

Research Grant Guide FY 2017

Waseda University Research Promotion Division
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Waseda University seeks to ensure credibility and fairness in academic research and freedom in the conduct of research activities, and to be aware of our social responsibility regarding such activities, so as to earn the trust and respect of society. To that end, Waseda has established a code of conduct to ensure ethical behavior by all those involved in the University's research activities. This is detailed in the "Waseda University Academic Research Ethics Charter." Then, based on the spirit of the Charter, the University has established "Guidelines Regarding Academic Research Ethics" and "Rules for Preventive Measures against Research Misconduct and the Investigation Procedures" (adopted April 6, 2007).

Waseda University Academic Research Ethics Charter

The mission of Waseda University is to pursue academic endeavors which meet high ideals and conform with Waseda's founding principles of academic independence and enterprising spirit. Specifically, the University is committed to promoting contributions to human welfare and world peace through academic research. As such, academic researchers associated with the University shall strive to maintain its good tradition and constantly improve themselves in accordance with good conscience. Researchers will courageously address the problems of modern society while considering that academic research has a great influence on humanity, society and the natural environment. The University pledges that academic research will be reliable and fair, but also free from unnecessary constraints. With regard to its assurances and social responsibility, this University declares that all researchers and those involved in research activities shall conduct themselves in accordance with the following manners and principles so as to gain society's trust and respect for the establishment and its academic research.

1. Through academic research, all members of the University will strive to contribute to the solution of common problems which individuals face in society, in particular those related to human welfare and world peace.
2. All members of the University will do their utmost to preserve human dignity, respect life, achieve harmony among human beings, society and nature, protect the socially

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vulnerable, maintain the global environment, and positively contribute to the public interest.

3. All members of the University shall comply with international conventions, domestic and foreign laws and regulations, school rules, the spirit of such rules, and common sense. In addition, researchers shall report their results in a timely and appropriate manner so as to fulfill the expectations of society.

4. During cooperative academic research activities, all members of the University shall respect human rights, protect personal information, make all efforts to avoid any kind of harassment or discrimination based on nationality, gender, age or any other trait, and consistently work with others to prevent such behavior.

5. All members of the University shall support cooperation with society and appropriately manage all academic research.

6. The University shall strive to provide proper education and training in research ethics and in the research environment while carefully managing researchers so as to prevent misconduct. (Note: Regarding “Guidelines Regarding Academic Research Ethics” and “Rules for Prevention of Misconduct Regarding Research Activities and Responses to Misconduct,” please see page 84.)

April 2017

Foreword

First, we would like to thank all faculty members and staff for their ongoing efforts to promote research at Waseda University. Although the University is continuously developing its research support system, we still need your support in order to further

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improve the effectiveness of the system. We ask your ongoing cooperation.

In fiscal year 2014, the University's proposal, *Waseda Ocean Concept: An open, fluid and diverse academic and research network*, was selected as a Top Global University Project (Type A) by the Ministry of Education, Culture, Sports, Science and Technology (MEXT). We are strongly aware of the need to set a higher than ever standard for the enhancement and globalization of research, and to harmonize with MEXT's 2013 program for the enhancement of research universities.

Also, as expressed in the University's WASEDA VISION 150 strategic plan, we are working to advance original research and to strengthen Waseda's international communication capabilities, and striving to improve the support system so as to enhance our position as a top research university.

On the other hand, in response to recent instances of misuse of funds and other misconduct in Japanese universities, the national Implementation standards, "Guidelines for Supervision and Auditing of Public Research Funds at Research Institutions," Implementation standards) were amended in February 2014 and "Guidelines for Response to Misconduct in Research Activities" were newly drawn up in August 2014. In parallel to those revisions, Waseda also amended its "Rules regarding the prevention of research misconduct and responses to misconduct" in December 2014 and has renewed its efforts to ensure credibility and fairness in academic research and to preserve freedom of academic pursuits. Again we ask researchers to pay constant attention to the proper management and execution of research so as to achieve and sustain the standard of research to which Waseda aspires.

This booklet was created to provide easily accessible information regarding the various research-related systems. For details on each topic and on specific procedures, please consult the Research Promotion Division website.

We will continue to revise this booklet so as to improve ease of use and accessibility for those who are starting new research or are new to the University. If you have any

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suggestions in this regard, please contact us.

Toshiyasu Matsushima
Dean, Research Promotion Division



WASEDA University

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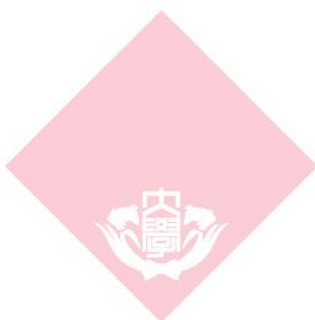
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Individual research allowance

1. Purpose

This grant is for the support of academic research conducted by individual faculty members.

2. Eligibility

Professors, Associate Professors, Assistant Professors, Teachers (at Affiliated Senior High Schools), Professors (without tenure), Associate Professors (without tenure), Assistant Professors (without tenure), Research Associates (not Research Assistants); Those who meet any of the following conditions are not eligible:

- On leave of absence throughout the relevant year
- Employed with external funding
- Primary affiliation is a research organization

3. Nature of support, amount of funding and scope of use of grant

Individual research funding is allocated to individual faculty members (full time faculty, assistant professors and research associates). The allowance is provided to each department as a lump sum.

1) Individual research allowance for academic staff.

It can be used for research expenses (books and materials, supplies, consumables, printing and binding, communications and transportation, maintenance, leases, and miscellaneous expenses), for attending academic meetings and for research-related travel.

University faculty: 212,000 yen

Waseda University Senior High School, Honjo Senior High School and Art and Architecture School: 204,000 yen

2) Subsidy for photocopying: 3,000 yen

This should be used for part of copying expenses.

To be covered by individual research allowance, items must be directly related to research within the scope of the researcher's field of specialization. Since faculty

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members' research fields vary widely, it is often difficult to determine whether a certain expense is covered. The list “Items that may not be covered” on the Research Promotion Division web site includes items which cannot be readily distinguished as for official use or for private use, and items related to the maintenance of the research environment (which are in general not covered).

However, depending on the research content, there might be cases where research activities require special items or items which are not normally covered. When this is the case, it is permissible to purchase such items after submitting an explanatory statement along with materials describing the content (e.g. product catalogue) to your administrative office.

Note: The scope of use table for items covered by Individual Research Allowance and examples of items which are not covered are available at

<http://www.waseda.jp/rps/en/fas/guide/research-fund/challenge.html>

4. Application procedures

No application is required; the allowance is distributed to each department (e.g., undergraduate school).

5. Application timing

N/A

6. Decision timing

N/A

7. Detailed information at:

<http://www.waseda.jp/rps/en/fas/guide/research-fund/challenge.html>

8. Section in charge

Research Support Section of the Research Promotion Division

kojinken@list.waseda.jp

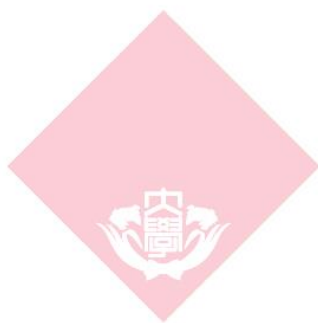
9. Other

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This allowance may be granted only once in a given fiscal year. However, if a recipient is appointed a second time in one fiscal year (e.g., changing appointment from research associate to assistant professor) and has already received that year's allowance, the balance of the grant which has not been used may be used in the new appointment.



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<Academic society conference and international academic conference travel subsidy>

1. Purpose

This grant is intended to encourage researchers to actively participate in academic conferences and to publish their research results.

In principle, this subsidy can be used only for travel expenses to attend academic conferences held in Japan and overseas. This subsidy does not cover research trip expenses.

The definitions of academic society and international conference are:

- Academic society: research organizations that have bylaws and a membership list.
- International conferences: conferences or symposia attended by participants from two or more countries.

However, in the case where there is no organized academic society for a given research field, if it is expected that research results could be enhanced by attending a meeting held by an organization which does not have the status of academic society (e.g. conferences held by government ministries or JSPS), then this subsidy can be used for attendance.

If you are not certain whether a meeting you wish to attend is covered by the subsidy, please inquire to the Research Support Section through your department accounting section, attaching documents describing the meeting content.

2. Eligibility

Those who are eligible for the individual research allowance

3. Scope and amount of support

- a) Academic conference travel subsidy

Up to 90,000 yen per year

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- Travel expenses (transportation, accommodations and daily allowance) for attending academic society conferences, international conferences or symposia held in Japan, or those held overseas but not in the researcher's country of residence, can be covered by the subsidy.
- Travel expenses (transportation, accommodations and daily allowance) for attending meetings or briefings of academic society board members.

b) International academic conference subsidy

Up to 110,000 yen per year

- Travel expenses (transportation, accommodation costs and daily allowance) for attending academic conferences, international conferences or symposia held overseas (not in the researcher's country of residence) as a board member, presenting a research paper, or lecturing (including as a commentator or panelist).
- Travel expenses (transportation, accommodations and daily allowance) for attending meetings or briefings for academic society board members.

4. Application procedures

A “Request for business trip” should be submitted before the trip. Please check the relevant box of the expenses section on the back of the form and submit the form with some documentation (such as an event program or an invitation to the conference) to the accounting section of your administrative office.

5. Application timing

Before travel.

6. Decision timing

No particular timing.

7. Detailed information

<https://www.waseda.jp/rps/en/fas/guide/research-fund/subsidy.html>

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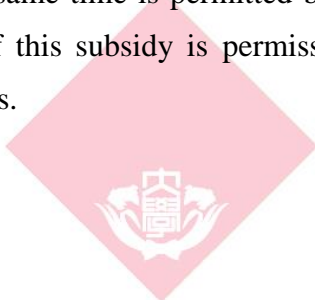
8. Section in charge of the grant

Research Support Section of the Research Promotion Division

kojinken@list.waseda.jp

9. Other

This subsidy can also cover business trips funded by internal research allowances (individual research allowances and grants for special research projects) or by other research funds, including public research funds. However, this subsidy cannot be used for business trips funded by research funding which forbids use of two or more subsidies at the same time or combined use of subsidies. If using two or more subsidies at the same time is permitted but use of combined subsidies is not permitted, the use of this subsidy is permissible but care must be taken to avoid combining subsidies.



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<Waseda University Grant for Special Research Project>

◇ Special Research Project A

1. Purpose

This grant is intended to support research projects aimed at new developments and further enhancements, conducted by an individual or a group of researchers.

2. Eligibility

Professors, Associate Professors, Assistant Professors, Teachers (Affiliated Senior High School), Professors (without tenure), Associate Professors (without tenure), Assistant Professors (without tenure), Research Associates (not Research Assistants)

The following cases are not eligible:

- Those who are employed using external funding
- Those whose primary affiliation is a research organization

3. Scope and amount of support

1) *Ippan* grant: Up to one million yen (one-year period)

2) *Juten* grant: Up to five million yen (two-year period)

Note: only those who are 39 years old or younger as of the day of the commencement of the research are eligible (Research Associates cannot apply for *Juten* grant).

For the limitations on covered expenses, please refer to the scope of use table in Section 6 at

<http://www.waseda.jp/rps/en/fas/guide/research-fund/challenge.html>

4. Application procedures

Application: FY 2017 applications are closed. FY 2018 application guidelines will be announced through MyWaseda and the Research Promotion Division website in early October, 2017.

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Allocation screening: Conducted by the Screening Committee of Waseda University Grant for Special Research Projects, screening will consist of document review and consultation among Committee members, based upon submitted documents such as Research Plans.

Announcement of results: The selection of approved research plans and the amount of grants will be announced through department offices.

5. Application timing

From early October

6. Decision timing

Late March

7. Detailed information

Information for within Waseda (website) → Waseda University Grant for Special Research Project

<http://www.waseda.jp/rps/fas/index.html>

Applications for FY 2017 (FY 2018 application guidelines will be released in early October, 2017.)

<http://www.waseda.jp/rps/fas/research-expenses/specific-research/index2017.html>

8. Section in charge

Research Support Section of the Research Promotion Division

tokuteikensi@list.waseda.jp

◇ Special Research Project B

1. Purpose

In the case where a researcher has newly applied as a research representative for MEXT's Grant-in-Aid for Scientific Research (*Kakenhi*) (and except for "Grant-in-Aid for Research Activity Start-up") and was not selected, this grant will

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be provided as a run up fund for the next year's application for *Kakenhi*.

2. Eligibility

Professors, associate professors, assistant professors, teachers (Affiliated Senior High School), professors (without tenure), associate professors (without tenure), assistant professors (without tenure), research associates (not research assistants)

The following cases are not eligible:

- Those who are employed using external funding
- Those whose primary affiliation is a research organization

3. Support content and amount

Upper limit ranges from 250,000 yen to 3 million yen, depending on the *Kakenhi* category (the research period should be within one year)

The scope of use table for items covered by the grant is available at <http://www.waseda.jp/rps/fas/guide/research-fund/challenge2016.html>

4. Application procedures

Application: The beginning of the application period will be announced through MyWaseda and the Research Promotion Division website in early October.

Allocation screening: Screening, conducted by the Screening Committee of Waseda University Grant for Special Research Projects, will consist of document screening and consultation among screening committee members, with reference to the results of the first *Kakenhi* screening.

Grant distribution: The selection of approved research proposals and the amount of grants will be announced through department offices.

5. Application timing

Applications will be automatically registered as Special Research Project B for *Kakenhi* applications made in late October of the previous fiscal year. After *Kakenhi* selection is announced in early May, applicants who are not selected for *Kakenhi* may apply officially for Special Research Project B. FY 2017 applications are closed. For FY 2018, application will be automatically entered for those who apply for *Kakenhi*

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in late October, 2017.

6. Decision timing

Late June

7. Detailed information

Information for within Waseda (website) → Waseda University Grant for Special Research Project

<http://www.waseda.jp/rps/fas/index.html>

Applications for FY 2017 are closed. FY 2018 application guidelines will be released in early October 2017.

<http://www.waseda.jp/rps/fas/research-expenses/specific-research/index2017.html>

8. Section in charge of the grant

Research Support Section of the Research Promotion Division

tokuteikensi@list.waseda.jp

◇ Special Research Project (Fundamental (*Kiso*))

1. Purpose

This grant provides fundamental and supplementary support for research conducted by individuals at Waseda University, especially research with external funding.

2. Eligibility

Professors, associate professors, assistant professors, teachers (Affiliated Senior High School), professors (without tenure), associate professors (without tenure), assistant professors (without tenure), research associates (not research assistants)

The following cases are not eligible:

- Those who are employed using external funding
- Those whose primary affiliation is a research organization

3. Support content and amount

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Up to 300,000 yen

The scope of use table for items covered by the grant is available at
<http://www.waseda.jp/rps/en/fas/guide/research-fund/challenge.html#anc0>

This subsidy can be used with other subsidies at the same time or by combining with other subsidies if the external organization's rules allow that.

4. Application procedures

Application: FY 2017 applications are closed. FY 2018 application guidelines will be announced through MyWaseda and the Research Promotion Division website in early October, 2017.

Allocation screening: Conducted by the Screening Committee of Waseda University Grant for Special Research Projects, screening will consist of document screening and consultation among screening committee members, based upon submitted documents such as research plans.

Grant distribution: The selection of approved research proposals and the amount of grants will be announced through department offices.

5. Application timing

From early October

6. Decision timing

Late March

7. Detailed information

Information for within Waseda (website) → Waseda University Grant for Special Research Project

<http://www.waseda.jp/rps/fas/index.html>

Applications for FY 2017 are closed. FY 2018 application guidelines will be released in early October

<http://www.waseda.jp/rps/fas/research-expenses/specific-research/index2017.html>

8. Section in charge of the grant

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Research Support Section of the Research Promotion Division
tokuteikensi@list.waseda.jp

◇ Special Research Project (for newly hired faculty)

1. Purpose

This grant is for the support of research conducted by an individual, as a supplement to the initial research budget at the time when the researcher is newly hired. The grant is intended to enable the researcher to develop and complete research which he/she has been conducting individually.

2. Eligibility

Professors, associate professors, assistant professors, teachers (Affiliated Senior High School), professors (without tenure), associate professors (without tenure), assistant professors (without tenure), research associates (not research assistants) who were hired during the following periods:

- a) April Application: April 2, 2016 to April 1, 2017
- b) September Application: April 2, 2017 to September 1, 2017
- c) The following cases are not eligible:
 - Those who are employed using external funding
 - Those whose primary affiliation is a research organization

3. Support content and amount

Up to 300,000 yen

The scope of use table for items covered by this grant is available at <http://www.waseda.jp/rps/en/fas/guide/research-fund/challenge.html#anc0>

4. Application procedures

Application: The beginning of the application period will be announced in the Spring term and the Autumn term through MyWaseda and the Research Promotion Division website.

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Allocation screening: Conducted by the Screening Committee of Waseda University Grant for Special Research Projects, screening will consist of document screening and consultation among screening committee members, based upon submitted documents such as research plans.

Grant distribution: The selection of approved research proposals and the amount of grants will be announced through department offices.

5. Deadline for application

- a) April application: Friday, April 7, 2017
- b) September application: Wednesday, September 19, 2017

6. Decision timing

- a) April application: mid-May, 2017
- b) September application: early October, 2017

7. Detailed information

Information for within Waseda (website) → Waseda University Grant for Special Research Project

<http://www.waseda.jp/rps/fas/index.html>

Applications for FY 2017 (now closed)

<http://www.waseda.jp/rps/fas/research-expenses/specific-research/index2017.html>

8. Section in charge of for the grant

Research Support Section of the Research Promotion Division

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< Academic society related subsidy >

◇ *Subsidy for academic society expenses*

1. Purpose

The subsidy is granted to support academic societies of which Waseda's full-time faculty are members, so as to enhance Waseda's research capabilities.

2. Eligibility

Japan-wide academic societies whose secretariat is in Waseda, and of which some Waseda professors, associate professors, assistant professors, affiliated school teachers, professors (without tenure), associate professors (without tenure), assistant professors (without tenure) and research associates (except research assistants) are members.

The following cases are not eligible:

- Those who have leave of absence from university throughout the relevant year
- Those who are employed using external funding
- Those whose primary affiliation is a research organization

3. Support content and amount

Up to 50,000 yen per fiscal year will be provided for clerical expenses and administrative board fees.

4. Application procedures

a) Preliminary granting survey

To be eligible for the subsidy, academic societies wishing to receive this subsidy need to obtain approval in advance, by completing the 'Preliminary survey of an academic society with secretariat at Waseda' conducted by the Research Support Section at the beginning of each academic year.

b) Distribution of subsidy

A society which has been approved in the preliminary survey can receive a

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subsidy for academic society expenses by submitting 'Application for subsidy for academic society expenses (Form-1)' and relevant receipts or bills (which must be addressed to the academic society).

5. Application timing

Preliminary granting survey: mid April

Application for budget grant: as needed (but only for academic societies which have been approved in the preliminary survey).

6. Decision timing

Approval of the eligibility of the academic society: early June (tentative)

7. Detailed information

8. <http://www.waseda.jp/rps/fas/guide/research-fund/academy.html>

8. Section in charge of the subsidy

Research Support Section of the Research Promotion Division

kensi@list.waseda.jp

◇ *Subsidy for holding a national meeting*

1. Purpose

The subsidy is granted to support academic societies of which Waseda's full-time faculty are members, so as to enhance Waseda's research capabilities.

2. Eligibility

3. Japan-wide academic societies whose secretariat is in Waseda, and of which some Waseda professors, associate professors, assistant professors, affiliated school teachers, professors (without tenure), associate professors (without tenure), assistant professors (without tenure) and research associates (except research assistants) are members.

The following cases are not eligible:

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- Those who have leave of absence from university throughout the relevant year
- Those who are employed using external funding
- Those whose primary affiliation is a research organization

4. Support content and amount

- In line with the upper limit stated in the following table, a portion of clerical work expenses (e.g., program printing cost, honorarium for lecturing and transportation costs) will be subsidized for holding a national meeting.

Up to 50 people	25,000 yen
51 to 100 people	35,000 yen
101 to 200 people	45,000 yen
201 to 300 people	55,000 yen
301 or more	65,000 yen

5. Application procedures

- 'Application for academic society subsidy (for holding a national meeting)' (Form 2) must be submitted, along with a bill or receipt (The name of the academic society must be stated. A copy is acceptable.), documentation of the number of participants and the meeting program, to the department office after the meeting is over.

6. Application timing

As needed.

7. Decision timing

No particular timing.

8. Detailed information

<http://www.waseda.jp/rps/en/fas/guide/research-fund/academy.html#anc02>

Note: Subsidy for convivial party was discontinued in FY 2017.

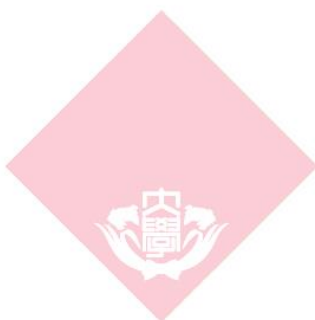
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8. Section in charge of the subsidy

Research Support Section of the Research Promotion Division

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Support for Academic Paper Publication (former Academic paper publication subsidy)

1. Purpose

To support the dissemination of research outcomes, this subsidy is intended to provide part of the expenses of publication of research papers (including online posting) in academic journals or of the translation and editing of academic papers as necessary for publishing.

2. Eligibility

Professors, associate professors, assistant professors, affiliated school teachers, professors (without tenure), associate professors (without tenure), assistant professors (without tenure), research associates, senior researchers, researchers, junior researchers, research assistants and JSPS research fellowship for young scientist recipients (PD and RPD only),

Those who have leave of absence from university throughout the relevant year are not eligible.

3. Support content

Expenses related to the translation into foreign languages and editing of academic paper for posting, paper posting support services (support for selection of a journal for posting, support for peer review before posting, support in the adjustment of graphic parts of papers, support for the posting of papers to journals, post-acceptance support or reposting support or similar service) or costs related to paper publication (posting fees, publication fees, web publication fees, open access fees, separate printing and additional printing fees, postal transfer fees and handling charges related to payment). Up to 240,000 yen per person per fiscal year although there is no limitation on the number of application.

[Note]

- It is not permissible to use this subsidy in combination with public research funds (direct expenses) such as *Kakenhi* (Combined use with individual research allowance or indirect expenses is permissible).

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- *English academic paper posting support service* (support for selection of a journal for posting, peer review support before posting, support in adjustment of graphic parts of paper, support for the posting of papers to journals, post-acceptance support, reposting support or similar service) has been included in *Academic paper publication subsidy* since 2017, and the name of the *Academic paper publication subsidy* has been changed to *Support for Academic Paper Publication*.

4. Procedures

Please submit relevant form and documents (depends on the content of direct expenses which one applies for subsidy) to the accounting section. For the details, please refer No. 7 below.

5. Application timing

As needed.

6. Decision timing

As needed.

7. Detailed information

<http://www.waseda.jp/rps/fas/guide/research-fund/posting.html>

8. Section in charge and contact

Research Support Section of the Research Promotion Division
kensi-s@list.waseda.jp

9. Other

When applying for this subsidy, a printed excerpt from the relevant paper must be submitted to the accounting section of your department office. If the excerpt is not ready at the time of application, please do not forget to submit it later.

***English academic paper posting support service* (has been discontinued since FY**

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2017)

<Academic research book publication system>

1. Purposes of the academic research book publication system

In order to maintain and where possible improve Waseda University's academic status and to enhance publication opportunities for researchers related to Waseda, the system provides support for the publication of good quality academic research books through Waseda University Press (hereafter "Waseda Press"), as part of the effort to enhance publication and information dissemination. Expenses related to publication are covered by the university.

2. Publication: outline and types

In order to achieve the above purposes effectively, the following two types of publication are available through this system.

1) Waseda University Eupraxis Library

This is to offer opportunities for individual researchers who have obtained a doctorate degree within the past five years to publish a book written by the researcher alone. The content should be of considerable social interest, should be based on the researcher's doctoral dissertation, with further research outcomes added afterwards.

2) Waseda University Academic Library

The primary objective of this publishing method is to maintain and where possible improve the University's academic status by offering researchers opportunities to publish high quality academic research books.

The number of copies printed, which depends on the special field or theme, will be decided after discussion between the University and Waseda Press at the time of publication.

Aimed at distribution in book stores, published books will be distributed to researchers,

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university libraries and public libraries.

Both types of book have ISBN numbers and fixed prices.

3. Editing, publication and sales

All publishing operations, including editing (proofreading), publication and sales will be done by Waseda Press.

4. Detailed information

Please refer to the ‘Academic Publication Support’ web page in the “Waseda Culture” website prepared by the Waseda University Cultural Affairs Division (revised March, 2017).

<http://www.waseda.jp/culture/support/>

5. Section in charge

Cultural Planning Section, Cultural Affairs Division, Waseda University

Tel: (extension) 79-2345, (external) 03-5272-4783

E-mail : shuppanjimu@list.waseda.jp

WASEDA University

<Special program to support large scale research >

1. Purpose

To promote better quality education and research in the current competitive environment; to contribute to the diversification and advancement of education and research; and to obtain high evaluations, it is necessary to improve the fundamental conditions of researchers who play the central role in these domains. To establish a supportive environment for researchers who have obtained large scale competitive research funding, the university provides measures to reduce their education related burden so as to concentrate on their research.

2. Eligibility

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Research representatives (full-time faculty members) who have obtained large scale research funding such as competitive funds (refer to the URL below).

3. Support content

In order to enable researchers to focus on their research, support such as funding for exemption from teaching load and for provision of research support staff or RA will be provided. The content of support differs depending on the eligibility category, so please inquire about the details to the staff in charge at the affiliated department.

4. Procedures

In line with the preparation for the classes in their Faculty, eligible researchers will be notified about this support program through their department office. Eligible researchers who wish to use this program are required to submit the prescribed application form to the department office (there are two application timings in one fiscal year).

5. Application timing

First timing: early October to late November (tentative)

Second timing: early June to late July (tentative)

6. Decision timing

First: mid December (tentative)

Second: late July (tentative)

7. Detailed information

URL <http://www.waseda.jp/rps/fas/research-expenses/big-research.html>

8. Section in charge of the program

Research Support Section of the Research Promotion Division

kensi-s@list.waseda.jp

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<Research support for life events>

1. Purpose

During the period when a researcher affiliated with Waseda is pregnant or is engaged in childcare, support for the continuation of research activities by assigning research support staff or research assistants (RA) for the maintenance and improvement of research capabilities, dissemination of research outcomes and encouragement of the acquisition of external funding will be provided.

2. Eligibility

During the period for applicant desires this support, all of items (1) to (4) below are required. The Research Promotion Division will decide the recipients of this support.

- (1) The applicant is employed by Waseda and conduct some research using internal or external research funds.
- (2) The applicant is pregnant or engaged in the care of her/his children up to and including the third year of elementary school.
- (3) The applicant's spouse works full time or the applicant is a single parent.
- (4) The applicant has Waseda university status of professor, associate professor, assistant professor, professor (without tenure), associate professor (without tenure), assistant professor (without tenure) or research assistant. Those on leave of absence from the university, those employed by external funding, and those whose primal affiliation is a research organization are not eligible.

Note:

- During the period when the applicant wishes to receive this support, if the applicant has already obtained maternal leave or childcare leave, it is not permissible to use this support.
- Any researcher who has already used six terms of this support (1 term is half a year) is not allowed to apply for this support.
- Multiple applications from one family during the same period are not permissible.

3. Support content and grant amount

If an applicant is granted this support, the expenses related to the employment of

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research support staff or RA necessary for the continuation of research activities will be subsidized up to 300,000 yen per term (terms are from April to September and from October to March). The maximum hourly wage is 1,500 yen. Other employment conditions and procedures will be in line with the content of *Procedures for the Employment of Research Assistants (RA) and Research Support Staff (RS)*.*

*Research Funds Manual

Reference material 4: *Procedures for the Employment of Research Assistants (RA) and Research Support Staff (RS)*

<http://www.waseda.jp/rps/fas/guide/index.html>

4. Procedures

There are two application periods per year. The procedures and the content details will be announced through MyWaseda or each faculty.

FY 2017 application schedule (tentative)

Call for application	Applicable support period	Documents to be submitted	Application deadline
(1) February 2017	First half of FY 2017 (April to September) Second half of FY 2017 (October to March)	<input type="checkbox"/> Application form <input type="checkbox"/> Documentation to prove the application eligibility (e.g. a photocopy of residence certificate without national identification number or a copy of the page of maternity passbook featuring birth registration certificate.	February 28, 2017
(2) July 2017	Second half of FY 2017 (October to March)		August 31, 2017

5. Section in charge

Life event support of the Research Support Section, the Research Promotion Division
(life-event@list.waseda.jp)

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WASEDA University

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<Subsidy for lecture meetings>

1. Purpose

This subsidy is intended to support the holding of academic lecture meetings for undergraduate students, graduate students and the general public, outside of regular classes.

2. Eligibility

Academic lecture meetings held for undergraduate students, graduate students and general public are eligible when application is made by the department where classes are held.

However, support for speaker fees is limited to lecturers coming from outside of Waseda (*1).

(*1: This includes Waseda University part-time lecturers, but not Waseda students.)

Lecture meetings and symposia for researchers and select groups of students are not eligible. Also, meetings which collect attendance fees are not eligible. Since meetings are open to the general public, the applicants are required to publicize the event on the university's website at least two weeks prior to the date of the meeting.

3. Support content and amount

Lecturer fees and interpreting fees may be covered, in compliance with the following standard. Transportation costs are not covered.

[Honorarium supply standard]

The following amounts are the upper limits for lectures of one period (90 minutes) according to classifications A and B.

- Status A: includes professors, associate professors, lecturers, assistant professors and those who are 35 years old or older.
- Status B: includes those who are treated as research associates and those who are under 35 years old.

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Ordinary lecture

Speaker fees	From outside Waseda (A)	50,000 yen
	From outside Waseda (B)	30,000 yen
Interpreter fees	From either inside or outside Waseda	20,000 yen

In the case of series of lectures, please refer to:

<http://www.waseda.jp/rps/en/manual/kouenkai.html>

4. Procedures

Please fill out 'Application for Honorarium for Speakers at Lecture Meetings' (Form-2) and submit it to the office of the department which will hold (or co-hold) the meeting (i.e. the venue of the lectures). A document providing an outline of the event and the time, the name(s) of the lecturer(s) and the number of lectures must be attached to the form. That form will be the basis for calculation of the honorarium (net payment). Applications submitted after the event will not be accepted. Also, please be sure to submit your application far enough in advance to allow two weeks or more for announcement of the event.

5. Application timing

Throughout the fiscal year

6. Decision timing

Throughout the fiscal year

7. Detailed information

<http://www.waseda.jp/rps/en/manual/kouenkai.html>

8. Section in charge of the subsidy

Academic Affairs Section kyomuka@list.waseda.jp

For procedures, please consult with the office of the department where the meeting(s) will be held.

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<Fees for invited lecturers for regular classes>

1. Purpose

In order to enhance undergraduate and graduate school education activities, lecture fees will be supplied for the purpose of inviting special lecturers for regular classes.

This does not mean asking invited lecturers to serve as teachers of classes, but rather asking their support and participation in classes managed by Waseda faculty members.

2. Eligibility

In regular undergraduate and graduate school classes (*1), lecture fees will be supplied when the full-time faculty in charge of a class invites a lecturer from outside Waseda (*2).

*1: Here 'class' refers to classes which students can take for credit. Research guidance meetings are not included.

*2: 'From outside Waseda' includes part-time lecturers and researchers at Waseda, but does not include students.

3. Support content and amount

Lecturer fees are 10,000 yen (after tax) per class period per person. Transportation costs are not covered.

There is a limit on the number of special lectures paid for the same class:

2 times per fiscal year for year-long courses (30 classes per year);

1 time per half-year course (15 classes); and

1 time per quarter system course (8 or 15 classes).

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4. Procedures

Organizational approval (such as by a faculty committee) is needed in advance for plans to invite a lecturer from outside. As soon as the invitation plan is decided, 'Application Form for Fee for Invited Lecturers' (Form-9) must be submitted to the department where the class will be held. For guidance on completing the form, please refer to:

<http://www.waseda.jp/rps/en/manual/jugyo.html>

5. Application timing

Throughout the fiscal year

6. Decision timing

Throughout the fiscal year

7. Detailed information

<http://www.waseda.jp/rps/en/manual/jugyo.html>

8. Section in charge of the support

Academic Affairs Section kyomuka@list.waseda.jp

For inquiries about the procedures, please consult with the office of the department where the classes will be held.

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<Sabbatical leave system>

This system provides an opportunity for Waseda full-time faculty to concentrate intensively on their research and accordingly improve research and education. In early June of each year, Waseda's departments are requested to recommend candidates for sabbatical leave, in line with the departments' allocated budget for the following year. The departments will decide candidates in collaboration with the faculty committee, and will recommend candidates to the university by the end of July. The applicants will be officially designated after obtaining approval from the university.

1. Necessary procedures and documents

Please refer to the following website for the necessary documents:

<http://www.waseda.jp/rps/en/fas/guide/overseas/period.html>

2. Expenses

Expenses for sabbatical leave will be provided according to the following criteria. However, if it is necessary to continue the research and the faculty committee approves the extension of the leave, expenses for the extended period will not be provided. Also, expenses may not be provided for those participating in overseas research activity programs using an external organization's funds. Recipients are asked to consult with the relevant department office beforehand.

Expenses = Accommodation charge + Trip preparation allowances + Round trip travel expenses

Please see the details at: <http://www.waseda.jp/rps/en/fas/guide/overseas/period.html>

The expenses can be paid within two months prior to departure. At the appropriate time, applicants should submit 'Sabbatical Leave Expenses Invoice' (TK Form 2-1) and an invoice/receipt for the round trip travel expenses to the department office. The office will pay the amount in a lump sum to the applicant's bank account.

3. Payment of salaries

During a sabbatical leave, base salary, dependent allowance, housing allowance and

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bonuses are provided as usual. However, if the duration of sabbatical leave exceeds three years in total, salaries will be provided in accordance with the leave of absence regulations. If the duration of the sabbatical exceeds four years, salaries, bonuses and other allowances will not be provided.

4. Procedures for changes of plan such as change of period

In the case of changes to details (such as the duration and organization) of the initial research plan, 'Request to change the sabbatical leave plan (including extension of the duration)' (TK Form 3) must be submitted to the department office. When extending the duration, an invitation letter from the research organization where the applicant intends to work must be attached.

Note: Extension exceeding the authorized duration is not permissible. For example, a six month duration cannot be extended by one year.

The approval of the department is required, except in the following cases:

- Change of research venue only
- Shortening the period within the approved period, e.g., change from April 1, 2017 to March 31, 2018 to May 16, 2018 to February 28, 2018
- Extension of the period is greater than the approved length, but it overlaps vacations and has no effect on classes, e.g., change from September 10, 2017 to August 31, 2018 to September 10, 2017 to September 9, 2018.
- Change of the period of overseas stay within the approved period

<Overseas activities>

1. Eligibility and procedures

a) Official overseas trips

These are overseas trips by full-time faculty or staff of Waseda in order to conduct research, engage in educational activities, attend conferences including academic society meetings, conduct inspections or surveys, attend international competitive sports events, or lead a group of students.

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It is necessary to submit the required documents to the affiliated department prior to the trip in order to obtain Waseda's approval (faculty committee approval).

b) Study abroad

This is the case where full-time faculty members or research associates study abroad with the objective of improving their competency in teaching or in research related to their field. This only applies to those younger than 35 years of age on April 1st of the year of study abroad. Such trips will be not included in the individual sabbatical leave record. The period of study abroad should be one semester or longer, to a maximum of one year.

It is necessary to submit the required documents to the affiliated department prior to the trip in order to obtain Waseda's approval (faculty committee approval).

2. Other support systems

a) Support system to subsidize expenses for dispatching and inviting researchers for the promotion of international joint research

In the case of overseas dispatch, this system subsidizes expenses for full-time Waseda faculty members (full time faculty members, professors (without tenure), assistant professors (without tenure) and research associates).

In the case of inviting researchers from overseas, it subsidizes only invitations by full-time Waseda faculty members.

This system enables researchers to participate in overseas academic meetings, to prepare to write papers or books with international joint researchers, and to prepare joint applications for external competitive funds.

b) Program to dispatch professors based on special partnerships

This is a program to send faculty members to partner universities which have a special agreement with Waseda regarding the exchange of professors.

c) Support system for short term dispatch of graduate students

The aim of this system is to support graduate students in the conduct of research at overseas institutions in order to complete their theses and dissertations.

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3. Other procedures

a) Loan system for expenses related to overseas activities

This system is for full-time faculty or staff who will stay abroad for a period of more than one month. Those on sabbatical leave, exchange professors, those making official overseas trips, and those currently studying or taking training abroad can apply for a bank loan to cover the expenses necessary for such purposes. The partner bank is the Waseda branch of Risona Bank.

b) Base salary advances and other allowances

Those who will stay abroad for sabbatical leave, those who will reside abroad as exchange professors, those who will make an official overseas trip, and those who will study or take training abroad can apply for an advance on salary and bonuses. This applies to those with no dependent family, and those who have dependent family and will take all dependent family with them.

c) Non-resident tax code treatment during overseas sojourns

In cases where one continuously resides and is employed (including research activity and study) in a given country for one year or more, that country has income taxation rights on one's earnings. Therefore, in order to avoid double taxation, if one leaves Japan for one year and one day or more, one can be treated as a non-resident of Japan and thus can be exempt from Japanese income tax on salaries which are paid during the non-resident period. (However, bonuses received during the resident period will be taxed at a rate of 20.42%.) Please contact the Salaries and Welfare Section regarding the details of accreditation of non-residents.

d) Salaries during overseas trips using external funding

In the case of a stay overseas for one year or more, funded by an external organization, Waseda provides a regular salary, dependent allowance, housing allowance and bonuses (in summer and at year end) for one year from the month when the person begins to receive the external funding. However, for periods exceeding one year, bonuses will not be paid.

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e) Health checkup for overseas sojourns

Faculty and staff who will stay abroad for six months or more are obliged to take health checkups before and after the trip. However, for those who have had a complete medical checkup (*ningen dokku*) or official health checkup less than 6 months prior to departure, the results of that checkup can be used; please consult with the Health Care Room. All related expenses will be covered by the university.

f) Medical service coverage during overseas stay

For medical care expenses for injury or disease incurred during an overseas stay, there are two modes of payment, by health insurance and by Traveler's Insurance supplementing Waseda's coverage for overseas occupational accidents. The insurance is contracted with the insurance company Tokyo Marine & Nichido Fire Insurance Co., Ltd. through the Campus Insurance Center.



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<Acceptance of foreign researchers >

1. Eligibility and acceptance procedure

1) Visiting Scholars

Those engaged in education and research activities at a university or research institute inside or outside Japan who wish to conduct research at Waseda can be accepted as ‘visiting scholars.’

a) Eligibility

Those who hold the equivalent of the Waseda University academic rank of assistant professor, or higher.

b) Hosting organizations at Waseda

- 1) Faculties,
- 2) research institutes and research and education centers which are not affiliated with any faculty,
- 3) Tsubouchi Memorial Theatre Museum,
- 4) Waseda University Museum, and
- 5) Comprehensive Research Organizations

c) Period of affiliation

Up to one year. If there are special circumstances, the status can be renewed. However, the total period of affiliation may not exceed three years.

d) Research fees

No fees are charged for visiting scholars from overseas.

2) Research fellows

Those engaged in education and research activities at a university or research institute inside or outside Japan who wish to conduct research at Waseda can be accepted as ‘research fellows.’

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a) Eligibility

Those who hold the equivalent of the Waseda University academic rank of research associate or higher. Those who are in a doctoral program.

b) Hosting organizations at Waseda

- 1) Faculties,
- 2) research institutes and research and education centers which are not affiliated with any faculty,
- 3) Tsubouchi Memorial Theatre Museum,
- 4) Waseda University Museum, and
- 5) Comprehensive Research Organizations

c) Period of affiliation

Up to one year. If there are special circumstances, the status can be renewed. However, the total period of affiliation may not exceed three years.

d) Research fees

No fees are charged for research fellows sent from overseas.

3) Research interns

Those registered in a master program at a university outside Japan who wish to conduct research at Waseda can be accepted as 'research interns.'

a) Eligibility

Those who are registered in a master program at a university outside Japan

b) Hosting organizations at Waseda

- 1) Faculties,
- 2) research institutes and research and education centers which are not affiliated

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with any faculty,

- 3) Tsubouchi Memorial Theatre Museum,
- 4) Waseda University Museum, and
- 5) Comprehensive Research Organizations

c) Period of acceptance

Up to three months.

d) Research fees

No fees are charged for research interns from overseas.

Note: The exchange researcher system was terminated on June 16, 2014.

2. Facilities

1) Guest houses

Waseda University has the following five guest houses for overseas researchers. All rooms are furnished (furniture, bedding and kitchen utensils) and the fees vary according to the type of room. Please inquire to the International Office at guesthouse@list.waseda.jp

- Someya International House (6 rooms)
2-3-4 Nishi-Waseda, Shinjuku-ku ☎ 169-0051
- Guest House Kikui-cho (38 rooms)
51 Waseda-Minamicho, Shinjuku-ku ☎ 162-0043
- Waseda Hoshien International House (14 rooms)
2-3-1 Nishi-Waseda, Shinjuku-ku ☎ 169-8616
- Court Nishi-Waseda (7 rooms)
3-17-4 Nishi-Waseda, Shinjuku-ku ☎ 169-0051

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- Waseda STEP 21 (49 rooms)

1-103 Totsuka-machi, Shinjuku-ku 〒169-0071

- Tokorozawa Guest House (3 rooms)

1705-7 Horinouchi, Tokorozawa City, Saitama Prefecture 〒359-1165

2) Overseas researchers facilities

The following research facilities are available for overseas researchers with the status of 'visiting scholar' and 'research fellow': 16 research offices on the 4th floor of the international conference center in the Center for Scholarly Information; one room and two joint research rooms on the 9th floor of Building No. 14; 50 desks for doctor students on the 2nd floor; three joint research rooms on the 9th floor of Building No. 9, 14 rooms; and 2 shared research rooms on the 7th and 8th floors of Building No. 22. Those wishing to use an office or a desk should inquire to the International Office (tel: 71-2191).

2. Detailed information

<http://www.waseda.jp/top/about/work/organizations/international-affairs-division/iss/>

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Waseda University overseas outposts

<Asia>

[China]

1) Beijing Education and Research Center (established in 2004)

We provide support for Waseda's education and research activities in the Beijing area in China.

Address YANYUAN DA SHA 702 SHI, BEI DA JIE 151 HAO HAI DIAN QU,
BEIJING 100080, CHINA Tel : +86-10-5887-6701
Fax : +86-10-5887-6702 E-mail: beijing-office@list.waseda.jp

2) Shanghai Education and Research Center (established in 2008)

The center works to promote joint education with educational organizations and joint research projects through academic-industrial alliances with corporations in the Shanghai area, and serves as the hub of Waseda University activities in South China, centered around Shanghai.

Address: 207-B, W PLAZA, NO.1686, WUZHONG RD., MINGHANG DISTRICT,
SHANGHAI, 201103 CHINA
Tel : +86-21-6510-0099 Fax : +86-21-6510-8596 E-mail: shanghai-office@list.waseda.jp

[Taiwan]

3) International Center Taipei (established in 2008)

We have been providing support for Waseda's education and research activities centered around Taipei in Taiwan.

Address 5F, SHIN KONG LIFE BLDG., 123, SEC.2, NANKING EAST RD., TAIPEI
CITY 104, TAIWAN Tel : +886-2-2507-4501
Fax : +886-2-2507-4882 E-mail: taipei-office@list.waseda.jp

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[Singapore]

4) a) Singapore Office (established in 2004)

This office supports Waseda business promotions in Singapore and carries out PR activities and information collection in the area centered around Singapore.

c/o Waseda Shibuya Senior High School in Singapore

57 West coast Road, Singapore 127366

Tel: +65-6771-8185 Fax: +65-6773-2951

E-mail: singapore-waseda@list.waseda.jp

b) Waseda Bioscience Research Institute in Singapore (established in 2009)

By promoting collaborated, joint and fusion research with world leading researchers centered around A*STAR, we aim to obtain first access to cutting edge information and pioneering academic fields. Our mid to long term goal is to engage in translational research and apply bioscience research outcomes to the medical field.

11 Biopolis Way, #05-02 Helios, Singapore 138667

Tel: +65-6478-9721 Fax: +65-6478-9416

Email: wabios@list.waseda.jp

WASEDA University

d) Waseda Shibuya Senior High School (affiliated in April, 2002)

In order to enhance the activation of Waseda University by promoting educational and cultural exchange among students from a variety of backgrounds, we are offering Waseda's affiliated senior high school as a venue for international cross-cultural exchange in the Asia region.

57 West Coast Road, Singapore 127366

Tel: +65-6771-2950 Fax: +65-6773-2951

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[Thailand]

5) a) Bangkok Office/Waseda Education (Thailand)

We provide support for Waseda education (including Japanese language education) in Thailand, centered around Bangkok.

1 Empire Tower, 5th Floor, Room 501

South Sathorn Road, Yannawa Sub-district, Sathorn District, Bangkok 10120

Tel : +66-2-6703456 Fax : +66-2-6703460

E-mail: thaiwaseda@gmail.com

b) Waseda International Cultural Center (established in October, 2010)

Center for Japanese language education and international exchanges in southern Thailand

9 Moo 6, Assumption-Nong Kho Road, Surasak, Sriracha, Chonburi Province
Thailand 20110

Tel: +66-3-833-8999 Fax: +66-3-833-9991

c) Waseda Japanese Language and Culture School Chang Mai (established in October, 2015)

A hub for Japanese language education and international exchanges in northern Thailand.

17/14 Kutao Road, Tambol Sripoom, Amphoe Mueng, Chiang Mai Province 50200

Tel: +66-53-211-888 Fax: +66-53-216-455 E-mail: chiangmai@waseda.ac.th

<Europe>

[Belgium]

6) Brussels office

We provide support for Waseda's education and research activities in Europe.

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Brussels Office

52, Avenue F.D. Roosevelt, 1000 Brussels, Belgium

Tel: +32-2-650-30-74 Email: brussels-office@list.waseda.jp

<North America>

[U.S.A.]

7) Waseda USA NY Office (established in 2008)

We provide services to the eastern U.S.A., related to matters including Waseda entrance exams.

WASEDA USA NY Office

c/o Sumitomo Real Estate Sales (N.Y.) Inc.

800 Second Avenue, Suite 300, New York, NY 10017 USA

8) Waseda USA SF Office (established in 2012)

We are providing support for Waseda's education and research activities in the western U.S.A.

44 Montgomery Street, Suite 2440, San Francisco, CA 94104

Tel: +1-415-693-9286 Fax: +1-415-693-9287

E-mail: infosf@wasedausa.org

9) U.S.-Japan Research Institute (USJI)

Jointly managed by 8 Japanese universities (Kyushu University, Kyoto University, Keio University, Sophia University, Tsukuba University, University of Tokyo, Doshisha University, Ritsumeikan University and Waseda University), the Institute focuses on research activities intended to

- 1) promote practical policy analysis based on academic research;
- 2) foster human resources who can resolve various next generation issues between

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Japan and U.S.; and

3) form a community with insights into Japan-US issues.

Washington D.C. (Headquarters) 1901 Pennsylvania Avenue, NW Suite 801,
Washington, DC

20006

Tel: +1-202-452-6142 Fax: +1-202-452-6143

E-mail: usjp@us-jpri.org

For details and information on other overseas outposts, please visit:

<http://www.waseda.jp/top/about/work/organizations/international-affairs-division/overseas-bases>



WASEDA University

< Funding systems of public organizations >

1. Funding systems of public organizations: outline

Funding systems of public organizations such as MEXT can be categorized as ‘research funding’ and ‘education funding.’ Each category is further divided into ‘subsidized projects’ and ‘commissioned projects.’

Funding systems of public organizations

a) Research funding systems and projects

- Commissioned projects (commission expenses)

E.g. JST Basic Research Program

- Subsidized projects (subsidy)

E.g. Grant-in-Aid for Scientific Research (*Kakenhi*); e.g. Health and Labor Sciences Research Grant (*Kourou-Kakenhi*)

b) Education funding systems and projects

- Commissioned projects (commission expenses)

E.g. Promotional program for education to accommodate working people's needs to return to school

- Subsidized projects (subsidy)

E.g. Support program for the enhancement of graduate school education

2. Types of public research funding

Public research funding systems and projects are categorized as ‘commissioned projects’ and ‘subsidized projects’. The difference is as follows:

a) Commissioned projects

These projects consign project or clerical work usually done by the government to other organizations or to certain parties; expenses, paid as counter-performance, are called commission expenses. In other words, government work is done by the commissioned organization for the government.

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The content of a commissioned project is governed by a contract agreed to by both parties, like a contract in private law.

- Labor costs expenditures from commission expenses

Researchers employed using commission expenses are obliged to commit to the relevant commissioned project. Therefore, the labor costs expenditure when such researchers work for a project other than the commissioned project (e.g. *Kakenhi*), will not be paid from the commission expenses, in principle.

b) Subsidized project

This is project or clerical work which is recognized by the government as having public benefit from the national point of view; funding granted by the government for the conduct of the project, without requiring counter-performance, is called subsidy. Subsidy functions as financial support for a project done by an eligible organization.

Basic details related to projects and clerical works, such as procedures for application and for settling an account, are set out in “Act on Regulation of Execution of Budget Pertaining to Subsidies, etc.” Concrete specific conditions are defined in the subsidy conditions or subsidy grant guidelines established by each public organization.

<<Difference between commission expenses and subsidy>>

Commission expenses		Subsidy
Commission expenses - Requires both parties' agreement and counter-performance. Nature of compensation: - Contract	Government	Subsidy - Is one-sided and does not require counter-performance. Nature of support: - Grant
“Expenses paid as counter-performance when the government consigns project or clerical work to another organization or to a certain party”	Definition	“Money granted for project or clerical work which is recognized by the government as having public benefit from the national point of view.”

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The government work is done by the commissioned organization for the government.		Financial support for project work done by an eligible party.
The commissioning contract is usually agreed to by the government and the commissioned organization.	Fund distribution	May be of various forms depending on the system, e.g., individual subsidy or organizational subsidy.
“The same as a contract in private law.” The content of project is governed by the mutually agreed contract.	Related laws	“Act on Regulation of Execution of Budget Pertaining to Subsidies, etc.” Basic details related to projects and clerical work, such as procedures for application and for settling an account, are set out here. Concrete specific conditions are defined in the subsidy conditions or subsidy grant guidelines established by each public organization.
E.g. JST Basic Research Program	Major examples of competitive funds	E.g. Grant-in-Aid for Scientific Research (“ <i>Kakenhi</i> ”), e.g. Health and Labor Sciences Research Grant (“ <i>Kourou-Kakenhi</i> ”)

Note: “Competitive funds” refers to research and development funds distributed to researchers after a fund distributing body calls widely for proposals for research development projects, and selects projects to be conducted from among the proposed projects on the basis of scientific and technical assessment by a group of screeners including experts.

A list of Competitive funds designated by each ministry in line with the standard of the Cabinet Office can be viewed at the website of the Cabinet Office:
<http://www8.cao.go.jp/cstp/compefund/> (in Japanese)

3. Reminders regarding application for public research funds

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“General procurement” from the Procurement Discussion Standard stipulates that:

- Application for 100 million yen or more from expenditure outside of the Waseda University budget is to be discussed by the executive board.
- Application for 30 million yen or more but less than 100 million yen from expenditure outside of the Waseda University budget is to be discussed by the management implementation committee.

If you are considering applying for a project of one of the following types, please contact the Research Planning Section in advance.

- 1) Project accompanied by a system reformation (project which needs to reform an existing university-wide system such as personnel, labor or education)
- 2) Project involving formation of a research center
- 3) Project in which the president must be the leader for the application concept
- 4) Project with the conditions that a new corporate body must be established and that the president must be a member of that body.
- 5) Project which needs the president's seal and an audit by another organization jointly applying at the time of application.
- 6) Project requiring Waseda's pledge of special support.

Please inquire to the Research Planning Section of the Research Promotion Division

Tel: 03-5272-4637

Email: kenki-s@list.waseda.jp

<Obtaining information regarding application for public research funds>

1. How to obtain information on public grant calls for applications

Information on public grant calls for applications can be obtained from the following sources, depending on the content.

- 1) Research Promotion Division website
<http://www.waseda.jp/rps/fas/>
- 2) MyWaseda notification
- 3) Email newsletter on research promotion and intellectual properties
To receive the newsletter, please register at the user registration page of the Research Promotion Division website:

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<https://www.wrs.waseda.jp/mm/news/>

Note: Please only access this page via the university's internal network.

As well as the above, relevant information is offered at the websites of the organizations which call for proposals and from e-Rad (the Cross-ministerial R&D Management System). e-Rad is explained in detail on Page 55.

Furthermore, we are improving the internal system (research support system) for gathering and disseminating information on public fund applications, so as to make searching easier.

2. Points of attention about applications

If you wish to apply for a public project which matches one of the cases listed below, please consult in advance with your department office.

- 1) The case where application as a research institute is required (please refer to 3. Reminders for the application for public research funds, on page 50)
- 2) The case where some part of expenses is subsidized and the rest must be paid by the researchers or the research institute.
- 3) The case where an agreement or internal approval related to the use of Waseda facilities is required.
- 4) The case where the official seal(s) of the president and/or department head must be affixed to the application form.
- 5) The case where consultation about intellectual property, e.g., patents, is needed.

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<Cross-ministerial R&D Management System (e-Rad)>

1. e-Rad

The Cross-ministerial R&D Management System has been created to provide an online interface for the series of processes related to the research and development management center for the Competitive funding systems: receipt of applications → screening → selection → management of selected projects → research outcome reporting.

When a researcher applies for a Competitive fund using e-Rad, he/she is required to login to e-Rad using the login ID which was allocated to him/her. Research outcomes must also be reported via e-Rad.

2. Access to e-Rad

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

Note: If you have a login ID, but you have forgotten your password, please inquire to the accounting section of your department.

Details about e-Rad: <https://www.e-rad.go.jp/en/index.html>

e-Rad help desk: 0570-066-877 / 03-5625-3961 (9:00 – 17:00, weekdays only)

WASEDA University

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MEXT and JSPS

<Grants-in-Aid for Scientific Research (*Kakenhi*)>

1. Outline

a) What is *Kakenhi*?

Grants-in Aid for Scientific Research (*Kakenhi*) are competitive funds to support creative and pioneering research, from basic research to application in a wide spectrum of scientific fields, ranging across the humanities, the social sciences and the natural sciences. Applications are screened by peer review so as ensure substantial development of academic research.

b) Research categories: please visit the JSPS website:

<https://www.jps.go.jp/english/e-grants/grants01.html>

c) Annual schedule

Flow from research application to completion of the final year of funded research.
(FY: fiscal year)

Procedure	Annual timeline	Annual timeline	Documents to be created/collected by researchers
		Grant-in-Aid for Research Activity Start up	
1. From application to selection			
1) Application commencement	Early September, previous FY	Early March, previous FY	
2) Explanatory meeting about application	Mid September, previous FY		
3) Online application (research proposal) deadline within Waseda	Late October, previous FY	Early May	‘Research proposal’ ‘Written approval of co-investigators’
4) JSPS online application deadline	Early November, previous FY	Early May	

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5) Informal notification of selection	Early April to July	Late August	
6) Deadline for 'grant distribution application'	For subsidy: early May every year For funding ("Kikin"), early May in the first year only	Mid September	'Application form' 'Application form'
7) Deadline for 'grant distribution request'	Early May	Mid September	
2. Conduct of research			
1) Commencement of <i>Kakenhi</i>	From the day of informal notification of selection onward	From the day of informal notification of selection onward	
2) Termination of <i>Kakenhi</i>	For subsidy part: late March in the following year For funding ("Kikin") part: Late March of the final FY	Late March in the following year	
3. After research is completed			
(For subsidy)			
1) Deadline for 'Achievement report'	Early May of the following year Late May of the following year of the final FY	Early May of the following year Late May of the year after the final FY	'Achievement report' 'Research outcomes report'
2) Deadline for 'Research outcomes report'			
(For funding ("Kikin"))			
1) Deadline for 'Performance report'	Early May of the following year Late May of the following year of the final FY		'Performance report' 'Achievement report'
2) Deadline for 'Achievement report'			'Research outcomes report'

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3) Deadline for 'Research outcomes report'			
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2. Application

1) Register for e-Rad

Applications for all categories except 'Research Publishing Promotion Expenditure,' 'Encouragement of Scientists' and 'Grant-in-Aid for JSPS Fellows' must be made through the *Kakenhi* online system coordinated with e-Rad. To use this system, it is necessary to register in advance as 'Eligible for *Kakenhi* application' in e-Rad. Please inquire about the details of registration at your department office.

About eligibility to apply for *Kakenhi*:

<http://www.e-rad.go.jp/en/index.html>

Online application system website (JSPS)

<https://www.jspss.go.jp/english/e-grants/howtoapply.html>

2) Waseda's application support

Waseda University has been providing support for applications, aiming at increasing the number of applications and selections. Please visit the following website for the details (internal access only).

<http://www.waseda.jp/rps/LOCAL/kaken/index.html>

3. Grant coverage

Kakenhi is research funding for the conduct of a selected project and can be used for a wide range of expenditures necessary for the project (including expenses for preparing and publishing research outcomes). However, it is not permissible to use the grant for other research activities considered outside the scope of the project.

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FAQ regarding *Kakenhi* clerical procedures and management (for clerical staff) at
<http://www.waseda.jp/rps/fas/guide/index.html>

4. After your *Kakenhi* research period ends

‘Achievement report’ and ‘Research status report’ must be submitted.

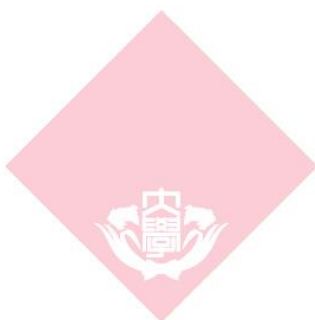
5. Other (references)

MEXT website:

http://www.mext.go.jp/english/research_promotion/index.htm

JSPS website:

<https://www.jsps.go.jp/english/e-grants/howtoapply.html>



WASEDA University

<JSPS Research Fellowship for Young Scientists>

1. Outline

Awarded to excellent young researchers, these fellowships offer recipients an opportunity to focus on a freely chosen research topic based on their own innovative ideas in the early stage of their research life. Ultimately, the program is aimed at fostering and supporting excellent researchers who in the future will lead academic research in Japan. Eligibility for this fellowship is limited to students in doctoral programs (DC) and postdoctoral researchers (PD) who have demonstrated eminent research capability and wish to focus on their research in university or other research institutes.

Note: Also, to acknowledge the importance of child rearing and gender equality in the world of academic research, the Restart Postdoc (RPD) Fellowship is provided so that eminent young researchers can make a smooth return to their research activities after leave for childbirth and infant nursing.

2. Characteristics

- Young researchers who are awarded JSPS are also eligible for *Kakenhi* (Grant-in-Aid for JSPS Fellow), so they can receive another research fund (this is distinct from research encouragement funding) if they are selected through JSPS's Screening Committee for Young Researcher Fellowships.
- PDs and PRDs can apply as research representatives for some *Kakenhi* categories other than JSPS Research Fellowship for Young Scientists. They can also participate in projects as co-investigators or research collaborators.
- Research activities overseas

In the case of DC, it is permissible for DC to conduct research at an overseas university only in the case where the overseas university has been commissioned for the DC's research guidance in principle (i.e. it is not permissible to study abroad in a regular course). Going overseas for the conduct of research, for fieldwork and for the collection of materials and literature is permissible if its necessity is recognized for the conduct of research.

In the case of PD, if research work during the selection period is necessary, it is

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permissible to conduct research in another institute (domestic or overseas research institute) for a certain period of time, but the approval of the Waseda university must be obtained.

- Fellowship for young scientists status

During the fellowship period, one cannot have status other than fellowship for young scientist (except for DCs, who may have graduate student status).

- Research grants and receiving of rewards

During the fellowship it is not permissible to receive another fellowship or research grant, either domestic or international (except part of items in *Kakenhi*, as PD and RPD). If a researcher has already received such a fellowship or grant, he or she is required to decline this fellowship before it begins. Recipients of fellowships for young scientists are not permitted to receive other remuneration, in principle (part-time job or research assistant are not allowed.).

Information about applications for JSPS Research Fellowship for Young Scientists is available at: <http://www.jsps.go.jp/english/e-pd/>

WASEDA University

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<JSPS Overseas Research Fellowships>

1. Outline

To foster highly capable researchers with wide international perspectives, this fellowship gives excellent young Japanese researchers an opportunity to carry out long-term research at overseas universities and research institutions.

Overseas Research Fellowships. *Restart Research Abroad* (RRA) is a new program launched in FY 2016. Young Japanese researchers who have suspended their research activities due to life events (marriage, childbirth, child rearing, nursing, caregiving) are eligible to apply for RRA fellowships.

2. Fellowship details

- Period of fellowship: Two years from the start of the fellowship
- Host institutions: Eminent overseas research institutions such as universities, with the following exceptions:
 - a) Overseas research institutions established by Japanese research organizations such as universities
 - b) Private for-profit research institutions
- Expenses covered
 - a) Round trip travel expenses (excluding domestic travel expenses)
 - b) Sojourn expenses and research activity costs (amounts vary depending on the country; in the approximate range of 3.8 to 5.2 million yen per year)
 - c) RRA will provide round trip expenses and sojourn expenses (10% of (b) above) for accompanied children.

Note:

- Eligibility to apply must be confirmed according to the application guidelines for the relevant year.
- Please visit the JSPS website for information about Overseas Research Fellowships at <https://www.jsps.go.jp/english/e-ab/index.html>

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JSPS international exchange programs

International exchange programs calling for applications			
Subsidies for joint research programs, seminars and researcher exchanges			
Name of program	Outline	Grant content per item per person	Contact at Waseda
Bilateral programs: joint research projects and seminars	Aiming at the creation of network of research teams from two countries, beyond simple exchange of individual researchers, this program supports the expenses of joint research projects and seminars conducted with researchers from other countries.	Joint research: 1–2.5 million yen per fiscal year Seminars: 1.2–2.5 million yen (amount depends on the organization)	International Office
Researcher exchange program for counterpart country	This program supports expenses incurred when post-doctoral researchers in Japan visit a counterpart country for activities such as conduct of research and exchange of opinions.	Round trip airfares and sojourn expenses (amount depends on the country and the organization)	
International joint research program: Partnerships for International Research and Education (PIRE program)	This program supports international joint research on issues which are not easily solved by just one country. Activities covered include achievement of synergy effects through collective use of resources by Japan and the US, sharing of research facilities and increasing opportunities for research training for researchers.	Up to 10 million yen	
A3 Foresight Program	This program supports joint	Up to 50 million	

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(Japan, China and Korea)	research and seminars conducted by researchers from Japan, China and Korea. Organizations for the promotion of science in the three countries (A3) work as a consortium for the advancement of leading-edge research, with the aim of establishing a top level research hub in Asia.	yen Five years	
Japan-German Graduate Externship	Support for joint programs established by universities in Japan and Germany for the exchange of young researchers such as doctoral program students, faculty members and post-doctoral researchers, and for joint guidance for research or publication.	Up to 15 million yen per fiscal year	
Core-to-Core Program	A: Advanced Research Network Aiming at the creation of top world-class research centers, this program support activities such as joint research and seminars in collaboration with research institutions around the world.	Up to 18 million yen per fiscal year	
	B: Asia-Africa Science Platforms Aimed at supporting the solution of various issues in the Asia-African region, this program supports activities such as joint research and seminars through collaboration with research institutions in the Asia-African region.	Up to 8 million yen per fiscal year	

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Offering young researchers training opportunities in their disciplines			
Frontier of Science (FoS) Symposia	Holding symposia to enable eminent young researchers from Japan and other countries to engage in cross-disciplinary discussions on cutting edge science topics. The participants lodge together and attend sessions.	Round trip air fares, domestic transportation costs and sojourn expenses	International Office
Academic Workshops & Seminars for Young Researchers (Brazil)	Supporting the creation of networks between eminent Japanese and Brazilian researchers for the sharing of knowledge and ideas through participation in workshops.	Up to 8 million yen per fiscal year	International Office
Program for Advancing Strategic International Networks to Accelerate the Circulation of Talented Researchers	Supporting approaches to develop interactive exchanges among young researchers through world-class international joint research at research institutions such as universities and world top class research institutes.	Travel expenses for sending young researchers overseas and inviting researchers from overseas (round trip airfare and sojourn expenses) and research funds necessary for international joint research.	
Travel Grant for Attending Lindau Meetings	Supporting doctoral students and post-doctoral researchers in Japan to participate in the Lindau Nobel Laureate Meetings	Round trip airfare, domestic transportation costs, sojourn expenses, meeting	Research Planning Section

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		participation fees	
HOPE meetings: five days with Nobel Laureates	Providing opportunities for graduate students in the Asia-Pacific and African regions as future leaders of their regions' science and technology through exchange with eminent researchers such as Nobel Laureates and same generation participants.	Domestic transportation costs, sojourn expenses and miscellaneous costs such as participation fees.	
Programs for inviting researchers from other countries			
JSPS Postdoctoral Fellowship for Research in Japan (Standard program)	Excellent young postdoctoral researchers from other countries are invited to Japan and provided with opportunities to conduct collaborative research under the guidance of Japanese researchers.	Round trip airfare, sojourn expenses, and a lump-sum payment for costs related to staying in Japan	International Office
JSPS Postdoctoral Fellowship for Research in Japan (Short-term program)	Excellent young pre- and post-doctoral researchers from Europe, Canada and the US are invited to Japan to conduct collaborative research under the guidance of Japanese researchers.	Round trip airfare, sojourn expenses, and a lump-sum payment for costs related to staying in Japan	
JSPS Postdoctoral Fellowship for Research in Japan (Pathway to University Positions in Japan)	Aimed at promoting the employment of overseas researchers in full-time positions at Japanese universities, this program offers support for Japanese universities to invite researchers from other countries.	Round trip airfare, sojourn expenses, and a lump-sum payment for costs related to staying in Japan	
Invitation Fellowships for Research in Japan (Long-term)	This program invites overseas mid-career researchers to collaborate with Japanese	Round trip airfare and sojourn expenses	

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	colleagues in carrying out specific research through long-term visits.		
Invitation Fellowships for Research in Japan (Short-term)	This program invites overseas researchers of status equivalent to professor for short-term visits to Japan, to provide them with opportunities for discussions, exchanges of opinion, lectures and other activities.	Round trip airfare and sojourn expenses	
Invitation Fellowships for Research in Japan (Short-term S)	This program invites overseas researchers of status equivalent to professor for short-term visits to Japan, to provide them with opportunities for discussions, exchanges of opinion, lectures and other activities.	Round trip airfare and sojourn expenses	International Office
JSPS <i>Ronpaku</i> (Dissertation Ph.D.) Program	This program supports researchers in countries in Asia and Africa who wish to obtain degrees from Japanese universities by inviting them to Japan or dispatching Japanese instructors there to supervise their Ph.D. dissertations	Up to 1.2 million yen per fiscal year	

For information about the application period for each program, please visit the JSPS website at

<https://www.jsps.go.jp/programs/index.html>

Please note that the application deadline at Waseda maybe different from the JSPS deadline. For the details, please contact the International Office at

int-jsps@list.waseda.jp

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<Accepting and inviting overseas researchers>

1. JSPS programs

Please see the “Programs to invite researchers from other countries” list above.

2. Japan Foundation programs

For inquiries, and to request an application form, please contact the Japan Foundation directly.

Website: <http://www.jpf.go.jp/e/program/index.html>

3. Fulbright Japan programs

For inquiries, and to request an application form, please contact Fulbright Japan directly:

<http://www.fulbright.jp/eng/index.html>

4. Japan Student Services Organization (JASSO) programs

Follow-up services for international students who have studied in Japan

For the details, first please visit the JASSO website at

http://www.jasso.go.jp/en/study_j/exchange/tanken/index.html

and then contact the International Office at

int-jasso@list.waseda.jp

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<Research grants offered by various foundations and organizations>

1. Information on grants from various foundations and organizations

The following websites are good sources of information. Since the websites differ in terms of information type and structure, searching according to purpose is available.

Name	URL	Information	Language	Remarks
The Research Promotion Division website	http://www.waseda.jp/rps/fas/guide/public-offering/index.html	- Mainly grants offered by Japanese domestic organization - Grants specialized for Waseda	Japanese	Updated information can be received by email every week (*)
Colabory	https://www.colabory.com/grants/	Mainly grants offered by Japanese domestic organizations	Japanese	Alerts may be received by registering.
Pivot	http://www.wul.waseda.ac.jp/DOMEST/db_about/pivot/pivot-e.html (Internal LAN only)	Mainly grants offered by overseas organizations	English	Information on researchers from overseas research institutes is also available.

2. Application

In principal, the applicant is required to apply directly to the various organizations. If you need a recommendation from the university, e.g. a letter from a head of department, please inquire at your department office.

In the case where there is a limitation on the number of applications that may be recommended for consideration, the university will set an internal deadline, collect the applications through the department office and the Research Promotion Division and submit them to the relevant organizations in bulk. In such cases, please note carefully that the internal deadline will be set about 10 days earlier than the organization's deadline, since the university will check the applications and select those for submission.

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Examples of information listed on the Research Promotion Division website

Control number	Name of organization	Project category and grant content	Fields eligible for the grant	Internal deadline (organization deadline)	Documents	Post-graduate students eligibility to apply
26-XXXX	XX Foundation	Joint research	Topic XXXX	Direct (June 1)	○	○
26-YYYY	YY Foundation	Research grant	Research on Y	May 1 (May 10)		

When applying to the organization directly

Setting an internal deadline due to a limitation on the number of recommended applicants

Points to note carefully before applying

- Depending on status within Waseda, there might be cases where applications for research grants offered by various foundations are not possible; or cases where a written oath is required after being selected, so please confirm your status at Waseda by visiting the following URL before application.

<About eligibility for research grants by various foundations>

<http://www.waseda.jp/rps/fas/guide/public-offering/paper/ouboshikaku.pdf>

(iJapanese)

<Form of the written oath related to research grants by various foundations>

<http://www.waseda.jp/rps/fas/document/doc/G-1.docx>

- If disbursed expenses are expected to overlap with internal subsidies, when applying for a research grant from an external organization, please check with your department office in advance about the rules governing receipt of internal subsidy and overlapping usage.
- When applying for dispatch programs, please first obtain your department office's

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approval of the period of stay.

Position at Waseda	Application eligibility*
[Full-time: with tenure] professor, associate professor, assistant professor 【常勤：専任】 教授・准教授・専任講師・特任教授	○
[Full-time: without tenure] professor, associate professor, assistant professor, research associate 【常勤：任期付】 教授・准教授・講師・助教・助手	○
[Full-time: without tenure] instructor 【常勤：任期付】 インストラクター	×
[Resident: commissioned] visiting professor, visiting associate professor, visiting assistant professor 【常駐：委任】 訪問教授・訪問准教授・訪問講師	△
[Part-time: without tenure] guest professor, guest associate professor, guest assistant professor 【非常勤：任期付】 客員教授・客員准教授・客員講師	○
Part-time lecturer 非常勤講師	×
[Part-time: without tenure] instructor 【非常勤：任期付】 インストラクター	×
[Full-time: without tenure] senior researcher, researcher, junior researcher 【常勤：任期付】 上級研究員・主任研究員・次席研究員・研究助手	○
[Resident: commissioned] visiting senior researcher, visiting researcher, visiting junior researcher	△

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【常駐：委任】 訪問上級研究員・訪問主任研究員・訪問次席研究員	
[Part-time: without tenure] guest senior researcher, guest researcher, guest junior researcher 【非常勤：任期付】 客員上級研究員・客員主任研究員・客員次席研究員	○
Honorary fellow, professor emeritus, guest research professor 栄誉フェロー・名誉教授・招聘研究教授	△
JSPS Research Fellowship for Young Scientists (SPD, PD, RPD) 日本学術振興会特別研究員 (SPD・PD・RPD)	△
Adjunct researcher 招聘研究員	△
Visiting scholar, research fellow 訪問学者・リサーチフェロー	△
Research intern リサーチインターン	×
Research assistant (RA), research support staff 研究補助者(RA)、リサーチアシスタント	×
Students registered at Waseda (excluding JSPS Research Fellowship DC fellows) 本学に籍を有する学生 (日本学術振興会 特別研究員 DC は除く)	△
Full-time faculty of Waseda Senior High School, Honjo High School and Art and Architecture School 高等学院・本庄高等学院・芸術学校本属専任教員	○

*** Eligibility:**

○: Eligible to apply.

△: Before applying please check with your affiliated department office as to your eligibility to receive a grant. When you receive notification that you have been selected, please submit a written oath regarding research grant compliance (on a separate G-1 form) to your affiliated department office.

×: Not eligible due to the relation between Waseda and the relevant status. However, this does not apply to cases where Waseda is not the institution receiving the fund.

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3. When you are selected for a grant:

If you are notified of the selection result directly by organization, please submit a copy of the selection notification to the Research Support Section of the Research Promotion Division.

Inquiries:

Tel: 03-3202-2568

Fax: 03-5286-8380

Email: kishi@list.waseda.jp



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<Academic research collaboration with external bodies>

On May 29, 1990, Waseda University established guidelines for academic research collaboration with external bodies, and the Review Committee for Academic Research Collaboration with External Bodies (hereafter referred to as “the Guideline Committee”) has been examining and evaluating academic research collaboration programs with external bodies, in order to decide the acceptance of external funding.

For the basic rules and procedures governing academic research collaboration with enterprises and governmental ministries, please refer to the Research Promotion Division website:

<http://www.waseda.jp/rps/en/fas/tieup/index.html>

No.	Collaboration category	Description	Remarks
1	Commissioned research programs	Research programs commissioned and funded by external bodies, including contract academic research projects and surveys	Advance screening by the Guideline Committee is not
2	Joint research programs	Research programs inviting researchers and securing research funds from external bodies; other programs implemented by Waseda University or its department office and conducted externally in collaboration with researchers from external bodies	required for contracts of less than 10 million yen.
	Exchange agreement	Academic exchange agreement or student exchange agreement with other universities or external bodies	
	Research exchange programs	Exchange programs on specific research themes conducted by an organization, study group, or research project of the University or its institute which collects membership or participation fees from external bodies	All programs require advance screening by the Guideline Committee.
3	Chair courses	Donation for one course is 5 million yen or	

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		more, and the course must be managed using only by that donation.	
	Collaboration course	Donation for one course is less than 5 million yen, and the course must be managed using only by that donation, in principle.	
	Courses supported by alumni association	Courses supported and set by the Waseda university alumni association regardless of the size of the donation.	
	Courses with cooperation	Only courses for which donors pay the lecturers' expenses. Not donations based on the rules set by the government or local governmental bodies.	
	Chair research projects	Study groups and research projects funded by donations from individuals or corporate entities. These groups and projects must be conducted at affiliated research institutes, research and education centers, Tsubouchi Memorial Theater Museum, or Aizu Museum. There is no obligation to report such matters as research results to donors.	
4	Commissioned education programs	Education programs commissioned and funded by external bodies.	Advance screening by the Guideline Committee is not required for contracts of less than 100 million yen. In cases where the total amount is 10 million yen or more but less than 100 million yen, the approval of the vice president for

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			academic affairs is required.
5	Joint education programs	Programs addressing educational agenda, conducted in collaboration with external researchers.	Advance screening by the Guideline Committee is not required for contracts of less than 10 million yen.
6	Donations	Donations to Waseda University and related organizations for the promotion of academic study/research.	Advance screening by the Guideline Committee is required for specific donations (those named after donators) amounting to (a) 10 million yen or more for individual donators or (b) 30 million yen or more for corporate donators.
	Subsidies	Subsidies from the national government, local governments, or nongovernmental organizations	No advance screening is required.

Note:

In cases which do not meet the requirements in the appropriateness checklist for commissioned education programs (created by the Academic Affairs Section), advance screening by the Guideline Committee is required.

In the case where a new type of collaboration, distinct from the above, is planned, please promptly contact the Research Planning Section at GL-mng@list.waseda.jp so that the Section can discuss in advance whether the plan fits any of the above categories or not.

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<Points to be noted carefully regarding application for and receipt of funding for programs such as contract research and joint research>

1. Guidelines for making a contract for programs such as commissioned or joint research

1) Eligibility of the applicant (responsible person)

For contracts* for commissioned and joint research programs, the applicant (person in charge) must be a full-time faculty member or a non-tenured faculty member**.

* Contracts for commissioned and joint research programs: Research projects governed by contracts, e.g. commissioned research and joint research (for public and private bodies).

** Non-tenured faculty member: professor (non-tenured), associate professor (non-tenured), assistant professor (non-tenured), senior researcher, researcher, junior researcher and research associate.

2) Conditions for a non-tenured faculty member to qualify as applicant (responsible person)

All of the following conditions must be met:

- a) To obtain approval, “a written oath regarding the commissioned or joint research project for which a professor (non-tenured), an associate professor (non-tenured), an assistant professor (non-tenured), a senior researcher, a researcher, a junior researcher or a research associate becomes the applicant (responsible person)” (hereafter referred to as "written oath") must be submitted along with a written oath by the joint responsible person (tenured faculty member) who bears joint responsibility with the applicant to the place of affiliation for the commissioned or joint research. The written oath must be approved by the place of affiliation before a non-tenured faculty member can apply for a commissioned or joint research project (in cases other than publicly invited projects, approval must be given before the conclusion of the contract).
- b) A commissioned or joint research project must terminate within the period of the applicant’s term of service in the current position. It is not permissible to extend of the applicant’s term of service in that position to match the

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circumstances of a commissioned or joint research project.

- c) In the case where the applicant (responsible person) is employed by external funding, the applicant is not obliged to dedicate him/herself solely to research related to the relevant funding, and the person should not obstruct new consigned or joint research.
- d) The applicant's main research venue must be Waseda University, and the environment (e.g. space) for conducting consigned or joint research must be well prepared at the place of affiliation.

Application eligibility for commissioned and joint research programs

Position at Waseda	Application eligibility*
[Full-time: with tenure] professor, associate professor, assistant professor	○
[Full-time: without tenure] professor, associate professor, assistant professor, research associate	△
[Full-time: without tenure] instructor	×
[Resident: commissioned] visiting professor, visiting associate professor, visiting assistant professor	×
[Part-time: without tenure] guest professor, guest associate professor, guest assistant professor	×
[Part-time: without tenure] instructor	×
[Full-time: without tenure] senior researcher, researcher, junior researcher	△
[Resident: commissioned] visiting senior researcher, visiting researcher, visiting junior researcher	×
[Part-time: without tenure] guest senior researcher, guest researcher, guest junior researcher	×
Honorary fellow, professor emeritus, guest research professor	×
JSPS Research Fellowship for Young Scientists (SPD, PD, RPD)	×
Adjunct researcher	×
Visiting scholar, research fellow	×
Research intern	×

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Research assistant (RA), research support staff	×
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* Eligibility:

○: Eligible to apply.

△: Please submit a written oath regarding research grant compliance (on a separate G-1 form) to the Research Planning Section before applying.

×: Not eligible to apply.

The written oath form (in Japanese) can be downloaded at the Research Promotion Division website: <http://www.waseda.jp/rps/fas/document/style4.html>

2. Approval of receiving and the content of contract

In order to receive the funding granted for a commissioned or joint research project, the approval of the place of affiliation where the research fund will be received is necessary. In addition, in the case where the amount of tie-up funding is 10 million yen or more, screening by the Review Committee for Academic Research Collaboration with External Bodies is required.

Also, before commencing work in a commissioned or joint research project, it is necessary to conclude a contract with the collaborating external organization. Please consult with the affiliated host institution receiving the research funds as soon as granting is announced, since confirmation of the contract content and approval procedures must be completed before the conclusion of the contract (this includes a contract regarding confidentiality related to commissioned and joint research projects).

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<Rules for the use of research funds>

1. Principles of use of research funds

- 1) Only expenditures for items directly necessary for the relevant project are allowed (it is prohibited to use the allowance for any other purpose).
- 2) Research fund must be identified at the time of ordering.
- 3) Only expenditures incurred during the research period for the relevant research can be covered.
- 4) Research funds usage should be completed in a single fiscal year, except in special cases. It is not permissible to use these funds for research activities in the fiscal year preceding or following the year of the grant.
- 5) Expenses are not covered if the necessary accounting evidence is not submitted.
- 6) It is not permissible to use these research funds in combination with other research funds, in principle.
- 7) It is not permissible to use these research funds beyond the scope allowed for use by the researcher.

2. Detailed rules for the use of research funds

Please read our 'Research Funds Manual' which has recently been prepared and distributed.

<http://www.waseda.jp/rps/fas/guide/index.html>

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<Research ethics>

Waseda University's code of conduct and rules concerning academic research ethics

Waseda University Academic Research Ethics Charter

- Ethical behavior and code of conduct for all personnel related to academic research activities

Guidelines Regarding Academic Research Ethics

- Concrete guidelines related to duties of researchers and proper conduct of research activities

Rules for Prevention of Misconduct Regarding Research Activities

- Rules governing the prevention of misconduct of research funds and response to misconduct
- Providing the Chief administrative officer
- Submitting a written pledge
- Standing committee on academic research ethics
- Planning and implementing training

Waseda University seeks to ensure credibility and fairness in academic research and in the conduct of unrestrained research activities, and to promote awareness of our social responsibility regarding such conduct, so as to obtain the complete trust and respect of society for our academic research. To that end, Waseda has worked to ensure ethical behavior through a code of conduct for all those involved in research activities in the university. This is detailed in “Waseda University Academic Research Ethics Charter.” Then, based on the spirit of the Charter, we established “Guidelines Regarding Academic Research Ethics” and “Rules for Prevention of Misconduct Regarding Research Activities.” (enacted April 6, 2007).

The rules have been revised a number of times since, and in response “Guidelines for Supervision and Auditing of Public Research Funds at Research Institutions (Implementation standards)” were amended and “Guidelines for Response to Misconduct in Research Activities” were drawn up in 2014. Waseda also amended the rules, added to the contents, and changed the title to “Rules Regarding the Prevention of Research Misconduct and Responses to Misconduct.” (Effective March 31, 2015)

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- Guidelines Regarding Academic Research ethics

Waseda University established these guidelines for all personnel concerned with academic research activities in the University, for the purpose of raising trust in academic research and scientific technology, and assuring that all members of the University will conduct themselves in good conscience and in conformity with the spirit of the Waseda University Academic Research Ethics Charter.

<http://www.waseda.jp/inst/ore/en/rules/guideline/>

- Rules Regarding the Prevention of Research Misconduct and Responses to Misconduct

The University established these rules to reflect its social responsibility to prevent misconduct in research activities and misconduct in the handling of research funds by all personnel engaged in research activities at the University, to secure the reliability and fairness of research done and enable the free performance of research.

<http://www.waseda.jp/inst/ore/en/rules/rule/>

- Submission of Written Oath

- All researchers using public research funds in the university shall sign and submit a written oath to the university in accordance with article 5, item 1 of “Rules Regarding the Prevention of Research Misconduct and Responses to Misconduct” indicating that they will use public research funds properly by observing the rules governing the use of those research funds.

<http://www.waseda.jp/inst/ore/en/ethics-committee/submission/>

- Academic Research Ethical Review Committee

In order to secure credibility and fairness in academic research and in the conduct of unrestrained research activities, and to promote awareness of our social responsibility regarding such conduct, so as to obtain the complete trust and respect of society for our academic research, Waseda University has laid out the ethical manners and code of conduct for all personnel related to Waseda’s research activities. In addition, the university established the Academic Research Ethical Review Committee based on Article 7 of “Guidelines Regarding Academic Research Ethics and the Rules for

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Prevention of Misconduct Regarding Research Activities (currently “Rules Regarding the Prevention of Research Misconduct and Responses to Misconduct”) in April 2007.

<http://www.waseda.jp/inst/ore/en/ethics-committee/about/>

The Office of Research Ethics was created to centralize all information related to research ethics. <http://www.waseda.jp/inst/ore/en/>



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< Procedures related to ethics reviews >

- Research with human subjects

Some types of research conducted with human subjects need to be approved in advance by the Ethics Committee on Human Research. Researchers to whom this applies should visit Waseda's Office of Research Ethics website and apply for review before starting their research.

<http://www.waseda.jp/inst/ore/en/procedures/human/>

Secretariat of the Ethics Committee on Human Research: rinri@list.waseda.jp

- Human genome/gene analysis research

Research on human genome and gene analysis must be approved in advance by the Ethical Review Committee for Human Genome/Gene Analysis Research.

For inquiries and consultation, please visit:

<http://www.waseda.jp/inst/ore/en/procedures/humangenome-geneanalysis/>

Secretariat of the Ethical Review Committee for Human Genome/Gene Analysis Research: hitoes@list.waseda.jp

- Research using human ES cells

Research involving human ES cells must be approved in advance by the Ethical Review Committee for Use of Human ES Cells and must be reported to MEXT.

For inquiries and consultation, please visit:

<http://www.waseda.jp/inst/ore/en/procedures/human-es-cells/>

Secretariat of the Ethical Review Committee for Use of Human ES Cells:
hitoes@list.waseda.jp

- Animal experimentation

Research involving animal experimentation must be approved in advance by the Ethical Review Committee for Animal Experimentation. For the details, please visit the website of the Office of Research Ethics or to “Application Form for Animal Experimentation Workshop or Experimentation,” a course in the Course N@v.

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For inquiries and consultation, please visit:

<http://www.waseda.jp/inst/ore/procedures/animal/>

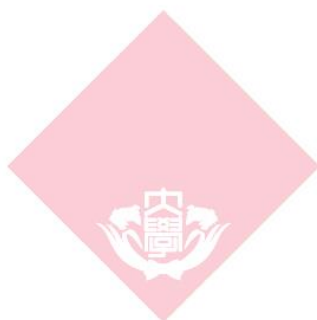
Secretariat of the Ethical Review Committee for Animal Experimentation:

ldmember@list.waseda.jp

- Research on gene recombination.

Research involving gene recombination must be approved in advance by the Ethical Review Committee for Gene Recombination Experiments. For the details, please refer to the Course N@vi (on-demand e-learning) subject, “Application forms for Genetic Recombination Experimentation Lecture and Experimentation” or inquire to:

Secretariat of the Ethical Review Committee for Gene Recombination Experiment:
ldmember@list.waseda.jp



WASEDA University

< Management of conflict of interest related to public research funds >

In line with the aims of “Basic Policy regarding Conflicts of Interest in Industry-Academic-Government Cooperation” and “Ethical Standards regarding Conflict of Interest related to Industry-Academic-Government Cooperation,” Waseda University has established its “Regulations for Conflict of Interest Management Regarding Public Research Funds” (effective December 4, 2009) as well as the Conflict of Interest Management Committee to implement those regulations.

1. What is conflict of interest (COI)?

When members of the university faculty or staff conduct Industry-Academic-Government Cooperation activities with outside corporations or organizations, their relationships may at times develop in a manner that involves personal financial interests. This can occur because the goals and roles of the university are different from those of corporations and organizations, as the university conducts research and offers education with the aim of searching for truth, while corporations/organizations engage in activities for profit. Thus, in some situations conflicts may arise between a faculty or staff member's responsibilities to the university and his/her relationship with a corporation/organization. Such situations are referred to as “conflict of interest.”

2. COI management at Waseda University

The objective of Waseda's management of conflict of interest is to prevent negative outcomes of serious conflict of interest at the routine, individual level during Industry-Academic-Government Cooperation activities. This conflict management is intended to create an environment in which faculty can safely perform research activities. In short, this is not management to restrict research, but a management system to protect faculty and staff from negative effects arising from conflict of interest. Therefore the Conflict of Interest Management Committee, in accordance with the “Regulations for Conflict of Interest Management Regarding Public Research Funds” focuses on the following three points:

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- 1) Division of public research funds into two types: Health and Labor Sciences Research Grants, and other research funds;
- 2) Requirement of submission of reports on the status of Industry-Academic-Government Cooperation activities related to public funds and COI reports on financial interest relationships between coordinated corporations or organizations;
- 3) Review of those reports each year.

Regarding the conditions for report of public research funds (except Health and Labour Sciences Research Grant), please judge according to the following flowchart.

Each time a new financial interest relationship is identified after a COI report has been submitted, the new issue must be reported to the Committee.

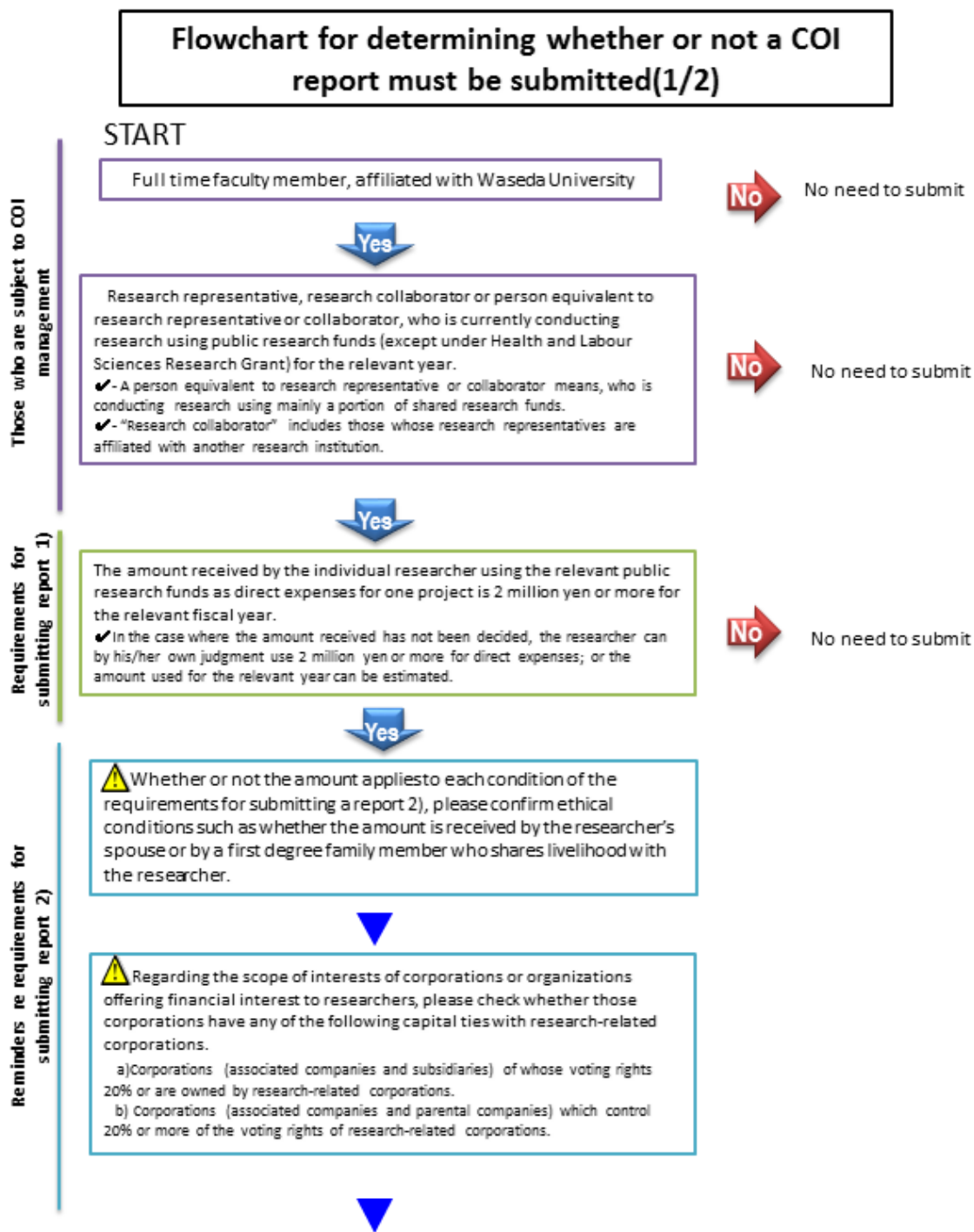
For the details regarding COI management, please visit the Office of Research Ethics:

<http://www.waseda.jp/inst/ore/en/conflict/>

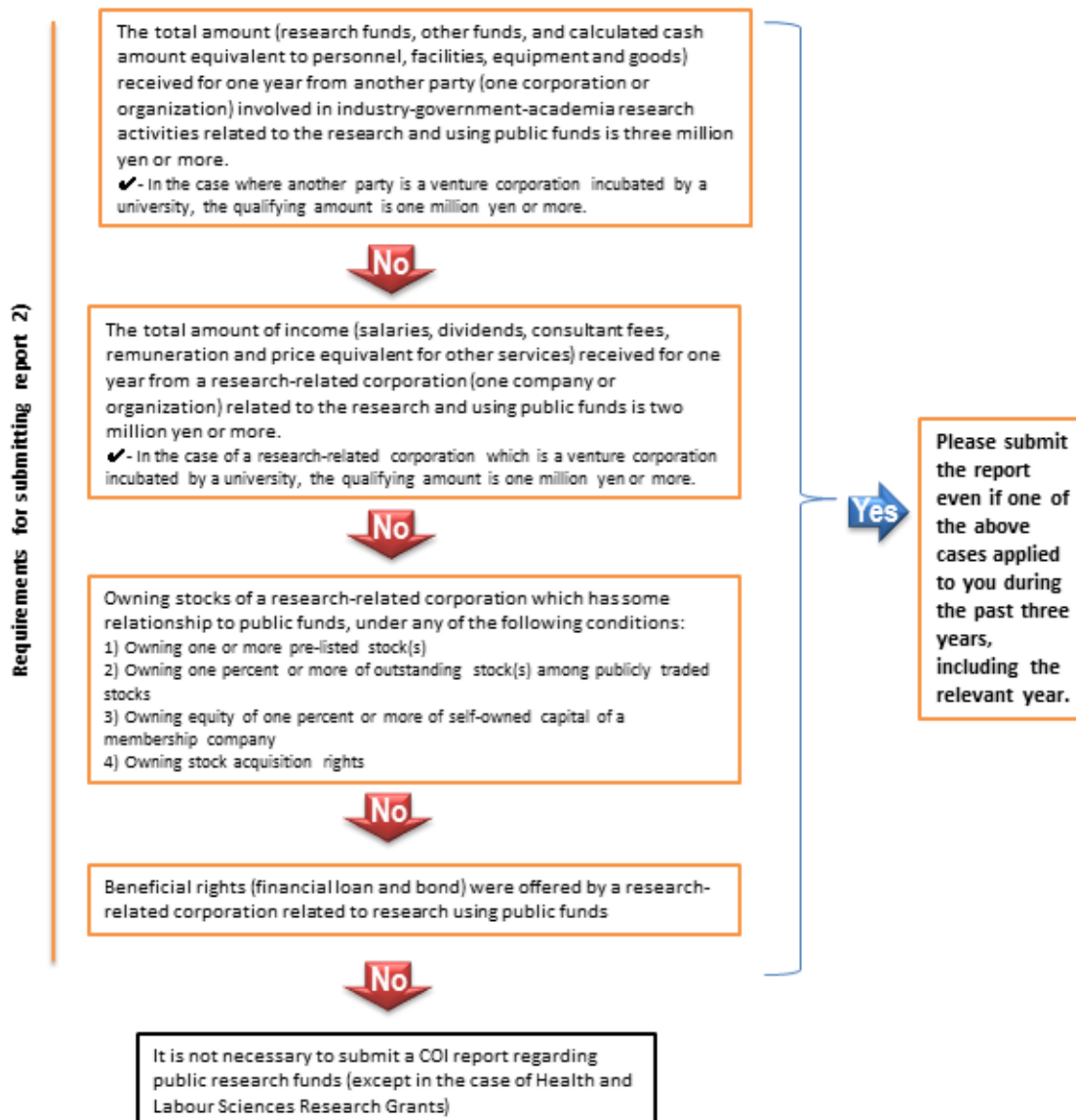
3. Consultation with COI advisors

If you have questions or need consultation regarding COI, not only with regard to the use of public research funds but also with regard to Industry-Academic-Government Cooperation activities, please contact the COI management secretariat. The committee will respond appropriately in coordination with COI advisors.

COI management secretariat: riekisouhan@list.waseda.jp



Flowchart for determining whether or not a COI report must be submitted(2/2)



<Note>

The above conditions for reporting are based on the actual 2015 implementation record and may be subject to change. Please check the latest information on the Waseda University Office of Research Ethics website:
<http://www.waseda.jp/inst/ore/en/conflict/>

<Management system regarding public research funds>

1. Waseda University's efforts

Since there have been some cases of misconduct related to public research funds, Waseda University has been engaged in a series of measures, and has drawn up initial and secondary action plans for the prevention of reoccurrence of misconduct. The current system for management of public research funds was established in line with the “Guidelines for Supervision and Auditing of Public Research Funds at Research Institutions Guidelines for Supervision and Auditing of Public Research Funds at Research Institutions (Implementation standard),” revised in February 2014.

2. Waseda's system for responsibility and authority related to the use and management of public research funds

Waseda University has established an administrative body for responsibility and authority related to the use and management of public research funds, as outlined below, directed by the president as the chief administrative officer.

URL:

<http://www.waseda.jp/inst/ore/en/about/>

- Chief administrative officer: President of Waseda
Governs the whole organization and bears the final responsibility regarding the use and management of competitive funds.
- Deputy chief administrative officer: Vice President for Research Promotion
Assists the Chief Administrative Officer and takes practical responsibility and authority for governing the whole organization regarding the use and management of competitive funds.
- Administrative officer for the division: Director of the Division or Faculty Senior Dean
Takes practical responsibility and authority for overseeing the use and management

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of competitive funds in each division of the organization.



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<Public research funds auditing>

1. Premise for auditing

The majority of public research funds used at Waseda University is competitive funding allocated by the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and by independent administrative agencies under MEXT jurisdiction. In order to ensure proper management of public research funds at research institutions, MEXT published “Guidelines for Supervision and Auditing of Public Research Funds at Research Institutions (Implementation standards)” (hereafter “Guidelines”) on February 15, 2007 and revised it on February 18, 2014. Based on the Guidelines, MEXT urges each research institution to (1) prepare a prevention and response system for misuse of research funds and (2) report the status of those measures. This reporting must include a report of the status of internal auditing. Similar measures are taken by other public organizations including the Ministry of Internal Affairs and Communications, the Ministry of Health, Labour and Welfare, the Ministry of Agriculture, Forestry and Fisheries, the Ministry of Economy, Trade and Industry, the Ministry of Land, Infrastructure, Transport and Tourism, and the Ministry of the Environment.

The 2007 Guidelines state that the measures are based on the concepts,

1) "There are two types of competitive funds, one granted to research institutions and the other to individual researchers, for the conduct of their research. Although such funds are characterized as subsidy for individuals, the management of competitive funds must be done on research institutions' own responsibility, to keep the trust from the public, since the funding comes from taxpayers' money. Now, more than ever, it is essential to ensure that this principle is upheld."

2) "The manager of any institution responsible for the management of competitive funds must eliminate all elements which might induce misconduct, based on the notion that there is always a possibility of misuse of research funds, and must make maximum effort to construct a functional system and environment to prevent misconduct."

2. Efforts by Waseda University

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In line with the Guidelines, Waseda University has been conducting the following management and auditing related to the usage of public research funds.

1) The Research Promotion Division:

Routine management of funds usage and regular monitoring (e.g. confirming accounting evidence)

2) The Internal Audit Office:

In accordance with the result of monitoring in 1), review and assessment to determine whether or not each research fund is being properly used according to the grant purpose; and whether internal control of management and usage of the fund are functioning effectively.

The results of such management and auditing are verified and any necessary corrective measures are taken to improve the management and internal control systems. Those results are applied to ensure that researchers can feel confident to focus on their research projects using public research funds.

In order to achieve the above purposes, 2016 auditing was based mainly on the following items related to 2015 funds, in line with the guidelines, the various research funds usage guides, and internal regulations.

Checking revenue and expenditure; checking documents for evidence regarding expenditure (e.g. estimates, purchase orders, contracts, business trip requests, air ticket stubs, business trip records, attendance records, conference minutes, receipts and letters of reason, as needed); checking inspection procedures; comparing submitted documents with vender's account book; checking the status of installation of articles such as machinery, appliances and goods; holding research representative hearings (on items including purpose and outline of business trip, and relationship of purchased goods to the research project); conducting research supporting staff and part-timer hearings; and checking with third parties related to researcher travel expenses.

[Reference]

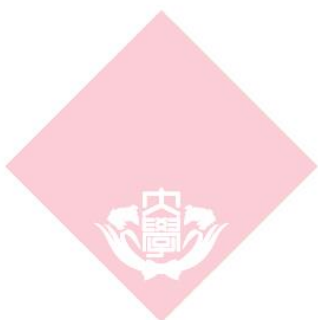
Supervision and Auditing of Public Research Funds in a Research Institution by

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MEXT

http://www.mext.go.jp/a_menu/kansa/08122501.htm (in Japanese)



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<Penalties for violations of the regulations governing use of public research funds>

Public research funds must be used in strict accordance with the rules. When rules are violated, some penalties (e.g. restriction of research grant usage; return of grant; suspension of application eligibility) may apply.

1. In the case of receiving a grant through improper action or falsification

- Return of the research funds: All of the funds must be returned.
- Suspension of application eligibility: five year suspension of eligibility for the researcher who received the grant and those who conspired with the researcher.

Note: The grant for a research project which has already been selected will be terminated. Co-researchers who have received the distributed grant cannot receive the shared grant.

2. In the case of misuse of research funds

- Return of the research funds: The relevant part of research funds must be returned.
- Limitation of application eligibility:
 - 10 years suspension of eligibility for researchers who used the funds for private purposes and researchers who conspired with them.
 - One to five years suspension of eligibility for researchers who used the funds for non-research purposes and researchers who conspired with them.
 - Maximum two years suspension of eligibility for researchers who fail to fulfill their duties as administrators.

3. In the case of improper actions (e.g. fabrication of data in a paper)

- Return of the research funds: All or a part of funds must be returned.
- Suspension of application eligibility:
 - One to ten years suspension of eligibility for researchers who were found to be implicated
 - One to ten years suspension of eligibility for researchers who were responsible for the production of an academic paper which has been found to be in violation of the rules.

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In the cases listed below, severe penalties will be imposed for misuse of research funds even if the funds were not used for private purposes.

4. Improper behaviors

- Vendor deposit: requesting that the research institution pay for a fictional transaction and having the vendor manage the fund as a deposit.
- Fraudulent official trip: intentionally requesting that the research institution pay fraudulent travel expenses.
- Fraudulent remuneration: intentionally requesting that the research institution pay remuneration for fraudulently reported work (which has not been done).

1) Examples of vendor deposit, fictional transaction (fabrication of a bill or receipt) and fictional order

- Ordering a fictional transaction from a vendor, having the vendor create a fake invoice and bill, and paying the fake bill from research fund.
- Being involved in fake billing for the creation of printed matter by personnel such as temporary staff.
- Claiming to have purchased consumables via a fake order, requesting that the research institution pay the billed amount, having the vendor manage the money as a deposit, and using the money to purchase research related goods different from those listed on the invoice on file at the institution.
- Purchasing goods through the regular procedures of a research institution and after having the delivery inspected and the bill paid, having the vendor take the goods back and asking the vendor to manage the money as a deposit; and subsequently having the vendor deliver goods without the required procedures and paying the amount from the deposit created by the vendor.

2) Examples of fraudulent remuneration

- Having personnel such as temporary staff create a falsified report of work and charging for that, and after the fee was paid from the research fund, receiving a part of the fee from personnel such as temporary staff and spending the money for private purposes.

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- Having a temporary staff (graduate student) create a work report and charging for that, and after the fee was paid from the research fund, pooling the money to pay for the student's travel expenses for attendance at an academic meeting.

3) Examples of fraudulent business trip

- Pretending to take a trip and submitting a false request of trip despite the trip having been canceled, and receiving the travel expenses illicitly.
- Including expenses for accompanying family in overseas travel expenses, and staying at a place not in the itinerary for a joint research meeting which does not match the research objective.

4) Examples of multiple infractions

- [Fraudulent official trips, fraudulent remuneration and fake billing]

Submitting fake travel expenses and claiming remuneration as well as claiming for fees for rental of measurement instruments which were borrowed free of charge from a vendor, and after receiving payment from the research fund, putting the money in the researcher's own bank account; and subsequently using the money for research expenses (necessary expenses for measurement work in a remote venue) or as a part of expenses for a family trip.

- [Fraudulent business trip and fake billing]

Charging fake travel expenses and postage fees by double-billing research funds and other expenses, and fabricating the amount on receipts for materials and books, so as to receive research funds improperly.

Examples other than the above are posted in "Examples of misuse and improper use of public research funds," available at the following URL:

<https://waseda.box.com/jireishu>

<Security trade control>

1. Overview

Security trade control is a system aimed at maintaining international peace and security by not giving items or technology which can be converted into weapons or military ordnance to countries or terrorist organizations that have been developing weapons of mass destruction such as nuclear weapons and related equipment, or conventional weapons. In Japan, the “Foreign Exchange and Foreign Trade Act” is the legal basis for such controls. In the case of exporting objects subject to such regulations (called ‘cargo’ in the Foreign Exchange Law) and offering technology (called ‘service transaction’ in the Foreign Exchange Law) related to the design, manufacture and use of ‘cargo’ which is subject to regulations, it is necessary to obtain permission from the Minister of Economy, Trade and Industry. Exporting regulated cargo or offering regulated technology without permission is subject to criminal punishment or administrative punishment based on the Foreign Exchange Law.

Possible violations include carelessness in not being aware of the laws, unwittingly offering technology that is subject to regulations, and accepting the judgment of another party or judging personally that permission is not necessary because the material is not for use as weaponry. Even many items of equipment, machinery and material intended for consumer use can be used for military purposes as well (dual use), and some seemingly innocent items or technology could be subject to regulations. Examples of items with both military and civilian application (dual use) are listed below:

(Examples)

Cargo (equipment, parts, and raw materials)	Consumer use	Potential threatening application
Titanium alloy	Watches, spectacle frames	Gas centrifuge for uranium concentration
Carbon fiber	Golf club shafts, fishing rods	Missile structural materials
Sodium cyanide	Metal plate processing	Raw materials for chemical

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		weaponry
Freeze dryer	Making instant coffee	Making biological weapons
Filter	Desalination unit	Bacteria extractor

Particular attention is needed in the case of universities, since it is possible that not only taking research equipment or reagents overseas but also international research exchanges and the offering of technology to foreign researchers or students could be subject to Security Trade Control regulations.

Waseda University has established “Regulations for Security Trade Control” and “Security Trade Control Operational Bylaws” in accordance with the security laws and the spirit of the “Waseda University Academic Research Ethics Charter.”

2. Waseda’s Security Trade Control management system

Waseda has designated the following departments as support in the form of consultations regarding trade control, judgment of necessity to apply for permission from the Ministry of Economy, Trade and Industry, and support for applications for Ministry permission where necessary, all based on “Regulations for Security Trade Control,” to enable faculty members and staff to safely and smoothly conduct research activities, academic exchanges, and academic-industry collaboration activities.

The following website offers information on Security Trade Control. Inquiries should be directed to the departments listed in the site.

<http://www.waseda.jp/stc/> (in Japanese)

3. Consultation and inquiries about Security Trade Control at Waseda

- Regarding international joint research, technology transfer, overseas trips related to research and education, and the export of materials such as research equipment by faculty or staff:

Research Collaboration and Promotion Center, the Research Promotion Division

Tel: 03-5286-9867 **Email: stc@list.waseda.jp**

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Regarding acceptance of students from overseas

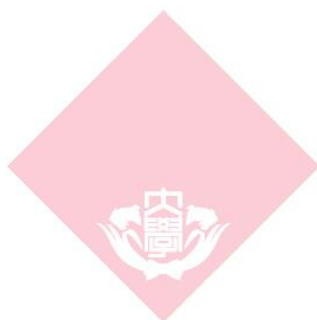
Planning Office for International Education, the International Affairs Division

Tel: 03-3207-1454 **Email: stc@list.waseda.jp**

- Regarding the acceptance of visiting researchers from overseas and the assignment of international faculty members or researchers:

International Office, the International Affairs Division

Tel: 03-3203-7747 **Email: stc@list.waseda.jp**



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<Researcher database >

1. Overview

“Researcher database” is a database of education and research related information on full-time faculty members and researchers registered at Waseda. It publicizes internally and externally their fields of specialization and research outcomes including books and academic papers, to be utilized for interaction with society and dissemination of information.

Waseda’s faculty members and researchers can input and update their data themselves any time and the new data will immediately appear on the web site (<http://researchers.waseda.jp/en/>), which is open to the public. In addition, the database provides data to Researchmap in the Japan Science and Technology Agency (JST) web site, so information inputted or updated in Waseda’s researcher database will automatically appear in Researchmap. We have been working towards the renewal and development of the researcher data base in order to make it more convenient; in the future when information is updated, that data will be shared with Researchmap on a daily basis. Further details will be announced later.

2. Data registration process

Please login to MyWaseda and register at “Researchers DB (input and editing)” of “Researcher database” in the “Research” menu.

3. Inquiries about Waseda’s researcher database

4. MyWaseda

After logging into MyWaseda, please select “IT Service” menu → “Help Desk” → “Support” → “Research Activities” → “Inquiries to Researcher Database.” Then input the required information under ‘Topics’ and click on the Register button.

- Contact

Waseda Portal Office (1st floor of No.7 Building)

Tel 03-5286-9845 (ext 71-8500)

Tokorozawa Information System Operation Room (3rd floor of Building No.100,

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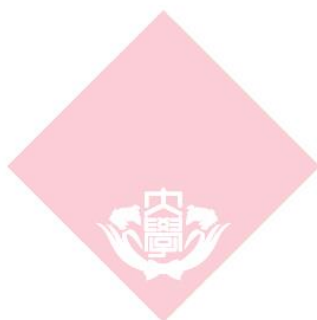
Tokorozawa Campus)

Tel:04-2947-6707 (ext 76-2320)

Inquiries about Researchmap

Japan Science and Technology Agency (JST) Researchmap secretariat

Please inquire at <https://researchmap.jp/public/inquiry/>



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<Researcher profiling tool>

1. Overview

“Pure” is an online researcher profiling tool within the online researcher information system containing information from “Scopus,” the international academic paper database. This enables the user to see what research is conducted at Waseda, and by whom.

In the Scopus system, academic paper data for full-time Waseda faculty members and researchers are automatically updated to enable analysis of data from various perspectives, such as accumulated academic paper data, automatic generation of research concepts and visualization of relationships between researchers.

“Scival Experts” will be upgraded and retitled “Pure” to enhance functionality. The details will be announced later.

2. How to use the Pure tool

After logging in to MyWaseda, you can access the Pure content under “Researcher profiling” in “Dissemination of researcher information and research outcomes” in the “Research Resources” category.

(graphics)

Search window: search by free word

Search window: Country of joint research (country/area)

3. Inquiries

- About research paper information, aggregate calculation, method for utilization and product information:

Elsevier Japan help desk

Tel: 03-5561-5035

Email: jpinfo@elsevier.com

- About faculty member information and general use

Research Planning Section of the Research Promotion Division

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Tel: 03-5272-4637 (ext 79-2174)

Email: kenki-s@list.waseda.jp



WASEDA University

Press releases for research results

1. Press releases related to research results

Many media entities, such as newspaper, TV, magazines and Internet outlets, pay close attention to news from universities and research institutions, including Waseda. One subject of great interest is research results. The main method of publicizing research results to the mass media is the press release. There are two types: (1) press conferences and briefings to speak directly to reporters; and (2) dissemination of documents.

2. Press release process

1) Inform the Information and Public Relations Section in advance

When planning to announce research results, please consult with and provide information to the Information and Public Relations (IPR) Section at least two weeks in advance of publication in a scientific journal or presentation at an academic conference.

2) Creation of press release documents

After receiving the information from a researcher, IPR will create a press release using the Waseda University format. The content usually consists of: a) an announcement of a press conference or briefing (if planned), created by IPR, based on the submitted materials; and b) a summary of the research results (created by the researcher, put in proper format and style by IPR) in two or three A4-size pages (or more or less, as appropriate). The summary should include the following elements.

- (1) Existing knowledge from past research (such as scientific history and historical background)
- (2) Achievement of the research (e.g., new discoveries, clarification)
- (3) New methods developed for conduct of the research (if any)
- (4) Results and knowledge obtained from the research
- (5) Potential ripple effects and social impact of the research
- (6) Future research topics suggested by the results of the research

(7) Outline in approximately 50 words (for dissemination by social media)

The announcement of a press conference or briefing (a) will include an abridged summary of the research results (b). The announcement, a one-page document, will be created by IPR.

3) Editing of the release by the Center for Research Strategy (CRS)

CRS checks the press release and edits as appropriate to balance accuracy and ease of understanding by the media.

4) Distribution of press release (approximately 4 to 7 days prior to the press conference)

IPR usually distributes press releases to press clubs in related fields, to TV, newspaper and magazine companies, and to individual reporters including freelancers, 4 to 7 days in advance to invite participation in a press conference or briefing. The press release may specify an embargo date, so that the content will not be published before the scientific journal or academic conference.

5) Press conference or briefing (a few days prior to publication in a scientific journal or academic conference)

The researcher holds a press conference or briefing to allow reporters to gain a correct understanding of the content, and to provide time for preparation before publication. For the occasion, researchers are requested to prepare materials such as PowerPoint slides which are more detailed than the press release and distribute them to the reporters, along with materials such as photos and videos. The venue for such an event should be discussed in advance.

6) Publication in a scientific journal, presentation at an academic conference, announcement in a news broadcast and posting on the Waseda University website

After the embargo date, news about the research results will be published. Research results will also be publicized through the Waseda website and other University media (e.g. *Campus Now*, *Seihoku no Kaze*, *Waseda Online*, *Newsletter*). Press clippings will be sent to the researcher afterwards.

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3. Level of interest in research results

Media organizations have reporters assigned to specialized fields such as politics, the economy, society, science, culture and international issues, and they are always looking for socially important news. Many organizations are particularly interested in research regarding human life and health, research related to the environment and natural disasters, and analysis of economic statistics and markets. In addition, media representatives often visit the university to cover news of research results published in scientific journals and discoveries with high cultural value; such items are almost always reported in some news media. Even if the content is not treated as pure news, in many cases it may appear in feature articles or special issues with major impact.

4. Inquiries

Office of Information and Public Relations

Tel: 03-3202-5454 (or ext. 71-2783)

Email: koho@list.waseda.jp

<Management of intellectual property rights and tangible results of research activities>

1. Overview

The rules governing inventions* produced in the course of university research by Waseda faculty members have been established as “Job Invention Regulation” (enacted May 1, 2000, revised December 1, 2004), and the rules governing tangible research materials were enacted as “Rules for the Treatment of Tangible Results of Research Activities” (April 1, 2013). New inventions by Waseda faculty members and transfers of tangible results of research activities to external organizations must be reported to the Research Collaboration and Promotion Center. For inquiries regarding applications for patents or transfer of research materials, please consult with the Research Collaboration and Promotion Center.

*Here ‘inventions’ includes inventions (subject to patent rights), devices (subject to utility model rights), creations (subject to design rights, utility right for circuit layout, and copyright in the case of all software works), cultivations (subject to breed

registry rights) and trade secrets (cultivated know-how).

2. Management of inventions developed by Waseda faculty

- 1) All inventions by Waseda faculty must be reported to the Research Collaboration & Promotion Center. This applies to the case of joint research if a Waseda faculty member is among the inventors.
- 2) After an invention has been reported, the Invention Inspection Committee will determine whether or not it is considered an employee invention, and whether the rights are inheritable or not, based on the standards of Waseda Intellectual Property Strategy Council. The university will decide the management of the invention in accordance with the results of the deliberation by the Invention Inspection Committee.

→ In the case where the university has succeeded 100% rights from an inventor in Waseda faculty member and has decided on a sole application for patent:

The university will conduct all procedures related to domestic and international patent application. The Research Collaboration & Promotion Center will conduct technology transfer activities (licensing) towards the practical implementation of the invention.

→ In the case where the university succeeded 100% rights from the inventor in Waseda faculty member and decided on a joint patent application with a joint inventor (includes external companies, institutes and individual persons):

The university and the joint applicant will enter into a contract and decide conditions such as procedures before application is made.

→ In the case where the university does not succeed rights from an inventor:

The right to obtain a patent belongs to the inventor.

- After submission of the patent application, the Invention Inspection Committee will deliberate as to the necessity of procedures such as request for examination, registration of the patent, and management and maintenance of the

patent, and will decide whether or not to confirming the joint applicant's intention.

- Such procedures are done through the Research Collaboration & Promotion Center. Please contact the Center when you receive inquiries from outside of Waseda. During the procedures, the Center will confirm the inventor's intention when necessary.

3) The Research Collaboration & Promotion Center will attempt to license the intellectual property right succeeded by the university. In such cases, the Center may ask the inventor's cooperation in matters such as provision of relevant information and commercialization.

4) When the technology has been licensed and royalties have been received, the royalties, less expenses, will be divided into two equal parts; one part will be shared by the inventors according to their contribution to the invention, in line with Waseda's 'Job Invention Regulation.'

3. Transfer or receipt of tangible results of research activities

Tangible research materials are materials with academic or financial value obtained as a result of or during the course of research or education conducted by faculty members at the university. Tangible results of research activities include materials and samples (reagents, new materials, soil, rocks, new species of plants, experimental animals, cell strains, micro-organism strains, viral strains and organism ingredients such as nucleic acid and protein, and their derivatives, as well as solid objects, solutions and body fluid which include these materials and samples and/or their derivatives), chemical substances, prototypes and models (except documents related to copyrighted works such as academic papers and lectures).

Transfer of tangible results of research activities to organizations outside of Waseda must be reported to the Research Collaboration & Promotion Center and approval must be obtained in advance, except when such tangible results are offered to domestic academic organizations without charge. In the case of receiving tangible results from external organizations, the Center can offer consultation regarding the procedures.

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(Diagram on the right: Management flow regarding transfer or receipt of tangible results of research activities)

Waseda University

Creator (*)

Research Collaboration & Promotion Center (**)

External organizations such as universities, companies and other research institutions

- Flow of transfer or receipt of tangible results of research activities

- 1) Submission of a report of transfer of tangible results or consultation regarding receipt of tangible results
- 2) Judgment and approval of transfer of tangible results or consultation regarding receipt of tangible results
- 3) Negotiation of conditions for MTA (material transfer agreement)
- 4) Conclusion of MTA
- 5) Offering or receiving tangible results

*Creator must manage tangible results strictly in accordance with the management method stipulated in the related laws.

** The Research Collaboration & Promotion Center must record rights and management status of tangible results in a proper manner.

When students or adjunct researchers participate in joint research or sponsored research:

Students and adjunct researchers who are not employed by Waseda are not in principle subject to “Job Invention Regulation”. Therefore, in the case of students or adjunct researchers participating in joint research or sponsored research, it is advisable for those students or researchers to sign and submit an “Oath of Invention and Confidentiality” to the Research Collaboration & Promotion Center, so as to ensure secrecy and protect the rights of the inventor. Please consult with the Center about the details.

4. Consultation regarding inventions and tangible results of research activities

Please inquire to the Center. Various forms, such as Job Invention Notification, can

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be downloaded at the Center's website.

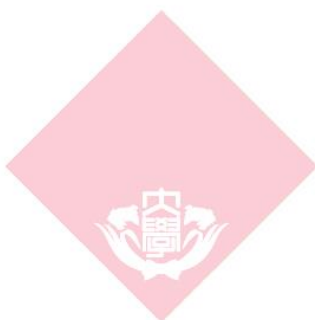
Research Collaboration & Promotion Center

Tel 03-5286-9867 (ext 79-2037)

Email contact-tlo@list.waseda.jp (for various consultations)

Email invention@list.waseda.jp (for submission of invention notification)

URL: <http://www.waseda.jp/top/research/tlo/>



WASEDA University

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<Support for research outcomes dissemination>

[Internal support system]

- Support for Academic Paper Publication (formerly “Academic paper publication subsidy”)

- English paper submission support system

Detailed information is available at:

<http://www.waseda.jp/rps/fas/index.html>

- Academic book publishing system

Detailed information is available at:

<http://www.wasedabunka.jp/gakujutsu-shuppan/>

[External support system]

- Grant-in-Aid for Publication of Scientific Research Results

Detailed information is available at:

<https://www.jsps.go.jp/english/e-grants/grants01.html>

1. Outline

In order to contribute to the development and diffusion of Japan’s academic studies; and to facilitate international academic exchange so as to facilitate the open dissemination of outstanding research results, Grants-in-Aid for Publication of Scientific Research Results is intended to support a) the announcement and dissemination of research results, b) the publication of research results with high academic evaluation, and c) the compilation of databases.

An individual researcher or a group of researchers can apply for the subsidy for “academic books” (for disseminating academic research outcomes) and for “databases” (for making outcomes available for public access). The call for applications is

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announced in September every year.

2. Contact

Research Support Section of the Research Promotion Division

Tel 03-3202-2568

Email: kensi@list-waseda.jp

There are other subsidies for research outcomes dissemination available from various foundations. The information is available at

<http://www.waseda.jp/rps/fas/guide/public-offering/index.html> (in Japanese)

[Other (references)]

- Seminars to support research paper publication

1. Outline

As one of its responses to MEXT's Program for Promoting the Enhancement of Research Universities, Waseda provides seminars and support programs on academic paper writing and publication in order to strengthen researchers' individual research capabilities.

We regularly hold a number of seminars for our researchers, dealing with each stage of the overall process, from the creation of a paper to its publication, including lectures by editors from major journals, workshops on research ethic and English academic paper writing techniques, and guidance for the creation of proposals for publication. We encourage your participation.

2. How to apply

Seminars will be announced through the website of Waseda University Research Enhancement Head Office, and by notification in MyWaseda and in the Research Promotion and Intellectual Property News.

To participate in a seminar, please complete an online application form in the Event

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Information/Activity Report section of the Research Enhancement Head Office website.

<http://www.waseda.jp/rps/kenkyu/index-e.html>

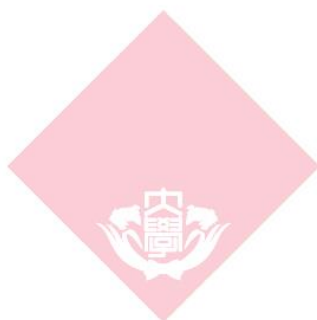
Videos of past seminars are available for viewing in the CourseN@vi of the Research Enhancement Head Office, “Event Video Distribution Catalogue.”

3. Contact

Waseda University Research Enhancement Head Office

Tel: 03-5272-4637 (ext: 79-2174)

Email: kenki-s@list.waseda.jp



WASEDA University