**Operational Rules for Research Projects of the Research Institute for Humanity and Nature**

Effective on December 20, 2010

Amended on November 15, 2013

**Article 1. Purpose**

These operational rules stipulate necessary matters associated with the implementation of research projects by the Research Institute for Humanity and Nature (hereinafter, “the Institute”) in accordance with the provisions of Article 10 of the Rules for Research Projects of the Institute.

**Article 2. Definitions**

1. In these Rules the term “Individual Collaboration Project” refers to a Research Project implemented in accordance with the procedures defined in the subsequent Article 3.

2. “Initiative-based Project” refers to a Research Project implemented in accordance with the procedures provided in the Article 4.

3. “Institutional Collaboration Project” refers to a Research Project implemented in accordance with the procedures provided in the Article 5.

4. In these Rules the term “Individual Collaboration FS” refers to a FS that has transited from the stage of IS selected through open competition and that is being implemented with the aim of proceeding to Full Research (“FR”) according to the procedure defined in the subsequent Article 3.

5. In these Rules, “Initiative-based FS” refers to a FS developed by the Core Research Hub (hereinafter the “CRH”) by following the procedure defined in the Article 4 with the aim of proceeding to FR.

6. In these Rules, “Institutional Collaboration FS” refers to a FS initiated through open competition the universities and research institutes having a cooperative agreement with the Institute, and carried out by following the procedure defined in the Article 5 with the aim of proceeding to FR.

7. Completed Research (hereinafter, “CR”) means a Research Project that has been completed.

**Article 3. Commencement of Individual Collaboration Project**

1. Applications for IS are publicly solicited from both inside and outside of the Institute. Selection of IS is decided by the Executive Board, following proposal review and public hearings and review by the Project Review Team (“PRT”).

2. Policies and procedures for public solicitation of IS and other matters shall be subject to the deliberation of the Executive Board and approval of the Director General of the Institute.

3. The duration for IS shall be six or twelve months. An Internal Incubator shall be appointed for an IS and the IS proponent shall move forward with the project design process in close cooperation and consultation with the Internal Incubator.

4. Transition of IS to Individual Collaboration FS shall require public hearing, PRT review, and authorization by Executive Board.

5. As an exception, the Executive Board is authorized to adopt a study theme recommended by the Center for Research Development as an Individual Collaboration FS after public hearings and PRT reviews.

6. The duration of Individual Collaboration FS shall be six or twelve months in principle.

7. Transition of Individual Collaboration FS to the Individual Collaboration Project shall require the evaluation of the Project Evaluation Committee (“PEC”) and deliberation by the Executive Board and is finally decided by the Board of Advisors based on the results of PEC evaluation.

8. Selection of Individual Collaboration FS for submission to PEC evaluation shall be made by the Executive Board after the process of public hearing and PRT reviews.

9. In the preceding clause, the Individual Collaboration FS not submitted to PEC evaluation may keep the status of the Individual Collaboration FS in the subsequent fiscal year subject after PRT review.

10. In the procedure defined in Clause 7, any Individual Collaboration FS approved to transit to an Individual Collaboration Project but unable to start at the beginning of the following fiscal year must remain an Individual Collaboration FS until the commencement of the Individual Collaboration Project.

11. In the procedure defined in Clause 7, any Individual Collaboration FS not approved to transit to an Individual Collaboration Project may remain an Individual Collaboration FS only for the subsequent fiscal year if desired by the FS Manager.

12. The PR duration will be determined after deliberation by PRT and the Executive Board.

13. The allocation of research funds to IS, Individual Collaboration FS, and Individual Collaboration Projects is deliberated and determined by the Executive Board.

**Article 4. Commencement of Initiative-based Projects**

1. The Executive Board adopts a research subject proposed by the CRH as the Initiative-based FS after a public hearing and PRT review.

2. The duration of Initiative-based FS shall be from six or twelve months in principle. Persons responsible for the FS shall proceed with the project design process in close cooperation with the CRH.

3. Transition of the Initiative-based FS to the Initiative-based Project shall be determined by the Board of Advisors after deliberation of the Executive Board based on the results of evaluation by PEC.

4. Selection of Initiative-based FS submitted for PEC review shall be made by the Executive Board after a public hearing and the PRT review.

5. Any Initiative-based FS not evaluated by PEC in a year according to the procedure defined in the foregoing clause, may continue as FS in the following year by receiving the review of PRT.

6. Any Initiative-based FS approved to transit to Initiative-based Project according to the procedure defined in Clause 3, but unable to start at the beginning of the following fiscal year shall continue as Initiative-based FS up until the commencement of the Initiative-based Project.

7. Any Initiative-based FS not approved to transit to the Initiative-based Project according to the procedure defined in Clause 3, may continue as Initiative-based FS only for the subsequent fiscal year if desired by the FS Manager.

8. The period of the Pre Research for an Initiative-based Project may be omitted by the Project Leader at his or her discretion.

9. The allocation of research funds to Initiative-based FS and Initiative-based Projects is deliberated and determined by the Executive Board.

**Article 5 Commencement of Institutional Collaboration Project**

1. Universities and research organizations (“Associated Institutions”) currently having or scheduled to conclude a collaboration agreement with the Institute, shall, in close consultation with the Institute, develop project seeds in order to design candidate research topics for Institutional Collaboration FSs. After public hearings and deliberation by the PRT and PEC, the Executive Board will adopt submitted candidate FS research topics as Institutional Collaboration FS.

2. The duration for an Institutional Collaboration FS shall, in principle, be one year. An internal responsible person shall be appointed for application and registration of the project. Associated Institutions and persons in charge of FS shall proceed with the project design process in close cooperation with the Institute through the internal responsible person.

3. Transition of Institutional Collaboration FS to Institutional Collaboration Project is decided by the Board of Advisors, based on the evaluation of the PEC and after deliberation in the Executive Board.

4. Selection of Institutional Collaboration FS submitted for PEC review shall be made by the Executive Board after public hearings and the PRT review.

5. Any Institutional Collaboration FS not evaluated by PEC in a year according to the procedures defined in the foregoing clauses may remain continue as Institutional Collaboration FS in the following year after review by the PRT.

6. Any Institutional Collaboration FS approved to transit to the Institutional Collaboration Project according to the procedure defined in Section 3 but unable to start at the beginning of the following fiscal year shall continue as Institutional Collaboration FS until the commencement of the Institutional Collaboration Project.

7. Any Institutional Collaboration FS not approved to transit to the Institutional Collaboration Project according to the procedure defined in the Section 3 may continue as FS only for the following fiscal year, if desired by FS Manager.

8. The period of the Pre Research for an Institutional Collaboration Project may be omitted by the Project Leader at his or her discretion.

9. Allocation of the research budget for Institutional Collaboration FS and Institutional Collaboration Project shall be determined by the Executive Board.

**Article 6 Project Transfer between different Categories of IS and FS**

During the project formation process, an IS may be transferred to Initiative-based FS or to Institutional Collaboration FS if so approved by PRT and the Executive Board.

All FS, upon completion of the FS, are eligible for examination for transition to the status of candidate FR of a different category for PEC review if so approved by PRT and Executive Board.

**Article 7 Research Project Members**

1. Project Members (“Member”) are appointed by the Project Leader and must have one of the following qualifications:

1) A researcher working at a university or other research organization

2) A graduate student

3) Any other person whom the Program Director acknowledges as having the capability to carry out research equivalent to the above

2. The Director General of the Institute shall in principle designate Member appointed according to the preceding clause as joint researchers based on the Rules of Joint Researchers of the National Institutes for the Humanities

**Article 8 Core Members**

Core members of a Research Project must have at least one of the following qualifications:

1. Full-time in-house research and education staff; part-time in-house researchers; foreign researchers, Japanese visiting professors and associate professors
2. A researcher working at a university or other research organization outside the Institute
3. Any other person the Director General of the Institute recognized as particularly needed for project implementation.

**Article 9 Evaluation of Research Projects**

1. Research Projects shall be subjected to PEC evaluation according to the timing provided in Clauses 2-5 below.

2. Pre-Research projects will report to the PEC meeting held in the fiscal year of implementation to receive comments.

3. A Full Research project (except for those whose project duration is determined to be 3 years) will provide for evaluation an interim report to the PEC meeting held in the second year of its implementation.

4. A Full Research project report to the PEC for evaluation in the fiscal year one year prior to its completion.

5. A Full Research project will submit a final report to the PEC in the fiscal year of its completion.

6. The PEC evaluation results shall be widely publicized via printed materials, electronic data, the web-site of the Institute, or other media.

**Article 10 Evaluation of Completed Research**

Completed Research shall be subject to the PRT post-evaluation of the Institute in the fiscal year two years after the completion of the Full Research.

**Supplementary Clause**

These rules were made effective on December 20, 2010.

**Supplementary Clause**

These rules were made effective on April 1, 2014.