS or for reasons other than those in [2-6] but judged unavoidable, a Principal Investigator wants to use during the fiscal year all or part of his/her grant allocated under this program for the next fiscal year, he/she should apply to JSPS by its separately set deadline and carry out the required procedure.

### **Restriction on use of direct expense**

2-8 Direct expense should not be used for any of the following objects or purposes.

- ① Costs for buildings and facilities, except installations that are necessary in order to install goods that are purchased using direct expense
- ② Costs to handle problems resulting from accidents and disasters that occurred during the implementation of the funded project
- ③ Personnel costs/honoraria for Principal Investigators or Co-Investigator
- ④ Other kinds of costs that should be appropriated from indirect expense

### **Restriction on the combined use of funding**

2-9 Direct expense should not be combined with other funding, unless the following applies:

- ① In case of a business trip (only one trip) that concerns business related to the funded project and other business, direct expense is used, after the clarifying the separation of the direct expense and other costs.
- ② Direct expense is used to purchase consumables (necessary for fulfilling the funded project) for an independent commodity that is purchased at the same time.
- ③ When funding other than direct expense is used to carry out a project (such as funds from commissioned projects, grants ordinary used to fund private universities or other institutions, other Grants-in-Aid, or indirect expense, excluding funding with usage restrictions) and when this funding is used to purchase equipment, fixtures or books (hereinafter called “equipment”), the handling of the subject equipment in such cases as researchers changing their research institutions should be decided in advance so as not to impede the implementation of the funded project.
- ④ When direct expense is used with other grant(s) by the same research institution to purchase a facility that will be used jointly by multiple projects (hereafter called a “joint-use facility”), the cost burden of each project and the criteria for calculating it must be clearly described.

### **Deadline for delivery and payment**

2-10 The delivery of goods and offers of services concerning a funded project should be completed by March 31 of the fiscal year in which the funded project is to be implemented. Payments concerning these deliveries and services should be made by the deadline for submitting the relevant report.

### **Employment of research collaborators**

2-11 When hiring a research collaborator, the Principal Investigator is to ask the affiliated research institution to conclude an employment contract with the person specifying the content of his/her work, working hours and other conditions.

## **3. Procedures necessary for changes to a funded project (rules for revising information entered in the form of the formal application for grant delivery)**

### **Items that cannot be changed**

3-1 Information entered for the sections “Title of the proposed project” and information entered in the section “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 filling in and submitting Form C-5-1, “Request for Approval to Abolish Funded Project” and obtain the approval of JSPS. In addition, the Principal Investigator should refund the unused part of the grant and, within 61 days of the abolishment, file

reports to JSPS on the progress of the funded project until it is abolished. The reports should be written on 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 section "Content of Report on the Research Results" in the abovementioned report will be posted in the KAKEN database of the National Institute of Informatics.

#### **Change of research institution**

3-3 When there is a change in the research institution where the Principal Investigator is employed or the Co-Investigator is engaged in research, he/she should report it to JSPS by filling in and submitting Form C-10-1, "Notice of Change of Principal Investigator's Research Institution."

#### **Disqualification of the Principal Investigator**

3-4 A Principal Investigator is to abolish the funded project following the procedures specified in 3-2 above if he/she loses eligibility to apply for the grant as the host researcher of a JSPS International Research Fellow, is unable to continue his/her funded project, is unable to carry out the project due to restrictions on parallel grant application/receipt as specified in the Application Procedures, or is ineligible to receive grant disbursement due to improper grant spending, fraudulent grant acquisition, or research misconduct in other than the funded project.

3-5 If a Principal Investigator who loses his/her eligibility to apply for the grant as the host researcher of JSPS International Research Fellow wants the funded project to continue after changing 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 new Principal Investigator is affiliated with a different research institution, he/she must submit Form C-10-2, "Notice of change of affiliation after the replacement of the Principal Investigator" to JSPS.

3-6 Under certain circumstances, the Principal Investigator may have to resign and a Co-Investigator may replace the resigning Principal Investigator. In this case, the candidate to become the new Principal Investigator should file an application by filling in and submitting Form C-9, "Application Form for Approval to Change the Project Members", and obtain the approval of JSPS. If the new Principal Investigator is affiliated with a different research institution, he/she must submit Form C-10-2, "Notice of change of affiliation after the replacement of the Principal Investigator" to JSPS.

#### **Disqualification of the Co-Investigator (JSPS International Research Fellow)**

3-7 The Principal Investigator is to abolish the funded project following the procedures specified in 3-2 above if the Co-Investigator loses eligibility as a JSPS International Research Fellow to apply for the grant, is unable to continue the funded project, the Principal Investigator is must remove the Co-Investigator from the project due to restrictions on parallel grant application/receipt as specified in the Application Procedures, or the Co-Investigator is ineligible to receive grant disbursement due to improper grant spending, fraudulent grant acquisition, or research misconduct in other than the funded project.

3-8 If the Co-Investigator loses eligibility as a JSPS International Research Fellow and then becomes a researcher eligible to apply for a grant under the eligibility requirements stipulated in the FY2019 Application Procedures for “Specially Promoted Research, Scientific Research (S/A/B/C), Challenging Research (Pioneering/Exploratory), Grant-in-Aid for Early-Career Scientists”, or in the FY2019 Application Procedures for “Research Activity Start-up”, to engage in research at the same research institution, or was a JSPS International Research Fellow awarded the JSPS IKUSHI PRIZE who switched to being a JSPS Research Fellow, and said Co-Investigator desires to use the subject fiscal year’s grant to engage in research at the same research institution, the Principal Investigator shall use Form C-9, “Application Form for Approval to Change the Project Members,” to apply to JSPS to obtain approval.

3-9 If the Co-Investigator loses eligibility as a JSPS International Research Fellow and then becomes a researcher eligible to apply for a grant under the eligibility requirements stipulated in the FY2019 Application Procedures for “Specially Promoted Research, Scientific Research (S/A/B/C), Challenging Research (Pioneering/Exploratory), Grant-in-Aid for Early-Career Scientists”, or in the FY2019 Application Procedures for “Research Activity Start-up” to engage in research at the different research institution, or was a JSPS International Research Fellow awarded the JSPS IKUSHI PRIZE who switched to being a JSPS Research Fellow, and said Co-Investigator desires to use the subject fiscal year’s grant to engage in research at the different research institution, the Principal Investigator shall use Form C-9, “Application Form for Approval to Change the Project Members,” to apply to JSPS to obtain approval.

**Suspension due to maternity leave, etc.**

3-10 The Co-Investigator may wish to take leave before and after childbirth (hereinafter “maternity leave”). In this case, the Co-Investigator may wish to discontinue his/her funded project before the relevant fiscal year ends, and to receive the grant again after his/her maternity leave terminates in the following fiscal year. In this case, the Principal Investigator should fill in and submit Form C-13-1 “Application Form for Approval to Suspend the Project Due to Taking Leave Before/After Childbirth,” and obtain JSPS’s approval of JSPS. He/she should also refund JSPS the unused part of the grant and, within 61 days of his/her research’s discontinuation, submit reports to JSPS on the progress of his/her funded project up to that point. The reports should include 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 section “Content of Report on the Research Results” in the above mentioned Report of the Research Results will be posted in the KAKEN database of the National Institute of Informatics.

**Extension of research period accompanying maternity leave**

3-11 This applies when a Co-Investigator who suspends his/her research to take maternity leave, restarts it within the same fiscal year. In this case the Co-Investigator wishes to extend the research period due to changing the project’s research plan in/from the following fiscal year. In this case, the Principal Investigator

must submit Form C-13-2, "Application to Extend the Research Period Suspended Due to Taking Leave Before/After Childbirth" by 1 March 2020 to obtain JSPS's approval for extending the research period. The period that the research may be extended is based on the length of time it was suspended due to the taking of maternity leave.

#### **Minor changes**

3-12 It is possible to make changes to the information entered in the sections "Amount of each expense of the direct expense", "Roles", "This year's research plan" and "Breakdown of main goods", where it is necessary to implement the funded project.

#### **Handling of equipment**

3-13 The Principal Investigator and the Co-Investigator should be sure to donate the equipment, fixtures and books purchased using direct expense (hereinafter "equipment") to the research institution to which the Principal Investigator is employed and the JSPS International Research fellow is engaged in research immediately after their purchase. If donating equipment immediately should impede the progress of the research, to postpone the donation of equipment and fixtures, the Principal Investigator must submit Form C-15, "Application form for approval to postpone contribution" to obtain permission from JSPS. The length that a donation may be postponed is up to the termination of the JSPS International fellow's (Co-Investigator) fellowship tenure. (In the case of books of less than ¥50,000 in purchase price, they may be kept on hand without requesting permission, and then donated to the research institution when the project ends.)

#### **Handling of interest and currency exchange profit**

3-14 The Principal Investigator should ensure that the interest accrued from the direct expense and profit derived from currency exchange is transferred to his/her affiliated research institution.

#### **Handling of income**

3-15 The Principal Investigator and the Co-Investigators should refund to JSPS any income that is related to the funded project that is gained after the submission of the Report on the Results.

### **4. Report of Results**

#### **Submission of the Report on the Results**

4-1 The Principal Investigator should file reports to JSPS by May 31, 2020 or, in the case of an abolished funded project, within 61 days after the abolishment. The reports should consist of 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 section "Content of Report on the Research Results" in the abovementioned reports will be posted in the KAKEN database of the National Institute of Informatics. The Principal Investigator should refund the unused part of the grant. Any portion of the grant that is unused at the time the Report on the Results is issued should refund to JSPS.

#### **Submission of Report on the Results in case of use of grants in the following fiscal year**

4-2 In compliance with the provision in 2-6 above, the period of a funded project may be extended and grants may be used in the following fiscal year. In this case, the Principal Investigator must submit reports to JSPS. Specifically, he/she must fill out Form C-17-1, "Report on the Results (Report on the Settlement of Accounts) (2)," and

submit it at the end of the project's first fiscal year. By 31 May 2021 the Principal Investigator must also file a Form C-6, "Report on the Results (Report on the Settlement of Accounts)" and a Form C-7-1, "Report on the Results (Report on the Research Results)" (or if the project is abolished, they must be filed within 61 days of the date that the abolishment is approved). The section "Content of Report on the Research Results" is to be given public access through the KAKEN database of the National Institute of Informatics.

## **5. Submission of Report on the Research Achievements**

### **Handling of not-yet submitted reports**

5-1 With regard to other projects funded by "Grants-in-Aid for Scientific Research (KAKENHI)", if the Principal Investigator fails to submit a "Report on the Research Achievements" (Forms C-19, F-19-1, F-19-2, Z-19, CK-19) nor "Report on the Research Progress" (Forms C-21, F-21, Z-21, CK-21) on those projects by the prescribed deadlines, he/she is to suspend use of the grants for the funded projects until the reports are submitted to JSPS. (MEXT or JSPS may provide him/her with other instructions, which must be followed.)

5-2 With regard to other projects funded by "Grants-in-Aid for Scientific Research (KAKENHI)", if a Co-Investigator fails to submit a "Report on the Research Achievements" (Forms C-19, F-19-1, F-19-2, Z-19, CK-19) nor "Report on the Research Progress" (Forms C-21, F-21, Z-21, CK-21) on those projects by the prescribed deadlines, he/she is to suspend use of the grants for the funded projects until the reports are submitted to JSPS. (MEXT or JSPS may provide him/her with other instructions, which must be followed.)

## **6. Presentation of research results**

### **Required indication at publication of research results**

6-1 When publishing the results of a funded project, the Principal Investigator and the Co-Investigator should indicate that the project was supported by a Grant-in-Aid for Scientific Research. When a paper presents research results obtain through a funded project, that fact must be noted in the paper's Acknowledgements. In doing so, your "JSPS KAKENHI Grant Number (write JP and your 8-digit project number) should be included.

### **Report of publication of research results**

6-2 Whenever the results of a funded project are published in a book, journal or other medium, or used as industrial assets after a "Report on the Results (Report on the Research Results)" (Form C-7-1) is submitted in the fiscal year following the last year of the project, the Principal Investigator is to submit a "Report of Publication of Research Results" (Form C-24) to JSPS. He/she should also post the "Report of Publication of Research Results" in the KAKEN database of the National Institute of Informatics.

## **7. Other items**

### **Report on the current state of implementation of the research**

7-1 When MEXT or JSPS request a report on the current state of implementation of the funded project, the Principal Investigator and the Co-Investigator are to report its state to MEXT or JSPS.

### **Protecting human rights and complying with laws and regulations**

7-2 When the Principal Investigator and the Co-Investigator implement the funded project that includes research requiring compliance with laws and regulations as listed below, he/she is to follow the related laws and regulations in implementing the funded project.

- When conducting research that requires social consensus (consent and/or cooperation of person involved).
- When conducting research that requires consideration in the handling of personal information (e. g. protection of the confidentiality of personal information, protection of human rights).
- When conducting research that requires work involving bioethics and safety measures (e. g. human genome/gene analysis research, research including the handling of a specified embryo, research including genetic modification experiments).
- When providing technology to a non-resident person or a foreign country (including logging data in a data storage medium, sending data by e-mail), or exporting goods, all of which are regulated by the Foreign Exchange and Foreign Trade Act (Act No. 228, 1949)

Etc.

### **Storage of related documents**

7-3 The Principal Investigator should maintain the accounts of the balance of the grant, file the receipts and other related documents, and retain them for at least five years after the end of the funded project period.