

October 15th, 2020

Application Guidelines for FY 2021 of the U.S.-Japan Science and Technology
Cooperation Program in High Energy Physics

Notes:

(1) This “Application Guidelines for FY 2021” is an English translation of the official announcement in Japanese. Applicants should observe the accompanying Japanese Application Guidelines

(http://www2.kek.jp/kokusai/us_japan/bosyu/plan21/application_guidelines_jp.pdf).

If there should be any differences between the original call for proposals in Japanese and its translation into English, the original Japanese text is valid.

(2) This “Application Guidelines for FY 2021” provides the guidelines on the High Energy Accelerator Research Organization (KEK) side. Please consult with the Department of Energy of the United States of America (DOE) about the application guidelines for the proposals in the U. S.

The U.S.-Japan Cooperation Program in High Energy Physics was started from 1979 to strengthen cooperative relations between the U.S. and Japan in research and development in the fields of high energy physics. Today, we are implementing this program under the Agreement between the Government of Japan and the Government of the United States of America on Cooperation in Research and Development in Science and Technology signed on June 20, 1988.

From FY 2017 call onwards, KEK started a joint call with DOE based on the Project Arrangement under the Implementing Arrangement between the Department of Energy of the United States of America and the Ministry of Education, Culture, Sports, Science and Technology of Japan Concerning Cooperation in Research and Development in Energy and Related Field Concerning High Energy Physics signed on October 6, 2015. Under this framework, the contact institutes for applications are KEK for the Japanese side and DOE for the U.S. side.

KEK invites research proposals to draw up FY 2021 plan of the U.S.-Japan Science and Technology Cooperation Program in High Energy Physics as follows. Please note that the Japanese budget for FY 2021 has not been appropriated yet.

1. The research areas supported by this program include:

- High energy physics experiments
- Development of accelerator technology
- Development of detectors for high energy physics experiments.
- Workshops, conferences and/or travel support to incubate and develop new accelerator, detector and experimental concepts

Important notes:

- (1) The R&D project devoted to eventual cost reduction of a potential International Linear Collider (ILC) between U.S. and Japan is not supported by this program; Support for the ILC cost-reduction R&D project is provided through mechanisms outside this application call.
- (2) Support will be provided for cooperative R&D activities only, except for the case described in (4) below. U.S counterparts are limited to DOE labs which conduct research in above-mentioned areas, universities and other institutes to which DOE can provide financial support.
- (3) Due to the revision of the U.S. side application guideline, ONLY those belonging to the DOE labs are eligible as U.S. principal investigators.
- (4) The Japanese side will accept proposals with no U.S. corresponding application to accommodate the situations that certain cooperative activities are funded by the U.S. side through mechanisms outside this program. This category may include support for ongoing experiments. Such proposals with no U.S. corresponding application should also go through the joint review process by the U.S and Japan for approval and application forms should be written in English language.

2. Eligibility of Japanese applicants

Researchers who belong to Japanese national, public and private universities or other institutions funded by the Ministry of Education, Culture, Sports, Science and Technology (MEXT)

3. Grant period

From the date proposals are adopted, expected by the end of April 2021. The end of the period varies by each proposals (maximum three years).

Notes:

- From the FY 2021 call onwards, the maximum grant period will be extended up to three years. One-year and two-year proposals are still acceptable. On contrary, multi-year proposal could be adopted with shorter period. Those proposal can be apply again in the next year's call.
- Out-year funding of multi-year projects is contingent on availability of funds and research performance. Research progress of each continuing project will be reviewed every fiscal year before final level of funding is provided.

Proposals for renewal rewards for the same or similar scopes of work are expected to be solicited in future announcements.

4. Project funding for the Japanese side

| | |
|---------------------------|---|
| Equipment & Supplies cost | The cost to purchase necessary equipment and supplies for proposed researches |
| Travel cost | Travel cost from Japan to the U. S. only This budget cannot be allowed for any travel to invite the U.S. researchers to Japan. |

Please note that this budget cannot be spent for personnel expenses or honorarium.

The remaining balance of each project at the end of fiscal year cannot be carried over to the next year.

5. Review criteria

Both types of proposals, namely joint proposals and proposals with no U.S. corresponding application, are reviewed by the following criteria:

- Scientific and/or technical merit of the project;
- Appropriateness of the proposed method or approach;
- Competency of applicant's personnel and adequacy of proposed resources; and
- Reasonableness and appropriateness of the proposed budget.
- Balance of responsibilities between the U.S. and Japanese components of the bilateral collaboration -

Program policy factors considered in the selection process:

- The proposed scope of work must be within the supported research areas identified in article 1.
- Only proposals that involve significant and balanced collaboration between U.S. and Japanese investigators will be considered for selection. A "balanced" collaboration is one in which the level of responsibilities of the U.S. collaboration and the Japanese collaboration are comparable, or are justified by the unique capabilities of one or more of the collaborating institutions
- As for proposals with no U.S. corresponding application, sufficiency of reasons is considered in the review process why proposed collaborative research is feasible without U.S. budget request.

6. Application procedures and submission date at KEK

Applicants should fill in and submit the application forms, which are available at the following web site, to KEK by email. The supplementary documents can be included with the applications forms, if necessary. A single email size should be less than 2MB. Please contact KEK beforehand if the size should exceed 2MB.

Application forms

For joint proposals;

http://www2.kek.jp/kokusai/us_japan/bosyu/plan21/syorui_joint.zip

For proposals with no U.S. corresponding application.;

http://www2.kek.jp/kokusai/us_japan/bosyu/plan21/syorui_japan.zip

<Submission and contact for application>

KEK International Affairs Division

Email koryu1@mail.kek.jp

< Application due date>

12/16/2020 at 7:00AM JST

7. Important notes

- (1) For joint proposals with U.S. counterparts, corresponding proposals should be submitted to DOE by the U.S. principal investigators who belong to one of DOE labs. Please refer to the following web site for the U.S. side application.
Announcement Number: LAB 21-2423
URL: <https://science.osti.gov/hep/Funding-Opportunities>
- (2) Please be sure to handle research data and intellectual property rights properly, and follow the safety rules of the partner institution(s) in the research activities.

8. Selection process and schedule

- (1) Reviews for the Japanese applications at KEK
Each Japanese applicant is required to give a presentation at the Research Planning Committee of KEK which will be held at the end of February 2021 at KEK. The details will be informed to the applicants in due course.
- (2) The U.S.-Japan joint reviews
Review and selection will be made by the U.S.-Japan Joint Review Panel and then the Joint Committee co-organized by KEK and DOE. The Joint Committee is scheduled to be held in April 2021. Applicants might be requested to give a presentation at the Joint Committee. In this case, the language will be English only.

9. Research report

- (1) Japanese principal investigators are required to make a progress report at the Research Planning Committee of KEK.
- (2) Japanese principal investigators are required to make a report for the review committee of the U.S.-Japan Science and Technology Cooperation Program in High Energy Physics which is held in every 5 years.
- (3) Each report or publication resulting from this Program should include the notice of the support of the U.S.-Japan Science and Technology Cooperation Program in High

Energy Physics.

10. KEK contact information

<For questions about the contents of applications>

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<For forms and application process>

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