

Guidelines for the Yamada Research Grant Application

(General Rule)

Article 1. The guidelines for Yamada Research Grant Application (hereinafter referred to as “grant”) are provided as follows.

(Purpose of the Grant)

Article 2. The purposes of providing this grant are 1) to assist in covering the expenses, in part, of original research that makes use of honeybee or natural products, 2) promote and support honeybee research activities, 3) scientifically prove the traditionally claimed utility of honeybee products, and 4) contribute to the development of research in preventive medicine and environmental protection through the use of honeybee and natural products.

(Grant Application Eligibility)

Article 3. Within this guideline, an “applicant” refers to the person who applied for the “Yamada Research Grant,” has received an informal notice for the research grant (hereinafter “Informal Notice”), submitted the grant application and written pledge pertaining to “Yamada Research Grant” (hereinafter “Grant Application and Written Pledge”), as well as the research plan pertaining to the “Yamada Research Grant” (Form 1, Appendix. Hereinafter “Research Plan”).

3-2. The recipient of the grant is required to conduct the appropriate research and undertakes the following responsibilities:

- (1) Execution of the research
- (2) Appropriate use of the grant fund
- (3) Modification or cancellation of the research plan as necessary
- (4) Submission of all required reports
- (5) Submission of the record of accounts and copies of certifying documents

(Eligible Research)

Article 4. Within this guideline, “research grant” refers to the research content written in by the applicant in the Grant Application Form and Written Pledge (Form 1) and Research Plan (Form 1 Appendix).

(Research Period)

Article 5. The research period refers to the period specified in the informal notice.

Extension to the research period require the approval of Yamada Bee Farm Corporation (hereinafter “Yamada Bee Farm”) as stated on Article 13 (Reporting Delays the Research Grant).

5.2. Receipt of the grant from the 2nd year of the research grant period requires the approval of Yamada Bee Farm by interim evaluation, as stated on Article 15, Clause 2 (Reporting Research Results).

(Grant-eligible Expenses)

Article 6. The grant is awarded to cover expenses for original research using honeybee and natural products. The expenses to be subsidized are those specified under the expenses classification at the appendix form (to be filled out), subject for approval by Yamada Bee Farm.

(Grant Application)

Article 7. In order to apply for and receive the grant, the applicant must submit to Yamada Bee Farm a soft or hard copy of each of the following by the date specified: Grant Application Form and Written Pledge (Form 1), Research Plan (Form 1, Appendix), subsidy application form related to the “Yamada Research Grant” (Form 2, hereinafter “Subsidy Application Form”), notification of bank account details relating to the subsidy for “Yamada Bee Farm Honeybee Research Grant” (Form 3, hereinafter “Bank Account Form”, or form specified by affiliated institution). It will be submitted to the applicant’s affiliated institution after Yamada Bee Farm has affixed its seal on the subsidy application form (Form 2). In addition, the applicant may use the designated forms from his/her affiliated institution if he/she is unable to conduct the necessary procedures using the forms specified here.

7.2. Receiving the grant from the 2nd year of the research grant period requires submission of the following soft or hard copies by the date specified: to the approval of Yamada Bee Farm by interim evaluation, as stated on Article 15, Clause 2 (Reporting Research Results), notification of bank account details relating to the subsidy for “Yamada Bee Research Grant” (Form 3), Grant Application Form and Written Pledge (Form 1), Research Plan (Form 1, Appendix), and Subsidy Application Form (Form 2, or form designated by affiliated institution).

(Withdrawal/Change of the Grant Application)

Article 8. In the case that the applicant disagrees with the content of the informal notice or its conditions, desires to withdraw his/her grant application, or requires a change in

the specified conditions, the applicant must submit a request in writing (free format) to Yamada Bee Farm within 14 days after receipt of the informal notice.

(Determining Grant Approval)

Article 9. Applications submitted according to Article 7 (Grant Application) including grant application form and written pledge (Form 1), and research plan (Form 1, Appendix) will be evaluated by Yamada Bee Farm to determine approval of the grant. The applicant will be notified of the result through the Grant Notification Form.

(Granting of Subsidy)

Article 10. Yamada Bee Farm will begin processing the subsidy immediately after all required documents have been submitted: the Grant Application and Written Pledge (Form 1, Appendix), Subsidy Application Form (Form 2 or form designated by affiliated institution). As a general rule, the subsidy amount determined under Article 9 (Determining Grant Approval) will be deposited to the applicant's account as specified in the Bank Account Form (Form 3, or form specified by affiliated institution) by the next month after the date that all procedures are completed.

10.2. Applicants requiring a clinical study must submit a copy of a confirmation certificate from the ethical committee for the research grant being applied for.

10.3. Subsidy for travel and transportation expenses and paper submission fees (hereinafter "Scientific Presentation Expenses") will be processed after the presentation ends, as stated on Article 10 (Granting of Subsidy).

10.4. The Grant Application Certificate will be awarded during the Grant Awarding Ceremony organized by Yamada Bee Farm. If the grant research period is 2 years or more, the certificate will only be issued on the first year.

10.5. The awardees eligible to receive the Grant Application Certificate are required to attend the Grant Awarding Ceremony mentioned above. If they are unavailable, they must send a representative in their place.

10.6. As a general rule, the grant awarded must be only be used for the purposes listed in the Research Plan (Form 1, Appendix).

※In principle, indirect cost percentages are up to 10% of total amount of grant funds.

10.7. When receiving the grant, the applicant must submit the following in either soft or hard copy to Yamada Bee Farm: Certificate of completion of scientific presentation (Scientific conference abstract or paper presentation), scientific presentation report related to the "Yamada Research Grant" (Form 10, hereinafter "Scientific Presentation Report"), and statement of account pertaining to the "Yamada Research Grant." After

receiving the documents from the applicant, Yamada Bee Farm will issue the agreed grant amount (Attachment 6, "Scientific Presentation Expenses") by the next month after the date that all subsidy procedures are completed.

(Provision of Research Materials)

Article 11. In order to be provided with research materials, the applicant must write down the sample name, required volume including basis (estimate) on the Grant Application Form and Written Pledge (Form 1) and Research Plan (Form 1, Appendix). Yamada Bee Farm will provide research materials to those it deems necessary and appropriate.

11.2. For a research period exceeding 1 year, the required sample name and volume including basis (estimate) per fiscal year must be included in the Grant Application Form and Written Pledge (Form 1) and Research Plan (Form 1, Appendix), and submitted in writing.

11.3. The applicant must not use the research materials provided by Yamada Bee Farm for purposes other than the grant-funded research.

(Changes to the Research Grant Content and Contact Details of the Applicant, or Cancellation of Research)

Article 12. In the event that the applicant wishes to change the research grant content or cancel the research, he/she must submit the following, in either soft or hard copy, to Yamada Bee Farm for advance approval.

12.2. Yamada Bee Farm reserves the right to modify or set conditions as necessary when approving changes to the research grant.

12.3. Each time the applicant's affiliated organization, its address or contact details change, the applicant is required to inform the representative of the "Yamada Research Grant" as soon as possible by submitting a Notification of Change (of affiliated institution, address, contact detail, position) (Form 4, Appendix, hereinafter "Notification of Change of Representative") in either soft or hard copy.

12.4. If the applicant gains approval to cancel the research grant based on the above regulations, he/she is required to submit a copy of each of the following either within 15 days after receiving approval, or October 14 which is the end of the research period, whichever date comes first: final research report related to the "Yamada Research Grant" (Form 6, hereinafter "Final Report"), Final research paper related to the "Yamada Research Grant" (Form 6, Appendix hereinafter "Final Research Paper"), as well as the Accounting Statement (Form 7). In addition, Yamada Bee Farm may require

the submission of a summary report related to the “Yamada Bee Farm Research Grant” (Form 6, Appendix 2, hereinafter “Summary Report”) in both Japanese and English and in either soft or hard copies.

(Report of Research Grant Extension)

Article 13. If the applicant expects the research to not be completed within the planned period, or encounters difficulty in the execution of the research grant, he/she must immediately submit to Yamada Bee Farm, in either soft or hard copy, the research grant extension application form (Form 5, hereinafter “Application for Extension”) pertaining to the “Yamada Research Grant” and wait for further instruction.

(Progress Report)

Article 14. Yamada Bee Farm may require the applicant to submit an interim report pertaining to the “Yamada Research Grant” as well as the Accounting Statement (Form 7) in either soft or hard copy.

(Reporting Research Results)

Article 15. The applicant must create a status report as of September 30 which is the end of the research grant period for the year, which includes: 1 copy of Final Report (Form 6), 1 copy of Final Research Paper (Form 6, Appendix 1), and 2 copies of the Summary Report (Form 6, Appendix 2) in both Japanese and English, and submit them together with the Accounting Statement (Form 7) in either hard or soft copy to Yamada Bee Farm by October 20.

15.2. If the research period exceeds 1 year, the applicant must submit for midterm evaluation, in either soft or hard copy, the research status report as of May of the next year after receiving the grant (at the start of next year’s Call for Grant Proposal) and planned update by September, and create a midterm report (Form 8) describing the necessity of continuing the research and research plan for the next year (October 1-September 30), and submit it together with the Accounting Statement (Form 7) before the deadline of submission of that year’s Call for Grant Proposals. Yamada Bee Farm will send notice of the midterm evaluation result through the next year’s Grant Application Informal Notice.

15.3. The applicant is required to attend the Result Briefing to be held after the end of the research period. If the applicant is unable to attend, a representative must attend in his/her place. If an extension application (Form 5) or midterm report (Form 8) has been submitted, the applicant may be required to present during the next year’s Result

Briefing. In addition, for a research grant period that exceeds 1 year, the general rule is to present at the Result Briefing after the end of the research period, but depending on the contents of the Midterm Report (Form 8), the applicant may be required to present multiple times for both the midterm and final report. The applicant must submit the Summary Report (Form 6, Appendix 2) in both Japanese and English and submit it either as a soft or hard copy to Yamada Bee Farm by October 20 of that year. In addition, applicants may attend the Result Briefing of other years, but will need to shoulder their own expenses.

(Reporting and Promotion of Results)

Article 16. Yamada Bee Farm will avail of the applicant's permission when reporting and promoting the results from the research grant. The applicant must cooperate with Yamada Bee Farm in this. In addition, if the applicant or his/her affiliated institution wishes, an agreement may be drafted regarding the official announcement of results pertaining to the grant-funded research (Form 9, hereinafter "Agreement on the Official Announcement of Research Results).

16.2. The applicant must inform Yamada Bee Farm in advance of the content, time period, and method of presentation when reporting the research grant results in conferences, research papers, other publications, or other mass media. In addition, Yamada Bee Farm must be given notice 30 days before submission of the abstract for conferences, and before submission of the research paper. Inform Yamada Bee Farm immediately if the advance notice exceeds the stipulated time. In addition, it must be acknowledged in reports or presentations that the research received funding through the Yamada Research Grant, and indicate acknowledgement in research papers or other publications as follows:

"This research was supported (in part) by Yamada Research Grant."

(Research Grant Accounting)

Article 17. The applicant must clarify all expenses related to the research grant accounting (Appendix), and submit the Accounting Statement (Form 7) within one month after the end of the research grant period or upon the request of Yamada Bee Farm.

17.2. The documents pertaining to the research grant, except for the documents stipulated above, must be kept by the applicant for 2 years after the end of the research.

(Refunding the Research Grant)

Article 18. Yamada Bee Farm can demand a full or partial refund of the research grant funds in the following cases:

- (1) Establishment of fraud or dishonesty in the research
- (2) Usage of grant funds for purposes other than those stated in the research plan.
- (3) Changes in the research plan, as stipulated in Article 12.1 (Changes to the Research Grant Content and Contact Details of the Applicant, or Cancellation of Research) where in the actual grant funds used are much lower than the awarded research grant.
- (4) When the applicant has not used the subsidy as stated in the research plan (Form 1, Appendix).
- (5) Non-compliance of other regulations as stated in this guideline.

(Non-Disclosure Agreement)

Article 19. The applicant and Yamada Bee Farm must not report, appropriate or reveal to third parties each other's knowhow, confidential business information, or technology obtained through the process of conducting the grant-funded research during and after completion of the research grant period.

(Handling of Private Information)

Article 20. All private information acquired by Yamada Bee Farm related to the research grant will only be used for purposes relating to the research grant application process, screening, result notification, and granting of research funds. However, Yamada Bee Farm can publicly announce the applicant's name, affiliated institution, and research theme after the research grant application has been accepted.

20.2. Yamada Bee Farm can disclose, edit, or stop using private information upon request of the applicant, and will comply with the applicant's wishes as soon as possible, after verifying the identity of the applicant.

Supplementary Provision

This outline is effective from May 27, 2015, and will apply to the research grants for the fiscal year 2015.

APPENDIX

Expense Category	Details
1. Research Materials	<ul style="list-style-type: none"> • Expenses needed for purchasing equipment and experimental animals. • Disposables related to the grant-funded research such as reagents and columns. • Rental or purchase of tools and devices for creating machinery and equipment. • Prototype creation, improvement, installation repair of tools or equipment contracted to a third-party supplier
2. Machinery and Equipment	<ul style="list-style-type: none"> • Purchase of machines or parts needed by the applicant to create a machine or analytical instruments. Note: Analytical instruments refer to equipment used for measurement, analysis, and evaluation. • Expenses incurred in creating prototypes, improvements, installation, and repair of machinery by a third-party contractor. • Rental of machinery or analytical instruments Note: For equipment that costs over 100,000 JPY, include a copy of the delivery statement and a photo as proof that the machine has undergone procedures to be managed by the applicant's affiliated institution (such as control number sticker) when submitting the Accounting Statement with the final report.
3. Contracted Analysis Fee	<ul style="list-style-type: none"> • Expense incurred in contracting inspection or analysis work to a third party.
4. Labor Cost	<ul style="list-style-type: none"> • Expenses and technical fees paid by the applicant to persons supporting the grant-funded research. Note: Limit of 5,000 JPY per hour/1,500 indirect man-hours per person.
5. Indirect Expenses	<ul style="list-style-type: none"> • Facilities maintenance, office maintenance, expenses paid to the affiliated institution (specify the percentage of indirect expenses used in the research grant).
6. Scientific Presentation Fee	<ul style="list-style-type: none"> • Scientific Presentation Fees, Travel and Transportation Fees: travel and transportation expenses incurred when the applicant and research collaborators participate in a scientific presentation related to the grant-funded research. A set amount will be awarded after submission of proof after the conference (copy of

	<p>receipt, route, presentation outline, etc). The set amount is 5,000 JPY/person for local presentations (limit of 100,000 JPY /person for distant locations), and 200,000 JPY/person for international conferences.</p> <p>Note: Distant location is defined as 1,000 km beyond the affiliate institution.</p> <ul style="list-style-type: none"> • Paper Submission Fee: Expenses for submitting and publishing a paper. A set amount will be awarded after submission of documentary proof after the acceptance of the paper. The set amount is 150,000 JPY/paper for English papers, and 50,000 JPY/paper for papers in Japanese.
7. Miscellaneous Expenses	<ul style="list-style-type: none"> • Information and Communication Equipment Expenses: rental or purchase of information and communication equipment, as well as expenses incurred in their installation and maintenance. Note: “Information and Communication Equipment” refers to necessary equipment such as servers, hubs, routers necessary to create a network. (Same applies below) • Software purchase fee: expenses for purchase of specialized software and licenses. • Compensation: fees paid to a knowledgeable specialist for inspection or analysis. Fees paid to a consumer monitor. • Communication expense: Delivery and postage for documents or samples related to the grant-funded research. • Meeting fee: expenses incurred for meetings between the applicant and research collaborators. Note: Maximum of 3,000 JPY/person and limited to the number of persons specified in the grant application. • Processing fee: processing fees incurred for payments stated in this document.