

Regarding the Proper Use of Competitive Funds

Based on the “Guidelines for the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards),” released by MEXT on 15 February 2007(Revision: February 18, 2014), openly recruited programs in JSPS for international research cooperation are to be implemented in the following manner.

1. Eliminating unjustifiable duplication and over-concentration of competitive funding

(1) Measures to prevent unjustifiable duplication

In cases when a researcher is receiving or has been selected to receive competitive funding from either the Japanese government or an independent administrative institution for essentially the same research content that s/he is applying or has been selected for under a JSPS program run by International Program Department (IPD) or by Overseas Training Program Division, Human Resource Development Program Department (OTPD-HRDPD), his/her application may be removed from the screening process; if already selected, the selection may be cancelled; or the amount of the grant or funding may be reduced.

Whereas a researcher may apply for competitive funding under another system while in the process of applying for a JSPS IPD/ OTPD-HRDPD program, if selected for the other funding s/he must inform JSPS of such right away. If s/he neglects to do so, the selection decision may be cancelled or other action taken.

(2) Measures to prevent over-concentration of competitive funding

The selection decision may be cancelled or other action taken in cases when a researcher applying for a JSPS IPD / OTPD-HRDPD program also uses other competitive funds, even for different research content, is judged not to be making efficient or effective use of all his/her allocated funding.

To verify this, if a researcher changes the content of his/her application (such as the status regarding application/selection for other funding) after submitting it to a JSPS IPD / OTPD-HRDPD program, s/he must inform JSPS of such right away. If s/he neglects to do so, the selection decision may be cancelled or other action taken.

2. Measures against misconduct in research activities and misuse (etc.) of competitive funds

JSPS Regulation Number 4 (2013), “Measures against misconduct in research activities and misuse (etc.) of competitive funds” stipulates measures to assure impartiality in research activities, the proper management and execution of competitive funds, and the prevention of improper use of funding. It also provides disciplinary measures to be taken if a researcher funded under an openly recruited program of JSPS’s IPD / OTPD-HRDPD engages in misconduct in

his/her research activities or misuses (etc.) his/her competitive funds.

(1) Here, “misconduct” includes the fabrication, falsification or plagiarization of data used in research results, survey findings, or research papers. “Misuse” includes the use of competitive funds, either purposefully or due to gross negligence, for purposes other than conducting the approved project or in a way that violates the terms or conditions of their allocation. “Misuse, etc.” includes the improper receipt of competitive funds based on intended misuse or falsified application filing. (Article 2)

(2) The objects of measures against misconduct and misuse (etc.) are as follows. (Article 15)

1) Objects of measures against misconduct

- Researchers determined to have committed misconduct
- Authors determined to have responsibility for the content of research papers (etc.) related to research judged to involve misconduct, even if the persons are not themselves determined to have committed the misconduct.

2) Objects of measures against misuse

- Researchers and their accomplices who engage in the misuse of funds
- Researchers and their accomplices who received competitive funding based on falsified application filing or other improper means
- Researchers who violate their obligation to properly manage their funds, even if they do not directly misuse them.

Disciplinary measures

- (1) In addition to cancelling the disbursement of the subject competitive funds, in the case of already-disbursed funds either part or all of the funds may be recalled. In determining the amount of the funds to be returned, consideration is given to severity of misuse, the degree of maliciousness, and the effect on the overall research project.
- (2) Projects will not be selected for funding if their application lists a researcher whom these measures are taken against as the principle investigator. Projects listing the researcher as a co-investigator will not be selected unless his/her name is removed.
- (3) Researchers whom these measures are taken against will not be allocated any competitive funding for all programs under JSPS's jurisdiction for a set period of time.

When determining the disciplinary measures to be taken, the name of the subject researcher(s), his/her affiliation, the content of the measures, the name of the subject competitive funding system, the amount of allocated research funding, the content of the misconduct or misuse, and a report on the results of the investigation made by the research institution are to be expeditiously released to the public.

In addition, JSPS will not allocate competitive or other funds during the specified period of disciplinary measures taken by government agencies or other independent administrative institutions to researchers whose project application or participation eligibility has been restricted.

3. Handling of violations of related laws or regulations

When the content of a grant application is falsified or a project is carried out in violation of pertinent laws, regulations or guidelines, JSPS may not allocate grants or funds and may cancel the selection of the project.

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International Program Department

Overseas Training Program Division, Human Resource Development Program Department

Japan Society for the Promotion of Science

Notes:

This “Regarding the Proper Use of Competitive Funds” is an English translation of the official document in Japanese. If there should be any differences between the original document in Japanese and its translation into English, the original Japanese text is valid.