

IV. Instructions & Procedures for those Who Have Already Been Accepted

1. On the handling of research projects that are scheduled to be continued in FY2011 (hereinafter called “continued research projects”).

(1) Specially Promoted Research

- 1) It is not necessary to submit application forms for research projects the continuation of which has been informally agreed in FY2010 (continued research projects). (However, in order to receive the grant-in-aid, it is necessary to prepare and to submit the necessary documents like the grant application form, after receiving a notification of the informal decision to offer the grant-in-aid)

- 2) However, **if the applicant would like to make significant changes in the research project, he/she needs to submit the application forms.**

Because the application procedure is the same as for “Preparing the Application (Proposal for Grant-in-Aid) and Submitting the Application (Proposal for Grant-in-Aid)” (see page 38), the applicant should verify it. In this case, when preparing the Proposal for Grant-in-Aid, he or she should select the same area as when he or she was accepted for the Desired Area for Screening.

Moreover, since, in this case, the application needs to be screened again, it may happen that the change will not be recognized and that the amount of the budget to be granted will not be granted from FY2011 on.

Moreover, a significant change to the research project can be, concretely speaking, (1) a change to the purpose of the research or a change to the title of the proposed project, (2) a change to the annual plan of the budget that is scheduled to be funded from FY2011, (3) an increase or a reduction of the budget, and a shortening of the research period, etc. Please consult in advance with the Scientific Research Aid Division No. 2 of the Department of Research Projects of the Japan Society for the Promotion of Science (JSPS), in order to know whether the change the applicant wants to make falls under these categories (see “Inquiries” on page 126).

(2) Research categories except Specially Promoted Research

- 1) It is not necessary to submit application forms for research projects the continuation of which has been informally agreed in FY2008 (continued research projects). (However, in order to receive the grant-in-aid, it is necessary to prepare and to submit the necessary documents like the grant application form, after receiving a notification of the informal decision to offer the grant-in-aid)

- 2) However, **if the applicant would like to make significant changes in the research project, he/she needs to submit the application forms.** Because the application procedure is the same as for “Preparing the Application (Proposal for Grant-in-Aid) and Submitting the Application (Proposal for Grant-in-Aid)” (see page 38), the applicant should verify it.

Moreover, since, in this case, the application needs to be screened again, it may happen that the change will not be recognized and that the amount of the budget to be granted will not be granted from FY2011 on. Therefore, the applicant should consult in advance with the Scientific Research Aid Division No. 1 of the Department of Research Projects of the Japan Society for the Promotion of Science (JSPS), in order to know whether the change the applicant wants to make falls under these categories (see “Inquiries” on page 126).

As a general rule, **applications for an increase of the budget of the grants-in-aid for continued projects are not accepted.**

- 3) **As a general rule, withdrawing from a continued research project and applying for a new research project will not be accepted.**

However, in case the applicant changes the research category and aims for a new research development (※), because the research proceeded beyond expectation, and because the original attainment targets of the continued research project have already been reached, he or she can apply for a new research project, after submitting a Notice of Completion of Research Project and a Statement of Reason by October 27 (Wednesday), 2010. (Documents that arrive later will not be accepted.)

Moreover, please note that, if the content of the Statement of Reason is deemed inappropriate by the screening panel for applications for new research projects, the research project for which a new application is made becomes ineligible for screening, and that, in this case, no funding of a grant-in-aid from FY2011 on can be requested for the continued research project that has already been completed.

※ “Cases where the applicant changes the research category and aims for a new research development” are cases where the applicant makes a change such as, for example, from “Scientific Research (C) (General)” to “Scientific Research (B) (General)”. However, it also includes cases where the applicant only makes a change to the screening division, such as, for example, a change from “Scientific Research (A) (General)” to “Scientific Research (A) (Overseas Academic Research)”.

2. On the Handling of Continued Research Projects in Which Students Have Joined as Project Members

Students, such as, for example, graduate students, 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 a 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 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.

3. On the Handling of Continued Research Projects in Which Research Grant Employees Have Joined as Project Members

Research grant employees, as a rule, need to concentrate on their employment related work according to their employment contracts. Therefore, in the same way as for new research projects, considering the working hours they need to allot to the employment related work, they cannot implement research funded with Grant-in-Aid for Scientific Research themselves.

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, they can implement research using a Grant-in-Aid for Scientific Research, on condition that the following points have been verified in the research institution. In this case, they can implement it as Principal Investigator, and they can also become Co-Investigator (*kenkyū-buntansha*), Co-Investigator (*renkei-kenkyūsha*), or other project members.

- 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 sufficiently been secured, besides the time spent for employment related work.

(Note) As a rule, research grant employees are in a position where they receive instructions from the Principal Investigator or other researchers, and where they are engaged solely in work funded with a Grant-in-Aid for Scientific Research at their place of employment. Therefore, from FY2010 on, it is clearly written in the subsidiary conditions that “When employing a Research Collaborator, it is not the Principal Investigator but the research institution who, as a party, has to conclude an employment contract in which the work content, the working hours and other matters are clearly mentioned.”

4. On the Handling of Continued Research Projects in Which the Principal Investigator Has Failed to Submit the Report on the Research Achievements

In the same way as for new research projects, 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.

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.

5. On the Replacement of Principal Investigators in Continued Research Projects

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, also replacements of Principal Investigators of research projects that already have been adopted will no longer be accepted.

However, for the following research projects, it may happen that, after completion of the necessary procedures, replacements of Principal Investigators are accepted.

- “Summarizing Group Research Project”, “Support Group Research Project” and “Adjustment Group Research Project” of Scientific Research on Priority Areas
(For Scientific Research on Priority Areas, it may happen that replacements of Principal Investigators (or Principal Investigators of Innovative Areas) of “Summarizing Group Research Project” and also replacements of Principal Investigators of “Support Group

Research Project” and “Adjustment Group Research Project” are accepted. However, Principal Investigators of “Other Planned Research” and Principal Investigators of “Publicly Invited Research” cannot be replaced.)

- “Summarizing Group Research Project” and “Support Activity in 3 Areas of Bioscience” of Scientific Research on Innovative Areas (Research in a proposed research area)

For Scientific Research on Innovative Areas (Research in a proposed research area), it may happen that replacements of Principal Investigators (or Principal Investigators of Innovative Areas) of “Summarizing Group Research Project” and Principal Investigators of “Support Activity in 3 Areas of Bioscience” are accepted. However, Principal Investigators of “Other Planned Research” cannot be replaced.