# Research Security Questionnaire ASPIRE 2025 Joint Call "Japan-Netherlands Research Collaborations"

# ○　Proposal Information

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| Principal Investigator’s Name |  |
| Affiliated Institution, Department, and Position |  |
| Research Project Title |  |

# ○　Questionnaire

1. **The Japan-side proposed research team**

Please answer regarding the members included in the Japan-side proposed research structure (Principal Investigator (PI), main Co-Principal Investigators (Co-PI), and other participants confirmed at this time).[[1]](#endnote-2)

* 1. Are any of the following individuals included in the proposed research team?
* Individuals classified as "Non-resident"[[2]](#endnote-3) (e.g., Japanese citizens temporarily returning for a period of less than six months) or those falling under "Specific Categories"[[3]](#endnote-4) in the security export control legal scheme (e.g., professors at Japanese universities holding concurrent positions at foreign universities through employment contracts, students whose living cost is funded by foreign governments, researchers participating in talent recruitment programs of foreign governments receiving substantial research funds or living expenses).[[4]](#endnote-5)

The Conformity Assessment will be as prescribed in security export control.[[5]](#endnote-6)

* Individuals affiliated with institutions listed on the End User List[[6]](#endnote-7) published by the Ministry of Economy, Trade and Industry (METI), or the U.S. Consolidated Screening List[[7]](#endnote-8) (U.S. CSL). This also includes individuals who, within the past two years, have conducted joint research or contracted research, co-authored papers, or made co-presentations at conferences with researchers from these institutions.

The Conformity Assessment will be based on information already acquired, self-declared, or ordinarily obtainable through public sources.

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| □ Included　　　□ Not included　（select one） |

* 1. Are any of the following individuals included in the proposed research team?
* Individuals who have engaged in activities problematic from the perspective of economic security or national security (unauthorized acquisition, use, or disclosure of trade secrets[[8]](#endnote-9), illegal conduct related to domestic and foreign export/import regulations), or those who have been accused or prosecuted by third parties or authorities regarding these issues.

The Conformity Assessment will be based on information already acquired, self-declared, or ordinarily obtainable through public sources.

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| □ Included　　　□ Not included　（select one）  □ Other[[9]](#endnote-10): (　　　　　　　　　　　　　　　　　　　　　　　　　　　　　) |

* 1. In conducting research, if adding new members are not currently confirmed, the team/institution will check whether they fall under the criteria of (1) and (2). If they do and still need to be added in the team, please consult with JST in advance. In such cases, JST may request risk mitigation measures or adjustments regarding the content and scope of the participation of the member in the team.

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| □　I agree to comply with the described content. |

1. **Regarding Cooperation partners and Co-funders included in the Japan-side Research Structure, as well as domestic and foreign partner institutions or researchers not included in the Japan-side research structure**
2. Are Cooperation partners and Co-funders included in the Japan-side research structure? Or, to implement the proposed content, are there any additional domestic or foreign partner institutions or researchers (hereinafter referred to as "partner institutions, etc.")[[10]](#endnote-11)? (However, excluding the Dutch-side research structure.) Or is there a possibility that such partner institutions or researchers may arise in the future?

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| □ Yes　　　□ No　（select one） |

[If "Yes" for (1)]

1. A non-disclosure agreement or a joint research agreement containing such clauses must be concluded between the partner institutions and the research organization in the research teams, on the condition of not violating the commissioned research contract between JST and the research organization. Please note cooperation, such as the provision of samples, may need actions.

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| (Check requested)  □When providing unique samples, equipment, or data to partner institutions, etc., for joint research in the proposal, outsourcing of measurements, analyses, or processing, make a list of accessible individuals and ensure that those not listed do not access items these without prior approval.  --------  (select one)  □A non-disclosure agreement or a joint research agreement containing such clauses has already been concluded.  □ Not concluded currently, but promise to conclude in the future. |

[If "Yes" for (1)]

1. Please answer regarding the following conformity assessment concerning the partner institutions, etc.

The conformity assessment will be based on information already acquired, self-declared, or ordinarily obtainable through public sources.

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| (check, if applicable)  □ The partner institutions, etc. are registered on the U.S. CSL.  □ The partner institutions, etc. are registered on the End User List.  □ The partner institutions, etc., have engaged in problematic activities from the perspective of economic security or national security (unauthorized acquisition, use or disclosure of trade secrets, illegal conduct related to domestic and foreign export/import regulations) or have been accused or prosecuted by third parties or authorities regarding these issues.  □The researchers are also affiliated with other institutions that are listed in the U.S. CSL or the End user list.  □ Other[[11]](#endnote-12) (　　　　　　　　　　　　　　　　　　　　　　　　　　　　　）  ------  □ The collaborating institutions/researchers do not fall under any of the above. |

[If "Yes" for (1)]

1. If new domestic or international partner institutions, etc. emerge in the future, please ensure to check the conformity assessment in “2. (3)” within the team/institution, and consult with JST if they do and still wish to include them as collaborating institutions, etc. In such cases, JST may request risk mitigation measures or adjustments regarding the content and scope of the research cooperation with the prospective partner institutions, etc.

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| □　I agree to comply with the described content. |

1. **Research Proposal**

Does the research proposal include any specified research information[[12]](#endnote-13)?

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| □ Yes　　　□ No　（select one） |

[If "Yes" for 3]

Regarding the specified research information mentioned above (excerpt from the research proposal)

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1. **Risk Mitigation Measures**

[If "Included" in "1. (1) (2)" or if applicable to "2. (3)", and “3.” is answered as “Yes”]

1. If there are members classified under "1. (1)(2)" or domestic and foreign partner institutions applicable to "2. (3)", and if research proposal falls under “3”, appropriate risk mitigation measures must be implemented according to each risk. What risk mitigation measures will be taken to ensure research security?

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| (Multiple choices possible)  □Establish a management system for specified research information concerning research security, and organize the responsible person, contact system, and response rules when an issue occurs.  □ Electronic access restrictions: Create a list of individuals with minimum necessary access to electronic information in "research items where data/results related to specified research information may be produced" and allow only those listed to access (setting folder access rights, etc.).  → Research items applicable to the above (excerpt from the research proposal)  (　　　　　　　　　　　　　　　　　　　　　　　　　　　　　　)  □ Physical access restrictions: Create a list of individuals with access to "research materials and infrastructure (laboratories, equipment, etc.) considered to have significant implications if dissipated or imitated related to specified research information", and ensure only listed individuals can access (ID, biometric authentication, etc.).  → Research materials and bases applicable to the above (laboratories, equipment, etc.)  (　　　　　　　　　　　　　　　　　　　　　　　　　　　　　　)  □ Create a Data Management Plan (DMP) and manage access to Specified Research Information based on it.  □ Other   * + ～～～～～～～～～～～～～～～～～～～～～～～～～～～～～～～～～～～.   (Note 1) Other examples of risk mitigation measures (but not limited to these):  ・Ensure that terminals dealing with specified research information are managed with antivirus software and full scan routines.  ・Aggregate specified research information at a high-security cloud service, with encryption and access log records, avoiding external electromagnetic storage media.  ・Restrict information exchange within the proposed research team to authorized individuals through the secure cloud service.  ・Limit specified research information to paper form stored in a dedicated locker in a locked room, keys held only by responsible personnel, with entries/exits logged.  ・Restrict possession of writing tools and cameras when entering specific rooms for viewing information only.  ・Manage and destroy documents containing specified research information using specified shredders.  (Note 2) When research team members have human relationships with individuals affiliated with institutions listed on the End User List, it is crucial to manage information to prevent unintended leakage of specified research information through invited lectures, etc. |

1. It is necessary to confirm within the team/institution that the above responses are feasible.

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| □　Confirmed to be feasible. |

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| For all the above matters,  □　Consent from the main Co-Principal Investigators of the research team has been obtained.  □　Confirmation from the responsible department of the affiliated institutions of both the Principal Investigator and the main Co-Principal Investigators has been obtained.  (Note) To start the research, both checkboxes must be marked. |

1. For "1. (1) and (2)", please include responses for current members of the PI or Co-PI laboratory, not limited to the proposed research team members. [↑](#endnote-ref-2)
2. The content regarding "Non-resident" is identical to that defined in security export control (see: Foreign Exchange and Foreign Trade Act, "Interpretation and Operation of Foreign Exchange Regulations" (Ministry of Finance)). [↑](#endnote-ref-3)
3. For the content regarding "Specific Categories," refer to "Transactions or Acts Providing Technology Requiring Permission Based on Article 25 (1) of the Foreign Exchange and Foreign Trade Act and Article 17 (2) of the Foreign Exchange Order" (Ministry of Economy, Trade and Industry Trade and Economic Cooperation Bureau) and "Q&A on Clarifying 'Deemed Export' Control" (Ministry of Economy, Trade and Industry website,

   (https://www.meti.go.jp/policy/anpo/law\_document/minashi/minashiqa3.pdf)). [↑](#endnote-ref-4)
4. Source: Overview of the Security Export Control System in the FY2023 Seminar on Security Export Control for Universities, etc. (Ministry of Economy, Trade and Industry)

   (https://www.meti.go.jp/policy/anpo/daigaku/seminer/r5/meti5.pdf). [↑](#endnote-ref-5)
5. For Conformity Assessment on "Specific Categories", refer to the Guidelines for Determining the Applicability of Specific Categories under the Provision of Technology Requiring Approval under Article 25 (1) of the Foreign Exchange and Foreign Trade Act and Article 17 (2) of the Foreign Exchange Order (Trade and Economic Cooperation Bureau, Ministry of Economy, Trade and Industry). [↑](#endnote-ref-6)
6. For the End User List, refer to the Ministry of Economy, Trade and Industry website (https://www.meti.go.jp/policy/anpo/law05.html). Please confirm the latest update of this page and use the latest version. [↑](#endnote-ref-7)
7. For the U.S. Consolidated Screening List (CSL), refer to the International Trade Administration, U.S. Department of Commerce website (https://www.trade.gov/consolidated-screening-list). Also, refer to the "CSL Usage Guide (December 2022)" on the JETRO website. (<https://www.jetro.go.jp/world/reports/2022/01/58823025944a7244.html>). [↑](#endnote-ref-8)
8. For Trade Secrets, it is stated that "Not only organizations conducting profit-making activities such as corporations, but also local governments, national governments, universities, and research institutions can be trade secret holders as long as they are engaged in business activities" (Article-by-Article Commentary of the Unfair Competition Prevention Act, Effective from April 1, 2024, edited by Intellectual Property Policy Office, Ministry of Economy, Trade and Industry). For details, refer to the related site on the Unfair Competition Prevention Act (Ministry of Economy, Trade and Industry)

   (https://www.meti.go.jp/policy/economy/chizai/chiteki/index.html). [↑](#endnote-ref-9)
9. Please describe any other concerns (such as possible involvement in military research from the websites of the organization of origin (including departments/laboratories)). [↑](#endnote-ref-10)
10. This includes not only research institutions such as universities but also institutions subcontracted for measurement, analysis, and sample processing, etc. [↑](#endnote-ref-11)
11. Please describe any other concerns, such as information on the involvement in military research is on the websites of the organization (including departments/laboratories), receiving funding from concerning institutions, etc. [↑](#endnote-ref-12)
12. Research information and know-how that have a significant impact from the perspective of economic security or national security, have not been published, and require extreme caution. Research items that remain limited to the study of component technologies or are not expected to achieve the level of technological readiness level necessary for social implementation during the research period are out of scope. [↑](#endnote-ref-13)