



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

FY2019

JSPS Research Fellows
【JSPS Research Fellow】

January, 2019

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

Introduction

This is the application procedure for the “Grant-in-Aid” for Scientific Research-KAKENHI- for FY2019 “JSPS Research Fellows” [JSPS Research Fellow]. It describes the application content, procedures, and related matters.

It consists of the following sections.

- I Details of the Call for Proposals**
- II Preparation of the KAKENHI Application Form (Research Proposal Document)**
- III Completion of Research Ethics Education Course and others**
- IV On the Handling of Research Projects Scheduled to be Continued in FY2019**
- 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. Preparation of the KAKENHI Application Form (Research Proposal Document)”, “III. Completion of Research Ethics Education Course and others”, “IV. On the Handling of Research Projects Scheduled to be Continued in FY2019”, and “V. Procedures to be Completed by the Research Institution” contain information on the various procedures that must be carried out by JSPS Research Fellows and their host research institutions.

Applicants and administrators should read and fully understand these provisions.

This call for proposals opens before the finalization of the FY2019 budget so as to enable researchers to start their research as early as possible. Therefore, please be aware in advance 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.

The major change in FY2019 program is described on the next page.

- Grants-in-Aid for Scientific Research is a competitive funding intended to provide financial support for creative and pioneering research conducted by individual researchers. Therefore, the contents of the Research Proposal Document must be original planned by the applicant.
In preparing Research Proposal Document, plagiarism and/or misappropriation of the research contents of others are strictly impermissible. Applicants must comply with research ethics.
- The research using the KAKENHI fund should be carried out by the researcher(s)' own initiative and responsibility. Therefore, the implementation of a KAKENHI research project and publication of the research results are solely attributed to the researcher(s)' responsibility and view, and do not reflect that of the funding sector nor of the government.
- To ensure the quality of scientific knowledge and to gain trust of society on scientists and scientific communities, it is essential to exercise fair and conscientious research activities with the adherence to the code of conduct for scientists. Applicants must understand and practice the contents of both the statement "Code of Conduct for Scientists" (section I. "Responsibilities of Scientists") by the Science Council of Japan and the booklet "For the Sound Development of Science - The Attitude of a Conscientious Scientist -" (especially section I "What Is a Responsible Research Activity?") issued by the Japan Society for the Promotion of Science (JSPS).

Major Changes for Call for Proposals in Fiscal Year 2019

- (1)It is stipulated that publication of research achievements is the act of the researcher(s) themselves, as the research using the KAKENHI fund is conducted on the basis of the researcher(s)' own initiative and responsibility. The output of KAKENHI research solely represents the researcher(s)' view, and does not reflect that of the funding sector nor of the government. (see page 12)
- (2)It is stipulated that the PI must understand and exercise the proper research practices in conducting their research, as well as to adhere to the "Code of Conduct for Scientists". (see page 13)

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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 FY2019 “JSPS Research Fellows” [JSPS Research Fellow] (Forms / Procedures for Preparing and Entering a Research Proposal Document).”

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

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

2. Recipients

Research projects carried out by one JSPS Research Fellow whose research plan contains excellent concepts expected to be advanced in the future.

3. Eligible Funding

Seven funding categories:

Funding Category	Total Amount
SPD –Lab Research	Up to 2.4 million yen per fiscal year.
PD –Lab Research (including RPD)	Up to 1.2 million yen per fiscal year.
DC –Lab Research	Up to 1 million yen per fiscal year.
SPD –Non-Lab Research	Up to 1.6 million yen per fiscal year.
PD –Non-Lab Research (including RPD)	Up to 0.8 million yen per fiscal year.
DC –Non-Lab Research	Up to 0.6 million yen per fiscal year.
Special Research (Category when an applicant applies for funding in an amount that exceeds that of “Lab Research.” If the reason for requesting Special Research funding is deemed appropriate, there are cases when it is approved.)	Up to 1.5 million yen per fiscal year. (In the case of SPD, up to 3 million yen per fiscal year)

※ When an RPD Fellow starts his/her research project from July or October or January and his/her fellowship tenure spans a period of four fiscal years, the total budget of first and last fiscal years combined must be equal to or less than the budget for one fiscal year.

※ The eligible amount of funding is ¥100,000 or more per fiscal year.

※ Only one application can be made for the same research project under the Grant-in-Aid for JSPS Research Fellows. Accordingly, if after receiving a preliminary notice of grant disbursement, a JSPS Research Fellow changes his/her eligibility from DC to PD, s/he may not submit a new application under the PD category.

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

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

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

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

4. Period of Grant

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

5. Application Eligibility (etc.)

(1) Applicant Eligibility

Persons applying under this application procedure must have in FY 2019 been newly selected or scheduled to be selected as a JSPS Research Fellow. However, applicants under Section 6. “Eligible Research Projects” 2) are excluded.

(2) Research Fellow’s Responsibility under Law

In carrying out a project under the Grant-in-Aid for JSPS Research Fellows, the Fellow becomes the Principle Investigator and conducts the research by him or herself. As the Principle Investigator, s/he is stipulated as the member of a funded project under the Law on Optimizing Implementation of Budgets Relating to Subsidies (Law No.179, 1955). As such, s/he bears full responsibility for the implementation of the project (including compiling the research results).

(3) Research Institution Submitting Research Plan

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

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

6. Eligible Research Projects

- 1) Eligible are research projects carried out by persons provisionally selected as a FY2019 JSPS Research Fellow.
- 2) Also eligible are research projects carried by persons whose tenure as a JSPS Research

Fellow is extended from FY 2018 but whose FY2019 Grant-in-Aid for JSPS Research Fellows has not been officially approved.

7. Budgets

1) Eligible Costs (Direct Costs)

Eligible are the necessary costs for implementing the research plan (including for summarizing the research achievements).

For concrete details, please refer to the Spending Rules, Section 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 Proposals for Grant-in-Aid the reason why such costs are necessary for implementing the research project.

As this funding is meant for use by JSPS Research Fellows to carry out their own research. Please bear in mind that is for the autonomous use of the Fellow.

2) Ineligible Costs

The following costs are not covered by this 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 Personnel expenditures and remunerations for the Principal Investigator
- ④ Other costs that fall under indirect funding*

*Indirect funding: Management costs required by the research institution in connection to implementing a research project (in an amount equivalent to 30% of direct funding). Indirect funding is scheduled to be provided in FY 2019 to JSPS Research Fellows in the SPD, PD and RPD categories. There is no need, therefore, for Principle Investigators in these categories to include indirect funding in their application documents.

3) Important Points in the Use of KAKENHI Grants

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 the allocated grant money cannot be completely spent 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 JSPS's prescribed procedure. (The grant may only be carried over into the last fiscal year of a project when the fellowship continues into the following year and will be completed during that year.)

8. Research Project and Plan

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

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

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

9. Rules on Receiving Grants and Restricting Duplication

(1) To be eligible for funding under another Grant-in-Aid category, SPD, PD and RPD Fellows (hereafter called "PDs") must satisfy all of the following three conditions. Also, the other grant must be seen as advancing further the Fellow's research during his/her tenure.

1) The other grant must not impede the implementation of the research project that s/he is conducting as a JSPS Research Fellow.

2) The grant must not be for the same project that the JSPS Research Fellow is conducting.

The grant must be issued to the same research institution that the JSPS Research Fellow notified JSPS as being his/her host research institution.

3) When another grant is issued, additional processing is required under the JSPS Research Fellowships for Young Scientists program. For details, please refer to the "Compliance Rules and Procedure Guidance for JSPS Research Fellow.

"DC fellows may only apply for grants under the category "Grant-in-Aid for JSPS Research Fellows."

(2) PDs are granted eligibility to apply for a Grants-in-Aid by their host research institution.

They should check application guidelines for their eligibility under each grant category and verify the duplication restrictions for that category. JSPS Research Fellows may as Principal Investigators apply for a grant under the four below categories listed in the FY2019 Application Procedures for Grants-in-Aid for Scientific Research.

1) Grant-in-Aid for Scientific Research on Innovative Areas (Publicly offered research)

2) Grant-in-Aid for Scientific Research (B and C)

3) Grant-in-Aid for Challenging Research (exploratory)

4) Grant-in-Aid for Early-Career Scientists

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

* If the Principal Investigator satisfies the eligibility requirements for the chosen grant category, s/he may also apply for the Fund for the Promotion of Joint International Research (Fostering Joint International Research (A)). For more information, confirm that application procedures.

When PDs receive Grants-in-Aid for Scientific Research, they will also need to follow the separate procedures established under the system for JSPS Research Fellows. Please check the “Compliance Rules and Procedure Guidance for JSPS Research Fellow.”

10. Appropriate use of KAKENHI (etc.)

(1) Rules pertaining 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), the “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)), the “Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research” (KAKENHI (Series of Single-year Grants)) (Regulations No. 17, 2003) , and other rules.

(2) Appropriate use of KAKENHI

KAKENHI are funded by the tax of citizens and other sources, so please ensure that the KAKENHI is used efficiently and effectively, for example through planning for the communal use of purchased items. Researchers receiving the KAKENHI have a duty to comply with the related laws, regulations and utilization rules by researchers (subsidiary conditions or funding conditions), and also to use such grants appropriately. To ensure grantees comply with this requirement, we check whether no inappropriate use of KAKENHI will be made, when an application is made.

To facilitate the appropriate use of KAKENHI, research institutions to which the researchers belong are responsible for the management of KAKENHI. The Administrative work that each research institution is required to carry out (rules for use for institutions) is determined.

The research institutions are responsible for the appropriate accounting of KAKENHI. It is desirable, for example, to set up an accounting system for proper management of KAKENHI budget and expenditure, purchase order and delivery inspection, and internal auditing. To prevent improper business transactions, it is important, in addition to appropriate delivery inspections, to make all traders thoroughly informed of the KAKENHI rules and thus obtain cooperation of traders in the prevention of this kind of fraudulent accounting. Research institutions should take rigorous measures so as to eliminate business malpractice.

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

(3) Penalty for the case of infringement of related laws and regulations

If there have been serious falsehoods in the application documents, or violation of relevant laws, regulations and guidelines, the delivery of KAKENHI may be suspended or cancelled.

11. “Guidelines on the Proper Implementation of Competitive 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 the 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 the KAKENHI for the fixed period of time.

Note: This applies to those schemes newly starting a call for proposals in FY2019 (and onward) for “competitive funding other than KAKENHI” as well. It also applies to those schemes that ended before FY2018. Refer to the website below for the schemes to which this specifically applies at present.

Cf. [URL http://www8.cao.go.jp/cstp/compefund/kyoukin30_seido_ichiran.pdf](http://www8.cao.go.jp/cstp/compefund/kyoukin30_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.	-		The upper limit is 2 years and the lower limit is 1 year depending on the degree of the breach of duty by the researchers who have the duty of care as a good manager.

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

The following cases are pertinent to the “sharp reprimand” penalty.

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

“Research Misconduct”

Individual Involvement in the Misconducts		Negative Impacts on Science and on Public at Large Degree of Maliciousness	Period of KAKENHI Suspension	
Subject of Research Misconduct	(a) Particularly malicious individual(s) who, for example, had intention of research misconduct from the very beginning of the research		10 years	
	(b) Author(s) of paper(s), etc. related to the research in which research misconduct (s) have been identified (other than (a) above)	Responsible author(s) of the paper(s) in question (corresponding author, lead author or other authors bearing equivalent responsibilities)	Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are major, or the level of maliciousness involved in the acts is high	5 to 7 years
			Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are minor, or the level of maliciousness involved in the acts is low	3 to 5 years
		Author(s) of the paper(s) in question other than the responsible author(s) described above		2 to 3 years
	(c) Individual(s) involved who are not the authors of the research paper(s) for which research misconduct(s) are identified.		2 to 3 years	
Responsible author(s) of paper(s), (corresponding author, lead author or other authors bearing equivalent responsibilities) for which research misconduct(s) are identified, but not involved in the alleged research misconduct		Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are major, or the level of maliciousness involved in the acts is high	2 to 3 years	
		Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are low, or the degree of severity of the acts is low	1 to 2 years	

* In cases where specific issues for extenuation such as voluntary withdrawal of the paper in question may be taken into account, the suspension period can be shortened as judged fit.

- 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 the 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 the 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 a KAKENHI for them, and then instructed the trader to keep the money as deposit for future use.
- Someone instructed a trader to forge a fictitious transaction, obtaining a false invoice which carries item names different from those actually ordered and delivered, and then made the university pay a KAKENHI for them.
- Someone instructed his/her students to submit false work attendance sheets, made the university pay a KAKENHI for them, and then kept the money as a pooled fund of his/her lab.
- Someone visited destination not listed on the oversea travel itinerary, in order to have a meeting on cooperative research unrelated to the purpose of the KAKENHI research project.

(Note) The expenditure of the KAKENHI for fictitious and other transactions, like the ones mentioned in the case examples above, are all considered “misappropriation or misuse”, even if the expenditure was intended for the purpose of conducting the KAKENHI research project.

○ Fraudulent grant acquisition

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

○ Research misconduct

- Someone manipulated or forged experimental data or figures in a research paper published as research achievement supported by the KAKENHI.
- Someone published in his/her KAKENHI achievement report an article which was a translation of an original research paper written in English with no prior consent from the author(s) nor proper quotation statement.

12. 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, the KAKENHI can be used to cover such outreach-related expenses as preparation of website or printing of pamphlets. The 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, the 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) The acknowledgment for KAKENHI grant in research publications

When publishing research achievements of a KAKENHI project, researchers should be sure to express that the project has been supported by a KAKENHI grant, by stating in the “Acknowledgment” 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 JP18K45678.

【Japan】 本研究は JSPS 科研費 JP18K45678 の助成を受けたものです。

(2) The implementation of the fair and conscientious research activities

The research using the KAKENHI should be carried out based on researcher’s own self-awareness and responsibility. Therefore the publication on the implementation of the research or research achievements, etc. should not come from the government request and the views and responsibilities on the research achievements should be attributed to the researchers themselves.

On the occasion such as researchers release the research achievements using the KAKENHI broadly to the public, the examples of the indication noting that the research achievements are based on the personal views are given below.

<Example>

【English】 Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the author(s) organization, JSPS or MEXT.

【Japan】 本研究の成果は著者自らの見解等に基づくものであり、所属研究機関、資金配分機関及び国の見解等を反映するものではありません。

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

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

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

URL: https://www.jspss.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, etc. 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.

13. Code of Conduct for Scientists to Adhere

To ensure the quality of scientific knowledge and to gain trust of society on scientists and scientific communities, it is essential to exercise fair and conscientious research activities with the adherence to the code of conduct for scientists. Applicants must understand and practice the contents of both the statement “Code of Conduct for Scientists” (section I. “Responsibilities of Scientists”) by the Science Council of Japan and the booklet “For the Sound Development of Science - The Attitude of a Conscientious Scientist -” (especially section I “What Is a Responsible Research Activity?”) issued by the Japan Society for the Promotion of Science (JSPS). And also take note that upon the formal application for grant delivery, it shall be confirmed through the electric application system whether the Principal Investigator will have taken the research ethics education coursework, etc. (See page 17)

[Extraction from “Code of Conduct for Scientists – Revised Version –” by the Science Council of Japan dated on 25 January 2013]

I Responsibilities of Scientists

(Basic Responsibilities of Scientists)

1 Scientists shall recognize that they are responsible for assuring the quality of the specialized knowledge and skills that they themselves create, and for using their expert knowledge, skills and experience to contribute to the health and welfare of humankind, the safety and security of society and the sustainability of the global environment.

(Attitude of Scientists)

2 Scientists shall always make judgments and act with honesty and integrity, endeavoring to maintain and improve their own expertise, abilities and skills, and shall make the utmost effort to scientifically and objectively demonstrate the accuracy and validity of the knowledge they create through scientific research.

(Scientists in Society)

3 Scientists shall recognize that scientific autonomy is upheld by public trust and the mandate of the people, understand the relationships between science, technology, society, and the natural environment from a wide-ranging perspective, and act in an appropriate manner.

(Research that Answers to Social Wishes)

4 Scientists shall recognize that they are responsible for answering to the wishes of society to investigate into truths and to achieve various issues. When using research funds that are to be provided for establishing the research environment and for conducting research scientists shall always recognize that such broad social expectations exist.

(Accountability and Disclosure)

5 Scientists shall strive to disclose and actively explain the roles and significance of their own research, evaluate the possible effects of their research on people, society and the environment as well as the changes that their research might engender, neutrally and objectively disclose the results of this evaluation, and build a constructive dialogue with society.

(Dual Use of Scientific Research Outcomes)

6 Scientists shall recognize that there exist possibilities that their research results, contrary to their own intentions, may be used for destructive actions, and shall select appropriate means and methods as allowed by society in conducting research and publicizing the results.

* <http://www.scj.go.jp/ja/scj/kihan/>

[“For the Sound Development of Science – The Attitude of a Conscientious Scientist –” by the Japan Society for the Promotion of Science (JSPS)]

(Japanese version (text version)) (“For the Sound Development of Science” Editorial Committee on JSPS)

* <https://www.jsps.go.jp/j-kousei/data/rinri.pdf>

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

1. Preparation of KAKENHI Research Proposal Documents

Grants-in-Aid for Scientific Research is a competitive funding intended to provide financial support for creative and pioneering research conducted by individual researchers. Therefore, the contents of the Research Proposal Document must be original planned by the applicant. In preparing Research Proposal Document, plagiarism and/or misappropriation of the research contents of others are strictly impermissible. Applicants must comply with research ethics.

The JSPS Electronic Application System is used to prepare and submit (transmit) Grant-in-Aid Proposals.

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

When preparing their Grant-in-Aid Proposals, Principal Investigators use the login ID and password issued to them by the host institution for the Electronic Application System for the Grant-in-Aid for JSPS Research Fellows. Clicking on the system's "Grant-in-Aid for JSPS Research Fellows Login," the login ID and password are used to enter the Electronic Application System, on which the Grant-in-Aid Proposal is prepared. The proposal should be prepared and sent (transmitted) to the host institution based on the "Supplement: FY2019 Application Procedures for Grants-in-Aid for JSPS Research Fellows (JSPS Research Fellow) (Forms/Procedures for Preparing and Entering a Research Proposal Document)."

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

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

- (1) If the Research Fellow will change (move) host research institutions before the deadline for submitting Grant-in-Aid Proposals, s/he should notify the host research institution of such promptly before moving. After the departing and receiving host research institutions process the move-out and move-in transfer, the JSPS Research Fellow should submit (transmit) a Grant-in-Aid Proposal to the receiving the host research institution. S/he may continue to use the same login ID and password and already-prepared Grant-in-Aid Proposal at the receiving host research institution.
- (2) The Grant-in-Aid Proposal may not be amended after the host research institution has processed it and sent (transmitted) it to JSPS.
- (3) 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.
- (4) For details regarding the use of the JSPS Electronic Application System, please refer to its Operation Manual (URL: <http://www.shinsei.jsps.go.jp/kaken/index.html>).

3. Application Method

The Principal Investigator **must submit (transmit) his/her Grant-in-Aid Proposal to the host research institution by the deadline it sets.** (The Grant-in-Aid Proposal may not be submitted (transmitted) directly to JSPS.) Regarding the deadline for host institutions to submit their Grant-in-Aid Proposals to JSPS, please see page 22.

4. Handling of Personal Information

The personal information included in the Research Proposal Document will be used for the elimination of “unreasonable duplication and/or excessive concentration in the allocation of competitive funds” and for the appropriate funding of KAKENHI grants. (This includes providing the date to external contractor(s) in charge of electronic processing and management of the KAKENHI data.) The information included in the Research Proposal Document is to be provided to the e-Rad system. (The information will be supplied to the Cabinet Office through the e-Rad system. The applicant may be requested to cooperate in verification of the information and other related works.)

The information on the adopted KAKENHI projects (the title of research project, the name of PI, the grant money to be delivered, etc.) is categorized as “information planned to be made public”, as laid down in Article 5, paragraph 1, item 1 of the “Act on Access to Information Held by Independent Administrative Agencies” (Act No.140 of 2001). The information will be made public through press release materials, the database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics, and other means.

5. Schedule after Submitting the Grant-in-Aid Proposal (plan)

The selection results for the Grant-in-Aid for JSPS Research Fellows (JSPS 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:

Schedule for provisional grant decision (tentative):

First time: Late April, 2019(*)

Second time: Early July, 2019(*)

Third time: Late July, 2019

Fourth time: Early October, 2019(*)

Fifth time: Mid October, 2019

Sixth time: Mid November, 2019

Seventh time: Early January, 2019(*)

* Asterisks show times when provisional grant decisions are made for JSPS Research Fellows. No-asterisk times (3, 5 and 6) are when provisional grant decisions are made for JSPS International Research Fellows.

III. Completion of Research Ethics Education Course and others

Principal Investigators taking part in a research funded by the KAKENHI, are requested to have completed properly the following procedures including research ethics, by the time he/she submits the formal application for grant delivery of a newly adopted research project in the FY2019 Grants-in-Aid for Scientific Research, and upon the formal application for a grant delivery, it shall be confirmed through the electric application system whether they will have taken the research ethics education coursework, etc.

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

[Actions to be taken by the Principal Investigator]

- The PI must either read through and learn the teaching materials by oneself concerning the research ethics education coursework such as “For the Sound Development of Science – The Attitude of a Conscientious Scientist” published by the Editorial Committee of the JSPS named “For the Sound Development of Science, the “e-Learning Course on Research Ethics [eL CoRE] or “APRIN e-learning program (eAPRIN)”, or attend a lecture on research ethics conducted by research institutes based on “Guidelines for Responding to Misconduct in Research (Adopted by the MEXT on August 26, 2014) at their host institution.
 - The PI must understand thoroughly and exercise the proper research practices in conducting their research, from amongst the contents of both the statement “Code of Conduct for Scientists -Revised Version-” by the Science Council of Japan and the booklet “For the Sound Development of Science -The Attitude of a Conscientious Scientist-” issued by the JSPS.
- * As JSPS Research Fellows are required to take the above research ethics education at the time of their selection, it is not necessary for them to take it again.

IV. On the Handling of Research Projects Scheduled to be Continued in FY 2019

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

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 Research Fellow) using the “List of Eligible Persons” on the menu of the JSPS Electronic Application System, and inform them of the contents of the application guidelines.

(The List of Eligible Persons is updated on Wednesday morning, 23 January 2019.)

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

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

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

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

- 1) JSPS inputs information into the Electronic Application System on the following researchers: JSPS Research Fellows who will newly apply for a FY2019 Grant-in-Aid and continuing JSPS Research Fellows from FY 2017 who have remaining project time but for some reason are not scheduled to be funded in FY 2019. (This information is scheduled to be input into the system on Wednesday morning, 23 January 2019.)
- 2) Research institutions access the Electronic Application System and from the List of Eligible Persons in its menu output the principle investigator login IDs and passwords and issue them to the eligible Research Fellows.

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

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

(3) Informing Principal Investigators of “Office of Research Administration Number”

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

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

(4) Submission of a “Self-Assessment Checklist on the Improvement of the System” based on the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)”

Because research institutions submitting KAKENHI applications must comply with the content of the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)” (Revised on February 18, 2014) (hereinafter called “Guidelines”), they must set up a system of the management and audit for implementing the public research funds and report the state of implementation and other matters.

Therefore, “host research institutions which Principal Investigator applying for KAKENHI in FY 2019 belongs to” and “host research institutions which Principal Investigator of the continued research projects using KAKENHI are scheduled to belongs to in FY 2019” must **submit a “Self-Assessment Checklist on the Improvement of the System and Other Matters” based on the Guidelines, to the Office of Research Funding Administration of the Promotion Policy Division of the Research Promotion Bureau of the MEXT by February 8 (Friday), 2019, using the e-Rad system.**

Please be advised that , in case the report is not submitted , applications of researchers who belong to the research institution in question in the electronic system will not be considered. (Even if the “Self-Assessment Checklist on the Improvement of the System and Other Matters” based on the “Guidelines on public research expenses” or the “Checklist pertaining to the Current Status” based on “Guidelines for Responding Misconduct in Research” has been submitted, it takes approximately 2 weeks for researchers belonging to these research institutions before they are able to apply for KAKENHI.)

If the checklist has already been submitted in April 2018 or later through e-Rad when applying for competitive funding or other kind of funding that is allocated by the MEXT or by independent administrative legal entities under the control of the MEXT , it is not necessary to submit it again.

With regard to the checklist submission method, checklist forms and other matters using e-Rad, the research institution should verify the text “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 webpage of the MEXT.

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

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

< Inquiries >

(Concerning forms of the guidelines and submission)

Office of Research Funding Administration, Promotion Policy Division, Research

Promotion Bureau, the MEXT

e-mail: kenkyuhi@mext.go.jp

URL: http://www.mext.go.jp/a_menu/kansa/houkoku/1324571.htm

(Concerning the research institute e-Rad registration)

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

Telephone: 0570-066-877 (Navi Dial)

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

URL: <https://www.e-rad.go.jp/organ/entry.html>

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

(Monday to Sunday) 0:00 - 24:00 (in operation 24 hours a day, 365 days a year)

However, even during the above-mentioned time period, it may happen that the operation of e-Rad is disrupted or suspended, when maintenance and inspection is being carried out. If the operation is scheduled to be disrupted or suspended, this will be announced beforehand on the Portal Site

(5) Submission of the “Checklist pertaining to the Current Status” based on “Guidelines for Responding to Research Misconduct”

Based on the “Guidelines for Responding to Research Misconduct” (Adopted by the MEXT on 26 August 2014) (hereinafter referred to as Guidelines Research Misconduct), Research institutes applying for KAKENHI need to establish related provisions.

Furthermore, when applying for KAKENHI, from FY 2017 there is a need to submit a “Checklist pertaining to Current Status” based on the “Guidelines for Responding to Research Misconduct” (hereinafter referred to as Checklist pertaining to the Current Status)

Therefore “host research institute to which the Principal Investigator of a new KAKENHI research project in FY2019 belongs” and “host research institutions to which the Principal Investigator of a research project that will continue to receive KAKENHI in FY 2019 will belong” need to **submit the “Checklist pertaining to the Current Status” to the MEXT Science and Technology Policy Bureau, Knowledge Infrastructure Policy Division, Office for Promotion of Correct Research by February 8 (Friday), 2019 using e-Rad.**

Please note that if no submission is made, the applications made by researchers belonging to said research institute cannot be admitted. Even if both the “Checklist pertaining to the Current

Status” based on the “Guidelines on Research Misconduct” and the “Self-Assessment Checklist on the Improvement of the System and Other Matters” based on the “Guidelines on public research expenses” are both submitted, it takes about 2 weeks from submission until researchers can apply for KAKENHI.

Furthermore, from MEXT’s 23 March 2018 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/1405816.htm)

Note: 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” based on the “Guidelines on public research expenses” in that it use e-Rad for the submission, the submission destination is different so both checklists must be submitted.

< Inquiries >

(Concerning the format and submission of Guidelines on Fraudulent Acts)

* Differs from the contact information for public research expenses.

Office for Promotion of Correct Research, Knowledge Infrastructure Policy Division, Science and Technology Policy Bureau, the MEXT

e-mail: kiban@mext.go.jp

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

(Concerning the research institute e-Rad registration)

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

Telephone: 0570-066-877 (Navi Dial)

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

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

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

(Monday to Sunday) 0:00 - 24:00 (in operation 24 hours a day, 365 days a year)

However, even during the above-mentioned time period, the operation of e-Rad may be disrupted or suspended, when maintenance and inspection is being carried out. If the operation is scheduled to be disrupted or suspended, this will be announced beforehand on the Portal Site.

(6) Confirming Applicant Eligibility

Confirm whether the Principal Investigators indicated in the Grant-in-Aid Proposal possess the application eligibility stipulated in the application guidelines.

Also, confirm whether the Principal Investigators are classified as “Not eligible for receipt of funding” in FY 2019 due to having misused or fraudulently received KAKENHI and/or other competitive research funds or due to having committed acts of research misconduct.

(7) Verification with the Principal Investigators

The research institution should verify whether the Principal Investigator who have been listed in the Research Proposal Document have completed the Research Proposal Document, after confirming the description in the column “I. Details of Call for Proposals” in this Application Procedures for Grants-in-Aid for Scientific Research.

(8) Confirm the Grant-in-Aid Proposals and Send Them to JSPS

Send the Grant-in-Aid Proposals prepared by the Principal Investigators to JSPS. If Principal Investigators intend to change (move) their host institutions before the deadline to submit Grant-in-Aid Proposals, conduct the required move-out and move-in processing on the Electronic Application System.

Regarding the confirmation and approval processing of Grant-in-Aid Proposals, please refer to the below section 2. “Submitting Application Documents (Grant-in-Aid Proposal).”

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

(1) Confirmation and Approval of Grant-in-Aid Proposal

The research institution should access the “Electronic Application System”, using the ID and the password for e-Rad, obtain the information of the Research Proposal Document (PDF files) that the Principal Investigators prepared, and verify their contents and other matters.

The research institution should perform the “approval” process on all the Research Proposal Document (PDF files) that has no mistakes in their contents. (Completed to submit the Research Proposal Document (PDF files) to JSPS.) Moreover, it is not possible to make corrections or other modifications to the Research Proposal Document (PDF file) for which the research institution has already performed the “approval” process.

(2) The deadline for submitting of the Research Proposal Document is:

Submittal Deadline: 16:30 Friday, 22 February 2019 (This deadline should be strictly observed.)

※ Research Proposal Document that is submitted after this deadline will not be accepted. Therefore, the documents should be submitted well in advance.

(3) Points to Keep in Mind

- 1) Please refer to Operation Manual of the Electronic Application System for details on electronic application processing.

<http://www.shinsei.jps.go.jp/kaken/index.html>)

- 2) **After the submission of the application documents, it is not possible to make corrections or to re-submit them. If after submission, errors are found in the entries of the project duration or requested funding, no correction of them will be allowed. Therefore, researchers should take sufficient care in preparing their 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 taking part in a new research project have to complete followings before the formal application for grant delivery.

- Either to read through and learn teaching materials such as a textbook “For the Sound Development of Science -The Attitude of a Conscientious Scientist-” (Editing Committee “*For the Sound Development of Science*”, JSPS), the “e-Learning Course on Research Ethics (eL CoRE)”, the “APRIN e-learning program (eAPRIN)”, etc., or to attend a lecture on research ethics conducted by research institutes based on the “Guidelines for Responding to Misconduct in Research (issued on August 26, 2014 by the MEXT)” at their host institution
- To understand thoroughly and to exercise the proper research practices in conducting their research, from amongst the contents of both the statement “Code of Conduct for Scientists -Revised Version-” by the Science Council of Japan and the booklet “For the Sound Development of Science -The Attitude of a Conscientious Scientist-” issued by the JSPS

To that end, each research institution is requested to disseminate broadly what the researchers should consider, in conducting of their researches as well as carrying out an Ethics Education in Research Training Session based on the “Guidelines for Responding to Research Misconduct in Research”

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

4. Others

(1) Notification of Changes in a Research Institution 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 rules and regulations, bylaws, acts of endowment, or other related aspects.

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

Regarding the KAKENHI program's Series of Single-year Grants and Grant-in-Aid for JSPS Research Fellows as related to hosting a JSPS International Research Fellow, please use the "Application Procedures for Grants-in-Aid for Scientific Research (KAKENHI), FY 2019, JSPS International Research Fellows."

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	Estimated Period
Advanced Technology Support Platform Program	Platform of Advanced Bioimaging Support (*)	National Institute for Physiological Sciences National Institute for Basic Biology	Advanced technical support and user training for : · Light microscopy · Electron microscopy · Magnetic resonance imaging · Imaging analysis	FY2016 – FY2021
	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	FY2016 – FY2021
	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)	FY2016 – FY2021
Area	Platform Name	Core Institution	Support Function	Estimated Period
Research Platform Resource Support Program	Platform for Integration and Sophistication of Image Information on Area Studies	National Museum of Ethnology (Note)	Digital Picture Library for Area Studies	FY2016 – FY2018
	Supply Platform of Short-lived Radioisotopes for Fundamental Research	Research Center for Nuclear Physics, Osaka University (Note)	Supply short-lived radioisotopes produced by accelerators for fundamental research in various scientific fields.	FY2016 – FY2018
	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	FY2016 – FY2021

(Notes) The estimated periods for the platforms may be extended based on the results of the interim assessment scheduled in the FY2018.

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

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
- “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
- On the unification of usage rules for competitive funds
(Revised version of the March 31, 2015 agreement of the related ministries liaison conference on competitive funds on April 20, 2017)
URL: http://www8.cao.go.jp/cstp/compefund/shishin3_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)” (Adopted by the Minister of State for Science and Technology Policy and the Experts of the Council for Science and Technology Policy on June 19, 2010) 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 (URL: <https://biosciencedbc.jp/>) has been established in the Japan Science and Technology Agency (JST, a National Research and Development Agency), in order to promote the integrated use of databases in the area of life science that have been created by various research institutions and other institutions.

This Center spurs the active participation of related institutions, and based on four pillars, namely (1) the planning of strategies, (2) creation and operation of portal websites, (3) research on and development of core technology for the integration of databases and (4) the promotion of the integration of biotechnology-related databases, it is promoting projects aiming at the integration of databases in the area of life science. In this way, through wide sharing and utilization in the researchers community of the research achievements in the area of life science produced in Japan, the Center aims at invigorating overall research in the area of life science, including research and development connected to basic research and industrial applied research.

JSPS would like to request researchers to cooperate by providing to the Center copies of raw data related to achievements published in research papers and other output in the area of life science, or copies of created open databases.

Moreover, the copies provided will be able to be utilized on a non-exclusive basis as reproductions, alterations, or in other necessary forms. Furthermore, JSPS would like researchers to understand in advance that, in response to requests of the institutions that received copies, it would also like request researchers to cooperate by providing all the information necessary for utilizing the copies.

Furthermore, the National Bioscience Database Center has developed guidelines for data on humans, in order to promote the sharing and use of data related to research in the area of life science, with due considerations to the protection of personal information.

NBDC human data sharing guidelines

URL: <https://humandbs.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) (URL: <http://www.nibb.ac.jp/ibbp/>) has been established as a backup center for biological genetic resources. It is equipped with the newest equipment necessary for the backup of biological genetic resources.

Any researcher who belongs to a university or a research institution may apply for storage. Biological genetic resources that can be stored in IBBP are samples that can be proliferated (amplified) or cryopreserved (for vegetable seeds, the refrigeration or deep-freezing

preservation condition needs to be definite), and being not pathogenic is also a condition. Since backup is provided free of charge, researchers should make use of IBBP.

Any researcher who belongs to a university or a research institution may apply for storage. Biological genetic resources that can be stored in IBBP are samples that can be proliferated (amplified) or cryopreserved (for vegetable seeds, the refrigeration or deep-freezing preservation condition needs to be definite), and being not pathogenic is also a condition. Since backup is provided free of charge, researchers should make use of IBBP.

< 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.

It is recommended to utilize the already improved resources of NBRP from the viewpoint such as efficient implementation of research.

(*) Deposit: This is a procedure to approve the use (preservation / provision) in this project without transferring the various rights related to the resource. By specifying specific provision conditions in the deposit agreement, you can add usage conditions such as restrictions on usage and quotation of articles to users.

List of NBRP core bases representative agencies

URL: <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 Researcher Information in Researchmap

“Researchmap” 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. Researchmap is linked to e-Rad and many university faculty databases. As the Japanese government also plans to expand its use of researchmap, please be sure to register your information (as a researcher) on the site (<https://researchmap.jp/>).

< 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.

For this reason, research institutions are asked to take systematic measures to ensure that in implementation their various research activities, including research projects funded with KAKENHI, WMD technologies are not transferred to WMD developers, terrorist organizations, or people carrying out other dubious activities by way of their participation in research that can be converted to military purposes.

< Reference > Stature to strengthen the export control system in universities and public research institutions (proposed)

http://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu8/toushin/06082811/015/001.htm

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/anpo/>

< 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 review for the KAKENHI is carried out by the Scientific Research Grant Committee of the Japan Society for the Promotion of Science (JSPS), and it is based on the Research Proposal Document.

The review takes place behind closed doors. The submitted Research Proposal Document is not returned to the applicants.

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 JSPS’s website (URL: <https://www.jsps.go.jp/j-grantsinaid/index.html>).

2. Notification of Review Results

The results of the application screening for the Grant-in-Aid for JSPS Research Fellows will be notified by document to the host research institutions on the following schedule. Grant amounts will be disbursed in units of ¥100,000.

Schedule for provisional grant decision (tentative):

First time: Late April, 2019(*)

Second time: Early July, 2019(*)

Third time: Late July, 2019

Fourth time: Early October, 2019(*)

Fifth time: Mid October, 2019

Sixth time: Mid November, 2019

Seventh time: Early January, 2020(*)

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

No-asterisk times (3, 5 and 6) are when provisional grant decisions are made for JSPS International 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 FY2018) (omitted)

Inquiries

1. Inquiries about the invitation of applications should be directed to the following divisions through the 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 Research Fellowships for Young Scientists :

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

Phone: 03-3263-5070

* Both (1) and (2) are available from 9:30 to 12:00 and from 13:00 to 17:00 every day except 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: 03-3263-1017, 1022, 1107, 1024

Institutional Research and Information Division, Policy Planning 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 numbers are also available: 03-6631-0622

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

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