

2016

Leading Initiative for Excellent Young  
Researchers

Application Guidelines

Science and Technology Policy Bureau, MEXT

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## 1. Project Objectives

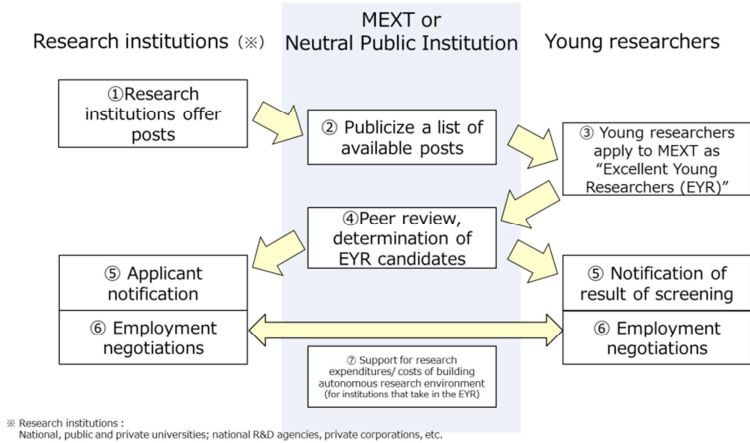
In recent years, short-term employment and job insecurity for young researchers have meant that the environment for them is conducive to neither challenging new areas of research nor to creative achievement. This has raised concern that the advance of Japan's scientific, technological and academic research cannot be sustained. In addition, low researcher mobility across industrial, academic and governmental sectors means knowledge is not transferred among researchers, making it difficult to deal with the global and rapid structural transformation of industry.

It is important, meanwhile, that universities, public research institutions, corporations and similar organizations take full responsibility to tackle career formation and development of young researchers in order to secure diversity, development and the success of human capital. The young researchers themselves must become aware of the need to carve out their own careers, enhance their own abilities, and take advantage of those abilities in a wide range of societal situations.

Against this backdrop, we will begin the *Leading Initiative for Excellent Young Researchers(LEADER)* in order to show new career paths to young researchers who can succeed in the national-wide research institutions run by industry, academia and government, while creating a stable and autonomous position for young researchers that is conducive to tackling new areas of research.

## 2. Project Overview

The Ministry of Education, Culture, Sports, Science and Technology (MEXT) will start this project by searching for posts at research institutions looking for excellent young researchers and will then publish a list of those which meet the conditions for this project on MEXT's website. MEXT will in parallel recruit young researchers directly. Then, neutral public institutions will conduct a peer review of the young researchers, and MEXT will determine the excellent young researcher candidates. MEXT will provide support for research expenditures and costs of building autonomous research environment for a set period of time, according to need, after determining the excellent young researcher, in the event that negotiations between each research institution and the excellent young researcher candidate result in the hiring by the research institution of the corresponding candidate.



(1) Posts requirement to be publicized

Only posts that meet the following requirements are to be publicized:

a. Requirements for research institutions

The institutions must fall under any of the following:

- Universities (prescribed in Article 1 of the School Education Act (Act No. 26 of 1947).)  
However, this does not include universities determined to be incompatible as a result of the most recent evaluation by an institution authorized by the Minister of MEXT according to the provision in Article 109 of the School Education Act.
- Colleges of technology (colleges of technology prescribed in Article 1 of the School Education Act)
- Inter-University Research Institute Corporations, which are prescribed in paragraph 4, Article 2, National University Corporation Act (Act No. 112 of 2008).
- National Research and Development Agencies, which are prescribed in paragraph 3, Article 2 of the Act on General Rules for Independent Administrative Agencies (Act No. 103 of 1999).
- Public Research and Development Institutes
- Companies incorporated in Japan (engaged in research and development activities)

\*Please note that as shown in “6. Points to be considered” below, having registered in the Cross-ministerial R&D Management System (e-Rad), an institution seeking subsidies shown in 2.(5) below must develop a system based on “Guidelines for the Management and Audit of Public Research Funds In Research Institutions (practice standards),” (decided by the Minister of MEXT on February 15, 2007 and revised on February 18, 2014), submit "*Taisei Seibi nado Jiko Hyoka Checklist* (Self-Evaluation Checklist on System Development, etc.)", and develop the system based on "Guidelines for Responding to Misconduct in Research," (decided by the Minister of MEXT on August 26, 2014) and ensure that Excellent Young Researchers (EYR) learn responsible conduct of research .

b. Areas of research/form of employment of posts to be publicized

[Areas of research]

All areas of humanities, social sciences, and natural sciences

[Form of employment]

The posts to be publicized shall be based on the future plans of the institution under the leadership of the institute director (e.g.: a president of university) and satisfy any form of employment shown below. In principle, an annual salary system is applied to the pay structure.

- Employment is to be carried out under the tenure-tracking system or another similar fair, transparent, and stable personnel system. Furthermore, a research institution that applies a certain fixed-term employment system setting a limitation on the number of reappointment to all higher ranking positions (equivalent to professors) can employ a person in the post according to regulations, etc. formulated/published by research institutions.

○Indefinite-term employment.

c. Research environment

- ① Build an autonomous research environment so that EYRs can set their own research themes by themselves and carry out the research. (e.g. placement of mentors, provide assistance for raising research funds, improve the research support system, ensure the research space, placement of shared equipment, assignment of graduate students to laboratories as chief advisors, etc.)
- ② Assuming total office hours per year of 100%, in principle, EYRs should spend 50% or more on making efforts to conduct research activities for 5 years after employment (within the range of 50 % or more, it is acceptable to set this to 70% or 80% depending on features of a research institution).

d. Recommendation scheme

Before review (peer review), each research institution can select new employees from those who want to be hired through a publicized post and submit a nominee (more than one nominee is acceptable for one post) to MEXT. Each research institution shall clarify whether to use a recommendation scheme or not in offering the post. If the institution does use such a scheme, it cannot accept any individual other than the nominee in the final employment negotiations with EYR candidates. Furthermore, a nominee should be selected through an impartial and fair process. A recommendation will be considered in determining EYR candidates.

In addition, in consideration of the stated aim of fair and transparent selection and assurance of the independence of young researchers, researchers who belong to the same laboratory during the doctor's course (hereinafter, "Alma Mater's Laboratory") or the laboratory he/she belongs to at the time of application (hereinafter, the "Current Laboratory,") or researchers who have already been employed for the post (employed on April 1, 2016, etc.) before the peer review, cannot be recommended to a post using the recommendation scheme.

e. Start time of employment

As a rule, the start time of employment in research institutions is in FY 2016. However, those who can receive the support of subsidies shown in 2. (5) below in FY 2016 have to complete the employment negotiation by the end of September 2016 as shown in "3. Screening Method" below.

f. Points to be considered

- Each company can set employment term, job titles/duties, etc. based on characteristics of its business for requirements in b. and c. above.
- Until EYR candidates are determined and the employment negotiation starts, refrain from employing researchers and offering publicized posts.
- EYRs are expected to proactively work with research institutions of

industry-academia-government all over Japan as their field. Furthermore, it is also desirable for EYRs to utilize actively the cross-appointment system in research institutions.

(2) Publicize the post list

Research institutions offer post(s) based on an application form to MEXT. MEXT checks the post(s), from the viewpoint of conformance with requirements shown in 2.(1) above, lists posts that meet requirements and publicize the list through MEXT's web site. On this occasion, as for detailed information on the post(s), as a matter of principle both in Japanese and English, register the post(s) in JREC-IN Portal (<https://jrecin.jst.go.jp/seek/SeekTop>) operated by the Japan Science and Technology Agency (JST) or disclose them on web sites of research institutions.

(3) Requirements for applicants (researchers)

The requirements for applicants (researchers) are as follows. They must meet all these requirements at the time of application.

a. Attained academic degree, etc.

Those who satisfied all requirements in ① through ③ below:

- ① Those who have received a doctor's degree, or those who have acquired all the predetermined credit in graduate school doctoral programs for the standard term of study or more and completed the doctoral program without a doctoral degree (referred to as “those who completed the doctoral program without a doctoral degree”)
- ② As of April 1, 2017, those who are less than 40 years old (those who are less than 43 years are accepted in the medical field, which requires clinical training)
- ③ Those who have research experience at one or more research institution(s) after receiving a doctoral degree or the completion of the doctoral program without a doctoral degree (including the experience before acquiring the degree in case of an adult student who participates part-time)

b. Nationality

Those who fall under any of the following:

- ① Those who have Japanese nationality or foreigners who have obtained permission for permanent residence
- ② Those who have nationality of countries which have diplomatic relations with Japan (Taiwanese or Palestinian researchers are treated in accordance with this.)

c. Points to be considered

Unless due to the following unavoidable grounds, it is desirable that EYRs carry out research in a research institution other than the Alma Mater's Laboratory and the Current Laboratory, because they are required to set research themes independently, carry out research as a laboratory director or a quasi director and address a new research task, at industry-academia-government research institutes all over Japan.

(Unavoidable grounds)

- It is difficult for the EYR to be engaged in researches in a laboratory other than the Alma Mater's Laboratory and the Current Laboratory due to a physical challenge, childbirth/childcare, etc.
- Purposes/contents and plans of researches make it extremely difficult to change a research laboratory to the one other than the Alma Mater's Laboratory and the Current Laboratory in the current status of researches of research institutions in Japan.

(4) The scheduled number of excellent young researchers (EYRs)

MEXT plans to newly determine around 150 EYRs (of these, 120 will be supported through subsidies shown in 2.(5) below) in FY2016.

(5) Expenses eligible for the subsidy (research expenditures and costs of building research environment)

In this project, MEXT will grant the following as Funds for the Development of Human Resources in Science and Technology (hereinafter "Funds") to research institutions wishing to be supported for expenses for EYRs to carry out research in a stable and independent way. Furthermore, the establishment of budget is a prior condition for this project. In addition, the amount of Funds in and after FY 2017 may be reduced by fiscal conditions. Furthermore, as a matter of principle, the types of available expenses are shown in Appended Tables 1 and 2.

In addition, to eliminate the excessive concentration of support to one particular research institution, the upper limit of the total Funds to a research institution, which starts the support in FY 2016, is set at 100 million yen.

① Research expenditures for EYRs

For the first 1-2 fiscal years after adoption, 6 million yen per person per fiscal year or less is provided to support research expenditures required for the startup of EYR. For humanities and social sciences, however, the upper limit is 4 million yen per fiscal year.

② Costs of building research environment

To build a system to enable EYRs and other young researchers to carry out research in a stable and autonomous way, the amount calculated by multiplying 3 million yen - in the first 1-2 fiscal years after adoption (in case of humanities and social sciences, 2 million yen a fiscal year) or 2 million yen in the following 3-5 fiscal years - by the number of EYRs belonging to a research institute, is provided as an upper limit to support costs related to the building research environment (for example, salaries for research assistants, gratuities for mentors and expenses required to purchase/repair shared research equipment, etc., and to hold a conference to evaluate EYRs).

Furthermore, when an EYR is transferred from the initial research institution, the support as described above is not provided from the following fiscal year to neither the original research institution nor the transfer destination. However, when an EYR is transferred to a post in a new list

released in and after 2017, the above-mentioned support will continue to be provided to the transfer destination research institute in and after the following fiscal year.

(6) Exclusion of redundant support

Please note that this project cannot offer redundant support for the same researcher if a research institute gets a support from other Funds for the Development of Human Resources in Science and Technology projects (“Building a Consortia for the Development of Human Resources in Science and Technology” project, etc.)

3. Screening method
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(1) Selection of EYR candidates

A review is carried out to select EYR candidates (hereinafter, the “Candidates”) by the EYR Selection Committee (hereinafter, the “Selection Committee”) established by an operator selected by MEXT, which carries out the review (hereinafter, the “Review Operator”).

A review (peer review) is conducted through document screening and interviews based on application documents (Forms 3 and 4) submitted by applicants. (Please see “2016 Review Guidelines for Leading Initiative for Excellent Young Researchers (LEADER).”) However, interview examinations shall be conducted only for candidates who have passed document screening. The Review Operator shall notify candidates to be interviewed of the interview procedure, date, and additionally required documents, etc.. Those not qualifying for interview will be notified thereof.

Based on review results by the Selection Committee, MEXT determines candidates and notifies them. Those who received interview but are not selected as candidates are notified thereof.

(2) Determination as EYRs

If the employment negotiation is complete by the end of September 2016 between a research institute, which offered publicized posts, (hereinafter, the “Participating Institute”) and a candidate, and employment starts in FY 2016, MEXT will determine the candidates as EYRs. We assume that employment negotiations consist of ①after MEXT or the Review Operator notifies the institution that the candidate wants to work for, the relevant parties get in touch with each other and ② after MEXT or the Review Operator distributes the list of candidates (who want to disclose the information to institutes other than the one they want to work for) to all Participating Institutes, the parties contact each other directly or by JREC-IN Portal, etc. We will inform of the detailed process after the completion of the document screening.

In addition, we assume offered posts are filled by candidates whose employment negotiations will be complete from October 2016 through the end of March 2017, and that the candidates who start to



be hired in FY 2017 as a result of the employment negotiations are to be determined as EYRs. The support prescribed in 2.(5) above may be eligible for subsidies in FY 2017 and beyond. In addition, for candidates whose employment negotiation is not complete in FY 2016, the employment negotiation will be conducted with a research institute, which offers posts publicized as those adopted in FY 2017 after the candidates indicate the desire to be employed again to MEXT without any review (peer review).

#### 4. Application method

Follow the following method to apply for this project. Furthermore, documents required for application including forms such as application documents can be downloaded from MEXT web site ([http://www.mext.go.jp/a\\_menu/jinzai/takuetsu/index.htm](http://www.mext.go.jp/a_menu/jinzai/takuetsu/index.htm)). However, as for Forms 3-8, forms that can be edited will appear in March 2016.

##### (1) Research institution

###### (a) Application documents

Please fill in necessary matters in the attached application forms (Forms 1 and 2) and submit them.

※An institution wishing to receive funds needs to submit a “*Taisei Seibi nado Jiko Hyoka Checklist*

(Self-Evaluation Checklist on System Development, etc.)” based on “Guidelines for Managing and Auditing Public Research Funds at Research Institutions (Implementation Standard)” as well as this application document to: Office of Research Funding Administration, Promotion Policy Division, Research Promotion Bureau, MEXT. (See “6. Point to be considered (3)” below for details.)

###### (b) Application period

From 2:00 p.m., Friday, Feb. 5, 2016 to 5:00 p.m., Monday, March 14, 2016 (strict observance of time limits)

###### (c) Submission method

Submit application documents by e-mail: in case of Form 1, after converting into PDF file and in case of Form 2, maintain Excel file format. Furthermore, the submission of application documents by post, bringing in person, or FAX is not acceptable. If submission by e-mail is difficult, please consult us.

- The subject of this e-mail should be “[EYR project application] Institution Name.”
- Add an “institution name” to an attached file name and send the file.
- If more than one post is offered, in case of Form 2, create another file per post and submit it.

- Due to our e-mail server, the file capacity attached to one e-mail is 10 MB or less in total. Furthermore, if the capacity is exceeded, divide the file and send the data.
- After receiving a mail, make a receipt notification by e-mail to a sender within the next day (excluding Saturday, Sunday, and holidays). Immediately let us inform if no receipt notification reaches in one or two days after sending an e-mail.

(d) Submit to

E-Mail: [takuetsu@mext.go.jp](mailto:takuetsu@mext.go.jp)

(e) Others

- Publicize the posts offered by research institutions that satisfy requirements in 2.(1) above.
- As for the items not described in the Form 2, release them through in the JST's JREC-IN Portal (<https://jrecin.jst.go.jp/seek/SeekTop>) or through the research institution's web site, immediately after releasing the list as shown above. For registering in JREC-IN Portal, input items according to Reference 2.

(2) Applicants (Researchers)

(a) Application documents

Please fill in necessary matters in the attached application forms (Forms 3-5) and submit them. At the same time, submit two evaluation statements (Form 6) from researchers who understand the applicant's research well (researchers belonging to the Alma Mater's Laboratory or the Current Laboratory, or another institution, etc.)

(b) Application period

An application form (Forms 3-5) and an evaluation statement (Form 6)

From 10:00 a.m., Monday, Apr. 11, 2016 to 5:00 p.m., Monday, May 9, 2016 (strict observance of time limits)

(c) Submission method/submit to

Submit an application through e-Rad (<http://www.e-rad.go.jp>). In this case, please note "6. Point to be considered (14)" below. If you don't have a login ID/password, please complete the researcher registration immediately.

(e) Precautions for application documents and selection

If any material misstatement is found in an application document, adoption may be canceled and support discontinued even after adoption.

(e) Others

The load on e-Rad system is huge just before a due date. A problem may occur: for example, it takes time to send an application, or the application cannot be completed. Please complete

the application with plenty of time to spare.

Whole or part of information in application documents are disclosed to institutions an applicant wants to work for. In addition, whole or part of information in application documents are disclosed to other Participating Institutes if an applicant indicates his/her intention to disclose the information to the other institutes in Form 5.

(3) If a nominee is determined (in applicable cases only (related to 2.(1) d above))

In terms of a post utilizing the recommendation scheme, when a nominee is determined in the Participating Institute offering such post, the institute should submit required documents according to the following provisions:

(a) Documents to be submitted (recommendation for EYR candidate)

Please fill in necessary matters in an attached document to be submitted (Forms 7) and submit it.

(b) Period for submission

From 10:00 a.m., Tuesday, May 10, 2016 to 5:00 p.m., Friday, Jun. 10, 2016 (\* time limits must be strictly observed)      **【revised on April 8】**

(c) Submission method

Submit documents by e-mail after converting into PDF file in the case of Form 7. Furthermore, the submission of application documents by post, bringing in person, or FAX is not acceptable. If submission by e-mail is difficult, please consult us.

- The subject of sent e-mail should be “[EYR candidate recommendation] Institution Name.”
- Add an “institution name” to an attached file name and send the file.
- If the recommendation system is used for more than one post, in case of Form 7, create another file per post and submit it.
- After receiving an e-mail, send a receipt notification by e-mail to a sender within the following day (excluding Saturday, Sunday, and holidays). Immediately let us inform if no receipt notification reaches in one or two days after sending an e-mail.

(d) Submit to

E-Mail: [takuetsu@mext.go.jp](mailto:takuetsu@mext.go.jp)

(4) If the employment negotiation between the Participating Institute and the candidate has been completed:

If the employment negotiation between the Participating Institute and the candidate has been completed, the institution should submit required documents as follows:

(a) Documents to be submitted (employment negotiation completion report)

Please fill in necessary matters in an attached document to be submitted (Forms 8) and submit

it.

(b) Period for submission

From 10:00 a.m., Monday, Aug. 8, 2016 to 5:00 p.m., Friday, Sept. 30, 2016 (\*time limits are to be strictly observed)

\*If the employment negotiation is completed between a research institution and a candidate from October 2016 through the end of March 2017, fill in necessary matters in a document submitted (Form 8) and submit it for each case. In this case, for the budget adjustment, Funds may be granted for the support from 2017.

(c) Submission method

Submit documents by e-mail after converting into PDF file as per Form 8. Furthermore, the submission of application documents by post, bringing in person, or FAX is not acceptable. If the submission by e-mail is difficult, please consult us.

- The subject of sent e-mail should be “[EYR candidate determined] Institution Name.”
- Add an “institution name” to an attached file name and send the file.
- After receiving an e-mail, make a receipt notification by e-mail to a sender within the next day (excluding Saturday, Sunday, and holidays). Immediately let us know if no receipt notification reaches in one or two days after sending an e-mail.

(d) Submit to

E-Mail: [takuetsu@mext.go.jp](mailto:takuetsu@mext.go.jp)

5. Implementing of initiatives
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- (1) Of the research institutions that determine to accept a candidate after the selection and the employment negotiation shown in 3. above, the institution that wishes to receive Fund support for research expenditures, etc., shown in 2.(5) above (hereinafter, the “Support Institution”) should create annual plan based on application documents (both a researcher/the research institution) and the employment negotiation completion report as well as the integration of expenses responding to the plan (hereinafter, the “Plans, etc.”) and submit them to MEXT. After MEXT checks the contents of a submitted plan, etc., MEXT may ask for amendment.
- (2) Funds are granted based on Funds payment guidelines specified separately.
- (3) Support Institutions should calculate from the first fiscal year when EYRs are hired, promptly create a result report on business implementation status, etc., in the third and fifth fiscal year (after that, every three fiscal year as far as any EYR who has belonged to the institution within 5 fiscal years after the adoption), and submit the report to MEXT through an institution specified by MEXT.
- (4) The business will be evaluated in the year following the submission of the report based on the result report. A document screening and a hearing review will be conducted as required for review.

- (5) To promote the science and technology innovation human resource development in Japan and improve the Leading Initiative for Excellent Young Researchers, activity status of the research institution and EYRs will be surveyed after the adoption and for about 10 years subsequently. Your cooperation is appreciated.

6. Points to be considered
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Of an institution (Support Institution) and an applicant(s) wishing to get a support through the Funds, a person hired by the institution should pay attention to the following matters (1) through (17). The other institutions and other applicants should pay attention to the following matters (14) through (17).

(1) Execution and management of business

Proper accounting management should be conducted for these Funds according to the “Act on Regulation of Execution of Budget Pertaining to Subsidies, etc.,” the “Order of the Act on Regulation of Execution of Budget Pertaining to Subsidies, etc.,” “Guidelines on Grant for Funds for the Development of Human Resources in Science and Technology,” and “Guidelines on Funds for the Development of Human Resources in Science and Technology.”

Clearly classify the accountings of the Funds from the others, prepare reports showing details of the income and expenditure, organize documentary evidence on income and expenditure, and save these reports and documents for five years from the year following the granting.

Furthermore, any purchase of equipment and fixtures, etc., shall be managed under due care of a prudent manager within the support period and subsequently. Funds shall be managed efficiently according to the purpose of Funds.

(2) Improvement of the system according to “Guidelines for the Management and Audit of Public Research Funds In Research Institutions (practice standards)”

In applying for this project and carrying out research, etc., research institutions need to comply with details of "Guidelines for the Management and Audit of Public Research Funds In Research Institutions (practice standards)" (revised in Feb. 18, 2014) (\*1).

Research institutions shall strive to develop a management/auditing system for research expenditures under their responsibilities and execute proper research expenditures in accordance with the marking guideline.

If results of investigation into the system development status based on the marking guideline lead MEXT to find deficiency of the system development, etc. of a research institution, we may take measures for the institution to reduce indirect expenses of all competitive funds.

\*1 Please refer to the following web site for “Guidelines for the Management and Audit of Public Research Funds In Research Institutions (practice standards),”

URL: [http://www.mext.go.jp/a\\_menu/kansa/houkoku/1343904.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1343904.htm)

(3) Submission of a “*Taisei Seibi nado Jiko Hyoka Checklist* (Self-Evaluation Checklist on System Development, etc.)” based on “Guidelines for the Management and Audit of Public Research Funds In Research Institutions (practice standards)”

To apply for this project, research institutions need to submit “*Taisei Seibi nado Jiko Hyoka Checklist* (Self-Evaluation Checklist on System Development, etc.)” (hereinafter, the “Checklist”), which is a report stating developments of management/audit of research funds and the corresponding status based on the guideline. (An application without submitting the checklist is not accepted.)

Therefore, research institutions need to submit the Checklist to Office of Research Funding Administration, Promotion Policy Division, Research Promotion Bureau, MEXT by Monday, March 14, 2016 based on the form in the following web site by using the Cross-ministerial Research and Development Management System (e-Rad). However, if it has already submitted the checklist on a separate occasion since September 2015, the institution does not have to submit a new one this time. Please check the following MEXT web site for details of the submission method for the Checklist.

URL: [http://www.mext.go.jp/a\\_menu/kansa/houkoku/1301688.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1301688.htm)

\*An environment where e-Rad is available is essential for submission. A research institution that has not applied for registration in e-Rad should promptly go through the procedure. (Please exercise great caution because it usually takes about two weeks for registration. As for the detailed procedure concerning e-Rad use, check the following web site along with the detailed submission method shown in the web site above.

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

Furthermore, as the marking guideline includes the viewpoints of the “promotion of information transmission/sharing,” please show this checklist on the research institution's web site, etc., and actively transmit information.

(4) Responses to the illegal use and receipt

The following strict measures are taken against the illegal use and receipt of research funds on this project (hereinafter, the “Illegal Use, etc.”).

○Measures for the cases where the Illegal Use, etc. is detected

(i) Measures to cancel agreements, etc.

Cancel/change the decision to grant Funds to a task where the Illegal Use, etc. is detected, and ask for the return of all or part of Funds. In addition, the grant of Funds in and after the next year may not be determined.

(ii) Measures to restrict applications and participation<sup>\*1</sup>, etc.

Take measures to restrict the application to or participation in this project or give a serious

warning if a researcher has made the Illegal Use of research funds on this project (including the case where a researcher conspired the Illegal Use, etc.; hereinafter the “Researcher who Has Made the Illegal Use, etc.”) and if the Illegal Use, etc. of a researcher is not recognized but the researcher failed his/her duty to be a good administrator\*2.

In addition, the outline of the Illegal Use, etc. of a staff responsible for other competitive funds including other ministers and incorporated administrative agencies of other ministers (a name of a researcher who made the Illegal Use, etc., project name, institution that he/she belongs to, research tasks, budget, research year, details of illegal action, etc., and details of implemented measures) may be provided.

\*1 “Applications and participation” means a suggestion of and an application for a new task, and new participation in research as a joint researcher, a research task in process (ongoing task) as a principal investigator or a joint researcher.

\*2 The “researcher who failed his/her duty to be a good administrator” is a researcher whose Illegal Use, etc. is not recognized but who failed his/her duty to be a good administrator.

Those for whom application is restricted due to the illegal use and receipt	Extent of illegal use		Application restriction period*3(from the year following the return of Funds, etc.*4)
1. Researchers who have made the Illegal Use, etc., and those who have conspired the Illegal Use, etc.;	(1) Spend Funds for private purposes for their own benefit		10 years
	(2) Other	① It is judged that the influence on the society is large and that the maliciousness of conduct is high.	5 years
		② Other than ① and ③	2-4 years
		③ It is judged that the influence on the society is small and that the maliciousness of conduct is low.	1 year
2. A researcher who acquires competitive funds through deception or other improper means, and a conspiratorial			5 years

researcher		
3. A researcher who was not directly involved in the the Illegal Use but failed his/her duty to be a good administrator and spend Funds		Half of the application restriction period for researchers who made the Illegal Use (the upper limit is 2 years, the lower 1, and fractions omitted)

\*3 In the following cases, applications and participation are not restricted and a serious warning is issued.

- In the case of 1, it is judged that the influence on the society is small and that the maliciousness of conduct is low, and the illegally used amount is small.
- In the case of 3, a researcher whose influence on the society is small and whose maliciousness of conduct is judged to be low has failed his/her duty to be a good administrator

\*4 The participation is restricted in the year when Funds are returned.

(iii) Release of false cases

As a rule, MEXT publicizes illegal cases (project name, overview of the illegal case (project name, institution that a researcher belongs to, research year, details of illegal actions, and details of implemented measures) of researchers whose application and participation are restricted due to the Illegal Use, etc. and who failed their duty to be a good administrator.

Furthermore, in “Guidelines for the Management and Audit of Public Research Funds In Research Institutions (practice standards),” as it stipulates that a research institution should promptly publicize investigation results if the investigation finds any illegal action, thus, research institutions shall need to cope with it in accordance with the guidelines.

URL: [http://www.mext.go.jp/a\\_menu/kansa/houkoku/1364929.htm](http://www.mext.go.jp/a_menu/kansa/houkoku/1364929.htm)

(5) Measures against researchers whose application and participation are restricted in the competitive fund system and other support projects for the Development of Human Resources in Science and Technology

Suppose due to irregular use of research funds, researchers are restricted in competitive fund systems or other support projects for the Development of Human Resources in Science and Technology\* provided by the government or incorporated agencies. Their applications and participation are also restricted in this project during the period when their applicant eligibility in



such system and projects is restricted.

The competitive fund system and other Funds for the Development of Human Resources in Science and Technology projects include the system which starts new public offering in and after 2016. Furthermore, systems completed in or before 2015 are also included.

\* Please see the following web site for the systems to be currently targeted.

URL: [http://www8.cao.go.jp/cstp/compefund/kyoukin26\\_seido\\_ichiran.pdf](http://www8.cao.go.jp/cstp/compefund/kyoukin26_seido_ichiran.pdf)

(6) Development of the system based on “Guidelines for Responding to Misconduct in Research”

Research institutions are required to comply with “Guidelines for Responding to Misconduct in Research” (Adapted on August 26, 2014 by the Minister of MEXT; hereinafter, the “Guideline”) (\*1) in applying for this project and implementing research activities.

If MEXT finds deficiencies such as underdevelopment of the system and regulations and non-execution of research ethics education in the investigation of the system development status based on the guideline, MEXT may take measures against the relevant institutions to reduce indirect expenses of all competitive funds.

※ Please refer to the following web site for “Guidelines for Responding to Misconduct in Research.”

URL: [http://www.mext.go.jp/b\\_menu/houdou/26/08/1351568.htm](http://www.mext.go.jp/b_menu/houdou/26/08/1351568.htm)

(7) Measures against misconducts in research activities

If misconducts (forgery, interpolation, and theft) in research activities are found in this project, the following measures based on the guideline will be implemented:

○Measures against misconducts found in research activities

(i) Measures to cancel agreements, etc.

If any misconduct is found in activities related to research tasks of this project, it will be possible to cancel/change the decision to grant Funds, and ask for the return of all or part of Funds. In addition, some agreements may not be concluded in and after the next year.

(ii) Measures to restrict applications and participation, etc.

As shown in the following table, we will take measures to restrict application to and participation in this project against a researcher whose misconduct is found in research papers and reports, etc. and a researcher whose involvement in misconducts is not recognized but who fails to fulfill his/her duty as a good researcher responsible for the theses and report, etc. and fails to take full responsibility according to maliciousness of illegal actions and the extent of responsibilities.

In addition, when such restriction measures are taken, the information on misconducts may be provided to persons in charge of the competitive fund systems implemented by MEXT or the incorporated administrative agencies of MEXT (hereinafter “MEXT-related Competitive Fund System, etc.”) and those in charge of in charge of the competitive fund system implemented by other Ministers and their incorporated administrative agencies (hereinafter, “Other

Ministry-related Competitive Fund System, etc.”) Then, applications and participation in MEXT-related Competitive Fund System, etc. and Other Ministry-related Competitive Fund System, etc.” may also be restricted.

Those whose application is restricted due to the illegal use		Extent of misconducts	Application restriction period (from the year following the recognition of illegal actions *2)	
Those involved in misconducts	1. Especially malevolent person, who intends to commit misconduct from the very beginning of a research		10 years	
	2. An author of thesis, etc., related to a research where misconduct is found	An author who is responsible for the thesis, etc., (supervisor, representative author, or a person certified as the one who bear responsibility equally with these persons)	It is judged that the influence on the research progress in the field and the society is large and that the maliciousness of conduct is high	5-7 years
			It is judged that the influence on the research progress in the field and the society is small and that the maliciousness of conduct is low	3-5 years
		Authors other than the above		2-3 years
	3. Those involved in misconducts excluding 1. and 2.			2-3 years
An author who is not involved in misconducts but is responsible for a thesis, etc., on researches involved in misconducts (supervisor, representative author, or a person certified as the one who bear responsibility equally with these persons)		It is judged that the influence on the research progress in the field and the society is large and that the maliciousness of conduct is high	2-3 years	

	It is judged that the influence on the research progress in the field and the society is small and that the maliciousness of conduct is low	1-2 years
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\*2 The participation is restricted in the year when misconducts and etc. are found.

(iii) Measures against researchers whose application and participation are restricted in the other competitive fund systems and basic expenses

Researchers whose application and participation are restricted due to misconducts in research activities utilizing MEXT-related competitive fund systems other than this project, operational grants for the national university corporation, Inter-University Research Institute Corporations, and incorporated administrative agencies within the jurisdiction of MEXT, basic expenses including funds to private schools, and competitive fund system related to other Ministries are restricted from applying to and participating in this project during the time.

(iv) Public announcement of false cases

If any misconduct in research activities are found in this project, as a rule, MEXT shall publicize details of the case (false case name, types of misconducts, types of research field of false case, a name of expenses where any misconduct is made, overview of the false case, measures taken by research institution and by a distributing agency).

In addition, the guidelines require research institutions to promptly publicize investigation results when any misconduct is found. Research institutions should properly satisfy this requirement.

URL: [http://www.mext.go.jp/a\\_menu/jinzai/fusei/1360839.htm](http://www.mext.go.jp/a_menu/jinzai/fusei/1360839.htm)

(8) Obligation to obtain research ethics education

Researchers, etc. who participate in a research task in this project will take a program on research ethics education or attend a class provided by a research institution a researcher belongs to in order to prevent any research misconduct in advance.

After a proposed research task is adopted, a person responsible for implementation will take a program on research ethics education by himself/herself, or attend a class of research ethics education provided by a research institution he/she belongs to. In addition, he/she will be required to promise not to commit any misconduct and inform the obligation for the education of his/her joint researchers with an aim of understand its contents as well as submit documents for confirmation of these.

<p>(When a person responsible for implementation is not a researcher) Create an oath referring to the following. ---</p> <p style="text-align: right;">MM DD, YYYY</p> <p>To: the Minister of MEXT Dean of XYZ University Obligation to Obtain Research Ethics Education</p> <p>I promise I will make it known that researchers participating in this research task are obliged to take a program on research ethics education or attend a class of research ethics education provided by a research institution they belong to and make them understand the contents thereof..</p>	<p>(When a person responsible for implementation is a researcher) Create an oath referring to the following. ---</p> <p style="text-align: right;">MM DD, YYYY</p> <p>To: the Minister of MEXT XYZ Obligation to Obtain Research Ethics Education</p> <p>I promise I will take a program on research ethics education or attend a class of research ethics education provided by a research institution I belong to, will not commit any misconduct, will make it known to researchers participating in this research task that they are obliged to take a program on research ethics education or attend a class of research ethics education provided by a research institution they belong to, and make them understand the contents thereof</p>
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(9) Measures to be taken in case of violating related laws and regulations, etc.

If a researcher violates related laws and regulations/guidelines, etc., and implement his/her research activities, Funds may not be granted or canceled.

(10) Carrying-over

If it is difficult to conduct a preliminary survey or determine the research method in the test research along with the progress of project, and if it is difficult to expect the completion of payment within a year due to various conditions concerning plans or designs, climates, difficulty to obtain materials, and other unavoidable grounds, carrying-over may be accepted by the end of the next year at the longest after receiving approval from the Minister of Finance.

(11) Items related to the promotion of public utilization of research facility/equipment

“Competitive Research Fund Reform toward Sustainable Creation of Research Results (interim report)” (Investigative Commission on Competitive Research Expenditures Reform on June 24, 2015) stipulates relatively large-sized facility/equipment with high flexibility should be shared as a rule.

In addition, university and a National Research and Development Agency, etc. are required to operate “Research Facility/Equipment Sharing System in the Research Organization Unit” (hereinafter, “Equipment Sharing System”) in “Introduction of New Research Facility/Equipment Sharing Integrated with Research System Management” (November 2015 by Sub-committee, Council for Science and Technology of Advanced Research Infrastructure).

In light of these, it is desirable to actively work on sharing research facility/equipment to be purchased through this project, especially the large-sized facility/equipment with high flexibility as far as they are properly managed in accordance with the management conditions of other research

funds and the research facility/equipment sharing system of his/her belonging institution or organization to the extent that does not interfere with the promotion of the research task for this project, utilizing those purchased by other research expenditures as well as purchasing/sharing those using with several research expenditures.

In addition, it is also desirable to promote the sharing of research facility/equipment beyond frameworks of a research organization/institution by actively striving to collaborate with established sharing systems such as “University Collaboration Network for Efficient Utilization of Research Equipment” implemented by the Inter-University Research Institute Corporation National Institutes of Natural Sciences (NINS) with the aim of interoperation with equipment all over Japan and “Equipment Support Center Development Project” provided by national universities.

○“Introduction of New Research Facility/Equipment Sharing Integrated with Research System Management”

(November 25, 2015 by Sub-committee, Council for Science and Technology of Advanced Research Infrastructure)

URL:

[http://www.mext.go.jp/component/b\\_menu/shingi/toushin/\\_icsFiles/afieldfile/2016/01/21/1366216\\_01\\_1.pdf](http://www.mext.go.jp/component/b_menu/shingi/toushin/_icsFiles/afieldfile/2016/01/21/1366216_01_1.pdf)

○“Competitive Research Fund Reform toward Sustainable Creation of Research Results) (interim report)”

(Investigative Commission on Competitive Research Expenditures Reform on June 24, 2015)

URL: [http://www.mext.go.jp/b\\_menu/shingi/chousa/shinkou/039/gaiyou/1359306.htm](http://www.mext.go.jp/b_menu/shingi/chousa/shinkou/039/gaiyou/1359306.htm)

○Unification of the use rule, etc. in the competitive fund

(The agreement at the liaison meeting of relevant Ministries on the competitive fund on March 31, 2015)

URL: <http://www8.cao.go.jp/cstp/compefund/siyouruuru.pdf>

○“University Collaboration Network for Efficient Utilization of Research Equipment”

URL: <https://chem-eqnet.ims.ac.jp/>

## (12) Improvement of the treatment of students in doctor's course (Latter period)

In the Third, Forth and Fifth Science and Technology Basic Plan, it sets forth a numeric target, “aiming at the status where 20 % of students in Doctor's Course (Latter period) can receive the amount equivalent to living expenses,” to improve the economic support towards graduate students, especially students in Doctor's Course (Latter period) and to attract good students and other working members of society both nationally and internationally.

In addition, “*Mirai wo Kenin suru Daigakuin Kyoiku Kaikaku (Shingi Matome)* (Graduate School Education Reform for the Future (Summary of Discussions))” (Working Group on

Universities, Central Council for Education on September 15, 2015) requires to improve employment of RA (research assistant) for the doctoral students (Later period) by various financial resources, and to basically offer salaries in amounts equivalent to living expenses for RA and TA employments of doctoral students (Latter period).

Based on these, use this project to actively hire students in Doctor's Course (Latter period) as RA, aim at establishing a salary level equivalent to living expenses, and establish an appropriate level suitable for working hours.

(13) Support for various career paths for young postdoctoral researcher

In “Basic Policy on Support for Diverse Career Paths for Young Postdoctoral Fellows to Be Employed through the MEXT Public Research Funds” (December 20, 2011 by MEXT’s Science and Technology Academic Council’s Personnel Committee)

([http://www.mext.go.jp/b\\_menu/shingi/gijyutu/gijyutu10/toushin/1317945.htm](http://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu10/toushin/1317945.htm)), it requires “public research institutes and represent researchers that hire young postdoctoral researchers by public research funds to actively work on supporting them to ensure various career paths in and out of Japan.” Based on the policy, when your research is adopted by this project and hire the young postdoctoral researchers using the Funds, please make proactive efforts to support the establishment of various career path for such researcher.

(14) Preparation and submission of application documents

○The Cross-ministerial Research and Development Management System (e-Rad)

The Cross-ministerial Research and Development Management System (e-Rad) is a cross-ministerial system that moves online a series of processes related to R&D management (application reception →review→adoption→adoption task management →report results, etc.) with particular emphasis on the competitive fund system within the jurisdiction of Ministers and Agencies.

\* “e-Rad” is an abbreviated name of the Cross-ministerial Research and Development Management System. The initial characters of Research and Development with the initial character of Electric added.

○Application method by using e-Rad

Researchers will be required to make application through the Cross-ministerial Research and Development Management System (e-Rad). On the other hand, as other applications by research institutions will be submitted by e-mail, thus care should be taken.

Please refer to Reference 3 for the flow of application.

In addition, pay special attention to the following points at the time of application.

(i) Preliminary registration to use e-Rad

To use e-Rad, preliminary registration of research institutions and researchers are required.

Registration of research institutions

For application, it is necessary to have registered research institutions in e-Rad by the time of

application.

A research institution should appoint one staff responsible for e-RAD, and the staff should download a research institution registration form from the portal site and apply for registration. The registration process may require time. Please start the registration process at least 2 weeks before. Furthermore, once the registration is completed, no re-registration is required to apply for other system/project within the jurisdiction of other Ministries. In addition, if your research institution has already registered for system/project within the jurisdiction of other Ministries, no re-registration is required.

Registration of researcher information

A person in charge (PIC) at the time of application to this project is called a researcher. Research institutions are required to register PIC's researcher information and obtain log-in ID and password.

Refer to manuals for representatives and sub-clerical workers of administrative of research team shown in the portal site.

(ii) Enter application information in e-Rad

For entering information on the application to the system, refer to manual for researchers research team shown in the portal site.

Caution:

- Types of image files to be attached to electronic medium are “GIF,” “BMP,” and “PNG” formats only. If another format of image data is pasted, the medium cannot be correctly converted into PDF format. Please refer to the operation manual for researchers for how to paste an image data.
- The electronic medium to be uploaded is one file with the maximum capacity of 10 MB. Please contact Human Resources Policy Promotion Office, Human Resources Policy Division, Science and Technology Policy Bureau, MEXT for a file exceeding the capacity.
- The electronic medium form needs to be converted into PDF before uploading. Conversion into PDF format is available from the menu page after login. You can also download conversion software from the menu, install and use it in your PC. When you use external or special characters, etc., it is likely to get garbled, thus be sure to check the contents of converted PDF file in the system. Please refer to the manual for researchers for usable characters.
- If the “Application Status” in “Application/Task Management” screen in the system is not “Distributing Agency in Progress” by deadline for the submission, the application is invalid. In spite of correct operation, if “Distributing Agency in Progress” does not appear by deadline for the submission, please contact Human Resources Policy Division, Science and Technology Policy Bureau, MEXT.

(iii) Others

If any defect is present in application documents, the documents will not be reviewed. Read the

application guidelines and notes in an application form thoroughly and fill in documents carefully. (Do not alter the format of application documents.) Application documents cannot be replaced under any circumstances. In addition, we will not return application documents.

○ Others

(i) e-Rad operation method

The e-Rad operation method manual can be referred to or downloaded from the portal site (<http://www.e-rad.go.jp/>). Accept the user policy and file an application.

(ii) Contact information for how to operate the Cross-ministerial Research and Development Management System (e-Rad)

As before, Human Resources Policy Promotion Office, Human Resources Policy Division, Science and Technology Policy Bureau, MEXT will accept inquiries on the project itself. e-Rad help desk will accept inquiries on how to operate the Cross-ministerial Research and Development Management System (e-Rad). It is recommended to ensure that you carefully look at the EYR project web site and e-Rad portal site (hereinafter, the “Portal Site”) before your inquiring. Furthermore, we will never answer any inquiry on the review status and adoption or rejection.

Inquiry about the system/project and process, etc. concerning the preparation/submission of application documents	<b>【Human Resources Policy Division, Science and Technology Policy Bureau, MEXT】</b>	Phone: 03-6734-4051 E-mail: <a href="mailto:takuetsu@mext.go.jp">takuetsu@mext.go.jp</a>
Inquiry about how to operate the Cross-ministerial Research and Development Management System (e-Rad)	The Cross-ministerial Research and Development Management System (e-Rad) help desk	Phone: 0120-066-877 (by March 31, 2016) 0570-066-877 (navigation dial) (from April 1, 2016) 9:00 a.m. - 6:00 p.m. ※Excluding Saturday, Sunday, holidays, and year-end and New Year holidays

○ Leading Initiative for Excellent Young Researchers (LEADER)

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

○ Portal Site

URL: <http://www.e-rad.go.jp/>

(iii) e-Read available time

(Mon.-Sun.) 0:00 - 24:00 (24 hours a day, 365 days a year)

However, maintenance/inspection may be conducted during the available time above and the operation may be stopped.

In case of stopping the operation, we shall make a notice in advance on the portal site.



(15) Handling of information including tasks on e-Rad

The information concerning individual adopted issues (system name, research task name, research institution name an applicant belongs to, principal investigator name, budget, and implementation period) is “information that is scheduled to be made public” stipulated in Article 5(i)(a) of the “Act on Access to Information Held by Administrative Organs” (Act No. 42 of 1999). This information is properly publicized in the web site of this system after a resolution.

(16) Handling of personal information

The personal information included in application documents is strictly managed and used (including the provision of personal information to entrust the computer processing and management of data to an external private company, etc.) for MEXT and the Review Operator to carry out operations (including the provision of information to a research institution, which wants an employment, when an applicant is considered for selection) Additionally, MEXT may provide various types of information to the Cabinet Office through e-RAD managed and operated by MEXT. (Please refer to e-RAD system user policy for handling of personal information in e-RAD.) Furthermore, an applicant may be asked for some cooperation for various tasks and the confirmation of information.

In addition, if an applicant is determined as EYR, his/her name, areas of research, and the employed research institution will be disclosed through MEXT web site and etc. Furthermore, based on research results shown in 5. (5) above, EVRs' activities are released through MEXT web site and etc.

(17) The principle of self-responsibility

MEXT checks the post(s) offered by research institutions from the viewpoint of conformance with requirements shown in 2.(1) above, and is not responsible for employment conditions determined as a result of employment negotiations between research institutes and EYRs, then research environment, results of tenure reviews, etc.

7. Contact information
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Project in general

Human Resources Policy Promotion Office, Human Resources Policy Division, Science and Technology Policy Bureau, MEXT  
E-mail: [takuetsu@mext.go.jp](mailto:takuetsu@mext.go.jp)

Preparation/submission of documents

After the Review Operator is selected, later specified in and after April 2016 (until specified, Human Resources Policy Promotion Office, Human Resources Policy Division, Science and Technology Policy Bureau, MEXT)

Registration of research institutions/researchers in e-Rad and e-Rad operations

Help desk of the Cross-ministerial Research and Development Management System (e-Rad)

Phone: 0120-066-877 (by March 31, 2016)

0570-066-877 (navigation dial) (from April 1, 2016)

\*9:00 a.m. - 6:00 p.m. (\*Excluding Saturday, Sunday, holidays, and year-end and New Year holidays)

Registration to JREC-IN Portal

Staff responsible for JREC-IN Port, Service Support Center, Department of Databases for Information and Knowledge Infrastructure, Japan Science and Technology Agency (JSTA)

Phone: 03-5214-8459 (Available on weekdays: 9:30-12:00 and 13:00-17:00)

E-mail: jrecinportal@jst.go.jp

## 8. Schedule

### (1) Research institution

February 5, 2016: Start date for offering of posts

March 14: Deadline for offering of posts

Late March: Release post list

March - May: Response to recommendation (optional)

June 10: Deadline of recommendation documents (optional)

Late July: Obtain a candidate list

August-September: Employment negotiations

September 30: Deadline of employment negotiation completion report

August onwards: Start employment

### (2) Applicants (Researchers)

February 5, 2016: Start date of public invitation

Late March: Release a post list

April 11: Start application

May 9: Deadline of application

May - June: Document screening

Early July: Notification of the implementation of interview examination

Middle of July: Interview examination

(The scheduled date of interview examination will be shown in advance in and after April 2016.)

Late July: Notification of selection as a candidate

August-September: Employment negotiations

August onwards: Start employment

(Appended Table-1)

## • Research expenditures for EYRs

Expense items	Types	Remarks
Facility/equipment expenses		Expenses to obtain, produce, or increase the efficiency of facility/equipment (Asset). *The purchase process/definition of facility/equipment is based on regulations, etc. of the institution.
Salaries and other personal expenditures		Expenses to pay compensation for the labor to a person concluding an employment agreement etc. and engaged in a project. Legal welfare expenses borne by the employer. *Use the salary regulations of the institution to calculate salaries and other personal expenditures. *This cannot be appropriated for EYR's salaries and other personal expenditures.
Project implementation expenses	Expenses for consumable goods	Expenses to purchase products that do not fall under facility and equipment expenses. *The purchase process/definition of consumable goods is based on regulations, etc. of the institution.
	Domestic travel expenses	Expenses related to domestic business travels. The expenses include travel expenses related to invitation of domestic outside collaborators (excluding those who belong to an implementing institution). *Use the travel expense regulations of the institution to calculate travel expenses.
	Overseas travel expenses	Expenses related to overseas business travels (including domestic travels). *Use the travel expense regulations of the institution to calculate travel expenses.
	Travel expenses for foreign invitees	Expenses related to invite researchers, etc. from foreign countries. *Use the travel expense regulations of the institution to calculate travel expenses.
	Honoraria	Rewards for their attendance in a meeting and a lecture, etc. of outside collaborators (excluding those belonging to an implementing institution) *Use the reward regulations of the institution to calculate rewards.
	Meeting expenses	The minimum food expenses related to meetings including outsiders.

		*In providing food expenses, etc., the minimum is provided according to regulations of institutions. However, Funds cannot be expended for alcohol.
	Communication/ Transportation expenses	Expenses related to transportation of articles and data communication.
	Printing and binding expenses	Expenses related to printing and binding of documents, etc.
	Rental expenses	Expenses related to rental of conference sites, rental expenses of articles, etc., and rent.
	Miscellaneous service expenses	Expenses related to the services including data analysis, software development, etc.
	Utility costs	Utility costs required to perform researches related to this project. *The utility costs not related to this project cannot be paid with these subsidies. Please clarify calculation grounds for the costs.

Note: Research expenditures for Excellent Young Researchers (EYR) cannot be diverted to costs of building research environment.

(Appended Table-2)

- Costs of building research environment

Expenses items	Types	Remarks
Facility/ equipment expenses		Expenses to obtain, produce, or increase the efficiency of facility/equipment (Asset). *The purchase process/definition of facility/equipment is based on regulations, etc. of the institution.
Salaries and other personal expenditures		Expenses to pay compensation for the labor to a person concluding an employment agreement etc. and engaged in a project. legal welfare expenses borne by the employer. *Use the salary regulations of the institution to calculate salaries and other personal expenditures. *This cannot be appropriated for EYR's salaries and other personal expenditures.
Project implementation expenses	Expense for consumable goods	Expenses to purchase products that do not fall under facility and equipment expenses. The purchase process/definition of consumable goods is based on regulations, etc. of the institution.
	Domestic travel expenses	Expenses related to domestic business travels. The expenses include travel expenses related to invitation of domestic outside collaborators (excluding those who belong to an implementing institution) for EYRs. *Use the travel expense regulations of the institution to calculate travel expenses.
	Overseas travel expenses	Expenses related to overseas business travels (including domestic travels). *Use the travel expense regulations of the institution to calculate travel expenses.
	Travel expenses for foreign invitees	Expenses related to invite researchers, etc. from foreign countries. *Use the travel expense regulations of the institution to calculate travel expenses.
	Honoraria	Rewards for attendance in a meeting and mentoring, etc. of outside collaborators (excluding those belonging to an implementing institution) for EYRs. Rewards for lectures, etc. *Use the reward regulations of the institution to calculate rewards.
	Meeting expenses	The minimum food expenses related to the opening (venue (equipment) rental, etc.) of committee to evaluate EYRs

		(including outsiders). *In providing food expenses, etc., the minimum is provided according to regulations of institutions. However, Funds cannot be expended for alcohol.
	Communication/Transportation expenses	Expenses related to transportation of articles and data communication.
	Printing and binding expenses	Expenses related to printing and binding of documents, etc.
	Rental expenses	Expenses related to rental of conference sites, rental expenses of articles, etc., and rent.
	Miscellaneous service expenses	Expenses related to the services such as dispatching of workers responsible for maintenance/management of computing machines and network, etc. and providing other supporting operations.
	Utility costs	Utility costs required for the implementation of this project. *The utility costs not related to this project cannot be paid with these subsidies. Please clarify calculation grounds for the costs.

Note: Research expenditures for Excellent Young Researchers (EYR) cannot be diverted to costs of building research environment.

2016

Leading Initiative for Excellent Young Researchers

Review Guidelines

Science and Technology Policy Bureau, MEXT

February 2016

## 1. Review system

An operator selected by MEXT, which carries out the review(hereinafter, the “Review Operator”), establishes the Selection Committee for EYR (hereinafter the “Selection Committee”), which consists of experts, and relegates the review for selecting EYR candidates (hereinafter, the “Candidates”).

The review is conducted to select the Candidates through document screening and interview examination by the Selection Committee members (hereinafter the “Committee Members,” and then a conference of the Committee Members.

Based on review results by the Selection Committee, MEXT determines the Candidates.

## 2. Review method

The review is conducted in the following methods per area set in consideration of posts offered by research institutions and research fields and discipline of applicant researchers (hereinafter, the “Applicants”).

### (1) Document screening

- The Committee Members carry out the document screening based on application documents (Forms 3 and 4) to review and mark in terms of after-mentioned “3. Evaluation criteria.”

### (2) Interview examination

- Interview examinations shall only be conducted for candidates who have passed the document screening.
- At the interview examination, the applicant will give a presentation and have a question-and-answer session.
- In the interview examination The Committee Members review and mark in terms of the after-mentioned “3. Evaluation criteria”.

### (3) Council review after the interview examination

- Based on results, etc. of the interview examination, the Committee Members hold a conference and select the Candidates. When doing so, they consider diversities of EYR Candidates (research fields, gender, characteristics of research institutions the Candidates want to work for, etc.) and whether there are any recommendations.

### (4) Determination of the Candidates



Based on review results by the Selection Committee, MEXT determines the Candidates. When doing so they consider diversities of EYR Candidates (research fields, gender, characteristics of research institutions the Candidates want to work for, etc.) and whether there are any recommendations.

### 3. Evaluation criteria

Major evaluation criteria are as follows:

- ① The person can be expected to be a good research leader that will play important roles in Japanese science and technology and academic researches in the future.
- ② The person has world-class research abilities and can be expected to develop a new research field, etc. (His/her overseas research experience will be considered.).
- ③ A purpose of research and a research plan are good in a concrete and precise manner.
- ④ The person is ambitious and flexible enough to succeed in an industry-academia-government research institution.

### 4. Others

#### (1) Disclosure/nondisclosure of the review

- The Selection Committee's conference and materials of conference will not be disclosed.
- No inquiries about the development status of the review will be responded to.
- The Committee Members' names will be disclosed after the expiry of their terms.

#### (2) Matters to be observed by the Committee Members

##### ① Excluding the interested parties

- The Committee Member who has a vested interest with the applicant will report the fact to the Review Operator, saying he/she cannot join the review of the applicant. In addition, he/she cannot take part in decision making on the selection of the applicant.

##### Scope of interest

- An applicant having a family relationship with the Committee Member
- The Committee Member holds an office as a full-time or part-time officer, staff, or teacher in the research institution the applicant now belongs to (including a scheduled one)
- The Committee Member determines for himself/herself that it is difficult to review in a neutral and fair manner

② Confidentiality

- The Committee Members shall not leak any personal information acquired in the course of review and the information related to the details of reviewing the applicant. In addition, the information obtained as the Committee Member (including various materials such as application documents) must be strictly managed.