



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

FY2018

JSPS Research Fellows  
【JSPS International Research Fellow】

January, 2018

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

## Introduction

This is the application procedure of “Grant-in-Aid” for Scientific Research-KAKENHI- for FY2018 “JSPS Research Fellows”[JSPS International Research Fellow] listing the necessary and other matters.

It consists of the following sections.

- I Details of the Call for Proposals**
- II Preparing and Submitting the Application (Grant-in-Aid Proposal)**
- III Concerning Participation in a Research Ethics Education Course etc.**
- IV On the Handling of Research Projects Scheduled to be Continued in FY2018**
- V Procedures to be Completed by the Research Institution**
- VI Other Relevant Issues**

Section “I. Details of the Call for Proposals” contains information on such aspects of the program as the Grant-in-Aid category, application eligibility, amount of grants, and research periods.

Sections “II. Preparing and Submitting the Application (Grant-in-Aid Proposal), “III. Concerning Participation in a Research Ethics Education Course etc.,” “IV. On the Handling of Research Projects Scheduled to be Continued in FY2018,” and “V. Procedures to be Completed by the Research Institution” contain information on the various procedures that must be carried out by JSPS International Research Fellows, their host researchers, and host research institutions.

This call for proposals opens before the finalization of the FY2018 budget so as to enable researchers to start their research as early as possible. Please be aware that, depending on the overall budget situation, details on the resources to be allocated and other matters may be subject to change at a later stage.

Grants-in-Aid for Scientific Research consist of a competitive funding system intended to provide financial support for creative and pioneering research conducted by individual researchers. Therefore, the content of the Proposal for Grant-in-Aid made by applying researchers must be original.

In preparing a Proposal for Grant-in-Aid, plagiarism and/or misappropriation of the research contents of others is not permitted. Applicants must comply with research ethics.



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## References

The application forms (Research Proposal Document) and other application materials are contained in separate files. Please refer to “Supplementary Volume ‘Application Procedures for Grants-in-Aid for Scientific Research - KAKENHI - for FY2018 “JSPS Research Fellows” [JSPS International Research Fellow] (Forms / Procedures for Preparing and Entering a Research Proposal Document).”

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

(URL) <http://www.jsps.go.jp/j-grantsinaid/index.html>

# I. Details of the Call for Proposals

## 1. Purpose

The Grant-in-Aid for JSPS Research Fellows (JSPS International Research Fellow) comes under the Grants-in-Aid for Scientific Research (KAKENHI) Program. The grant supports excellent young researchers from other countries who have been selected for a JSPS Postdoctoral Fellowships for Overseas Researchers. It provides them with an opportunity to conduct joint research under the guidance of a Japanese host researcher at a Japanese university. While assisting the overseas researcher in advancing his/her own research, collaboration under this grant is also meant to contribute to the advancement of research in Japan and the Fellow's country. The grant is issued to the host researcher.

## 2. Recipients

A research project that is carried out by host researcher who is eligible to apply for a Grant-in-Aid (KAKENHI) and who will carry out the project with a JSPS International Research Fellow. The research project is to employ an excellent concept expected to be advanced in the future.

## 3. Eligible Funding

The following six funding categories:

Funding Category	Total Amount	
	Fellowship tenure: 24 months	Fellowship tenure: From 12 months to 24 months
Lab Research	Up to 2.4 million yen (Up to 1.2 million yen per each fiscal year)	Up to 1.2 million yen
Non-Lab Research	Up to 1.6 million yen (Up to 0.8 million yen per each fiscal year)	Up to 0.8 million yen
Special Research (Used when an applicant applies for funding in an amount that exceeds that of "Lab Research." If the reason for requesting Special Research is considered appropriate, there are cases when it is approved.)	Up to 3 million yen (Up to 1.5 million yen per each fiscal year)	Up to 1.5 million yen

\* If JSPS International Research Fellows with less than a 24-month tenure extend their fellowship to 24 months, their host researcher is to prepare and submit a new research plan, applying for funding up to the per fiscal year amount stipulated in the subject funding category.

\* The amount applied for should be ¥100,000 or more per each fiscal year.

\* Application for this grant cannot be made if the Fellow's tenure in the first fiscal year is four months or shorter, or if it is two months or less in the last fiscal year. Please refer to section 7. "Applying for

Multiple Years” for details.

\*“Lab Research” and “Non-Lab Research” are classified as follows.

1. “Humanities” and “Social Sciences” are in principle classified “Non-Lab Research.”

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

2. “Mathematical and Physical Sciences,” “Chemistry,” “Engineering Sciences,” “Biological Sciences,” “Agricultural Sciences,” “Medical, Dental and Pharmaceutical Sciences,” and “Integrated Disciplines” are in principle classified as “Lab-Research.”

#### **4. Period of Grant**

The period of the grant falls within the period of JSPS International Research Fellow’s JSPS Postdoctoral Fellowship tenure. Excluded, however, are tenures of four months or less in the first fiscal year of a newly applied for project or of two months or less in the last fiscal year of the project.

#### **5. Application Eligibility (etc.)**

##### **(1) Applicant Eligibility**

Persons applying under this application procedure must be the host researcher of a person selected for a JSPS Postdoctoral Fellowship for Research in Japan with more than four months of tenure in their fellowship’s first fiscal year. (Fellows under JSPS’s Short-term and Strategic programs are not eligible for this grant.)

##### **(2) Research Team**

In carrying out a research plan under the Grant-in-Aid for JSPS Research Fellows (JSPS International Research Fellow) the host researcher becomes the Principle Investigator and the Fellow becomes the Co-Investigator. The Principle Investigator and Co-Investigator are stipulated as the members of funded project under the Law on the Improvement of Administration of the Budget for Grant-in-Aid (Law No.179, 1955).

##### **1) Principal Investigator (Host Researcher)**

The Principal Investigator is a member of a funded project and is the researcher who assumes full responsibility for the implementation of the research project (including summarizing the research achievements).

Under the KAKENHI program, it is not as a rule allowed to change Principal Investigators. In exceptional cases, if the host researcher of the JSPS International Research Fellow is changed, it is allowed to change the Principal Investigator in the Grant-in-Aid for JSPS Research Fellows (JSPS International Research Fellow).

##### **2) Co-Investigator (JSPS International Research Fellow)**

The Co-Investigator is a member of a funded research project, who engages in the research activity, collaborating with the Principal Investigator in carrying out the project, while sharing responsibility for its implementation as a KAKENHI-funded project.

**KAKENHI funding is not provided to the Co-Investigator (JSPS International Research Fellow).**

**6. Eligible Research Projects**

The Following projects are eligible for funding:

- 1) Research projects carried out jointly by a JSPS International Research Fellow who has received a provisional notice of selection in FY 2018 and his/her host researcher.
  - 2) Research projects carried over from FY 2017 by a JSPS International Research Fellow within the period of his/her fellowship tenure and host researcher, but whose FY2018 Grant-in-Aid for JSPS Research Fellows has not for some reason been disbursed.
  - 3) Research projects carried out by a JSPS International Research Fellow and his/her host researcher that started before FY 2017 and whose extension to 24 months was approved during the FY2017 or FY2018 fiscal year but whose KAKENHI grant for FY 2018 has not yet been provisionally approved.
- Note: When the Grant-in-Aid for JSPS Research Fellow is disbursed in FY 2018, research funding cannot be increased during that fiscal year. When a fellowship extension to FY 2019 is approved but a provisional notice of grant disbursement is not received for FY 2019, please newly apply for the grant in the first FY2019 application call issued in January 2019.

\* When applying for a project under 2) or 3) above, a new research plan must be submitted; therefore, it is necessary for the JSPS International Research Fellow to have a tenure of more than four months in FY 2018 (the first fiscal year).

**7. Applying for Multiple Years**

When the first fiscal year of a project will be more than four months and the second and/or following fiscal year more than two months, the total amount of funding applied for should be divided into fiscal-year periods.

However, **when applying for multiple fiscal years, the sum of each fiscal year’s funding is not to exceed the “per fiscal year” amount stipulated in the above “3. Funding Categories.” The total amount for each fiscal year must be same as or smaller than that stipulated for the category in the “3. Funding Categories.”**

(Ex.1) Fellowship tenure from October 1, 2018 to September 30, 2020 (Fellowship period: 24 months)

	2018.10.1	2019.4.1	9.30	2020.4.1	9.30
Fellowship tenure	First Year			Second Year	
Funding application periods	FY2018 (6 months)	FY2019 (12 months)		FY2020 (6 months)	

Application example ① (Lab Research)

FY2018	600 thousand yen
FY2019	1,200 thousand yen
FY2020	600 thousand yen
<b>Total</b>	<b>2,400 thousand yen</b>

Application example ② (Non-Lab research)

FY2018	1,200 thousand yen
FY2019	1,200 thousand yen
FY2020	0 thousand yen
<b>Total</b>	<b>2,400 thousand yen</b>



(Ex 2) Fellowship tenure from June 1, 2018 to May 31, 2020 (Fellowship period: 24 months)

	2018.6.1	2019.4.1	5.31	2020.4.1	5.31
Fellowship tenure	First Year			Second Year	
Funding application periods	FY2018 (10 months)		FY2019 (12 months)		※

FY 2020 (2 months) (※)

Application example (Lab Research)

FY2018	1,200 thousand yen
FY2019	1,200 thousand yen
<b>Total</b>	<b>2,400 thousand yen</b>

※ Application for funding cannot be made in FY 2020 because the period of tenure is 2 months or less.

## 8. Budgets

### 1) Eligible Costs (Direct Costs)

**Eligible is the funding needed to implement the research plan (including for summarizing the research achievements).** For concrete details, please see Supplementary Conditions 2-2.

\* In the case of a research plan that has in any fiscal year costs for such items as “Equipment costs,” “Travel expenses,” or “Personnel cost / Honoraria” that exceed 90% of the project budget, or in the case of “Miscellaneous expenses” costs in a research plan occupying a particularly large percentage of the budget in any single fiscal year, the applicant is to describe in his/her Proposal for Grant-in-Aid the reason why such costs are necessary for implementing the research project.

The use of direct funding should be thoroughly discussed between the Principal Investigator (host researcher) and Co-Investigator (International Research Fellow). Both the host researcher and research collaborator(s) \* should be mindful of the grant’s purpose: that it is to be used to advance the Fellow’s research through joint research with his/her host researcher. The grant must be expended in such a way that is fully recognized as meeting this requirement.

\* “research collaborators” are persons other than the Principle Investigator and Co-Investigator who cooperate in carrying out the research project.

### 2) Ineligible Costs

**The following costs are not included in the funding:**

- ① Costs for buildings and other facilities (excluding the costs for minor installations that become necessary due to the introduction of articles purchased with direct funding)
- ② Costs for handling accidents or disasters that occur during the implementation of a funded project
- ③ Per diem in the domestic and overseas travel expenses of the Co-investigator (International Research Fellow)
- ④ Personnel expenditures and remunerations for the Principal Investigator and Co-Investigator

### **3) Important Points on the Use of KAKENHI**

The Grant-in-Aid for JSPS Research Fellows is funded under the KAKENHI (Series of Single-year Grants). A research plan covering the entire research period is to be prepared and submitted along with the grant application. After the research project is adopted, the project will be funded on a single-fiscal year basis during the research period, with the exception of the last fiscal year. This means, for example, that the grant may not be used to pay costs in a fiscal year outside the funded project's current fiscal year.

When it is anticipated that spending of the allocated grant money cannot be completed within a fiscal year owing to reason(s) unforeseeable at the time of grant disbursement, the money may be carried over into the next fiscal year by going through the prescribed procedure.

### **9. Regarding the Research Project and Research Plan**

The research project is the same as that in the application for the JSPS Postdoctoral Fellowship for Overseas Researchers or in the "Confirmation of Recommendation" (when nominated by an overseas nominating authority) (in Japanese).

Based on the research plan in the host's application for the JSPS Postdoctoral Fellowship for Overseas Researchers, a research plan is to be prepared that clearly and rationally articulates the use of the research funding.

Also, a concrete annual plan needs to be prepared that includes each fiscal year of the project's desired duration. It should be prepared in such a way that allows for the research results to be compiled and reported at the end of the project period.

### **10. Submitting "Confirmation on the Application of the Grant-in-Aid for JSPS Research Fellows (JSPS International Research Fellow) FY2018"**

After informing the JSPS International Research Fellow, who is the Co-Investigator, of the grant program's purpose and system, the host researcher together with the Fellow is to prepare the research plan. After having the Research Fellow read and sign the "Confirmation on the application of the Grant-in-Aid for JSPS Research Fellows (JSPS International Research Fellow) FY2018" (hereafter called the "Confirmation of Grant Application Form"), the host researcher submits the form to his/her affiliated research institution.

The research institution is to verify and maintain the Confirmation of Grant Application Form.

### **11. Restriction of Overlapping Applications**

JSPS International Research Fellows are not eligible to apply for grants in other KAKENHI categories.

### **12. Appropriate Use of KAKENHI (etc.)**

#### **(1) Rules Relating to KAKENHI**

KAKENHI (Series of Single-year Grants) are governed by the Law on Optimizing Implementation of Budgets Relating to Subsidies (Law No. 179, 1955), Procedures on the Handling of Grants-in-Aid for Scientific Research (Announcement of the Ministry of Education, Culture, Sports, Science and Technology (hereafter called MEXT)), Procedures on the Handling of JSPS Grants-in-Aid for Scientific

Research (KAKENHI (Series of Single-year Grants)) (Regulations No. 17, 2003) , and Others.

## **(2) Appropriate Use of KAKENHI**

KAKENHI grants are funded by the taxes of Japanese citizens and other sources, so please ensure that these funds are used efficiently and effectively (e.g. shared use of purchased items). Researchers receiving KAKENHI grants are obligated to comply with the related laws, regulations and researcher usage rules, and to expend the funds appropriately. To ensure the proper use of the KAKENHI grant, research institutions to which the researchers belong are given responsible to manage their projects' KAKENHI funds. The administrative work that each research institution is required to carry out (institution usage rules) is stipulated under the KAKENHI program.

Among other duties, the research institution is responsible for ensuring the proper use of the KAKENHI grants by such means as establishing a system for managing and auditing project funds, for ordering and purchasing goods, and for inspecting the delivery of goods. To prevent fraudulent accounting through fictitious business transactions (so-called *azukekin*), it is important for research institutions to, in addition to inspecting delivered goods, widely inform vendors of pertinent rules and obtain their understanding and cooperation so as to prevent fraudulent accounting practices. Researchers need to act resolutely with regard to vendors who engage in *azukekin* practices by, for example, ceasing to do business with them.

Researchers and research institution administrators should fully understand prior to applying for a grant that these rules will be enforced after their projects are approved.

## **(3) Treatment in Case of Infringement of Related Laws and Regulations**

When related laws and regulations, guidelines, etc. are violated when implementing a research plan, or when fraudulent data is found in application documents, provision of the KAKENHI grant may be declined or cancelled.

## **13. “Guidelines on the Proper Implementation of Competitive Funding”**

The “Guidelines on the Proper Implementation of Competitive Funding” (agreement of the liaison meeting of related offices and ministries on competitive funding, dated September 9, 2005; amended June 22, 2017) 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 funding 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 funds, relevant information on funding applications are shared among the pertinent ministries and funding agencies, making use of the Cross-ministerial Research and Development

management system (e-Rad).

Therefore, applicants, when submitting more than one KAKENHI applications and/or other competitive grants, are urged to prepare their application 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) Untruthful statement or misrepresentation of the status of applications and acquisitions of other KAKENHI grants and other competitive funds in the application form, may result in cancellation of grant or reduction of the research budget.

**(\*) Elimination of Unreasonable Duplication and Excessive Overconcentration in Grant Allocation**

**“Guidelines on the Proper Implementation of Competitive Funding” -Extract-  
(Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Funding, Dated September 9, 2005 (Revision: June 22, 2017))**

**2. Elimination of Unreasonable Duplication and/or Excessive Overconcentration in the Grant Allocation**

**(1) Basic Policy of the Unreasonable Reduplication and Excessive Overconcentration**

- ① In the “Guidelines”, “Unreasonable Duplication” refers to a situation in which more than one competitive funds are unnecessarily and duplicative allotted to one and the same research project by one and the same researcher. Either of the following cases falls under “Unreasonable Duplication”.

○Cases where simultaneous applications have been made to more than one competitive 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 funding has already been completed.

○Cases where there is duplication in the use of research funds among more than one research projects.

○Other cases corresponding to those above.

- ② 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 called “researcher, etc.”) in the fiscal year in question exceeds the limit within which they can be used effectively and efficiently, and in which the research funds cannot be used within the research period. Either of the following cases falls under “Excessive Concentration”.

○Cases where, in the light of the abilities of the researcher, etc. and the research methods, etc., excessive research funds are allotted.

○Cases where, in comparison with the effort (the time allocation rate (%) of time necessary for the implementation of the research activities with the entire working time of researcher) that is being allotted to the research project in question, excessive research funds are allotted.

○Cases where the purchase of unnecessarily expensive equipment is carried out.

○Other cases corresponding to the cases mentioned above.

**(2) Dealing with “Improper Grant Spending”, “Fraudulent Grant Acquisition” or “Research Misconduct”**

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

• “Improper Grant Spending”:

Use of 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 funds in violation of the content of the funding decision or the conditions it implies

- “Fraudulent Grant Acquisition”:

Receiving 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) **No KAKENHI will be offered, for a fixed period of time, when a researcher or related party has committed a improper grant spending of KAKENHI, has committed a fraudulent grant acquisition of KAKENHI, or has committed a research misconduct.** Moreover, for research projects for which it is established that an improper grant spending of grants, a fraudulent grant acquisition of grants or research misconduct has been committed, he/she may be required to return the given KAKENHI completely or partially.

Moreover, an outline of the improper grant spending of KAKENHI, the fraudulent grant acquisition of KAKENHI, and/or the research misconduct in question of the researcher who falls in those categories (containing an outline of the 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.

Also researchers who have committed a fraud, waste, abuse, or fraudulent grant acquisition of competitive funding other than KAKENHI (including funds under the control 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.

Note: This applies to those schemes newly starting a call for proposals in FY2017 (and onward) for “competitive funding other than KAKENHI” as well. It also applies to those schemes that ended before FY2016. Please refer to the website below for the schemes to which this specifically applies at present.

Cf. [URL http://www8.cao.go.jp/cstp/compefund/kyoukin29\\_seido\\_ichiran.pdf](http://www8.cao.go.jp/cstp/compefund/kyoukin29_seido_ichiran.pdf)

○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) Cases of major seriousness and maliciousness	5 years
		(2) Cases other than (1) and (3)	2 to 4 years
		(3) Cases of minor seriousness and maliciousness	1 year
III. Researchers who acquired KAKENHI by deception or other fraudulent means and researchers who conspired in such acts	-		5 years
IV. Researchers who were not directly involved in the improper grant spending of KAKENHI, but failed to exercise due care.	-		Half the period of improper grant spending (upper limit 2 years, lower limit 1 year, rounding off fractions)

For cases judged as subcritical to the punitive suspension measures, sharp reprimand is administered to the individual(s) concerned. The following cases are pertinent to the “sharp reprimand” penalty.

1. Among the cases of II above, the cases in which improper grant spending are slight and the amount of money involved is small.
2. Among the cases of IV above, the cases in which seriousness and maliciousness are slight.

“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 research misconduct case may be provided to the relevant offices and the office of research funding under the jurisdiction of Ministry of Education, Culture, Sports, Science and Technology (including independent administrative legal entities and other grant-allocating institutions) in charge of funding within such Offices and Ministries. Thereby the penalized researcher may be also subject to restriction in application of and/or participation to research projects in other competitive funds than KAKENHI.

Note: “Applying and participating” means proposing new 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 projects).

- 3) If it is established that research misconduct has taken place in a research paper, report, or other research output funded by KAKENHI, the researcher will be treated in the same way as stated in the above-mentioned 1) and 2). The severity of the research misconduct and other matters will be taken into consideration.

Moreover, a person who is determined to have a certain responsibility, because, for example, he or she neglected his/her duty of care as a person in charge of the paper, report, etc. in question, will be treated in the same way, even if it has not been established that he or she was directly involved in the research misconduct.

- 4) 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 2014), Ordered by the Minister of Education, Culture, Sports, Science and Technology” and “Guidelines for Responding to Research Misconduct (adopted August 26, 2014 by MEXT) ”. Therefore, research institutions should pay adequate attention to these two sets of Guidelines when researchers implement their research activities.

- “Guidelines on the Management and Audit of Public Research Funds at Research Institutions”  
Cf. [URL http://www.mext.go.jp/a\\_menu/kansa/houkoku/1343904.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1343904.htm)
- “Guidelines for Responding to Research Misconduct”  
Cf. [URL http://www.mext.go.jp/a\\_menu/jinzai/fusei/index.htm](http://www.mext.go.jp/a_menu/jinzai/fusei/index.htm)

Note: Recent case 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 overseas 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 in his/her KAKENHI achievement report an article which was a translation of an original

## 14. Dissemination of Research Achievements supported by KAKENHI

KAKENHI research achievements are made available to other researchers and to the general public, through posting of the “Research Outline” and the “Report on the Research Achievements” on the Grants-in-Aid for Scientific Research (KAKEN) database operated by the National Institute of Informatics.

To promote dissemination of research achievements, KAKENHI can be used to cover such outreach-related expenses as preparation of website or printing of pamphlets. KAKENHI grantees are urged to actively pursue public promotion of their research achievements through the aid of KAKENHI so as to make them widely known to the public at large.

In this connection, KAKENHI grantees are encouraged to participate in the “HIRAMEKI ☆ TOKIMEKI SCIENCE” program run by JSPS, in which the latest science developments are presented to elementary, junior high and high school students in an easy-to-understand style.

In addition, please take note of the following issues as well.

### (1) Acknowledging 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” section of the paper the “JSPS KAKENHI Grant Number JP8 digits” in the case of English publication or “JSPS 科研費 JP8 桁の課題番号” in the case of Japanese publication.

〈Example〉

【English】 This work was supported by JSPS KAKENHI Grant Number JP17K45678.

【Japan】 本研究は JSPS 科研費 JP17K45678 の助成を受けたものです。

## (2) Promotion of “Open Access” to the research papers supported by KAKENHI grants

Japan Society for the Promotion of Science (JSPS) endorses general policy of promotion of open access of publications of research results funded by public grants including KAKENHI. Note that open access is not mandatory if there are justifiable reasons for deferral such as copyright-related issues, or insufficient repository infrastructure at the research institution.

The open access implementation policy of JSPS is given on the following webpage:

URL: [https://www.jsps.go.jp/data/Open\\_access.pdf](https://www.jsps.go.jp/data/Open_access.pdf)

### 【Reference 1: What is “Open Access”】

Open access refers to the basic idea that research papers published in peer-reviewed journals should be made freely accessible by anyone.

### 【Reference 2: Different Routes to Open Access】

There are 3 main ways of open access implementation ((1) to (3) below)

- (1) A way to make open the access to the article which is published in the conventional subscription fee type academic journal after a certain period (Embargo) (\* 1) (for example 6 months later) 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.

## II. Preparing and Submitting the Application (Grant-in-Aid Proposal)

### 1. Preparing the Grant-in-Aid Proposal

The JSPS Electronic Application System is used to prepare and submit (transmit) Grant-in-Aid Proposals. (URL for the Electronic Application System: <http://www-shinsei.jps.go.jp/kaken/index.html>)

In preparing their Grant-in-Aid Proposals, Principal Investigators use the login ID and password for the e-Rad system issued by the host institution. The proposal should be prepared and sent (transmitted) to the host institution based on the “Supplement: FY2018 Application Procedures for Grants-in-Aid for JSPS Research Fellows (JSPS International Research Fellow) (Forms / Procedures for Preparing and Entering a Research Proposal Document).”

The research institution will compile all the Grant-in-Aid Proposals it receives and send (transmit) them to JSPS. (Paper-based applications will not be accepted.)

Also, the Principal Investigator should have the Co-Investigator sign the “Confirmation of Grant Application Form” and then submit it to his/her affiliated research institution.

### 2. Points to Keep in Mind When Preparing the Grant-in-Aid Proposal

- (1) The Grant-in-Aid Proposal may not be amended after the host institution has processed it and sent (transmitted) it to JSPS.
- (2) Each year, errors are found in the entry of the requested grant amount. When entering the amount, be sure to do it in units of a thousand yen.
- (3) For details regarding the use of the KAKENHI Electronic Application System, please refer to its Operation Manual (URL: <http://www-shinsei.jps.go.jp/kaken/index.html>).

### 3. Application Method

The principle investigator is to submit (transmit) the Grant-in-Aid Proposal to his/her research institution by the date it sets for submission. (Grant-in-Aid Proposals sent directly to JSPS will not be accepted.)

After having the International Research Fellow sign the “Confirmation of Grant Application Form,” the host researcher is to submit the form to his/her affiliated research institution by the deadline it sets. If the Confirmation of Grant Application Form and the Grant-in-Aid Proposal cannot be submitted at the same time for such reasons as the Fellow not yet arriving in Japan, it will be okay to submit them to the host research institution as soon as the Fellow arrives.

Please see page 20 for the time that research institutions are to submit their Grant-in-Aid Proposals to JSPS.

### 4. Handling of Personal Information

Personal information contained in Grant-in-Aid Proposals may be used in the process to eliminate irrational duplication and over-concentration of competitive funding and for the purpose of operating the KAKENHI program (including the provision of personal information to external companies commissioned

to electronically process and manage data). Personal information is also scheduled to be provided in the e-Rad system. (Information is provided to the Cabinet Office via e-Rad. Your cooperation is request in preparing this information (e.g. by confirming related operations and contexts).

The “Act on Access to Information Held by Independent Administrative Agencies” stipulates that information contained in selected research projects (e.g. project title, principal investigator’s name, amount of scheduled funding) is to be given public access. Public access is provided by such means as press releases and input into the database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics.

## **5. Schedule after Submitting the Grant-in-Aid Proposal (tentative)**

The selection results for the Grant-in-Aid for JSPS Research Fellows [JSPS International Research Fellow] will be notified by document to the host research institutions after the KAKENHI screening process is concluded. Grant amounts will be disbursed in units of ¥100,000.

The schedule (tentative) for issuing notifications of informal decision of grant disbursement is as follows:

First time: Late April, 2018(\*)

Second time: Early July, 2018

Third time: Late July, 2018(\*)

Fourth time: Early October, 2018

Fifth time: Mid October, 2018(\*)

Sixth time: Mid November, 2018(\*)

Seventh time: Early January, 2019

\* Asterisks show times when provisional grant decisions are made for JSPS International Research Fellows.

No-asterisk times (2, 4 and 7) are when provisional grant decisions are made for JSPS Research Fellows.

### III. Concerning Participation in a Research Ethics Education Course, etc.

Principal Investigators and Co-Investigators who participate in KAKENHI-funded research activities are, before requesting funding for new KAKENHI projects in FY 2018, required to take a course on Research Ethics Education.

If you have taken a Research Ethics Education course in the past or have changed research institutions after having taken a course, please check with your research institution as to whether you will need to take a course again.

#### Obligation of the Principal Investigator

Principal investigators are before requesting funding to do one of the following four things: Thoroughly read and understand the JSPS-edited book *For the Sound Development of Science—The Attitude of a Conscientious Scientist*, take the “e-Learning Course on Research Ethics (eL CoRE),” complete the “APRIN e-learning program (CITI Japan),” or participate in a session on Research Ethics Education based on MEXT “Guidelines for Responding to Research Misconduct” at their host institution.

#### Concerning the Co-Investigator (JSPS International Research Fellow)

- (1) Before a request for funding disbursement can be submitted, the Co-Investigator will need to sign the Confirmation of Grant Application Form stating that s/he has completed a Research Ethics Education course. The form is then submitted by the Principal Investigator to the research institution.
- (2) The Principal Investigator needs to verify that the Co-Investigator (JSPS International Research Fellow) has taken a Research Ethics Education course.

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

- Submit a signed Confirmation of Grant Application Form, stating that you have taken a course in Research Ethics Education, and give it to the Principal Investigator.
- Either thoroughly read the JSPS-edited book *For the Sound Development of Science—The Attitude of a Conscientious Scientist*, take the “e-Learning Course on Research Ethics (eL CoRE),” complete “APRIN e-learning program (CITI Japan),” or participate in a session on Research Ethics Education based on MEXT “Guidelines for Responding to Research Misconduct” at your host institution.
- Report your participation in a Research Ethics Education course to the Principle Investigator before requesting funding.

※ Participation in a Research Ethics Education course by the Principal Investigator and Co-Investigator is confirmed through the JSPS Electronic Application System.

## **IV. On the Handling of Research Projects Scheduled to be Continued in FY 2018**

### **1. Handling of Research Projects Scheduled to Continue into FY 2018 (hereafter called “continuing research projects”)**

It is not necessary to provide application documents for continuing research projects; however, in order to receive the KAKENHI grant disbursement, a funding request and other necessary documents must be prepared and submitted after the notification of informal decision of grant disbursement is received.

However, for continuing projects under the Grant-in-Aid for JSPS Research Fellows (JSPS International Research Fellow), there must, as a rule, be two months or more tenure left in the carried-over fiscal year for the principal investigator to be eligible to request a funding disbursement.

### **2. Taking a Research Ethics Education Course**

Please check with your affiliated research institution for details on taking a research ethics education course.

When the Principal Investigator is changed in a FY2018 KAKENHI project, the new Principle Investigator is required to take a course in research ethics education before requesting funding disbursement. (When a funding disbursement decision has been made, the Principal Investigator should take the course before a "Notice of Change of the Host Researcher" is submitted to JSPS.) The course may be either reading the JSPS-edited book *For the Sound Development of Science—The Attitude of a Conscientious Scientist*, taking the “e-Learning Course on Research Ethics (eL CoRE),” completing the “APRIN e-learning program (CITI Japan),” or participating in a session on Research Ethics Education based on the MEXT “Guidelines for Responding to Research Misconduct” at his/her host institution.

## V. Procedures to be Completed by the Research Institution

### 1. Application-Related Procedures

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

#### (1) Confirming applicants and Informing Them of the Application Guidelines

The research institution is to confirm the applicants for the Grant-in-Aid for JSPS Research Fellows (JSPS International Research Fellow) using the “List of Eligible Persons” on the menu of the KAKENHI Electronic Application System, and inform them of the contents of the application guidelines. (The “List of Eligible Persons” is updated in the morning of the first day of the period for submitting Grant-in-Aid Proposals (Please refer to page 20 “2. Submitting Application Documents, 2) Submittal Periods”).

When carrying out applicant-related work, persons administering the JSPS International Research Fellow Program in each research institution must be careful to maintain confidentiality and prevent the leakage of any applicant information.

#### (2) Submitting “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)”

As research institutions submitting KAKENHI applications must comply with the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)” (Revised on February 18, 2014) (hereinafter called the “Guidelines”), they are required to establish a system for managing and auditing the use of public research funds and to report on the state of their execution and other related matters.

Accordingly, “research institutions to which a Principal Investigator who applies for a Grant-in-Aid for JSPS Research Fellows in FY 2018 belongs” and “research institutions to which a Principal Investigator of a continuing research project who applies for a Grant-in-Aid for JSPS Research Fellows in FY 2018 belongs” must **submit, via the-Rad system, a “Self-Assessment Checklist on the Improvement of the System and Other Matters,” prepared based on the Guidelines, to the Office of Research Funding Administration of the Promotion Policy Division of the Research Promotion Bureau of MEXT by day before the deadline for submitting the Grant-in-Aid proposal.**

**Please be advised that if this Checklist is not submitted by a research institution, the applications of researchers who belong to it will not be accepted on the KAKENHI electronic system.** (Even after the “Self-Assessment Checklist” and the “Checklist pertaining to the Current Status” (see page 18) have been submitted, it will take about one week before researchers belonging to these research institutions can apply for a KAKENHI grant.)

It is not necessary to resubmit the Checklist if one was already been submitted in April 2017 or later via e-Rad when applying for competitive or other funding disbursed by MEXT or by an independent administrative institution under MEXT jurisdiction.

Regarding the method and format for submitting the Checklist over the e-Rad system, please refer to “Concerning the Form Files ‘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)” on the following MEXT webpage:

URL: [http://www.mext.go.jp/a\\_menu/kansa/houkoku/1324571.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1324571.htm)

Note 1: The final days of submittal periods are set based on the recruitment round. Please refer to page 20 “2. Submitting Application Documents, 2) Submittal Periods”

Note 2: When using e-Rad, an ID and password for research institution use is needed.

### Inquiries

Concerning the guidelines: forms and submission

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

E-mail: [kenkyuhi@mext.go.jp](mailto:kenkyuhi@mext.go.jp)

URL: [http://www.mext.go.jp/a\\_menu/kansa/houkoku/1324571.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1324571.htm)

Concerning research institution registration on e-Rad

Helpdesk of the Cross-ministerial R&D Management System (e-Rad) of the Ministry of Education, Culture, Sports, Science and Technology (MEXT)

Tel. 0570-066-877 (Navi Dial)

(Office hours: 9:00-18:00, except Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 through January 3))

URL: <http://www.e-rad.go.jp/shozoku/system/index.html>

Time period when e-Rad is available for use:

Every day of the week from 0:00 until 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 due to maintenance and inspection. In such cases, advance notice is given on the portal site.

### **(3) Submitting “Checklist pertaining to the Current Status” Based on “Guidelines for Responding to Misconduct in Research”**

With reference to the “Guidelines for Responding to Misconduct in Research” (Adopted by MEXT on 26 August 2014) (hereafter called the “Guidelines on Fraudulent Acts”), research institutions applying for KAKENHI grants are required to establish related rules and regulations.

When applying for KAKENHI grants from the FY2017 recruitment, research institutions must also submit a “Checklist pertaining to the Current Status” based on the “Guidelines for Responding to Misconduct in Research” (hereafter called the “Checklist pertaining to the Current Status”).

Accordingly, “research institutions to which a Principal Investigator who applies for the Grant-in-Aid for JSPS Research Fellows in FY2018 belongs” and “research institutions to which a Principal Investigator of a continuing research project for Grant-in-Aid who applies for JSPS Research Fellows in FY 2018 belongs” **need to submit, via e-Rad, the “Checklist pertaining to the Current Status” to MEXT’s Science and Technology Policy Bureau, Knowledge Infrastructure Policy Division, Office for Promotion of Correct Research by the day before the deadline for submitting the Grant-in-Aid proposal.**

Please note that if no submission is made, **the applications made by researchers belonging to said research institution will not be accepted.** (Even after both the “Checklist pertaining to the Current

Status” and “Self-Assessment Checklist on the Improvement of the System and Other Matters” (see page 17) are submitted, it will take about one week before researchers belonging to these research institutions can apply for a KAKENHI grant.)

Furthermore, from MEXT’s 10 February 2017 communiqué onwards, when applying for competitive funding to MEXT or to an independent administrative institution under MEXT jurisdiction, if the checklists had been submitted at the time when applying for the grant using e-Rad, there is no need to resubmit them.

For information on the method and format for submitting the Checklists over e-Rad, please see the MEXT homepage: “(communiqué) Regarding the Submission of the “Checklist pertaining to the Current Status” based on “Guidelines for Responding to Misconduct in Research” (Request) 10 February 2017.”

(URL: [http://www.mext.go.jp/a\\_menu/jinzai/fusei/1382387.htm](http://www.mext.go.jp/a_menu/jinzai/fusei/1382387.htm) )(Website in Japanese)

Note 1: The final days of submittal periods are set based on the recruitment round. Please refer to page 20 “2. Submitting Application Documents, 2) Submittal Periods”

Note 2: When using e-Rad, an ID and password for research institution use is needed.

\* Please note that while the “Checklist pertaining to the Current Status” is similar to the “Self-Assessment Checklist on the Improvement of the System and Other Matters” in that both use the e-Rad system for submission, their destinations are different. Both checklists must be submitted.

#### Inquiries

Concerning the Guidelines on Fraudulent Acts: forms and submission (\*Different office than for contact information on public research funding)

Office for Promotion of Correct Research, Knowledge Infrastructure Policy Division, Science and Technology Policy Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT)

E-mail: [kiban@mext.go.jp](mailto:kiban@mext.go.jp)

URL: [http://www.mext.go.jp/a\\_menu/jinzai/fusei/index.htm](http://www.mext.go.jp/a_menu/jinzai/fusei/index.htm)

Concerning the registration of research institutions on e-Rad

Helpdesk of the Cross-ministerial R&D Management System (e-Rad) of the Ministry of Education, Culture, Sports, Science and Technology (MEXT)

TEL: 0570-066-877 (Navi Dial)

(Office hours: 9:00-18:00, except Saturdays, Sundays, national holidays and New Year Holidays (from December 29 through January 3))

URL: <http://www.e-rad.go.jp/shozoku/system/index.html>

Time period when e-Rad is available for use:

Every day of the week from 0:00 until 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 due to maintenance and inspection. In such cases, advance notice is given on the portal site.

#### **(4) Confirming Applicant Eligibility**



Confirm whether the co-investigators indicated in the Grant-in-Aid Proposal possess the application eligibility stipulated in the application guidelines.

Also, confirm whether s/he is classified as “Not eligible for receipt of funding” in FY 2018 due to having misused or fraudulently received KAKENHI and/or other competitive research funds or due to having committed acts of research misconduct.

#### **(5) Confirming the Principal Investigators**

Check “I. Details of the Call for Proposals” and confirm whether the principal investigators indicated in the Grant-in-Aid Proposal possess the application eligibility stipulated in the application guidelines.

#### **(6) Verifying the “Confirmation of Grant Application Form”**

Verify whether the principal investigator indicated in the Grant-in-Aid Proposal had the co-investigator (JSPS International Research Fellow) read and sign the Confirmation of Grant Application Form.

#### **(7) Confirm the Grant-in-Aid Proposals and Send Them to JSPS**

After confirming and approving the Grant-in-Aid Proposals submitted by the principal investigators, send them to JSPS. Regarding confirmation and approval processing of Grant-in-Aid Proposals, please refer to the below Section 2. “Submitting Application Documents (Grant-in-Aid Proposal).”

### **2. Submitting Application Documents (Grant-in-Aid Proposal)**

#### **(1) Confirmation and Approval of Grant-in-Aid Proposals**

Using the e-Rad ID and password, access the KAKENHI Electronic Application System, from it obtain information from the Grant-in-Aid Proposals (PDF files) prepared by the principal investigators, and confirm their content.

Carry out approval processing on all the Grant-in-Aid Proposals (PDF files) that have no errors in their content. (These Grant-in-Aid Proposals (PDF files) are sent (transmitted) to JSPS.) At that point, the Grant-in-Aid Proposals (PDF files) approved by the research institution may not be altered.

#### **(2) Submittal (transmission) Periods**

Application round	Start research (arrival in Japan)	Submit (transmit) Grant-in-Aid Proposal	Provisional funding decision (tentative)	Funding decision (tentative)
First	1-30 Apr 2018	24 Jan (Wed) -23 Feb (Fri) 2018	Late Apr 2018	Late Jun 2018
Second	1 May-31 Jul 2018	14 May (Mon) -7 Jun (Thu) 2018	Late Jul 2018	Early Sep 2018
Third	1 Aug-30 Sep 2018	16 Aug (Thu) -11 Sep (Tue) 2018	Mid Oct 2018	Late Nov 2018
Fourth	1 Oct-30 Nov 2018	25 Sep (Tue) -18 Oct (Thu) 2018	Mid Nov 2018	Mid Dec 2018

Information on eligible applicants (List of Eligible Persons) is updated in the morning on the first day of

the Grant-in-Aid Proposal submission period.

Host researchers whose International Research Fellows received their notice of fellowship selection on or before 23 January 2018 may apply (submit Grant-in-Aid Proposal) in the first recruitment round. (Regarding Fellows nominated by an overseas nominating authority, if they were selected on or after (Tuesday) 23 January 2018, their host researchers should apply in the second recruitment round.)

Regarding International Research Fellows whose tenure has been extended but their grant for FY 2018 or after has not been officially approved, a grant application should be submitted as close to the first day of the extended fellowship period as possible. When applying for an extension, therefore, timing as to when you actually want to use the funding should be taken into consideration.

**Submittal Deadline: 16:30, the final day of each submittal period (strictly enforced)**

**\*Grant-in-Aid Proposals that are not submitted (transmitted) by this deadline will not be accepted. Therefore, be sure to submit (transmit) Grant-in-Aid Proposals sufficiently in advance of the deadline.**

**(3) Points to Keep in Mind**

- 1) Please refer to Operation Manual of the KAKENHI Electronic Application System for details on electronic application processing. (URL:<http://www-shinsei.jstps.go.jp/kaken/index.html>)
- 2) **After the Grant-in-Aid Proposal is submitted (transmitted), no amendment to it or resubmission of it can be made. If after submission, errors are found in the entry of project duration or requested funding, no correction of them is allowed. Therefore, take sufficient care to be accurate in preparing your Grant-in-Aid Proposal before submitting (transmitting) it.**

**3. Implementation of a Research Ethics Education Course Based on the “Guidelines on Research Misconduct”**

Principal Investigators who will carry out a new research project must do one of the following four things before applying for the KAKENHI grant: Thoroughly read and understand the JSPS-edited book *For the Sound Development of Science—The Attitude of a Conscientious Scientist*, take the “e-Learning Course on Research Ethics (eL CoRE),” complete the “APRIN e-learning program (CITI Japan),” or participate in an Ethics Education in Research Training Session, based on the “Guidelines for Responding to Research Misconduct”, held by their research institution before applying for the KAKENHI grant.

To that end, each research institution is required to implement a Research Ethics Education training session based on the “Guidelines on for Responding to Research Misconduct.”

**4. Others**

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

If changes are scheduled to be made in any of the below-listed three aspects of a research institution, the Scientific Research Division of MEXT’s Research Promotion Bureau is to be notified right away.

- 1) The abolition or breaking up of a research institution
- 2) A change in the name or address of a research institution or a change in its representative’s name

3) A change in the purpose of a research institution's establishment, or in the content of its operation, or in its internal organization's establishment laws and regulations, bylaws, acts of endowment, or other related aspects.

## **(2) Applying for a Grant-in-Aid for JSPS Research Fellows**

Regarding the KAKENHI program's Series of Single-year Grants and Grant-in-Aid for JSPS Research Fellows, please use the "Application Procedures for Grants-in-Aid for Scientific Research (KAKENHI), FY 2018, JSPS Research Fellow."

## **VI. Other Relevant Issues**

### **1. Concerning Support through Grant-in-Aid for Scientific Research on Innovative Areas—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 Scientific Research on Innovative Areas—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 as core institutes. Together with providing technical support towards individual research projects and providing advanced problem solving methods to researchers, it provides an integral promotion of cooperation between researchers, interdisciplinary integration, and human resources development.

Applications for technical support etc. are open for each of the platforms below where it concerns research projects carried out through KAKENHI. Researchers desiring technical support etc. from each of the platforms are requested to check their respective websites etc. and actively apply.

\* "Technical Support etc." points to the sharing of equipment with researchers from a wide range of research fields, technical support and the collecting, conservation, and providing of resources (documents, data, experiment samples, specimen, etc.), and support for conservation techniques etc.

"Advanced Technology Support Platform Program" has scientific value and an advanced nature through the combination of multiple facilities and equipment, and provides shared use of equipment and technical support to researchers in a wide variety of research areas.

"Research Platform Resource Support Program" Collects, conserves, and supplies the resources that are the basis of research (documents, data, experiment samples, specimen, etc.) and also conducts support for conservation techniques etc.

Area	Platform Name	Core Institution	Support Function
Advanced Technology Support Platform Program	Platform of Advanced Bioimaging Support (*)	National Institute for Physiological Sciences National Institute for Basic Biology	Advanced technical support and user training for : <ul style="list-style-type: none"> <li>· Light microscopy</li> <li>· Electron microscopy</li> <li>· Magnetic resonance imaging</li> <li>· Imaging analysis</li> </ul>
	Platform of Advanced Animal Model Support(*)	The Institute of Medical Science The University of Tokyo	Support for constructing animal models, Support for pathological analysis, Support for physiological analysis, and Support for molecular profiling
	Platform for Advanced Genome Science (*)	National Institute of Genetics	Advanced genome analysis (de novo genome sequencing; re-sequencing for genome variation detection; analysis of transcriptome, epigenome and metagenome; ultra-high sensitivity analysis for single cells, single molecules, etc.; big-data analysis and advanced bioinformatics; by using of the latest facilities and technologies)
Area	Platform Name	Core Institution	Support Function
Research Platform Resource Support Program	Platform for Integration and Sophistication of Image Information on Area Studies	National Museum of Ethnology	Digital Picture Library for Area Studies
	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.
	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

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 : [http://www.mext.go.jp/a\\_menu/shinkou/hojyo/1367903.htm](http://www.mext.go.jp/a_menu/shinkou/hojyo/1367903.htm)

## 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.

Furthermore, in “On the Management of Research Organizations and the Introduction of a New, Unified System for the Shared Use of Research Equipment” (November, 2015, Science and Technology Council Advanced Research Foundation Subcommittee), the establishment and operation of a “research equipment sharing system on the research organization level” (hereinafter referred to as equipment sharing system) is demanded of universities and national research and development agencies etc.

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.

- “On the Management of Research Organizations and the Introduction of a New, Unified System for the Shared Use of Research Equipment”  
(November 25, 2015 Science and Technology Council Advanced Research Foundation Subcommittee)  
URL: [http://www.mext.go.jp/b\\_menu/shingi/gijyutu/gijyutu17/houkoku/1366220.htm](http://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu17/houkoku/1366220.htm)
- “A Reform of Competitive Research Funds: Towards a Sustained Output of Research Achievements (Interim Summary)”  
(June 24, 2015 Competitive Research Fund Reform Review meeting)  
URL: [http://www.mext.go.jp/b\\_menu/shingi/chousa/shinkou/039/gaiyou/1359306.htm](http://www.mext.go.jp/b_menu/shingi/chousa/shinkou/039/gaiyou/1359306.htm)
- On the unification of usage rules for competitive funds  
(March 31, 2015 agreement of the related ministries liaison conference on competitive funds)  
URL: <http://www8.cao.go.jp/cstp/compefund/siyouruuru.pdf>

### **3. On the 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 research progress assessment of Specially Promoted Research, for which researchers receive a relatively high amount of research funds, and the interim assessment of Scientific Research on Innovative Areas (Research in a proposed research area). 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 (<http://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: <http://humandbs.biosciencedbc.jp/guidelines/>

< Inquiries >

Japan Science and Technology Agency, National Bioscience Database Center

Telephone: 03-5214-8491

## 5. On the 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) (<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.

< Inquiries >

Inter-University Research Institute Corporation National Institutes of Natural Sciences, IBBP Center, Executive Office

Telephone: 0564-59-5930, 5931

## 6. National BioResource Project

NBRP (National BioResource Project) strategically collects and preserves important bioresources that are the basic and foundation of life science research at the core bases of this project and provides them to universities and research institutes, thereby contributing to the development of life science research in Japan. In the future, in order to contribute to the development of life science research in Japan, it is necessary to continually collect useful bioresources.

For that matter, please deposit (\*) available bioresources among bioresources developed by Grant-in-Aid for Scientific Research (limited to the bioresource targeted for NBRP). Please cooperate with the NBRP collecting activities.

(\*) 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: <http://www.nbrp.jp/center/center.jsp>

< Inquiries >

Bio-Bank Division, Japan Medical Research and Development Organization Basic Research Division

Telephone: 03-6870-2228

## 7. Registration of the Researcher Information in Researchmap

“Researchmap” (formerly “Read&Research map” <http://researchmap.jp/>) is, as a general guide to Japanese researchers, Japan’s largest researcher information database. Registered information on research results can be openly disseminated over the Internet. As research map is linked to e-Rad and many university faculty databases, it allows registered information to be accessed by other systems. Furthermore, the Japanese Government has planned to utilize further the research map, please register researcher information in research map.

< Inquiries >

National Institute of Advanced Industrial Science and Technology

Knowledge base information department service support center (in charge of Researchmap)

Web inquiry form: <https://researchmap.jp/public/inquiry/>

Telephone: 03-5214-8490

(Open hours: 9:30 - 12:00, 13:00 - 17:00)

## 8. Security Export Control Policy

In Japan, export controls (\*) are carried out under the Foreign Exchange and Foreign Trade Act (Act No. 228 of 1949) (hereinafter referred to as “Foreign Exchange Law”). Therefore, in principle, in order to export (provide) cargo and technology regulated by the Foreign Exchange Law, it is necessary to obtain permission of the Minister of Economy, Trade and Industry.

(\*) Japan's Security Export Control System established on the basis of international agreements mainly consists of ① “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 ② “Catch-all regulation” which requires permission of the Minister of Economy, Trade and Industry when exporting cargo or providing technology that are not subject to regulation under the List rules but do fall under certain regulatory requirements (application requirements, consumer requirements and/or informed requirements).

Not only export of cargo but also provision of technology will be subject to the regulation by the Foreign Exchange Law. When providing a “List rules” technology to nonresidents or providing it in a foreign country, prior permission for provision is required. ”Provision of technology” includes not only providing technical information such as design drawings, specifications, manuals, samples, and prototypes via storage media such as paper, mail, CD, USB memory, but also providing work knowledge and technical assistance at seminars through technical instruction, skill training etc. Researchers should be aware that there may be case in which technologies subject to regulation by the Foreign Exchange Law are involved when mentoring foreign students and/or joint research activities with oversea groups.

As for the details on “Security Export Control Policy”, please see as below.

Ministry of Economy, Trade and Industry: Security Trade Control (General) Division

URL: <http://www.meti.go.jp/policy/ampo/>

< Inquiries >

Ministry of Economy, Trade and Industry, Trade and Economic Cooperation Bureau, Trade Management Department, Security Trade Control Division

Telephone: 03-3501-2800

FAX: 03-3501-0996



## **(Reference 1) Screening Panels and Other Matters**

### **1. Screening Methods, and Other Matters**

The screening of KAKENHI applications is carried out by the Scientific Research Grant Committee of the Japan Society for the Promotion of Science (JSPS) based on the submitted application documents (Proposal for Grant-in-Aid).

The screening is conducted behind closed doors. Submitted application documents are not returned to the applicants.

The “details on assessment rules” (Rules concerning the screening and assessment for Grants-in-Aid for Scientific Research (called “review and assessment rules”)) can be checked in the Grants-in-Aid for Scientific Research section of the JSPS website  
(URL: <http://www.jsps.go.jp/j-grantsinaid/index.html>).

### **2. Notification of the Screening Results**

The selection results will be notified by document to the host research institutions. Grants will be disbursed in units of ¥100,000.

Schedule for provisional grant decision (tentative)

First time: Late April, 2018(\*)

Second time: Early July, 2018

Third time: Late July, 2018(\*)

Fourth time: Early October, 2018

Fifth time: Mid October, 2018(\*)

Sixth time: Mid November, 2018(\*)

Seventh time: Early January, 2019

\* Asterisks show times when provisional grant decisions are made for JSPS Research International Fellows. No-asterisk times (2, 4 and 7) are when provisional grant decisions are made for JSPS Research Fellows.

## **(Reference 2)**

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

## **(Reference 3)**

**Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Series of Single-year Grants)) (omitted)**

## **(Reference 4)**

**Spending Rules (Supplementary Conditions for FY2017) (omitted)**

# Inquiries

## 1. Inquiries about the recruitment of applications should be directed to the following JSPS divisions through your research institution.

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

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

Phone: 03-3263-0976, 0980, 1041

FAX : 03-3263-9005

### (2) For inquiries concerning JSPS Postdoctoral Fellowships for Overseas Researchers:

Overseas Fellowship Division, International Program Department, Japan Society for the Promotion of Science

Phone: 3-3263-3444, 3810

\* Both (1) and (2) are available from 9:30 to 12:00 and from 13:00 to 17:00 every day except Saturdays, Sundays, national holidays, the New Year Holidays (from December 29 until January 3) and JSPS's foundation anniversary day (September 21)

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

**Call center:** 0120-556-739 (toll-free)

\* Available from 9:30 to 17:30 every day except Saturdays, Sundays, national holidays and the New Year Holidays (from December 29 until January 3)

**The following phone numbers are also available:** 03-3263-1902, 1913

System Management Team, Policy Planning, Information and Systems Division,  
Administration Department, Japan Society for the Promotion of Science

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

**e-Rad help desk:** 0570-066-877 (Navi Dial)

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

\* The following phone number is also available: 03-5625-3961

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

[http://www.jsps.go.jp/j-grantsinaid/20\\_tokushourei/index.html](http://www.jsps.go.jp/j-grantsinaid/20_tokushourei/index.html)