

# Application Procedures for Grants-in-Aid for Scientific Research

FY2011

Specially Promoted Research,  
Scientific Research,  
Challenging Exploratory Research  
and  
Grant-in-Aid for Young Scientists (A/B)

September 1, 2010

Japan Society for the Promotion of Science  
(<http://www.jsps.go.jp/>)

# Introduction

The current round of call for proposals lists the necessary procedures and other matters for the Details of the Call for Proposals or Application of the Grants-in-Aid for Scientific Research for FY2011 “Specially Promoted Research, Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists (A/B)”

It consists of:

- I Outline of the Grants-in-Aid for Scientific Research**
- II Details of the Call for Proposals**
- III Instructions & Procedures for those Intending to Apply**
- IV Instructions & Procedures for those Who Have Already Been Accepted**
- V Instructions & Procedures for Staff of the Research Institution**

Among these, are listed in the “II Details of the Call for Proposals”: Eligible Candidates for the Research Categories for which a Call for Proposals is Organized; Total budget provided and Research period and other matters; and Schedule from Application to Receipt of Funding and other issues.

In addition, in “III Instructions & Procedures for those Intending to Apply”, “IV Instructions & Procedures for those Who Have Already Been Accepted” and “V Instructions & Procedures for Staff of the Research Institution” are listed: “Conditions for Applying”, “Necessary Procedures”, and other matters, for those who are eligible to apply. Individuals to whom it may concern are requested to make sure that they verify the relevant parts of the text.

Moreover, the major changes for FY2011 are as follows.

## <The major changes for FY2011>

### ① **The eligibility to apply has changed. (See page 20,42,91)**

“Students” who are in a position of receiving an education and being guided in their research cannot apply for Grants-in-Aid for Scientific Research. Therefore, from the call for proposals of FY2011 on, students cannot apply, even if they hold a position in which they conduct research activities in the research institution to which they belong or in another research institution.

However, persons who have a position consisting of conducting research activities in the research institution to which they belong, as their main work (e.g., university teaching staff, researchers from companies, etc.), and who also have student status are not included in the term “student” for the purposes of this process.

Moreover, they can implement research projects also from FY2011 on, but only if they are already implementing the research in question as the Principal Investigator. Furthermore, if they are already participating as Co-Investigator (*kenkyū-buntansha*) or Co-Investigator (*renkei-kenkyūsha*), they need to withdraw as project members when they apply for receipt of funding for the research project in question.

### ② **The handling of research grant employees (persons who are employed through Grants-in-Aid for Scientific Research) has been clarified. (See page 21,42,87,91)**

Research grant employees, as a rule, need to concentrate on work related to a Grant-in-Aid for Scientific Research at their place of employment (hereinafter called “employment related work”) according to their employment contracts. Therefore, considering the working hours they need to allot to the employment related work, they cannot apply for Grants-in-Aid for Scientific Research themselves. In the call for proposals of FY2011, the handling of this point has been made clear.

However, if they provide a clear explanation on the time they can spend besides their employment related work, and if during this time they themselves attempt to conduct research using a Grant-in-Aid for Scientific Research, on their own initiative, it is possible for them to apply for Grants-in-Aid for Scientific Research, on condition that the following points have been verified in the research institution. In this case, they can apply as Principal Investigator, and they can also become Co-Investigators (*kenkyū-buntansha*), Co-Investigators (*renkei-kenkyūsha*), or other project members.

Moreover, also in case of continued research projects, they themselves can likewise

implement research using a Grant-in-Aid for Scientific Research, on condition that the following points have been verified in the research institution.

- It has been determined in the employment contract that research grant employees themselves can conduct research on their own initiative, besides the employment related work.
- The employment related work and the work devoted to research that they conduct themselves on their own initiative has clearly been divided in the working hours and the effort.
- Time that can be allotted to research which they attempt to conduct themselves on their own initiative has been secured, besides the time spent for employment related work.

③ **The handling of a case in which the report on the research achievements has not been submitted is clarified. (See page 6,22,88,95)**

No Grants-in-Aid for Scientific Research will be funded to researchers who do not submit the report on the research achievements at the end of the research, without any reason. Moreover, it may happen that the decision to grant the funding to the researcher in question is cancelled, or that an order to return the grant is issued. It may also happen that information, such as the name of the research institution to which the researcher in question belongs and other data, is made public.

Furthermore, if researchers have failed, without good reason, to submit the scheduled report on the research achievements, then implementation of other Grants-in-Aid for Scientific Research due to be implemented in the same fiscal year will be suspended. Therefore, it is the responsibility of the representative of the research institution to ensure that the report on the research achievements is submitted without fail.

④ **The handling of the replacement of the Principal Investigator has changed (See page 44,88)**

The Principal Investigator is the researcher who assumes full responsibility for the implementation of the research plan, and thus plays a central role. Persons who, at the time they apply, are expected to lose their eligibility to apply during the research period, due to retirement or other reasons, and thus become unable to carry out their responsibility, are requested to avoid becoming a Principal Investigator.

For this reason, from FY2011 on, replacements of Principal Investigators of research

projects that already have been adopted will no longer be accepted.

- ⑤ The promotion of the “Dialogue on Science and Technology with Citizens” is mentioned. (See page 10)

Because recently “On the Promotion of the ‘Dialogue on Science and Technology with Citizens’ (A Basic Course of Action)” (June 19, 2010, the Minister of State for Science and Technology Policy and the Experts of the Council for Science and Technology Policy) has been compiled and made public, its content is mentioned.

- ⑥ **The “List of Categories, Areas, Disciplines and Research Fields” has been partially changed (See page 49-84)**

After deliberations in the Research Grant Screening Section of the Section Meeting for Science of the Academic Deliberation Council for Science and Technology, the list has changed as indicated below.

1) Area “Comprehensive fields”

- The discipline “museology” and the research field “museology” have been added.

2) Area “New multidisciplinary fields”

- To the discipline “Biomolecular Science” the research field “Chemical Biology” has been added.

3) Area “Medicine, Dentistry, and Pharmacy”

- To the discipline “Boundary Medicine” the research field “Pain science” has been added.

- ⑦ **New calls for proposals for “Grant-in-Aid for Young Scientists (S)” have been suspended.**

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## References

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Supplementary Volume

### **Application Procedures for Grants-in-Aid for Scientific Research for FY2011 (Specially Promoted Research, Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists (A/B)) (Application Forms and Data Entry)**

#### **1. Proposal for grant-in-aid**

##### **(1) Specially Promoted Research**

Procedures for preparing and data entry of proposal for grant-in-aid (new/continued)

##### **First Half, application information (Items to be filled in on the form on the website)**

Application information (Items to be filled in on the form on the website) (screenshot)

##### **Second Half, Files with Project Description**

Form S-1-1 (1): Proposal for grant-in-aid “Specially Promoted Research” (new / English version)

Form S-1-1 (2): Proposal for grant-in-aid “Specially Promoted Research” (new / Japanese version)

Form S-1-2: Proposal for grant-in-aid “Specially Promoted Research” (continued)

##### **(2) Research categories other than Specially Promoted Research**

##### **First Half, application information (Items to be filled in on the form on the website)**

Application information (Items to be filled in on the form on the website) (Scientific Research, Challenging Exploratory Research and Grant-in-Aid for Young Scientists (A/B))

Preparation and data entry of application information

Application information (Items to be filled in on the form on the website) (screenshot)

##### **Second Half, Files with Project Description (procedures for preparation and data entry of proposal for grant-in-aid, and form for proposal for grant-in-aid)**

Form S-1-6: Proposal for grant-in-aid “Scientific Research (S)” (new)

Form S-1-7: Proposal for grant-in-aid “Scientific Research (A/B) (General)” (new)

Form S-1-8: Proposal for grant-in-aid “Scientific Research (C) (General)” (new)

Form S-1-9: Proposal for grant-in-aid “Scientific Research (A/B) (Overseas Academic Research)” (new)

Form S-1-10: Proposal for grant-in-aid “Challenging Exploratory Research” (new)

Form S-1-12: Proposal for grant-in-aid “Grant-in-Aid for Young Scientists (A/B)” (new)

Form S-1-13: Proposal for grant-in-aid (continued)

## **2. Written consent of the Co-Investigator (*kenkyū-buntansha*)**

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Form C-12: Written consent of the Co-Investigator (*kenkyū-buntansha*) (for same institution)

## **3. Notice of Completion of Grant-Aided Project**

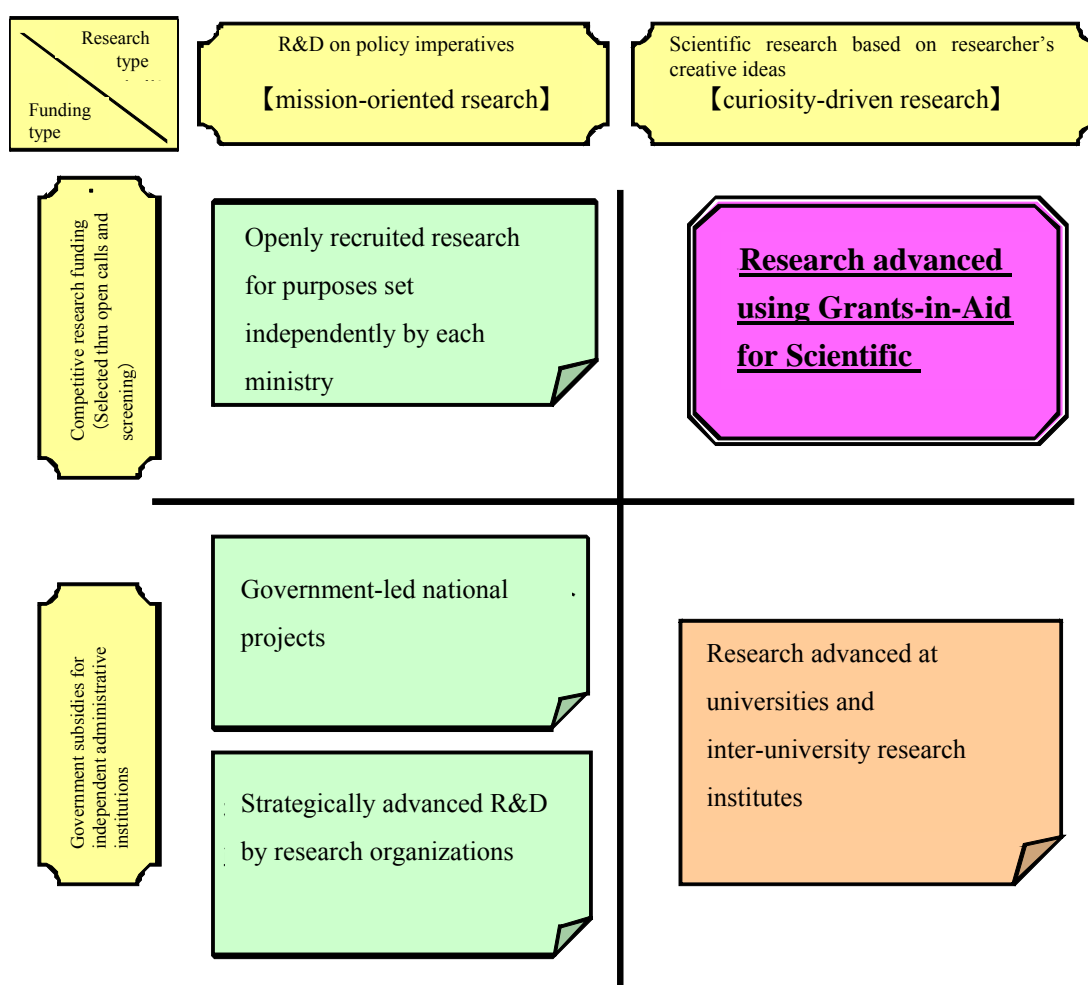
Form U-1: Notice of Completion of Project Funded with Grant-in-Aid for Scientific Research  
FY2010

# I. Outline of the Grants-in-Aid for Scientific Research

## 1. Purpose and Character of Grants-in-Aid for Scientific Research

Grants-in-Aid for Scientific Research are competitive funds that are intended to significantly develop all scientific research (research based on the free ideas of the researcher), from basic to applied research in all fields, ranging from the humanities and the social sciences to the natural sciences. The grants provide financial support for creative and pioneering research projects that will become the foundation of social development. The research projects are selected using a peer-review screening process (screening by multiple researchers whose field of specialization is close to that of the applicant).

### The position of “Grants-in-Aid for Scientific Research” in the policy on the promotion of science, technology and scientific research in Japan



❖ Grants-in-Aid for Scientific Research (200 billion yen) account for about 43% of the entire budget for competitive funding (approximately 463.1 billion yen).

## 2. Research Categories

For the following research categories, research institutions manage and carry out the different procedures on behalf of researchers.

Research categories, etc.	Purposes and description of the research category
Grants-in-Aid for Scientific Research	
Grant-in-Aid for Specially Promoted Research	Highly regarded research in the international arena that is likely to yield highly acclaimed research achievements (There is no limit to the period or budget although, as a guide, a period of three to five years and a budget of around 500 million yen per project may be awarded.)
Scientific Research on Priority Areas	Research fields that will lead to the upgrading and enhancement of scientific research in Japan; research fields that require effort on a global scale; and/or research fields that have particularly strong social demand will be specified. The objective is to flexibly and effectively plan the promotion of research. (The period is three to six year. In principle, the budget is set at around 20 million to 600 million yen per fiscal year per field.)
Scientific Research on Innovative Areas	(Research in a proposed research area) New research areas that will lead to the upgrading and enhancement of scientific research in Japan. The new research areas are proposed by one researcher or by a group of researchers, and will develop through the effort to cultivate collective research, research personnel, etc. (The period is five years. In principle, the budget is set at around 10 million to 300 million yen per fiscal year per field.) (Research a proposed research project) Innovative and challenging research that is very likely to lead to a breakthrough in academic research by the development of the research project in question. The funding is not restricted to research projects that are expected to yield certain and tangible research achievements. (The period is three years. The budget is 10 million yen per fiscal year.)
Scientific Research	(S) Creative/pioneering research done by one researcher or a relatively small group of researchers (The period is five years. The budget ranges from 50 million yen to around 200 million yen per project.) (A)(B)(C) Creative/pioneering research done by one researcher or jointly by multiple researchers (The period is three to five years.)  (A) From 20 million to 50 million yen (Classified in A, B or C, depending on the total budget provided) (B) From 5 million yen to 20 million yen (C) 5 million yen or less
Challenging Exploratory Research	Early-stage research that is based on a unique concept, that is challenging, and that sets a high goal (The period is one to three years. The budget is up to 5 million yen per project.)
Grant-in-Aid for Young Scientists	(S) Research done by one researcher aged 42 or less (The period is five years. The budget ranges roughly from 30 million yen to 100 million yen per project.) (A)(B) Research done by one researcher aged 39 or less (The period is two to four years. Classified in A or B, depending on the total budget provided.) (A) from 5 million yen to 30 million yen (B) 5 million yen or less
Grant-in-Aid for Research Activity Start-up	Research done by one researcher who has just been employed by the research institution, by one researcher who returns from childcare leave or other kinds of leave, or other researchers. (The period is up to two years. The budget is up to 1.5 million per fiscal year.)

Encouragement of Scientists	Research done by one person who is an employee of an educational/research institution, a company employee, or others
Grant-in-Aid for Special Purposes	Funding of urgent and important research projects.
Grant-in-Aid for Publication of Scientific Research Results	
Scientific Literature	Funding of Scientific Literature issued by an individual or a group of researchers to disclose scientific research achievements
Databases	Funding of databases created by an individual or a group of researchers for public availability
Grant-in-Aid for JSPS Fellows	Funding of research done by JSPS Fellows, including Foreign JSPS Fellows (for a period of up to three years)
Grant-in-Aid for Creative Scientific Research	Among research supported by Grants-in-Aid for Scientific Research and others, focus is placed on the most outstanding research field. Research projects that are especially important in promoting the research field in question are selected to promote highly creative scientific research (recommendation required; for a period of five years)

In addition to this, there are the application divisions “Publication of Scientific Research Results (B/C)” and “Scientific Periodicals” in “Grants-in-aid for the publication of Scientific Research Results”.

### **3. The Relationship between MEXT and JSPS**

The Ministry of Education (currently, the Ministry of Education, Culture, Sports, Science and Technology) publicly recruited, screened applications and delivered grants in all of the research categories up to FY1998. In FY1999 these tasks began to be transferred to the Japan Society for the Promotion of Science (JSPS). The call for proposals, screening and funding are currently being conducted as indicated below. From here on, the transfer of these tasks will proceed gradually.

<b>Research category</b>	<b>Call for proposals and screening</b> (Main body in the preparation of the procedures for lodging applications and the location where the applications should be submitted)	<b>Funding</b> (Main body handling the criteria for selection, notice of the decision, and the location where the application forms for grants and the various other necessary documents should be submitted)
Grants-in-Aid for Scientific Research, Type 1		
Scientific Research on Priority Areas, Scientific Research on Innovative Areas, Grant-in-Aid for Special Purposes, Grant-in-Aid for Publication of Scientific Research Results (Publication of Scientific Research Results (B/C))	MEXT	MEXT
Grants-in-Aid for Scientific Research, Type 2		
Specially Promoted Research		MEXT

Grant-in-Aid for Young Scientists (A/B)	JSPS	
Grants-in-Aid for Scientific Research, Type 3		
Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists (S), Grant-in-Aid for Research Activity Start-up, Encouragement of Scientists, Grant-in-Aid for Publication of Scientific Research Results (Scientific Periodicals, Scientific Literature and Databases), Grant-in-Aid for JSPS Fellows, Grant-in-Aid for Creative Scientific Research	JSPS	JSPS

❖ As of September 2010

#### **4. Rules Relating to Grants-in-Aid for Scientific Research**

Grants-in-Aid for Scientific Research are governed by the Law on Optimizing Implementation of Budgets Relating to Subsidies (Law No. 179, 1955), Procedures on the Handling of Grants-in-Aid for Scientific Research (Announcement of the MEXT), Grants-in-Aid for Scientific Research (Scientific Research, etc.) Management Procedures of the Japan Society for the Promotion of Science (Regulations No. 17, 2003), and Others.

##### (1) Three types of rules for Grants-in-Aid for Scientific Research

There are three types of rules for Grants-in-Aid for Scientific Research, as follows:

- 1) Application rules: rules concerning the applications
- 2) Assessment rules: rules concerning the preliminary assessment (screening), the interim assessment, the ex-post assessment, and the research project progress assessment
- 3) Spending rules: rules concerning the use of the Grants-in-Aid for Scientific Research

Moreover, these three sets of rules on Grants-in-Aid for Scientific Research apply as follows, according to the type of scientific research (being Grants-in-Aid for Scientific Research Type 1, Grants-in-Aid for Scientific Research Type 2, and Grants-in-Aid for Scientific Research Type 3):

	<b>Application rules</b>	<b>Assessment rules</b>	<b>Spending rules</b>
Grants-in-Aid for Scientific Research, Type 1	MEXT Procedures on the call for proposals	MEXT Rules concerning the assessment for Grants-in-Aid for Scientific Research Screening Outline for Grants-in-Aid for Scientific	MEXT For researchers: Supplementary conditions For research institutions: Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research, to be performed by

		Research, category “Scientific Research on Innovative Areas”	each research institution
Grants-in-Aid for Scientific Research, Type 2	JSPS  Procedures on the call for proposals	JSPS  Rules concerning the screening and assessment for Grants-in-Aid for Scientific Research (Scientific Research, etc.)	MEXT
Grants-in-Aid for Scientific Research, Type 3			JSPS  For researchers: Supplementary conditions  For research institutions: Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research, to be performed by each research institution

(2) Appropriate use of grants-in-aid

Grants-in-Aid for Scientific Research are funded by the tax of citizens and other sources. Researchers receiving Grants-in-Aid for Scientific Research have a duty to comply with the related laws, regulations and spending rules by researchers (subsidiary conditions), and also to use such grants appropriately. To ensure recipients comply with this requirement, we check whether no inappropriate use of the grants-in-aid will be made, when an application is made. (See note below.)

To facilitate the appropriate use of Grants-in-Aid for Scientific Research, research institutions to which the researchers belong are responsible for the management of the grant-in-aid. The Administrative work that each research institution is required to carry out (rules for use for institutions) is determined.

Among other things, the research institution has the duty to secure the appropriate use of the grants-in-aid, for example, by setting up a system for the management and audit of the budget, and, for the expenditure of expenses for goods, by properly implementing inspections of delivered goods.

Researchers and persons in charge in the research institution should fully understand prior to the application that these rules will apply after the application is approved.

(3) Important points on the use of grants-in-aid

Upon application a package plan throughout the research period should be prepared and submitted. However, after the research project is adopted, it will be handled as a project which is

funded for each fiscal year during the research period in question. For example, a grant-in-aid for scientific research cannot be used to pay costs in a fiscal year which falls outside the fiscal year(s) in which the funded project should be carried out.

Moreover, when it can be expected that the funded project will remain unfinished within the fiscal year, due to reasons beyond the control of the applicant(s), which could not be foreseen at the time it was decided to grant the funding, the costs in question can be carried over to the next fiscal year, provided that a request for approval for the carry-over is submitted to the Finance Minister through the Minister of Education, Culture, Sports, Science and Technology (MEXT), and the approval from the Finance Minister is obtained.

(4) The handling of a case in which the report on the research achievements has not been submitted

- ① The report on the research achievements plays the important role of making the achievements of the research funded with a Grant-in-Aid for Scientific Research widely known to the citizens. It is an important tool in order to widely return the achievements of the research funded with a Grant-in-Aid for Scientific Research, which in turn has the tax of citizens and other sources as its resources, to society.

Therefore, researchers should submit the report on the research achievements at the end of the research. The content of the research will be widely disclosed to the public via the Grant-in-Aid for Scientific Research Database (KAKEN) of the National Institute of Informatics and other tools. Moreover, the research institution to which the researchers belong has to collect and submit the reports on the research achievements.

- ② No Grants-in-Aid for Scientific Research will be funded to researchers who do not submit the report on the research achievements at the end of the research, without any reason. Moreover, it may happen that the decision to grant the funding to the researcher in question is cancelled, or that an order to return the grant is issued. It may also happen that information, such as the name of the research institution to which the researcher in question belongs and other data, is made public.

Furthermore, if researchers have failed, without good reason, to submit the scheduled report on the research achievements, then implementation of other Grants-in-Aid for Scientific Research due to be implemented in the same fiscal year will be suspended. Therefore, it is the responsibility of the representative of the research institution to ensure that the report on the research achievements is submitted without fail.

(5) Treatment in case of infringement of related laws

When a research project has been implemented, by violating related laws, guidelines, etc., for example when the content which is entered in the application documents is false, it is possible that the provision of the grant-in-aid is not carried out or cancelled.



(Note) Examples of recent fraudulent use, fraudulent receiving of grants or fraudulent acts committed during the research.

○ Fraudulent use

- Someone instructed a trader to complete a fictitious transaction, pretended to have purchased consumables, had the grant expended by the university, and then had it managed as money deposited to the trader.
- Someone instructed a trader to complete a fictitious transaction, had a false invoice issued on which the name of a good that is different from the good that had actually been purchased and delivered was stated, and then had the grant expended by the university.
- Someone charged fictitious insubstantial personnel costs, and then managed the money himself, as a pooled fund.
- Someone stayed in a destination different from the scheduled travel plan, in order to have a meeting on collective research unrelated to the purpose of the research project, and then put the costs under travel expenses associated with overseas travel.

(Note) The expenditure of grants-in-aid for fictitious and other transactions, like the ones mentioned in the examples, are all considered fraudulent use, even if the expenditure of the grant-in-aid was intended for the research project related to the Grant-in-Aid for Scientific Research in question.

○ Fraudulent receiving of grants

- A researcher who is not eligible to apply filed an application for a Grant-in-Aid for Scientific Research, applied for receipt of funding, and then fraudulently received the grant-in-aid.

○ Fraudulent acts committed during the research

- Someone manipulated or forged a chart in a research paper published as the achievements of research funded with a Grant-in-Aid for Scientific Research, using data from a previous experiment.
- Someone translated an original English-language research paper without obtaining consent, without permission from the author(s), incorporated this translation into a book or report on the research achievements published as the achievements of research funded with a Grant-in-Aid for Scientific Research, and made it public as the research achievements of the research project in question, without clearly mentioning that it was being quoted.

## **5. Guidelines on the Proper Implementation of Competitive Funding**

The “Guidelines on the Proper Implementation of Competitive Funding” (agreement of the liaison meeting of related offices and ministries on competitive funding, dated September 9, 2005) agree on the rules in the field of competitive funding on the elimination of unreasonable reduplication and excessive concentration, fraudulent receiving, of grants, fraudulent use and research-related fraudulent acts in research papers, and other matters in the related offices and ministries.

During the implementation of the competitive funding, including Grants-in-Aid for Scientific Research, these matters will be dealt with appropriately, based on these Guidelines. Therefore, the applicant should consider carefully the following points.

### **(1) Eliminate Unreasonable Reduplication and Excessive Concentration**

- 1) In order to avoid “Unreasonable Reduplication or Excessive Concentration” (\*) of competitive funds, we may, to the extent necessary, share information on a part of the project description of the application between other divisions in charge of competitive funds, including other offices and ministries, independent administrative legal entities, etc, making use of the Cross-ministerial Research and Development management system (e-Rad).

Therefore, in the case of an application for more than one competitive funding (including in the case of an application for more than one Research Categories for Grants-in-Aid for Scientific Research), and other matters, the applicant should be careful when preparing the Proposal for Grant-in-Aid so that, for example, he or she fills in the Title of the Proposed Project in a way that makes it clear that it does not entail unreasonable reduplication.

If unreasonable reduplication or excessive concentration is found, the grant-in-aid may not be delivered.

For Grants-in-Aid for Scientific Research, JSPS has thus far sought to verify “whether applications fall under Unreasonable Reduplication or Excessive Concentration” during the screening process. However, the Ministry of Finance of Japan requested a change in the procedure in its “Budget Implementation Investigation FY2009”: “Thoroughgoing Effort to Limit the Receiving of Grants-in-Aid for Scientific Research for Similar Research Projects”. In the light of this, JSPS would like to draw attention to this point.

- 2) Concerning the completed information on the condition of applications and receiving of other Competitive Funding and other matters, including from other offices and ministries, when preparing the Proposal for Grant-in-Aid (name of Research Funds, Title of Proposed Project, Research period, Effort, etc.), if the stated information turns out to be different from the facts, the Research Project will not be adopted, the adoption will be cancelled, or the allotted research budget will be reduced.

Moreover, concerning the “Effort”, and other matters, necessary for the activity to build a center in the program called “World Premier International Research Center Initiative”, it is necessary to fill in the Proposal for Grant-in-Aid. Therefore, when completing this document, the applicant should verify the “FY2011 Procedures for Preparing and Entering a Proposal for Grant-in-Aid”.

(2) Dealing with Fraudulent Use, Fraudulently Received Grants or Fraudulent Acts Committed During the Research

- 1) No grant-in-aid will be offered, for a fixed period of time, when the researcher has made fraudulent use of a Grant-in-Aid for Scientific Research, has fraudulently received a Grant-in-Aid for Scientific Research, or has committed fraudulent acts. (For details see “(Reference 2) Procedures on the Handling of Grants-in-Aid for Scientific Research”.)

Also researchers who fraudulently use or receive competitive funds other than Grants-in-Aid for Scientific Research (including funds under the control of other ministries), or who commit fraudulent acts by means of these competitive funds, and therefore are excluded from receiving these funds in question, for a fixed period of time, will not receive grants-in-aid for scientific research for a fixed period of time.

Moreover, the researcher who falls in those categories may experience difficulties when applying for other competitive funds, since an outline of the inappropriate use of grants, the inappropriate receiving of grants and/or the inappropriate acts in question (containing an outline of the research achievements in the research institution, the names of the people involved, the institution they belong to, the research project, the budget, the fiscal year of the research, the inappropriate content, details of the measures taken, etc.) will be provided to other bodies in charge of competitive funds, starting with the other ministries, including independent administrative legal entities and other institutions allocating grants.

- 2) If it has been established that fraudulent acts have taken place in a research paper, a report, or other research output funded by Grants-in-Aid for Scientific Research, the applicant may be requested to completely or partially return the provided Grant-in-Aid for Scientific Research. Concerning the Grant-in-Aid for Scientific Research in question. The severity of the fraudulent acts, the influence they have on the whole research project, and other matters, will be taken into consideration in making such an evaluation.

In addition, a person who is determined to have a certain responsibility, because, for example, he or she neglected his/her duty of care as a person in charge of the paper, report, etc. in question, will be treated in the same way as stated in the above-mentioned ①, even if it has not been established that he or she was directly involved in the fraudulent acts.

**(\* Eliminate Unreasonable Reduplication and Excessive Concentration**

**“Guidelines on the Proper Implementation of Competitive Funding” -Extract-  
(Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Funding, Dated September 9, 2005 (Revision: March 27, 2009))**

**2. Eliminate Unreasonable Reduplication and Excessive Concentration**

**(1) Basic Policy of the Unreasonable Reduplication and Excessive Concentration**

① In these guidelines, “Unreasonable Reduplication” is a situation in which more than one competitive funding is needlessly and repeatedly allotted to one and the same research project (i.e. the title and the content of the research to which competitive funding is being allotted; the same applies below) carried out by one and the same researcher. Either of the following cases fall under “Unreasonable Reduplication”.

○Cases where applications have been made at the same time for more than one competitive funding for substantively the same research project (including research projects that overlap to a considerable degree; the same applies below), and where these research projects are redundantly adopted .

○Cases where an application has been made again for substantively the same research project as another project that has already been adopted, and for which the allotment of competitive funding has already been completed.

○Cases where there is a reduplication of the use research funds among more than one research project.

○Other cases corresponding to the cases mentioned above.

② In these guidelines, “Excessive Concentration” is a situation in which the entire research funds that are allotted to one and the same researcher or research group (hereinafter called “researcher, etc.”) in the fiscal year in question exceeds the limit within which they can be used effectively and efficiently, and in which the research funds cannot be used within the research period. Either of the following cases fall under “Excessive Concentration”.

○Cases where, in the light of the abilities of the researcher, etc. and the research methods, etc., excessive research funds are allotted.

○Cases where, in comparison with the effort (the time allocation rate (%) of time necessary for the implementation of the research activities with the entire working time of researcher) that is being allotted to the research project in question, excessive research funds are allotted.

○Cases where the purchase of unnecessarily expensive equipment is carried out.

○Other cases corresponding to the cases mentioned above.

**6. On the Promotion of the ‘Dialogue on Science and Technology with Citizens’ (A Basic Course of Action)**

For the Grants-in-Aid for Scientific Research, it has, until now, clearly been mentioned in the spending rules by researchers (subsidiary conditions), the Handbook for Grants-in-Aid for Scientific Research, and other materials, that the expenses for the creation of a homepage for the publication of the research achievements, the expenses for the creation of a pamphlet publicizing research achievements, the expenses associated with outreach activities, such as, for example, activities publicizing the research achievements among the general public, can be paid as direct costs. Moreover, researchers have to try to positively disseminate the achievements produced through Grants-in-Aid for Scientific Research to society and citizens. For example, it is requested that researchers mention information concerning outreach activities in the self-assessment report they are

requested to prepare for research projects of which the research period is 4 years or more.

Furthermore, JSPS has implemented the program “HIRAMEKI ☆ TOKIMEKI SCIENCE” in order to introduce the newest research achievements to elementary school, junior high-school and senior high-school pupils, in an easy-to-understand form, through experiences, experiments and lectures. Researchers are invited to positively make use of this program.

Moreover, recently “On the Promotion of the ‘Dialogue on Science and Technology with Citizens’ (A Basic Course of Action)” (June 19, 2010, the Minister of State for Science and Technology Policy and the Experts of the Council for Science and Technology Policy) has been compiled and made public.

In the Basic Course of Action, the activity in which researchers explain the content and achievements of their research activities to society and citizens in an easy-to-understand form is placed in the above-mentioned ‘Dialogue on Science and Technology with Citizens’. Researchers and other persons who have received an allotment of public research funds amounting more than 30,000,000 yen per year per case are requested to positively work on the ‘Dialogue on Science and Technology with Citizens’. Universities and other research institutions are also requested to make positive efforts in order to enable the proper implementation of the Dialogue on Science and Technology between Citizens, on the one hand, and researchers and other persons who have received public research funds, on the other hand, for example, by setting up support systems.

For the Grants-in-Aid for Scientific Research, there is the question “Are you positively trying to publicize and disseminate the research content and research achievements?”, especially in the research progress assessment of, for example, Specially Promoted Research, for which researchers receive a relatively high amount of research funds, and the interim assessment of, for example, Scientific Research on Innovative Areas (Research in a proposed research area). Therefore, based on the above-mentioned Basic Course of Action, researchers should disseminate the achievements of research funded with Grants-in-Aid for Scientific Research to society and citizens in an even more positive way.

## **II. Details of the Call for Proposals**

### **1. Research Categories for which a Call for Proposals is Organized**

The following shows the research categories for which the Japan Society for the Promotion of Science is organizing a call for proposals:

- (1) Grants-in-Aid for Scientific Research, Type 2 (Specially Promoted Research, Grant-in-Aid for Young Scientists (A/B))**
- (2) Grants-in-Aid for Scientific Research, Type 3 (Scientific Research, Challenging Exploratory Research)**

### **2. Schedule from Application to Receipt of Funding**

In order to enable researchers to start their research as early as possible, the current call for proposals will start before the passage of the budget for FY2011, so that the preparations for the screening can be started early.

Therefore, applicants should be forewarned that the content and other matters are subject to change, depending of the circumstances of the passage of the budget.

**(1) Procedures that need to be completed prior to the deadline for the submission of the application documents**

Principal Investigator should sufficiently cooperate with the research institution, and should adequately respond to its requests.

<b>The Date and Time</b>	<b>Procedures to be Performed by the Principal Investigator</b> (The Principal Investigator should carefully read the sections “ III Instructions & Procedures for those Intending to Apply” and “ IV Instructions & Procedures for those Who Have Already Been Accepted” for details, and should ensure he or she performs each procedure without omitting anything.)	<b>Procedures to be Performed by the Research Institution</b> (The Research Institution should carefully read the sections “ v Instructions & Procedures for Staff of the Research Institution” for details, and should ensure he or she performs each procedure without omitting anything.)
<p>From September 1, 2010(Wed.) Start of the Call for Proposals</p> <p><b><u>November 10 (Wed.) 4:30 pm</u></b> <b><u>Deadline for the Submission</u></b></p>	<p>①Investigators should access the Electronic Application System using the ID and the e-Rad Password which has been provided by the research institution to which they belong and preparing the application</p> <p style="text-align: center;">↓</p> <p>②The Principal Investigator should submit (send) the application documents to the research institution he/she belongs to, by the deadline decided the research institution.</p>	<p>1) The Research Institution obtains “An Electronic Certificate for Research Institutions, an ID, or Password” for e-Rad from the person in charge of the operation of e-Rad (This does not apply if the research institution already obtained them.) ※ The issue of the ID and the Password takes about 2 weeks.</p> <p>2) Registration of the Researcher Information in e-Rad and other matters</p> <p>3) Research institutions issue an “ID and password” to the Principal Investigators. (This does not apply if the researcher already obtained an ID and a password.)</p> <p>4) <u>Submission of the “Report on the Status of the Implementation of the System, Based on the Guidelines”</u></p> <p>(Deadline for submission: October 8 (Fri.))</p> <p>5) <u>Submission (Sending) of the Application Documents</u></p>

Notes:

1. After the Principal Investigator submit (Sending) to the application to the research institution (mentioned in “Procedures to be Performed by the Principal Investigator” ②), the research institution should submit (Sending) to the JSPS the application the application by the deadline for the submission (mentioned in “Procedures to be Performed by the Research Institution” 5)).

Next, he or she should verify the section “Preparing the Application and Submitting the Application” (pages 38-47), etc., as well as verify the procedures designated by the research institution, etc. (deadline for the submission of the application, etc., in the research institution), with the office worker in charge in the research institution.

2. The research institution should perform the procedures 1) to 3) mentioned in the section “Procedures to be Performed by the Research Institution” where necessary.

Moreover, when the researcher is applying for Grants-in-Aid for Scientific Research, he or she should register the researcher information beforehand in e-Rad from the research institution to which he or she belongs. The research institution should perform the registration in e-Rad. Therefore, the researcher who is planning to apply should verify the state of the registration with the office worker in charge in the research institution.

Moreover, the research institution should submit a “Report on the Status of the Implementation of the System, based on the Guidelines on the Management and Audit of Public Research Funds at Research Institutions” (section 4) in “Procedures to Be Completed by the Research Institution”). If it has not been submitted, the applications of researchers belonging to the research institution in question will not be accepted in the Electronic Application System.

**(2) Schedule after the Submission of the Application Documents (plan)**

Specially Promoted Research	Scientific Research (S),	Scientific Research (A/B/C), Challenging Exploratory Research, Grant-in-Aid for Young Scientists (A/B)
December 2010 to April 2011: Screening Late April 2011: Informal decision to grant the funding Middle of May: Application for funding Middle of June: Decision concerning the granting of the funding Late June: Funding provided	December 2010 to May 2011: Screening Late May 2011: Informal decision to grant the funding Middle of June: Application for funding Late June: Decision concerning the granting of the funding Early July: Funding provided	December 2010 to March 2011: Screening Early April 2011: Informal decision to grant the funding Late April: Application for funding Middle of June: Decision concerning the granting of the funding Late June: Funding provided



### **3. Details of Each Research Category**

#### **1) Specially Promoted Research**

- A) Intended for: **Research project carried out by one researcher or by a relatively small group of researchers that is likely to yield highly acclaimed research achievements through intensive funding. The goal of the funding is the increased promotion of research which is highly regarded in the international arena.**
- B) Total budget provided (total budget throughout the research period): There is no limit to the total budget although, as a guide, a total budget of around 500 million yen per research project may be awarded.
- ※ On the amount for the total budget  
In principle, the total budget is set at approximately 500 million yen and the annual budget is set at approximately 100 million yen. However, if it is deemed necessary, the budget applied for can exceed the above-mentioned figures.
- ※ Handling of research projects with a total budget exceeding 500 million yen  
The reason why such a budget is needed should be stated in detail in the appropriate section of the proposal for grant-in-aid. Especially rigorous screening on the appropriateness of the budget will be conducted.
- C) Research period: **Three to five years**
- D) Number of research projects scheduled to be selected: **Around 10 (subject to strict selection)**
- E) Important points: For research projects that have been adopted, a research progress assessment will be conducted in the fiscal year before the final fiscal year of the research period (or, for research projects of which the research period is 3 years, in the final fiscal year). Moreover, based on the results of this research progress assessment, an increase or a reduction of the research budget, cancellation of the research, or other measures may subsequently be implemented, if the need arises.

#### **2) Scientific Research (S)**

- A) Intended for: **Research project performed by one researcher or by a relatively small group of researchers, with the purpose of achieving a major development in creative and pioneering research, based on past**

**research achievements**

B) Total budget provided: **From 50 million yen to around 200 million yen**

C) Research period: **Five years as a general rule**

D) Important points:

- 1) As an exception, the research period may be set at three or four years, in case any of the researchers are expected to leave the research institution, due to reaching retirement age, or for any other reason.
- 2) For research projects that have been adopted, a research progress assessment will be conducted in the fiscal year before the final fiscal year of the research period (or, for research projects of which the research period is 3 years, in the final fiscal year). Moreover, based on the results of this research progress assessment, an increase or a reduction of the research budget, cancellation of the research, or other measures may subsequently be implemented, if the need arises.

**3) Scientific Research (A/B/C)**

A) Intended for: **Research project done by one or by multiple researchers, with the purpose of achieving a major development in creative and pioneering research**

B) Total budget provided: Applications are to be divided into the following three divisions, according to the total budget provided.

Division	Total budget provided	Screening division
<b>Scientific Research (A)</b>	<b>between 20 million and 50 million yen</b>	General / Overseas Academic Research
<b>Scientific Research (B)</b>	<b>between 5 million and 20 million yen</b>	General / Overseas Academic Research
<b>Scientific Research (C)</b>	<b>5 million yen or less</b>	General

C) Research period: **Three to five years**

D) Screening division: When applying, select one of the following screening divisions, because the criteria of the screening are different depending on the nature of the research project for which the applicant applies.

**Screening division: “General”**

The screening division accepts applications relating to **Scientific Research (A/B/C)**. It is intended for projects which will develop innovative research.

All applications should be made for this screening division, except for research projects which are classified as “Overseas Academic Research”.

**Screening division: “Overseas Academic Research”**

This screening division only accepts applications for **Scientific Research (A/B)**. It is intended for research projects having as their **major purpose** in terms of research subject and research methods **conducting a field survey, observation, or collecting data at a specific location overseas.**

If a field survey, or a similar survey, is not the main purpose of the project, please apply for the “General” screening division. As far as equipment is concerned, the use of grants in the “Overseas Academic Research” screening division is limited to equipment that is directly used for surveys, observation or collection of data overseas, excluding inexpensive personal computers.

**4) Challenging Exploratory Research**

- A) Intended for: **Research at an exploratory stage, done by one or multiple researchers, that is based on a unique concept, that is challenging, and that sets an ambitious goal.**
- B) Total budget provided: **5 million yen or less**
- C) Research period: **One to three years**

**5) Grant-in-Aid for Young Scientists (A/B)**

- A) Intended for: **A research project conducted by one researcher aged 39 or less as of April 1, 2011 (a person born on April 2, 1971, or thereafter) with an original idea that is expected to bring forth a major development in the future**
- B) Total budget provided: Applications are to be divided into the following two divisions, depending on the total budget provided

Division	Total budget provided
<b>Grant-in-Aid for Young Scientists (A)</b>	<b>From 5 million yen to 30 million yen</b>
<b>Grant-in-Aid for Young Scientists (B)</b>	<b>5 million yen or less</b>

C) Research period: **Two to four years**

D) Important points: On the “Restriction on the Number of Times of Receiving a Grant(\*)” and transitional measures.

From the call for proposals of FY2010 on, JSPS decided to introduce a limitation on the number of times applicants can receive grants through Grant-in-Aid for Young Scientists (S/A/B). JSPS decided that applicants can receive Grants-in-Aid for Scientific Research up to a limit of two times through Grant-in-Aid for Young Scientists (S/A/B).

Concretely speaking, researchers can apply for research in one of the three research categories Grant-in-Aid for Young Scientists (S), Grant-in-Aid for Young Scientists (A), or Grant-in-Aid for Young Scientists (B), within the age limitations, and receive funding two times.

In addition, between now and the call for proposals of FY2013, JSPS decided to establish the following transitional measures.

- Even if the number of times an applicant received a Grant-in-Aid for Young Scientists (S/A/B) is already more than two times, he or she can receive a grant for one of the three research categories Grant-in-Aid for Young Scientists (A) or (B) one more time, if this happens within the age limitations.

(\*)“Receiving a grant” means being selected as a Grant-in-Aid for Young Scientists (S/A/B) “Receiving a decision concerning the granting of the funding” here.

In addition, even if a research project of which the research period goes over more than one fiscal year received a decision concerning the granting of the funding, under one and the same project number, the “Number of Times of Receiving a Grant” will be considered as “one time”.

Therefore, if, for example, researcher A conducted research from FY2003 to FY2004 with a “Grant-in-Aid for Young Scientists (B) (project number: 15\*\*\*\*\*)”, and is conducting research from FY2006 to FY2009 with a “Grant-in-Aid for Young Scientists (A) (project number: 18\*\*\*\*\*)”, the “Number of Times of Receiving a Grant” will be considered as “two times”.

Moreover, in both the following cases, the “Number of Times of Receiving a Grant” will be considered as “one time”.

- Cases where the researcher declined the application for funding in the middle of the

research period, or where he or she discontinued the research, after he or she received a decision concerning the granting of the funding.

- Cases where the researcher applied during Grants-in-Aid for Scientific Research FY2006 for a “Grant-in-Aid for Special Purposes (Trial of Multiple Applications per Year)” with a research plan suitable for a “Grant-in-Aid for Young Scientists”, where that application was adopted, and where the researcher received the decision concerning the granting of the funding.

(Reference) Please note that the following cases do not contain a “Number of Times of Receiving a Grant”.

- In cases where, after the researcher received an informal decision to grant the funding for new research projects, he or she refused the application for funding, and did not receive the decision concerning the granting of the funding, there is no “Number of Times of Receiving a Grant”. (This also includes cases where the researcher declines the grant, after he or she suspended the application for funding.)
- For Continued Research Projects of the category “Grant-in-Aid for Young Scientists (B)” in FY2002 (projects that have been newly approved in FY2001 as “Encouragement of Scientists (A)” with project number “13\*\*\*\*\*”) there is no “Number of Times of Receiving a Grant”, even if the researcher would have received the decision concerning the granting of the funding.