

# SOKENDAI Special Researcher (Field-Specific Type)

## Guide on Compliance and Procedures (2023 edition)

[Notes]

When this Compliance is updated, its contents will apply to all persons appointed as SOKENDAI Special Researcher unless otherwise stated.

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## 1. Objectives and Compliance of the SOKENDAI Special Researcher Program

### 1-1. Objectives of the Program

The SOKENDAI Special Researcher Program is a program for fostering future leaders in basic and academic research by appointing SOKENDAI students as special researchers and providing them with fellowship benefits (hereinafter referred to as "fellowships") consisting of research support grants and research expenses for a period of up to three years.

This program is implemented under the auspices of Japan Science and Technology Agency (JST)'s "The Establishment of University Fellowships towards the Creation of Science Technology Innovation". In addition to providing financial support during their studies, special researchers will be provided with a program to support their career path to research positions in research institutions and private companies.

### 1-2. Compliance

Special researchers must comply with the following:

- (1) Special researchers must be enrolled in a doctoral program of SOKENDAI during their period of appointment.
- (2) Special researchers must concentrate on their research based on the research plan described in the application during their period of appointment.
- (3) Special researchers must submit a research progress report at a designated time each year, a research report at the end of the appointment period, and an employment status questionnaire at the end of the doctoral course.
- (4) Special researchers must participate in lectures, workshops, etc. designated by this university for the purpose of enhancing their research abilities and acquiring career paths as researchers.
- (5) Special researchers are not eligible to receive scholarships, etc. paid by SOKENDAI or the "parent institutes (the Inter-University Research Institutes to which the special researchers belong)" during the term of appointment.
- (6) Special researchers cannot receive a salary, executive compensation etc, which can be considered as stable income sufficient to cover living expenses (more than 2.4 million yen per year (before taxes)) from SOKENDAI, parent institutes, or companies\*.

\*They may take jobs intended for temporary income (part-time jobs, research assistantships, corporate internships, etc.).

### 1-3. Tax Processing, Social Insurance, and Pension

**The research support grant is treated as miscellaneous income under Tax law and is subject to income tax and resident tax\*. Please file an income tax return every year and pay taxes appropriately.** If it is found that you have not properly processed your tax matters, your appointment may be discontinued and your research support grant revoked.

If you are currently a dependent of a person who is responsible for supporting you (parent, etc.), you may need to go through the procedure at the workplace of the person responsible for supporting you, so please inquire at their workplace. Please contact your local municipalities for information on enrollment procedures for National Health Insurance, National Pension Insurance, etc.

A "Certificate of Fellowship" for the previous year will be issued around January or February of each year.

\*For students from China, income tax exemption is available by submitting an "APPLICATION FORM FOR INCOME TAX CONVENTION" to the local tax office. The Program Office will inform those who are eligible at the time of appointment procedures.

### 1-4. Submission of Reports

Special researchers are required to submit reports at the following times.

- (1) "Research Progress Report (Form 1)" must be submitted from January 1 to 31 each year.

\*For the special researchers who start of appointment in October, it must be submitted from July 1 to 31 each year.

- (2) "Research Report (Form 2)" must be submitted at the end of the appointment period.

(3)“Questionnaire for SOKENDAI New Graduates” must be submitted at the time of degree acquisition or withdrawal from school.

#### 1-5. Research Misconduct

Special researchers must comply with the “Regulations Concerning the Handling of Misconduct in Research Activities at SOKENDAI (<http://kitei.soken.ac.jp/doc/gakugai/rule/340.html>)” and participate in lectures and workshops on the prevention of research misconduct designated by the Steering Committee of SOKENDAI Special Researcher Program.

#### 1-6. Unauthorized use of Research Funds

Special researchers must not commit to improper use of research funds. Major examples of unauthorized use of research funds are as follows.

##### (1) Deposits

Disbursement of research expenses from the institution by instructing vendors to conduct fictitious transactions, prepare false invoices, etc., and having the vendor manage the money.

##### (2) Pool Money (fake business trip, fake gratuity)

Illegally requesting travel expenses or gratuities by falsifying business trip applications or attendance records, etc., and having the money managed by a laboratory or individual.

##### (3) Rewriting Documents (substitution, change of goods, change of location)

Having a vendor prepare a false invoice, etc., so that the research expenses are paid by the organization to which the researcher belongs, and having the vendor deliver different goods than those actually contracted.

In addition to the above, collusion in the misuse of research expenses received by other researchers will also be considered as misuse.

#### 1-7. Encouraging Outreach Activities

Since the SOKENDAI Special Research Program is funded by taxpayers’ money, special researchers are expected to return the results of their research activities to the public and to disseminate them to the public and society in an easy-to-understand manner.

It is possible to use the research funds to pay for outreach activities such as publication fees for academic journals to present research results, website development, research results, preparation of pamphlets for publicity, and general publicity activities for research results.

(What are Outreach Activities?)

Outreach activities go beyond the concept of mere information dissemination to convey research content and results in easy-to-understand terms to people, and involve friendly interactions between those who promote science and technology and those who enjoy it.

Example: Public symposiums, children, and teachers, open campuses, open laboratories, on-site lectures, study classes, science cafes, etc.

#### 1-8. Suspension or Termination of Appointment, Suspension of Benefits and Request for Return

In the event that the performance of the obligations of the special researcher listed in 1-2. is deemed insufficient, or the President determines that the situation falls under any of the following items, the appointment of the special researcher will be suspended or cancelled, the fellowship will be suspended without qualification, and the fellowship corresponding to the period of ineligibility of appointment will be promptly returned.

(1) If the special researcher has completed the doctoral course and obtained a degree.

(2) If, after appointment, you receive a scholarship from the Japanese Government (Monbukagakusho) Scholarship Program, a research fellowship from the Japan Society for the Promotion of Science (JSPS), or a scholarship provided by a foreign government.

(3) When it is clear that you will not be able to continue your research due to illness, etc.

(4) When the special researcher takes a leave of absence from SOKENDAI.

(5) If the special researcher withdraws from SOKENDAI (including expulsion)

(6) In the event disciplinary action is taken against them

(7) In the case of poor academic performance or conduct

(8) If there is a significant problem with the progress of the research and it is judged that the desired research results cannot be achieved

- (9) In the event that documents required for post-application procedures are not submitted on time.
- (10) In the event any false statement is found in the application documents after appointment
- (11) In the event of research misconduct
- (12) In the event of improper use of research funds
- (13) Upon the request to resign
- (14) In the event of any other clearly inappropriate behavior as a special researcher.

\*Resignation before the end of the term

Special researchers who wish to resign during the term, must submit a “Letter of Resignation (Form 3)” to the Program Office.

※In the event of appointment, resignation, or discontinuation in the middle of the term, the amount of the research support grant for that month will be reduced as follows.:

Category	Criteria for Reduction
If appointed between the 1st and 15th of the month	No reduction at all for the relevant month
If appointed on or after the 16th of the month	1/2 of the amount for the month will be reduced.
In case of resignation/cancellation from the 1st to the 15th of the month	The entire amount for the month will be reduced.
Resignation/Cancellation after 16th day of month	1/2 of the amount for the month will be reduced.
Resignation /Cancellation on the last day of month	No reduction at all for the relevant month
In case of death	No reduction at all for the relevant month

#### 1-9. Obligation of indication for publication of research results

When you publish your research results, please indicate that you have received a grant from JST.

Please include "JST, the establishment of university fellowships towards the creation of science technology innovation, Grant Number JPMJFS2136" in the Acknowledgment of your thesis to indicate that you received a grant. The same applies to the paper submission.

The example of Acknowledgment you have to indicate in a paper is as bellow.

This work was supported by JST, the establishment of university fellowships towards the creation of science technology innovation, Grant Number JPMJFS2136.

※If there is more than one project related to the thesis, please list the project name and systematic number.

#### 1-10. Post-graduation career path survey

Special Researchers are required to cooperate in career tracking surveys of their employment status and other information after leaving school. The survey will be conducted using the Japan Graduates Database (JGRAD: <https://jgrad.nistep.go.jp/>) operated by the National Institute of Science and Technology Policy (NISTEP) of the Ministry of Education, Culture, Sports, Science and Technology (MEXT).

Details will be announced by the Program Office.

## 2. Fellowship Provisions

### 2-1. Research Support Grant

#### (1) Grant Amount

JPY190,000 (monthly)

#### (2) Payment Date

In principle, two months grant will be paid on the 20th of even-numbered months (or the immediately preceding business day if it falls on a Saturday, Sunday, or national holiday). However, the date of the payment may be late depending on various reasons.

#### (3) Bank transfer address

Payment will be made to an account in the name of the special researcher at a bank or credit union in Japan. Special researcher who wish to change the bank account (including the name of the bank account), must notify the Program Office.

#### (4) Temporary return of international students

When an international student returns to home country temporarily, the grant will not be paid for the month during which the student is completely absent from Japan. For example, if the period of return home is from April 15 to June 15, the grant will not be paid for the month of May. If the return period is from April 15 to

May 15, both April and May are eligible for the payment.

(5) Other

Research expenses are subject to taxation as miscellaneous income.

2-2. Research Expenses

(1) Available amount

JPY220,000 (annual)\*

\*Please note that the usable amount for each fiscal year varies depending on the period of appointment.

For example, if appointment commences in October, the usable amount for the first year will be JPY110,000.

(2) Method of Use

Delegated accounting by the university or parent institute. Please refer to the "Guidelines for Research Expenses (for SOKENDAI Special Researchers)" for details on how to use the funds.

\*The amount of fellowship may be revised.

3. Receiving Other Scholarships and Research Grants

(1) Special researchers are not eligible to receive the following scholarships concurrently

- a) Japan Society for the Promotion of Science Grant for Research Fellows
- b) Scholarships under the Japanese Government Scholarship Program for Foreign Students (MEXT)
- c) Scholarships from the government of the student's home country or related organizations (for international students)
- d) Scholarships offered by SOKENDAI or the parent institutes.

(2) Special researchers may receive the following financial aid concurrently with the fellowship.

- a) Scholarships from the Japan Student Services Organization (JASSO)
- b) Scholarships and research grants from private companies and organizations (limited to those that do not conflict with the obligation to devote to research listed in 1-2. (2))
- c) Tuition waivers from SOKENDAI

(3) Exemption from repayment of JASSO scholarship for Japanese students

Please refer to the Japanese version.

4. Disclosure of information on special researcher

The name, program (department), field of study, research title, name and title of the supervisor, and research report of the special researcher will be published on the SOKENDAI website.

[For inquiries regarding this Guide, please contact]

SOKENDAI Special Researcher Program (Field-Specific Type) Office

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