World Premier International Research Center Initiative (WPI)
FY2018 Application Guidelines (tentative translation)

1. Purpose of program

To elevate the level of science and technology in Japan and continuously trigger innovation that serves as an engine for future growth, it will be necessary to boost the nation's basic research capabilities while strengthening its global competitiveness. To this end, Japan needs to create world-leading research centers that are highly innovative in both concept and practice, unfettered by conventional thinking, so as to gather the world's finest brains, generate outstanding research results, and foster talented young researchers.

This program provides priority support for proposals aimed at creating top world-level research centers have a clear identity and are staffed at their core with world-leading researchers. By achieving a very high research standard, providing an excellent research environment, and prompting system reform while taking other independent initiatives, the centers should be "globally visible" and capable of attracting top-level researchers from around the world.

To this end, the program provides financial support for the measures aimed at physically assembling outstanding researchers and realizing a research environment free of conventional systemic constraints. Accordingly, this program is of a completely different nature from the usual research-funding programs operated mainly to provide support for research projects. For the center's research projects, additional resources must be secured separately by the center and its researchers. This time, the WPI program will select two center projects aimed at creating world premier international research centers.

2. Eligible applicants

Host institutions (core institutions seeking to build a world premier international research center) that are qualified for WPI support:

Universities

Inter-university research institutes

National Research and Development Agencies

Public interest corporations (PICs)

(Institutions already selected under this program and currently receiving 10-year funding are not eligible to apply.)

In each call for proposals, a host institution may only apply for one center project.

3. Scheduled number of awards:

Two

4. Implementation period and evaluations

The grant period under this program is 10 years.

An interim evaluation will be carried out 5 years after the project starts and a final evaluation 10 years after. The interim evaluation will assess the state of progress being made in establishing the center and may, when necessary, require the project plan to be revised or the project to be terminated early. In addition, the host institution will be evaluated with regards to how it is carrying out a concrete plan to secure the financial autonomy of the WPI center for the remaining 5 years of grant period (from 6th through 10th year).When this plan is assessed to be inadequate, the host institution will be required to revise it.

5. Concepts and requirements of eligible projects

To be eligible, proposals must place importance on "people" (e.g. researchers and staff) while providing a 10-year plan for establishing an international research center under a consistent mid and long-term vision of the center's director. Proposed projects must satisfy the program's four missions: Advancing research of the highest global level (science), generating fused disciplines (fusion), realizing an international research environment (globalization), and making organizational reforms (reform). In so doing, the project must satisfy all of the following (1)-(8) requirements, providing a clear description of the steps and timetables to meet them. Submitted proposals are not only used in the application screening process but are also used afterwards to assess the state of the project's progress.

Proposals that in practice merely extend the period of existing WPI centers will not be accepted.

(1) Research fields

Focus is placed on basic research in the subject research domain (including fields that seek to transfer basic research to application). In principle, the research fields should be cutting-edge fields fused in ways that can be expected to create key domains in the future.

The characteristics sought are (i) fields in which Japan's expertise can excel, (ii) challenging fields that can be expected to solve world-level scientific and/or technological issues and that have international appeal, and (iii) fields that remain relevant over the relatively long period of 10 years and that retain a top world-level standing by perpetually and strategically challenging the creation of new domains while developing future key fields.

In establishing new domains, the main fields to be fused should be indicated. In creating new science and fusing research fields, the expected role to be played by mathematics and

information science should also be indicated. Humanities and social science domains may be included within the project to the extent that they contribute to its advancement and/or are necessary to make the research results applicable to society.

(2) Research objectives

The research objectives to be achieved by the end of the grant period (in 10 years) should be set and articulate in an easy-to-understand manner so as to clearly convey the focus of the center's research, including its projected initiatives and achievements, and to portray the image of the center as a globally visible research center both in Japan and abroad.

In describing the objectives, the following should be articulated in an easily understandable manner: What kind of research area do you plan to open up by, for example, fusing various fields? In that process, what world-level scientific and/or technological issues are sought to be solved? What is the expected impact of the scientific advances to be achieved on society in the future?

(3) Project management

For the research center to become a truly "world premier international research center," it will be essential for it to establish a highly effective management system. Essential to this will be having a dedicated center director and supporting administrative staff who recruit highly qualified researchers and personnel, reform systems and carry out other operational functions at the center. As the center's "face" and the person who gives the center an attractive persona within the international community, in addition to leading the research activities of the center, the director should be an especially distinguished researcher in the subject field, who is capable over his/her 10-year tenure in this position of exercising highly effective leadership and of inviting outstanding researchers to the center from around the world. To provide the center director with strong administrative and managerial support, an administrative director is to be appointed to perform such tasks as maintaining an environment in which researchers can comfortably advance their work.

To enable flexible and swift decisions with regard to the center's management and operation, the center director should be given authority to make all operational decisions, except for final decisions on hiring or dismissing the center director.

(4) Researchers and other center staff

To be established as "globally visible," the research center will need to have a physical concentration (or core) of pivotal researchers on a certain scale, who possess a high research level. This new core should be established within the host institution. Regarding staffing, the core

should use the followings as a yardstick taking into account the examples of other internationally renowned research centers:

a. At least 7-10 of the world's top principal investigators (full professors, associate professors or others of comparable standing), at least 20% of whom are highly qualified foreign researchers invited from abroad, while the remainder come from within the host institutions or are invited from other Japanese institutions.

b. A total of at least 70-100 staff members as a target, including young postdoctoral researchers, research support staffs, and administrative employees.

c. At all times, at least 30% of the researchers should be from overseas,

d. At least half of the principal investigators who form the core of research center should rank among the world's top researchers as measured by, for example, the following indicators:

   i) International influence; e.g. a) guest speaker, chair, director, or honorary member of a major international academic society in the subject field, b) member of a scholarly academy in a major country, c) recipient of an international award, d) editor of an influential journal

   ii) Receipt of large-scale competitive funding

   iii) Number of paper citations

With such a core as the center's nucleus, it should be possible to strengthen and expand the center's overall capability by forming organic linkages with other domestic and/or overseas institutions, including arrangements for the efficient joint use of facilities and equipment, accomplished by such means as setting up satellite functions.

(5) Research Environment

To ensure that world's top researchers from around the world can work comfortably in carrying out their research within an international and competitive environment, measures such as following should be taken:

a. Provide an environment in which researchers can work comfortably on their research by exempting them from duties other than research and related educational activities, and providing them with adequate staff support to handle paperwork and other administrative functions. Consideration should be given and arrangements made for researchers to participate in the education of graduate students.

b. Provide startup research funding as necessary to ensure that the world's top researchers invited to the center can get a robust start on their research work.

c. As a rule, fill postdoctoral positions through open international solicitations.

d. Establish English as the primary language for work-related communication, and appoint administrative personnel who can facilitate the use of English in the work process.

e. Adopt a rigorous system for evaluating research and a system of merit-based compensation. (For example, institute a merit-based annual salary system.)

f. Provide equipment and facilities, including laboratory space, appropriate to a "world premier international research center."

g. Hold international research conferences or symposiums regularly (at least once a year) to bring the world's top researchers together at the center.

(6) Level of the Center vis-à-vis other world leading research centers

At the time the funded project starts, access the level of the Center relative to other world-leading research centers in the same or related domains. Set concrete goals for the center to achieve a top-world level through the implementation of its project.

(7) Securing research funding

To support the center's operations and its research activities, additional resources that match or exceed the amount of the project grant should be secured. Resource examples: competitive funding obtained by the center's researchers, in-kind contributions and other forms of assistance by the host institution (including payment of salaries, provision of research space), external donations.

(8) Establishing an independent research center in sync with reform of the host institution's existing organization

Proposals are sought for the establishment of new centers that will achieve independence within 10 years. To do this, they should advance synchronization between WPI center support and reform of the host institution's existing organization. When preparing the center project proposal, a concrete plan and schedule for achieving the center's mid-to-long-term independent operation within the host institution should be provided. It should include the adjustments that will need to be made within the host institution's existing organization for the center to operate independently and for the acquisition of external funding.

An example of this process would be the systematic redistribution of posts to the new center by such means as adjusting or integrating existing organizations or systems of the host institution based on a mid-to-long-term strategic operational plan and the provision of research space by adjusting the host institution's research activities. Host institutions are expected to include these factors in their proposal, which is to provide for the quick startup of the center and its stable operation after the WPI grant period ends.

6. Host institution's commitment

For the center to become a truly "world premier international research center" and independent by the time WPI support ends, the host institution must clearly define the center's role within its own mid-to-long-term strategy and provide its comprehensive support from the time that the funded project starts.

When applying for the grant, the host institution should describe its commitment with respect to the following nine concrete terms. These commitments will not only be taken into consideration in the application screening process, but will also be used later to assess the state of the project's progress.

(1) Providing a mid-to-long-term policy for amending the plan on the direction of the host institution's organization and operation, one that includes the reform of the institution's existing organization in ways that will achieve the center's independence and create a permanent place for it within the organization. A concrete plan and schedule must be set and carried out for restructuring the host institution's organization.

(2) Providing sufficient support for carrying out the center's operation and research activities, including necessary personnel, financial, and system support. (The center is expected to acquire funding from other sources in an amount that is equivalent or greater that the WPI grant.)

(3) Providing necessary support to achieve the independence of the center and sustain its research at a top world level after the WPI grant period ends.

(4) Providing a system that will in practice allow the center director to make decisions in implementing the center project, including personnel and budgets, and that will secure the autonomy of its operation.

(5) Providing support to the center director by coordinating with other departments regarding the assigning of researchers to the center and the creating of an effective environment for the center within the host institution. Needed adjustments to do so should be made proactively while giving consideration to their effect on the educational and research activities of those departments.

(6) Offering cooperation in flexibly applying, revising, or supplementing the host institution's internal systems as needed for the center to effectively implement new management methods unfettered by conventional modes of operation (e.g. English-language environment, merit-based pay, top-down decision making, linkage to graduate school education).

(7) Securing, providing and delivering the necessary infrastructure for the center to carry out its activities (e.g. research space, facilities, land).

(8) Providing other types of assistance to give the center maximum support in achieving its concepts and objectives and in becoming a world premier international research center in both name and deed.

(9) The host institution is to self-evaluate the results of the system reforms achieved by the center and distribute the results that it evaluates highly to all of its departments.

7. Formulating project proposals

Based on the center project plan devised under the leadership of the center's director candidate, the head of the host institution (e.g. university president, chairperson of the board) is to prepare a project proposal along with a plan on the host institution's commitment articulating in specific terms as described in section 6 above, and submit it jointly signed with the center's director candidate. Inasmuch as funding under this program will be provided in the form of an institutional grant to the host institution, its head has final responsibility for implementing the entire project. The proposal should not be limited to activities supported by this program grant but should be both comprehensive and long-term in scope covering independent initiatives taken by the center, host institution, and partner institutions and include activities to be conducted after the grant period has ended.

When preparing their project proposals, applicants should also draw up a concrete plan detailing those aspects of center operations deemed eligible for appropriations under the program grant (hereafter referred to as "Appropriations Plan").

8. Expenditures

(1) In preparing the Appropriations Plan, the funds drawn from the grant needed to realize the center project will be up to 700 million yen per fiscal year.

(2) As a rule, grant funds provided under this program may be used only for the categories of expenditures described in the Attachment.

(3) Funding necessary to implement the Appropriations Plan will be provided up to 700 million yen in principle each fiscal year from MEXT as the WPI grant. (From the sixth year of a project's implementation, the size of its budgetary support will by way of policy be reduced each year as the centers make progress toward becoming financially autonomous. However, full consideration will be given to the results of the centers' fifth-year interim evaluation and the host institutions' efforts toward securing the autonomy of the centers in determining funding allocations. For extraordinarily outstanding centers, the amount of project funding may be adjusted with special consideration. Furthermore, the final amount of project budgets may be adjusted based on the state of each fiscal year's WPI program budget.)

This call for proposals will be valid if the budget for the FY2018 program is given the Diet's final approval.

9. Selection of institutions

(1) Review process

MEXT will select the centers to be supported via a 3-stage screen process comprising a two-tier document review and a hearing with the center's director candidate and the head of the host institution by WPI Program Committee (hereafter referred to as the "Program Committee"), made up of experts, including overseas specialists, from outside the ministry. Details on the screening process, evaluation items and screening criteria are provided separately in the Review Guidelines.

(2) Evaluation items and criteria

a. Proposal content

・Does the proposed center project meet all the requirements stipulated in section 5 above, and are its contents appropriate?

・Does the commitment provided by the host institution meet all the requirements stipulated in section 6 above, and are its contents appropriate?

・Will sufficient effort be made to sustain the center as a top world-level research center after program funding ends?

・Does the scheme and concept for building a top world-level research center have the power to attract the world's top researchers from around the world?

b. Ripple effect

・Does the proposed center project have trailblazing components that other departments of the host institution and/or other research institutions can refer to when attempting to build their own top world-level research centers?

c. Funding plan

・Is the proposed Appropriations Plan reasonable, and does it reflect efforts toward achieving a cost-effective operation?

(3) Selection of projects may be accompanied by recommendations for improving the project proposal, including the Appropriations Plan and/or the host institution's commitment, based on opinions expressed by the Program Committee members and other authorities.

10. Implementation

(1) Selected host institutions shall revise their project proposals, when required, based on the recommendations described in section 9 (3) above, and submit their revised proposal together with a Japanese version to MEXT. After review, MEXT may recommend further revisions.

(2) The host institution is to compile annual reports on the progress of the project's implementation and its use of the grant funds, and submit it to MEXT.

(3) Established under the Program Committee are a program director (and deputy program director) to oversee the entire program, program officers for each center project, and working groups of experts led by the program officers, who will review the reports described in paragraph (2) above and conduct site visits to verify the progress of the center project. Should any aspect of the project's implementation, including the host institution's commitment, be deemed inadequate relative to the materials submitted pursuant to paragraph (1) above, MEXT will request the head of host institution and the center director to take necessary corrective measures.

(4) From the standpoint of accountability to the public and society, in addition to the regular conducting of outreach activities, the result of the project's 10th year implementation are to be widely disseminated to the public after its final evaluation is carried out.

(5) Should a need arise to make a change in the important elements of the project (items required in the Grant-decision Notice as stipulated in Section 6.1 of the Funding Guidelines for World Premier International Research Center Initiative), the center director and the head of host institution shall promptly apply to MEXT, the program director, deputy program director, and assigned program officer for approval to make the change. MEXT will refer requests for changes to the Program Committee when necessary, and approve them only after verifying that they conform to the selection criteria stipulated in section 9 above.

In the event of any other changes occurring in the project proposal, including the Appropriations Plan and the host institution's commitment, they shall be report to MEXT right away.

11. Application process

Application method for this program is described in the following website.
http://www.mext.go.jp/a_menu/kagaku/toplevel/

12. Important points to keep in mind

(1) Important points regarding grant execution

a. Implementation and management of grant projects

Proper accounting and other financial management practices must be applied in the use of this grant, in conformance with such statutes as the "Act on Regulation of Execution of Budget Pertaining to Subsidies, etc." and the "Order for Enforcement of the Act on Regulation of Execution of Budget Pertaining to Subsidies, etc."

Accounting for this program shall be clearly separated from other accounts, with items of income and expenditure recorded in an accounting ledger and supported by

documentation. The ledger and supporting documents shall be retained by the grantee for a period of 5 years from the year following the fiscal year in which each subsidy is received.

When equipment is purchased with grant funds, it is to be managed and maintained by a capable manager. Care should be taken to use the equipment efficiently in line with the purpose of the grant, not only for the duration of the project but after it ends, on the grounds that it has been purchased with grant funds allocated from the national treasury.

b. Actions against misuse of grant funds

Should misuse or other inappropriate behavior be found to have occurred with regard to the grant funds, MEXT will require that all or part of the grant be refunded and will restrict the researcher(s) involved from participating in the WPI program for a given period of time, as indicated below.

i) In the event of grant misuse: suspension for a period of 2 years from the year following the fiscal year that a refund is demanded, except for case (ii) below.

ii) In the event that grant is misused or misappropriated for purposes other than this program: suspension for a period of 2-5 years from the year following the fiscal year that a refund is demanded, as deemed appropriate given the substance and circumstances of the violation.

c. System operation within research institution based on "Guidelines on the Managing and Audit of Public Research Funds at Research Institutions (Implementation Standards)"

When applying for a grant and implementing a project under this program, the research institution must comply with the provisions of the "Guidelines on the Managing and Audit of Public Research Funds at Research Institutions (Implementation Standards) (*1)" (Revised on February 18, 2014).

Research institutions must establish a management and auditing system for public research funds that complies with the content of the Guidelines, and strive to properly execute those funds.

When, as a result of an investigation carried out under these Guidelines, MEXT finds inadequacies in the state of an institution's funds-management system, it may reduce the amount of its indirect funding from all its competitive funding received from MEXT and/or independent administrative agencies under MEXT's jurisdiction, or take other measures.

(*1) Please refer to the following website for the "Guidelines on the Managing and Audit of Public Research Funds at Research Institutions (Implementation Standards)" http://www.mext.go.jp/a_menu/kansa/houkoku/1343904.htm (Japanese website)

d. Submission of a "Self-Assessment Checklist on the Improvement of the System and Other Matters," based on the "Guidelines on the Managing and Audit of Public Research Funds at Research Institutions (Implementation Standard)"

When contracting for this program, each research institution is required to establish its own financial management and auditing system based on the above-titled Guidelines and to submit the report Self-Assessment Checklist on the Improvement of the System and Other Matters (hereafter called the "Check List") to MEXT on its implementation status. If the Check List is not submitted, the project's implementation will not be approved.

The Check List must be submitted by the research institution to MEXT's Office of Research Funding Administration of the Promotion Policy Division of the Research Promotion Bureau by Tuesday, 3 April 2018 via the Cross-Ministerial R&D Management System (e-Rad). If the Check List was already submitted in or after July2017 when applying for other funding, a new one does not need to be submitted for this program.

For the format for filling out the Check List and for further details, see the following MEXT website: http://www.mext.go.jp/a_menu/kansa/houkoku/1301688.htm

Note: To submit the Check List, it is first necessary for the research institution to register onto the e-Rad system. If it hasn't already done so, it should start the process right away. (It usually takes about two weeks to complete the registration process.) For detailed information on e-Rad system usage, please see the following website:
http://www.e-rad.go.jp/shozoku/system/index.html

As advancing information dissemination and sharing is included in the above-mentioned Guidelines, this Check List should be posted on the websites of research institutions and given wide dissemination.

e. Establishing countermeasures for research misconduct based on the "Guidelines for Responding to Misconduct in Research"

When applying for a grant and/or implementing a research project under this program, the research institutions must follow the "Guidelines for Responding to Misconduct in Research" (Adopted by MEXT on 26 August 2014) (*2)

When, as a result of an investigation carried out under these Guidelines, MEXT finds inadequacies in the state of the countermeasures taken by an institution for research misconduct, it may reduce the amount of its indirect funding from all its competitive funding received from MEXT and/or independent administrative agencies under MEXT's jurisdiction, or take other measures.

(*2) Please refer following website for the "Guidelines for Responding to Misconduct in Research"

http://www.mext.go.jp/b_menu/houdou/26/08/1351568.htm

f. Submission of "Checklist Pertaining to the Current Status" based on the "Guidelines for Responding to Misconduct in Research"

When contracting for this program, each research institution is required to submit a Checklist Pertaining to the Current Status of its research misconduct countermeasures based on the "Guidelines for Responding to Misconduct in Research" (hereafter called the "Misconduct Check List") to MEXT. If this Misconduct Check List is not submitted, the project's implementation will not be approved.

Accordingly, research institutions need to submit the "Misconduct Check List" to MEXT's Science and Technology Policy Bureau, Knowledge Infrastructure Policy Division, Office for Promotion of Correct Research during the period from 1 April 2018 to the date of grant-disbursal decision using the e-Rad system.

For the format for filling out the Misconduct Check List and further details, please see the following MEXT website:

http://www.mext.go.jp/a_menu/jinzai/fusei/1374697.htm

g. Measures against misconduct in research based on the "Guidelines for Responding to Misconduct in Research"

Should misconduct in research (fabrication, falsification, plagiarism) be found to exist at a WPI center, MEXT will enact strict penalties against the center, as indicated below.

(i) Measures such as cancellation of contract

Should specific misconduct in research (fabrication, falsification, plagiarism) be found to occur at a WPI center, MEXT will take such measures as cancelling or amending its contract

for the WPI grant and/or require the center to refund all or part of the grant. Or, the center's contract may not be renewed in the following fiscal year.

(ii) Restriction on grant application and project participation

With regard to persons who willfully committed a particularly malicious act of misconduct or who, though not involved in the misconduct, are determined to have a certain degree of responsibility for neglecting their duties to prevent misconduct in papers or reports, MEXT may resend or restrict their eligibility to apply for a grant and/or participate in a grant-funded project.

If such a restriction is imposed on a researcher's eligibility, MEXT will inform the section responsible for competitive funding in MEXT and other government ministries and in the independent administrative institutions under their jurisdictions. Consequently, the restriction on grant application and project participation will apply for competitive funding programs administered throughout the government.

Subject Persons (researchers) concerning specific research misconduct (fabrication, falsification, plagiarism)			Degree of Specific Research Misconduct	Restricted Period from applying for grants (from the fiscal year following the year that the misconduct was confirmed*)
Researchers participating in specific misconduct	1. Particularly malicious misconduct (e.g. intention to commit misconduct from the start)			10 years
	2. Author(s) of paper(s), etc. related to the research in which research misconduct has been identified	Responsible author(s) of paper(s) in question (corresponding author, lead author or other authors bearing	Cases where it is judged that the impact of the misconduct on research progress in the subject field is large and the social impact is major, and/or the level of maliciousness involved is high	5-7 years

	equivalent responsibility)	Cases where it is judged that the impact of the misconduct on research progress in the subject field is small and the social impact is minor and/or the level of maliciousness involved is low	3-5 years
	Authors other than the above		2-3 years
	3. Persons who participated in the research misconduct other than those in 1. or 2.		2-3 years
Responsible author(s) of paper(s), (corresponding author, lead author or other authors bearing equivalent responsibility) for which research misconduct is identified, but not involved in the alleged research misconduct		Cases where it is judged that the impact of the misconduct on research progress in the subject field is large and the social impact is major, and/or the level of maliciousness involved is high	2-3 years
		Cases where it is judged that the impact of the misconduct on research progress in the subject field is small and the social impact is minor and/or the level of maliciousness involved is low	1-2 years

*3 However, grant application and grant-project participation eligibility will be suspended for the rest of the fiscal year that the specific misconduct was confirmed.

(iii) Measures regarding researchers who have been restricted from applying for or participating in competitive funding programs

If restrictions have been imposed on a researcher's eligibility as a result of research specific misconduct under a competitive funding program administered by the government or an independent administrative institution, MEXT shall restrict said researcher's participation in the WPI Program for the duration of ineligibility imposed by the other program.

(iv) Disclosure of relevant information on research misconduct

If misconduct in research is found to occur under the program, MEXT shall, in principle, disclose the relevant information on it (case name, category of misconduct, field of research in which misconduct case is identified, funding program, outline of the case, measures taken by the research institution and funding organization).

When a research institution confirms misconduct in research, it must immediately disclose the facts in accordance with the Guidelines for Responding to Misconduct in Research. http://www.mext.go.jp/a_menu/jinzai/fusei/1360483.htm (in Japanese)

h. Compulsory education on ethics in research and compliance

Researchers taking part in this research program are required to complete a course in ethical education as stipulated in the "Guidelines for Responding to Misconduct in Research" in order to prevent misconduct, and in compliance education as stipulated in the "Guidelines on the Managing and Audit of Public Research Funds at Research Institutions." When their proposed project is selected, the head of the host institution and the center director must submit a document to MEXT confirming that all of the researchers in the project have completed the required educational courses both on ethics in research and on compliance, and stating that they understand the content of these courses.

i. Security Export Control Policy (Prevention on Technological Leakage)

Many research organizations are carrying out leading-edge research and in the process of their internationalization are increasing the number of foreign students and overseas researchers that they host, which is causing an outflow of advanced technologies, research materials, machinery components and other items that can be misused in developing and producing of weapons of mass destruction (WMD). Accordingly, when research activities are carried out at WPI centers, their host institutions are to take systematic measures to prevent the leakage of the research results to WMD developers or terrorists.

In Japan, export controls (*4) 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.

Beginning with the Foreign Exchange Law, Japan's laws and regulations, guidelines and directives are to be strictly observed. If they are violated when carrying out research, penalties and punishments will be imposed per those laws and regulations, grant funding will be stopped, and the grant disbursal decision retracted.

(*4) 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 tools, etc., and ②"Catch-all regulation" which requires permission of the Minister of Economy, Trade and Industry when exporting cargo or providing technologies 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 the export of cargo but also provision of technology is subject to regulation under the Foreign Exchange Law. When providing "List rules" technology to nonresidents or providing it in a foreign country, prior permission for such 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, and CD, DVD, USB memories, but also providing working knowledge and technical assistance at seminars through technical instruction, skill training, etc.

Researchers should be aware that there may be cases in which technologies subject to regulation under the Foreign Exchange Law are involved when mentoring foreign students and/or conducting joint research activities with overseas groups.

The details of the Security Export Control Policy are provided on the website of Ministry of Economy, Trade and Industry.

・Ministry of Economy, Trade and Industry: Security Trade Control (General) Division
http://www.meti.go.jp/policy/anpo/

・Ministry of Economy, Trade and Industry: Handbook of Security Export Control Policy
http://www.meti.go.jp/policy/anpo/seminer/shiryo/handbook.pdf (only in Japanese)

・Center for Information on Security Trade Control
http://www.cistec.or.jp/english/index.html

・Guidance for Sensitive technology management regarding the Security Export Control Policy (for universities and research institutes)
http://www.meti.go.jp/policy/anpo/law_document/tutatu/t07sonota/t07sonota_jishukanri03.pdf (in Japanese)

j. Violations of relevant laws and statutes

In the event that falsified information is contained in the grant application materials or the center project is carried out in such a manner that violates relevant laws, statutes or guidelines, the grant award may be withheld or canceled.

(2) Public release of information

MEXT will release the names of the applying host institutions, of center projects, and of the center's director candidates at the time their applications are received. Regarding each project selected for a grant, MEXT will release additional information and an abstract of the proposed project.

(3) Miscellaneous

Applicants may not seek duplicate funding through this program for costs covered now or in the future by other grants from government or other organizations.

13. Contact information and calendar

(1) Contact

For solicitation and other application information:

Basic Research Promotion Division, Research Promotion Bureau,

Ministry of Education, Culture, Sports, Science and Technology (MEXT)

3-2-2 Kasumigaseki, Chiyoda-ku, Tokyo 100-8959, JAPAN

Tel: 03-5253-4111 (ext.4388) Fax: 03-6734-4074

Website: http://www.mext.go.jp/a_menu/kagaku/toplevel/

(Application forms and documents can be downloaded from these websites.)

(2) Schedule

The submission deadline for application documents (1st screening): 5 p.m. 3 April 2018 *

The submission deadline for application documents (2nd screening): 5 p.m. 1 June 2018 *

(*must arrive at JSPS by the deadline)

3rd selection (tentative): mid-September 2018

Start of project (tentative): October 2018

Attachment

1. <u>**Allowable Costs**</u>

(1) Personnel Costs (Excluding costs covered under research project funding)
  The grant may not be used to pay remunerations, retirement allowances or statutory welfare costs to
  board members of the host institution or other organizations.
    - The grant may be used to pay compensation to personnel (hereafter called "staffs and others")
      participating in the center project who have work contracts with the host institution or other
      organizations in the form of wages, salary, allowance, bonus, etc. (hereafter called "wages").
  The following may also be covered with the grant:
   - Money considered to be wages in funds dedicated to staffs and others' welfare
   - Payment of retirement allowances to staffs and others
   - Payment of statutory welfare costs for staffs and others
   - The following expenditures are excluded, even when coinciding with the above items:
        -- Payment of bonuses/retirement allowances or bonus allowances/retirement benefit
        allowances for periods other than those worked by the staffs and others at the research center.

(2) Project Activities Costs (Excluding costs covered under research project funding)
   The grant may be used under this category to cover costs required to implement the center project,
   excluding personnel, travel and facility/equipment costs. These include:
   - Items used by multiple researchers and staffs and placed in lot contracts by universities and
     research institutions for cost-effective purposes, and whose cost sharing is stipulated by regulation
   - Items stipulated by law or regulation as necessary in project implementation, such as medical
     examinations and film badges for workers whose main duty is in the center project
   - Start-up cost for researchers whose main duty is in the center project
   - Costs of leasing land, buildings and attached facilities and other structures used by the host
     institution in implementing the center project (when usage or other fees are stipulated by the host
     institution or in contracts)
   - The cost by the research center of using assets that are the property of the host institution (when
     usage or other fees are stipulated by the host institution)
   - The cost of statutory inspections on assets used in the center project or possessed by the host
     institution (e.g., maintenance inspections of fire-extinguishing equipment) and automobile weight
     taxes
   - The following expenditures are excluded, even when coinciding with the above items:
        -- Costs for welfare, except for those considered to be wages
        -- Fellowships and grants for doctoral students and similar support
        -- Luxury food and drink, including alcoholic beverages, served at receptions accompanying
          international research meetings held by the research center
        -- Indemnity insurance (except for the repair of damaged property/assets indispensable to the
          implementation of the center project), attorney fees, damage reparations and other costs
          related to the occurrence of accidents or disasters.

(3) Travel Costs (Excluding costs covered under research project funding)
   Costs of international and domestic travel, including train fees, per diem and lodging, required in
   implementing the center project.

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(4) Facility/Equipment Costs (Excluding costs covered under research project funding)
- The grant may be used to cover tangible capital expenditures that are essential and fundamental to implementing the center project, including machinery and devices and attached facilities, equipment, tools, instruments, fixtures and books. The purchase, manufacture, lease, reform, repair and installation of such facilities and equipment are also covered.
- Capital expenditures are covered when related to the renovation and repair of buildings, attached facilities and other structures necessary for implementing the center project, including the installation of attached facilities (costs related to the renovation of buildings or facilities when machinery, devices or other equipment necessary for implementing the center project are installed; costs related to the installation and maintenance of staff rooms and laboratories.

The following items are not covered:
- Capital expenditures for purchasing or leasing land, buildings, attached facilities or other structures used in implementing the center project.

(5) Other Expenditures Approved by the Minister of Education, Culture, Sports, Science and Technology. (Excluding costs covered under research project funding)
Some costs not specifically covered by the grant may be specially authorized for use by the Minister of Education, Culture, Sports, Science and Technology.
* Research Project Funding
Funding necessary for implementing within the center research projects based on concrete R&D topics

2. Examples of Eligible Costs
The following are examples of allowable use of the grant's cost component:
- Costs required for inviting researchers to the center, including their startup research funding, compensation, housing allowance, children's educational allowance.
- Costs required to support talented young researchers, such as research assistants and postdoctoral researchers
- Compensation of research support staffs and administrative staffs
- Costs required to carry out joint research with partner institutions
- Costs of outreach activities including holding international research conferences and similar meetings
- Costs to secure space for satellite functions
- Costs of developing, installing, and operating cutting-edge equipment necessary to the project
- Costs of travel and lodging for researchers attending research conferences and similar meetings