Strategic Basic Research Program (RISTEX)
This is the proposal format for an **“R&D Project”
in Responsible Innovation with Conscience and Agility**.
This is not the proposal format for a Feasibility Study, so please be aware.

The full set of documents, including the Application Guideline and the proposal format, and the most recent information can be found in the following website.

<https://www.jst.go.jp/ristex/proposal/current/proposal_2020.html>

A list of the forms to be submitted is shown below.

|  |  |
| --- | --- |
| Form No. | Document |
| Cover | R&D project proposal |
| Form 1 | R&D vision |
| Form 2 | R&D plan |
| Form 3 | R&D implementation structure |
| Form 4 | R&D budget |
| Form 5 | List of relevant achievement and initiatives |
| Form 6 | Other funding awards/grants |
| Form 7 | Measures for protecting civil rights and complying with laws and regulations |
| Form 8 | Management of conflicts of interest |

\* If you submit materials other than the specified forms, your application will not be considered for screening.

\* Please refer to the entry guidelines and fill in all the necessary information without omission. If there are problems with the information entered, the application might not be considered for screening.

\* Proposals must be submitted after reading carefully and understanding “Chapter 6. Key Points in Submitting Proposals” of the Application Guideline.

\* Please check the Program Supervisor policies described in “Chapter 2. Philosophy of Program Supervision in Solicitation and Selection” and “Chapter 3. Summary of R&D Program” of the Application Guideline, as well as “Section 4.7. Main Perspectives for Selection.”

\* See “Chapter 7. Submission via the Cross-ministerial R&D Management System (e-Rad)” for how to submit R&D proposals.

\* As a rule, please do not change the format and style settings of the proposal form. Please make sure to use a font no smaller than 10.5pt for the body text.

\* You must convert the documents to pdf before uploading to e-Rad. You can perform the pdf conversion from the menu after logging into e-Rad. The use of external characters or special characters may cause corrupted text in the page or file concerned. Please make sure to check the converted pdf.

\* Please make sure that the size of the proposal pdf submitted is no more than 5MB.

\* Please delete the entry guidelines in blue text on this page and the proposal (cover and forms 1-8) before submitting.

Strategic Basic Research Program (RISTEX)
R&D Project Proposal

|  |  |
| --- | --- |
| Program title | **Responsible Innovation with Conscience and Agility** |
| R&D project title\* Approximately 30 characters in Japanese\* No sub-title | **Japanese title** |
| *English title* |
| R&D period | September 2020 to *Month* *Year* (Duration of: years and months)\* Between one and three years (up to September 2023 at the longest) |
| R&D budget | 　　　　　　　　 thousand yen (total amount; direct cost only)\*Approximately 15 million yen/year; maximum of 45 million yen in total |
| Category\* Please tick the relevant boxes. Multiple selections are permitted. | [ ] Creation of tangible measures that take into account the nature of science and technology and related ELSI[ ] Development of co-creative mechanisms and methodologies that take into account the nature of S&T and related ELSI[ ] Case analysis of trans-science issues and recommendations based on archive for the future society[ ] Other |
| Keywords | \* Please include three to five keywords that concisely express the R&D content of your proposal. Please make sure that these are the same keywords that you enter in e-Rad. |
|  |  |
| Name of Principal Investigator |  | Age |
|  years old(As of April 1, 2020) |
| Affiliated institution, section and post of Principal Investigator |  |
| Effort of this proposal | FY2020:　　　％ |
| Researcher number of Principal Investigator | \* Please enter the 8-digit researcher number provided by the Cross-Ministerial Research and Development Management System (e-Rad). |
| Information on Principal Investigator | URL:Author ID:\* If possible, please include the URLs of web pages that list the Principle Investigator’s information (researchmap or lab website), ID of ORCID, researcher ID of Web of Science, author ID of Scopus or similar. |

・・・ Cover up to this point (be sure not to exceed one page)・・・

[Form 1] R&D vision

\* Please check the Program Supervisor policies described in “Chapter 2. Philosophy of Program Supervision in Solicitation and Selection” and “Chapter 3. Summary of R&D Program” of the Application Guideline, as well as “Section 4.7. Main Perspectives for Selection”.

\* Details such as R&D activities, plan and implementation structure should be written in Forms 2-4. Here, please describe in a clear and simple manner the overall picture of the R&D vision as well as its key points.

\* Please use diagrams and tables (color document is acceptable) as appropriate to make it easy for the evaluators to understand.

# 1-1．Project overview

\* In 300 to 500 characters, please briefly summarize the goal(s) of this proposal and the summary of activities.

\* Please copy the contents of this box into the “research outline” in e-Rad, so that these entries match.

|  |
| --- |
| *\* Please write within this box.* |

# 1-2．Overall vision of the project

## (1) Project goal(s)

\* Please briefly describe the goal(s) that this project will achieve during the research implementation period.

## (2) Subject(s)/topic(s) of the R&D, its/their significance and background

\* Please briefly describe the following items.

・What is/are the specific subject(s) of the R&D (what kind of S&T research or topic(s) will it focus on, and what kind of ELSI topic(s) will it address?)

・What are the expected outputs of this proposal?

・How will this proposal be positioned in this R&D Program (i.e., how does it contribute to “the creation of practical collaborative models that contribute to the dissemination and establishment of responsible research and innovation, in which a harmonious relationship between S&T and people/societies is achieved/maintained?”)

・The significance, necessity and background of this proposal (it is preferable to demonstrate this with an objective evidence if possible)

## (3) Fundamental questions considered in the project

\* To the extent possible, please briefly describe your current assumptions and hypotheses regarding the “fundamental questions”\* that you plan to address through this project. Feel free to describe just the ideas you hold at this point in time.

\* “Fundamental questions” are:
Questions relating to the universally recognized values and improvement of life, people and society (e.g., governance, risk and safety/security, the relationships between public and personal/government and private/group and individual, autonomy, trust and responsibility, competition and harmony, efficiency and equity, social justice, intergenerational differences and fairness, material and spiritual, perspective on nature, dignity/independence of human rights/identity, etc.)

# 1-3．Future prospects beyond the project

\* Please briefly describe your vision in terms of how the project outcomes will develop after it ends, and what vision of society you seek in the future of research and innovation.

\* To the extent possible, please include the following. Feel free to describe just the ideas you hold at this point in time.

・”How” and “by whom” do you think the outcomes of the project will be used?

・What do you think will (or should) be realized in terms of the dissemination and establishment of responsible research and innovation, in which a harmonious relationship between S&T and people/societies is achieved/maintained?

# 1-4．Anticipated issues and obstacles, and measures to deal with them

\* If there are any issues, obstacles or difficulties you anticipate in conducting the project or in implementing the R&D outcomes, please describe them briefly along with the measures you envisage for addressing them.

# 1-5．Originality, challenge and other special items of note

\* From the following perspectives, please briefly describe any key points of appeal regarding the originality and challenge of this proposal, if any.

・Originality and challenge of the R&D focus and the problem targeted

・Originality and challenge of the R&D method and approach

・The novelty of R&D implementation structure and plans for management

・Comparative advantage with domestic and international trends in relevant R&D and initiatives

・The magnitude of the impact of the expected R&D outcomes (creation of academic/public value, contribution to current or future social or industrial needs, transmission and expansion to other disciplines/areas in Japan and overseas, etc.)

・Ideas for creating universally recognized value that meets a global standard and the possibility of international deployment, by incorporating the significance and characteristics of Japan as the base of R&D

・・・ Form 1 up to this point, three pages or less (be sure not to exceed this length)・・・

[Form 2] R&D plan

\* Regarding the activities and plans for the R&D, please describe in detail the activities and methods of the R&D for each of the main implementation items.

\* Please keep in mind the consistency between “2-1. R&D implementation items and activities” and “2-2. R&D implementation schedule” in this form.

# 2-1．R&D implementation items and activities

\* Please set and edit headings in this field as appropriate.

\* Please use diagrams and tables (color document is acceptable) as appropriate to make it easy for the evaluators to understand.

## ■Item 1：○○○○○○○○

　　○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○○

### (1) ○○○○○○○○

### (2) ○○○○○○○○

## ■Item 2：○○○○○○○○

## ■Item 3：○○○○○○○○

# 2-2．R&D implementation schedule

\* Using the following example as a reference, describe the main schedule and the names of the groups responsible (G), keeping in mind consistency between “2-1. R&D implementation items and activities” above and “3-2. R&D implementation structure (by group).

\* Please edit the implementation period, number of items, arrow position/length/thickness, etc. as appropriate.

<Example>

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Research execution items | FY2020(7 months) | FY2021(● months) | FY2022(● months) | FY2023(● months) |
| **1. Structural overview of ELSI in ○○ technology** |
| ・Search for ○○ (○○G) |  |  |  |  |  |  |  |  |
| ・Survey and investigation for ○○ (○○ G) |  |  |  |  |  |  |  |  |
| **2. Development and verification of ○○ model** |
| ・Design of ○○ model (○○G/○○G) |  |  |  |  |  |  |  |  |
| ・○○ survey and data collection (○○G/○○G) |  |  |  |  |  |  |  |  |
| ・Analysis of similar cases for ○○ model (○○G) |  |  |  |  |  |  |  |  |
| ・Investigation, assessment and verification of evaluation methods for ○○ (○○G) |  |  |  |  |  |  |  |  |
| **3. Examination of legal issues relating to ○○** |
| ・Collection and comparative study of ○○-related data (○○G) |  |  |  |  |  |  |  |  |
| ・Consideration of proposals for ○○ (○○G) |  |  |  |  |  |  |  |  |
| **4. Building a mechanism for and pursuit of implementation and deployment of ○○** |
| ・Design and construction of opportunity for ○○（○○G/○○G） |  |  |  |  |  |  |  |  |
| ・Pursuit and feedback of ○○（○○G/○○G） |  |  |  |  |  |  |  |  |
| ・Consolidation of ○○ and dissemination of ○○ (○○G) |  |  |  |  |  |  |  |  |

# 2-3．Project management policies and plans

\* Please describe any special items of note in terms of implementation policy and plans for project management by the Principal Investigator, if any.
For example, consider the following:

・Plans for organic cooperation and collaboration between multiple groups, and for integrating outputs

・Plans for challenges and management relating to cooperation and collaboration between ELSI research and the sites of R&D

・Policies for networking with stakeholders inside and outside the project, and for the deployment of outcomes

・Creation of universally recognized values that can be applied globally and ideas for international expansion, while taking into account the significance and characteristics of Japan as the base of R&D

・Implementation policy for intellectual property management

\* Personnel development is covered in detail in Form 3, “3-3. Plan for the development of research personnel hired for the project,” so it does not need to be described here.

・・・ Form 2 up to this point, six pages or less (be sure not to exceed this length)・・・

[Form 3] R&D implementation structure

# 3-1．R&D implementation structure (overall project)

## (1) Implementation structure diagram

\* Please illustrate the R&D implementation structure (the example shown below is for reference, you are free to use any format).

\* When settings up groups, please do so appropriately in accordance with the activities and plan of the proposed project (these need not be defined by the institutions that has concluded the Collaborative Research Agreement with JST)

\* When putting together groups, please include the “name, affiliation and post (specialty)” of the group leaders, “the main role” of each group and also indicate the relationships between the groups.

\* If there are collaborators other than R&D participants, please describe the relationships with these collaborators.

<Example>



## (2) Status of preparations for building a practical structure for cooperation/ collaboration

\* Taking into account the goals and activities of the proposed R&D, please describe the status of preparations for building a practical structure for cooperation/collaboration between ELSI research and the site(s) of R&D in S&T or other stakeholders.
For example, consider the following:

1) The status of preparation of the necessary structure for cooperation/collaboration already started to be built for this project

2) The possibilities for cooperation/connection with other R&D projects or programs currently underway

3) Specific partner(s) for cooperation/connection envisaged but not building a structure for cooperation/collaboration yet

4) R&D areas and experts that will be required to be complemented in the future, although specific cooperation/connections have not yet been determined

\* This includes participation in “networking activities for team building” planned in this program to support complementing project implementation structure. Please indicate if you wish to participate or have any specific requests.

# 3-2．R&D implementation structure (by group)

\* Please fill in the members of each group, based on “2-1. R&D implementation items and activities” in Form 2 and “3-1. R&D implementation structure (overall project)” above.

## (1) ●●● Group

\* Please write the group led by the Principal Investigator in (1).

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Principal Investigator | Affiliated institution, section and post (status) | Budget allocation 1) (= conclusion of the Collaborative Research Agreement with JST) | Employment2) |
| ○○ ○○ | Associate Professor, Faculty of ○○, ○○ University | Y | Researcher number: 12345678R&D institution code: 1234567890Effort: 20％ |  |
| Names of R&D participants 3) 4) | Affiliated institutions, sections and posts (status) | Budget allocation 1) | Employment2) |
| ○○ ○○ | Professor, Graduate School of ○○, ○○ University | N | ‐ | ‐ |
| ○○ ○○ | Head of ○○, ○○ Department, ○○ Co., Ltd. | N | ‐ | ‐ |
| Researcher (planned) | Specially-appointed Researcher, Faculty of ○○, ○○ University | N | ‐ | ○ |
| ○○ ○○ | General Incorporated Association ○○ | N | ‐ | ‐ |

1) Please state whether or not the budget is allocated (if yes, they will conclude the Collaborative Research Agreement between the affiliated R&D institution and JST as the “Lead Joint Researcher”). If “Yes,” please write the following three items.

・The 8-digit researcher number provided when registered in the Cross-Ministerial Research and Development Management System (e-Rad).

・The 10-digit research institute code

・Effort (proportion of time required to conduct this research (%), taking the researcher's total annual work hours as 100% (including not only research activities but also educational and medical activities))

2) Circle those persons who will be hired with personnel expenses from the project's R&D costs.

3) Add lines for R&D participants as necessary. You can add members from more than one organization to a group. Please fully consider the role that each member making up the group will play.

4) If the names of researchers have not been confirmed at the time of the proposal, such as those you are planning to hire after the project is selected, you can write “Researcher (planned).”

#### <Position of this Group within the Project>

\* Please briefly describe how this group is positioned within the project as a whole, as well as the role it plays.

## (2) ●●● Group

\* If you are setting up more than one group, write this for each group below. There is no limit to the number of groups, but you should put in place the necessary and sufficient number of groups to best carry out the Principal Investigator’s R&D vision.

\* Please copy and add this item in accordance with the number of groups.

|  |  |  |  |
| --- | --- | --- | --- |
| Name of group leader | Affiliated institution, section and post (status) | Budget allocation 1) (= conclusion of the Collaborative Research Agreement with JST) | Employment2) |
| ○○ ○○ | Senior researcher, ○○ Department, ○○ Research Institution | Y | Researcher number: 12345678R&D institution code: 1234567890Effort: 15％ |  |
| Names of R&D participants 3) 4) | Affiliated institutions, sections and posts (status) | Budget allocation 1) | Employment2) |
| ○○ ○○ | Head of ○○, ○○ Department, ○○ Co., Ltd. | N | ‐ | ‐ |
| ○○ ○○ | Professor, Graduate School of ○○, ○○ University | Y | Researcher number: 12345678R&D institution code: 1234567890Effort: 15％ |  |
| ○○ ○○ | Specially-appointed Assistant Professor, Graduate School of ○○, ○○ University | N | ‐ | ○ |
| Researcher (planned) | Specially-appointed Researcher, Graduate School of ○○, ○○ University | N | ‐ | ○ |

1) – 4) See the preceding paragraph.

#### <Position of this Group within the Project>

\* Please briefly describe how this group is positioned within the project as a whole, as well as the role it plays.

## (3) Other R&D collaborators and organizations

\* If there are any persons or organizations that are not directly involved in the project, but are going to cooperate/collaborate in some way with the project or a group’s activities (persons or organizations that have already agreed or are in the process of negotiating), please indicate them here.

|  |  |  |
| --- | --- | --- |
| Names of collaborating persons/organizations | Details of collaboration | Previous collaboration |
| Professor ○○ ○○, Faculty of ○○, ○○ University | Collaboration in performing ○○ | Y |
| ○○ Department, ○○○○ Co., Ltd. | Provision of ○○ data, coordination of collaboration with work site | Y |
| ○○ Section, ○○ Department, ○○ City | Advice regarding ○○ | N |
| Director ○○○○, ○○ NPO | Advice and cooperation regarding ○○ | Y |

## (4) Special items of note regarding implementation structure (special duties of the Principal Investigator, change of affiliated R&D institution and participation of overseas institutions)

\* Please indicate if the Principal Investigator requires work hours (effort) for special duties (e.g., administrative positions such as the Dean of the Graduate School or the President of a Society).

\* Please indicate if the R&D institution at which the Principal Investigator or Lead Joint Researcher will conduct research after the proposal selected (September 2020) differs from their currently affiliated R&D institution.

\* When adding an overseas R&D institution to the research team, please refer to “5.9. Participation as a Lead Joint Researcher by persons belonging to overseas R&D institutions” in the Application Guideline and explain here why it is essential for a researcher affiliated to an overseas R&D institution to participate as a Lead Joint Researcher.

# 3-3．Plan for the development of research personnel hired for the project

\* This program aims to produce a diverse group of personnel from industry, academia, government, and the private sector, who have acquired ELSI/RRI skills and behaviors through their R&D practice. For this reason, we welcome the participation and employment of young personnel in their 20s to 40s to the projects.

\* If hiring research personnel for the project, please describe the Principle Investigator’s thoughts in relation to personnel development. (e.g., the skills and abilities that will be essential in the future society at the end of the project, activities for gaining that experience, and where those acquired skills can be put to use continuously)

\* If not applicable, leave the field in place and fill in “Not applicable” accordingly.

[Form 4] R&D budget

\* Please describe the projected R&D budget for each fiscal year, by category and by research group.

\* You will be asked to submit a more detailed plan if you are selected for an interview.

\* The budget plan may be reviewed at the time of selection or in the middle of the R&D period, depending on the overall budget status of the program, management by the Program Supervisor, and evaluation of the project.

# 4-1．R&D budget plan for each expense (overall project)

(Unit: thousand yen)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Expense | FY2020(7 months) | FY2021(● months) | FY2022(● months) | FY2023(● months) | Total (thousand yen) |
| Direct costs | Expenses for goods | Expenses for equipment |  |  |  |  |  |
| Expenses for consumables |  |  |  |  |  |
| Travel expenses |  |  |  |  |  |
| Personnel expenses and honoraria(Number of researchers, etc.) | ( ) | ( ) | ( ) | ( ) |  |
| Other |  |  |  |  |  |
| Total of direct costs |  |  |  |  |  |
| Indirect costs(30% or lower of the above costs) |  |  |  |  |  |
| Total |  |  |  |  |  |

\* The categories for R&D budget and their purposes of use are as follows (please also refer to “5.5. R&D Budget” in the Application Guideline).

* Expenses for goods/expenses for equipment: expenses for the purchase of equipment and supplies
* Expenses for goods/expenses for consumables: expenses for the purchase of materials and consumables
* Travel expenses: travel expenses for the Principal Investigator and R&D Participants, invitation expenses directly required to carry out the R&D, etc.
* Personnel expenses and honoraria: personnel expenses and honoraria for researchers, technical staff, assistants, RAs, etc.
* (Number of researchers, etc.): number of researchers, etc. scheduled to use personnel expenses from R&D budget
* Other: expenses other than those listed above (expenses for presenting research outcomes, conference expenses, equipment lease expenses, transportation expenses, etc.)

#### <Special items of note regarding R&D budget>

\* Please consider the optimal budget amount and proportion for each category.

\* If a particular category exceeds 50% of the total R&D budget, such as large personnel and travel expenses, please state the reason for this.

\* If not applicable, leave the field in place and fill in “Not applicable” accordingly.

# 4-2．R&D budget plan for each R&D institution

\* Please list all affiliated institutions marked as “Budget allocation: Yes” (institutions that have the potential to conclude the Collaborative Research Agreements with JST and to execute the budget) in Form 3 “3-2. R&D implementation structure (by group).”
(Please refer to “5.8. Responsibilities of Institutions" in the Application Guideline for the responsibilities of the R&D institutions, etc.)

(Unit: thousand yen)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| R&D institutions (Names of responsible persons) | FY2020(7 months) | FY2021(● months) | FY2022(● months) | FY2023(● months) | Total(thousand yen) |
| ○○ University(Name of Principal Investigator) |  |  |  |  |  |
| ○○ Research Institution(Name of researcher) |  |  |  |  |  |
| ○○ Corporation(Name of researcher) |  |  |  |  |  |
| Total of direct costs |  |  |  |  |  |
| Indirect costs(30% or lower of the above costs) |  |  |  |  |  |
| Total |  |  |  |  |  |

#### <Main equipment to be purchased> (5 million yen or more per expenditure; equipment name, approximate price)

*<Example>*

○○○ Group

△△△△△△△△△△ 15 million yen  (Purchase year: )

△△△△△△△△△△ 5 million yen (Purchase year: )

△△△△△△△△△△ 10 million yen (Purchase year: )

[Form 5] List of relevant achievement and initiatives

\* Please describe previous R&D and initiatives relevant to this proposal.

## (1) Principal Investigator (Name, affiliation and post)

#### (Major achievement)

\* Please select up to 10 items related to the proposal, including books, academic papers, academic presentations, lectures, journals and newspaper publications and the hosting of conferences and events, and list them in order of year or publication/presentation with the most recent first.

\* Please put a sequential number at the beginning of each line.

\* For books, papers, presentations, etc., please list all the authors/presenters and underline the individual concerned.

<Example>

1. English book: Author/editor name 1, Author/editor name 2, (publication year), Title of book, Place of publication, Publisher
2. English paper: Author name 1, Author name 2, (publication year), Title of paper, Title of journal, volume, page, DOI:
3. Japanese book: Author/editor name 1, Author/editor name 2 (publication year), “Title of book”, Publisher
4. Japanese paper: Author name 1, Author name 2, (publication year), “Title of paper”, “Title of journal”, volume, page, DOI:
5. Publication disclosed only on the website: Author name 1, Author name 2 (date of publication) “Title of publication” (Title of series as necessary) DOI: <Or posted URL>
6. Newspaper article: Name of reporter (date of publication), “Title of article”, Title of newspaper, page
7. Website article: Name of reporter (date of publication), “Title of article”, Title of newspaper, <URL>
8. Oral presentation: Name of presenter 1, Name of presenter 2 (presentation year), “Title”, “Title of academic conference or other events”, Venue
9. Conference or event: Name of organizer, (date of event), “Title of conference or event” (Title of series as necessary), Venue

#### <Experience of participation in R&D at RISTEX>

\* If you have participated in R&D at the Research Institute of Science and Technology for Society (RISTEX) in the past, please list the title of Focus Area/Program , the title of Project, the name of the Principal Investigator at the time and briefly describe what kind of role you undertook.

## (2) Group Leader (Name, affiliation and post)

#### (Major achievement)

#### <Experience of participation in R&D at RISTEX>

\* Please copy items as appropriate and fill in below.

[Form 6] Other funding awards/grants

\* For national competitive funding awards or other research grants (including those by private foundations and overseas organizations) that the Principal Investigator and/or Lead Joint Researchers (those marked as “Budget allocation: Yes” in Form 3 “3-2. R&D implementation structure (by group)”) are currently receiving, applying for or plan to apply for, please list the title of research project, research period, role, research budget received, effort, etc. per funding award/grant.
(Please also refer to the Application Guideline “6.2. Measures against Unreasonable Duplication and Excessive Concentration.”)

\* If any information entered here is untrue, selection may be canceled at a later date even if initially granted.

\* You will be asked to report and submit the most recent information on funding awards/grants from other institutions if you are selected for an interview.

## (1) Principal Investigator (Name, affiliation and post)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Titles of fundingawards/grants | Current status | Titles of projects(Names of PrincipalInvestigators) | Research periods | Role(Representative/ Sharer) | (1)(2)(3)(4) | Research Fund to be received(Overall period total)(FY2021 planned)(FY2020 planned)(FY2019 actual) | Effort(%) |
| Science and Technology for Society Project (ELSI program) \*This proposal | Applied |  | 2020.09～2023.09 | Representative | (1)(2)(3)(4) | 27 million yen9 million yen9 million yen― | 20 |
| Grants-in-Aid for Scientific Research (B) | Received | Development of ◇◇ by ××(○○○○) | 2018.04－2021.03 | Representative | (1)(2)(3)(4) | 15 million yen―3.5 million yen8 million yen | 20 |
| Grant-in-aid by ○○ Foundation | Received | Analysis of ◇◇ by ××(○○○○) | 2019.4－2020.3 | Representative | (1)(2)(3)(4) | 1 million yen――1 million yen | 5 |
| JST Strategic Basic Research Program (CREST) | Applied | Creation of ◇◇ by ××(○○○○) | 2020.10－2026.03 | Sharer | (1)(2)(3)(4) | 30 million yen8 million yen5 million yen― | 20 |
|  |  |  |  |  | (1)(2)(3)(4) |  |  |
|  |  |  |  |  | (1)(2)(3)(4) |  |  |

\* Please copy items as appropriate and fill in below.

## (2) Lead Joint Researcher (Name, affiliation and post)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Titles of fundingawards/grants | Current status | Names of projects(Names of PrincipalInvestigators) | Research periods | Role(Representative/ Sharer) | (1)(2)(3)(4) | Research Fund to be received(Overall period total)(FY2021 planned)(FY2020 planned)(FY2019 actual) | Effort(%) |
| Science and Technology for Society Project (ELSI program) \*This proposal | Applied |  | 2020.09～2023.09 | Sharer | (1)(2)(3)(4) | 18 million yen6 million yen6 million yen― | 15 |
|  |  |  |  |  | (1)(2)(3)(4) |  |  |
|  |  |  |  |  | (1)(2)(3)(4) |  |  |

[Form 7] Measures for protecting civil rights and complying with laws and regulations

\* Please describe what kind of measures you will take, in the case that, in implementing the research plan, the initiative involves a research requiring the consent/cooperation of other parties, research requiring particular care in handling personal information, research requiring security export control measures and bioethical or safety measures to be taken and other researches requiring procedures subjected to laws and regulations.
This includes surveys, research and experiments that require approval by ethics committees inside and/or outside the R&D institution, such as questionnaire and interview surveys involving personal information, use of donated samples, human genetic analysis research, genetic modification experiments and animal experiments.

\* If the team includes a collaborating research group from overseas, please be sure to describe the status of the regulations relating to security export control in the Principal Investigator’s group and domestic collaborating research groups.

\* Please check the box below to affirm that you have drawn up this proposal after reading “Chapter 6. Key Points in Submitting Proposals” in the Application Guideline and understanding the laws, regulations and guidelines, etc. that must be followed in relation to your proposed project.

I affirm that this R&D proposal has been drawn up based on an understanding of the laws, regulations and guidelines that must be complied with. In addition, I affirm that the implementation of the plan will also be conducted in compliance with the relevant laws, regulations and guidelines.

|  |
| --- |
| (Examples of laws, regulations and guidelines to comply with)* “Guidelines for Responding to Misconduct in Research” (decided by the Minister of Education, Culture, Sports, Science and Technology on August 26, 2014. Including following revisions.)
* “Guidelines on Management and Audit of the Public Research Expenses in R&D institutions (Implementation standards) enforced February 15, 2007/revised February 18, 2014, decided by the Minister of Education, Culture, Sports, Science and Technology. Including following revisions.)”
* With regard to security export control (measures for dealing with the leaks of technology to foreign countries): the Foreign Exchange and Foreign Trade Act and all other laws, regulations, ministerial ordinances and directives specified by government ministries and agencies to ensure that the results of cutting-edge research are not passed on to developers of weapons of mass destruction, terrorist groups and others who may engage in re-purposing for military use.
* When conducting on-site research activities overseas (including the removal of biological resources) or joint research with overseas R&D institutions: the laws of the relevant countries, etc.
* With regard to life sciences research: laws, regulations, ministerial ordinances, ethical guidelines, etc. established by government ministries and agencies concerning bioethics and ensuring safety.
 |

[ ]  I have confirmed the laws, regulations and guidelines to be complied with.

・・・ Form 7 up to this point, two pages or less (be sure not to exceed this length)・・・

[Form 8] Management of conflicts of interest

\* Please declare any conflicts of interest with the evaluators (Program Supervisor and Program Advisors) or any participation of institutions connected to the Principal Investigator by using the following checklists. If applicable, please give specific details.

\* For more information on conflict of interest management and definitions of conflicts of interest, please refer to “4.6.2. Selection System and Management of Conflicts of Interest” in the Application Guideline.

\* Please see the following website for the full list of Program Supervisors and Program Advisors.
<https://www.jst.go.jp/ristex/examin/active/elsi-pg/elsi-pg.html>

## (1) Conflicts of interest between the Principal Investigator and a Program Supervisor

Conflict of interest with a Program Supervisor: [ ] Yes / [ ] No

Reasons for the conflict of interest and details:

<Example> Although it is not currently underway, I have conducted joint research with the Program Supervisor in the past as part of Project 〇〇 (Principle Investigator 〇〇, 20XX–20XX), which may constitute a conflict of interest.

## (2) Conflicts of interest between the Principal Investigator and a Program Advisor

Conflict of interest with a Program Advisor: [ ] Yes / [ ] No

Name of the Advisor with whom there is a conflict of interest: 〇〇〇〇

Reasons for the conflict of interest and details:

<Example> We are currently affiliated to the same organization, constituting a conflict of interest.

Application Guideline “4.6.2. Selection System and Management of Conflicts of Interest”
(1) Management of conflicts of interest during selection: **Requirements of persons or parties who have conflicts of interest** (summary)

　　a. Persons, who are relatives of research project applicants:

　　b. Persons or parties who are affiliated with the same department or specialty at an institution, such as university or national research and development corporation, or a company with which applicants are affiliated.

　　c. Persons, who are conducting a close collaboration in a research work with applicants. (Examples are persons, who are conducting a joint research project or have co-authored a paper with applicants, a researcher pursuing the same research objectives as applicants, or others being recognized as those practically affiliated with a research group with which applicants are affiliated.)

　　d. Persons in a close teacher-student relationship, or in a direct employer-employee relationship

　　e. Persons in relationships of direct competition with applicants

　　f. Persons in other relationships judged by JST to represent conflicts of interest with research project applicants.

## (3) Participation of institutions connected to the Principal Investigator

Participation as the main R&A institution by an institution connected to the Principal Investigator: [ ] Yes / [ ] No

Name of the institution in question (researcher name): ○○○○ Co., Ltd. (○○ ○○)

Reasons and details:

<Example> This institution was established based on the Principal Investigator’s R&D outcomes, and although s/he is currently a technical advisor and not directly involved in management, s/he may be appointed as a board member from July 2020.

Application Guideline “4.6.2. Selection System and Management of Conflicts of Interest”
(2) Management of conflicts of interest of Principle Investigator: **Requirements of an organization that is related to the Principle Investigator** (summary)

　　“An organization that is related to the Principle Investigator” refers to any of the organizations that fall under the following categories.
Items “a” and “b” are applicable not only to the Principle Investigator but also to the spouse and the relatives in the first degree of the Principle Investigator (hereinafter referred to collectively as “the Principle Investigator etc.”).

　　a. An organization established based on the R&D achievement of the Principle Investigator etc. (Including the case in which the Principle Investigator etc. is not directly involved in the business management but is merely given a title such as technical consultant and the case in which the Principle Investigator etc. owns the organization’s stock.)

　　b. An organization in which the Principle Investigator etc. is a director (including a CTO but excluding a technical consultant).

　　c. An organization in which the Principle Investigator owns its stock.

　　d. An organization in which the Principle Investigator is rewarded for implementation.