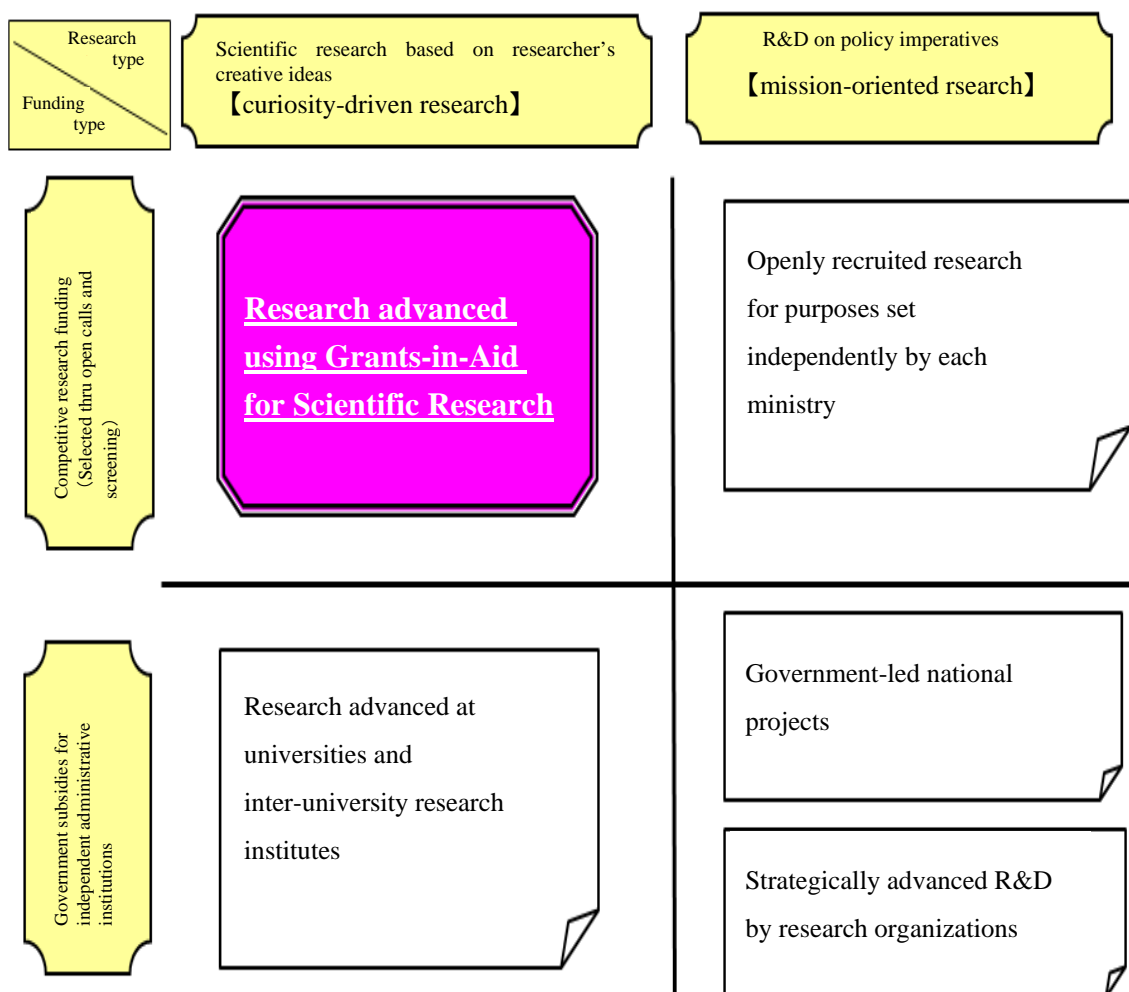


# I. Outline of the Grants-in-Aid for Scientific Research - KAKENHI

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

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 “KAKENHI” in the policy on the promotion of science, technology and scientific research in Japan

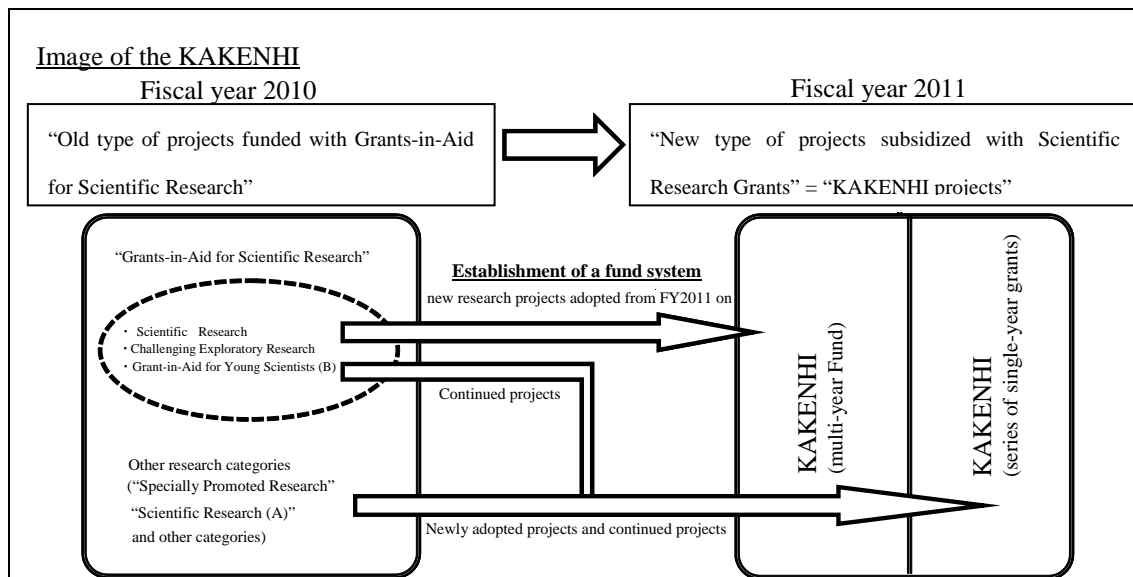


❖ KAKENHI (263.3 billion yen) account for about 58% of the entire budget for competitive funding (approximately 451.4 billion yen).

## **2. On the Establishment of a Fund System for a Part of the KAKENHI**

From FY2011 on, for a part of the KAKENHI research categories, the “KAKENHI Multi-year Fund” has been established by JSPS. This “KAKENHI Multi-year Fund” is funded with subsidies provided by the Ministry of Education, Culture, Sports, Science and Technology (MEXT). In this way, an institutional reform entailing the “establishment of a fund system” in order to promote KAKENHI Multi-year Fund Scientific Research Grants has started. For the research categories for which JSPS organizes a call for proposals, this new system applies for newly adopted research project of the categories “Scientific Research (C)”, “Challenging Exploratory Research” and “Grant-in-Aid for Young Scientists (B)”.

Moreover, “Multi-year Fund Scientific Research Grants” (hereinafter called “KAKENHI (Multi-year Fund)”) and the hitherto known “Grants-in-Aid for Scientific Research” (hereinafter called “KAKENHI (Series of Single-year Grants)”) will be implemented together as “Grants-in-Aid for Scientific Research”. All these grants will be called “KAKENHI”. As for these new “KAKENHI”, the previous purpose and character of the old type of “Grants-in-Aid for Scientific Research” does not change.



Through the establishment of a fund system, it becomes possible after the adoption of the research project to use KAKENHI ahead of schedule by modifying the original research plan, or to use the KAKENHI in the subsequent fiscal year without prior procedures, depending on the progress of the research. Moreover, when implementing the research budget, it becomes possible to procure goods across fiscal years.

### 3. Research Categories

Depending on the content and the scale of the research, different research categories have been established.

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 (The period is three to five years. As a general indicator, the upper limit of the total budget provided is set around 500 million yen per research project. However, no upper and lower limits have been established.)
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
<u>Challenging Exploratory Research</u>	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	
Publication of Research Results	Funding for publication or international dissemination of research achievements of a scientific society with high academic value
Scientific Periodicals	Funding of academic journals that are periodically published by a scientific society, an association constituting a cooperative framework of a number of scientific societies, or other bodies, in order to contribute to international academic exchange
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)

❖ The underlined research categories are funded with KAKENHI (Multi-year Fund) when adopted as new research projects from FY2011 on.

#### **4. 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. From FY1999 on, these tasks were transferred to the Japan Society for the Promotion of Science (JSPS). In FY2011 a transfer of “Specially Promoted Research” and “Grants-in-Aid for Young Scientists (A/B)” was conducted, and the call for proposals, screening and funding are currently being conducted as indicated below.

<b>Research category</b>	<b>Call for proposals, screening and funding</b>
	Main body in the preparation of the procedures for lodging applications and the location where the applications should be submitted. 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
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

Specially Promoted Research Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists, 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
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❖ As of September 2011

## **5. Rules Relating to KAKENHI**

KAKENHI (Series of Single-year Grants) are governed by the Law on Optimizing Implementation of Budgets Relating to Subsidies (Law No. 179, 1955) (hereinafter called: “Optimization Law”), Procedures on the Handling of Grants-in-Aid for Scientific Research (Announcement of the MEXT), KAKENHI (Series of Single-year Grants) Management Procedures of the Japan Society for the Promotion of Science (Regulations No. 17, 2003), and Others.

The KAKENHI (Multi-year Fund) are governed by the “Optimization Law”, the “Basic Policy on the Management of the KAKENHI (Multi-year Fund)”, the “Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)) (Rule No. 19, 2011)” and others.

### (1) Three types of rules for KAKENHI

There are three types of rules for KAKENHI, 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 KAKENHI

Moreover, these three sets of rules apply as follows, depending on whether the funding is granted by the Ministry of Education, Culture, Sports, Science and Technology (MEXT) or by the Japan Society for the Promotion of Science (JSPS).

		Application rules	Assessment rules	Spending rules
Funding Granted by MEXT	KAKENHI (Series of Single-year Grants)	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 Research, category “Scientific Research on Innovative Areas”  Assessment Outline for Grants-in-Aid for Scientific Research, category “Scientific Research on Innovative Areas”	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 each research institution
	KAKENHI (Series of Single-year Grants)	JSPS Procedures on the call for proposals	JSPS Rules concerning the screening and assessment for Grants-in-Aid for Scientific Research (Scientific Research, etc.)  ※The assessment rules for FY2012 are scheduled to be made public in early October.	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
Funding Granted by JSPS	KAKENHI (Multi-year Fund)			JSPS For researchers: Funding conditions  For research institutions: Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)), to be performed by each research institution

(2) Appropriate use of KAKENHI

KAKENHI are funded by the tax of citizens and other sources. Researchers receiving KAKENHI have a duty to comply with the related laws, regulations and spending rules by researchers (subsidiary conditions or funding conditions), and also to use such grants appropriately. To ensure recipients comply with this requirement, we check whether no inappropriate use of KAKENHI will

be made, when an application is made. (See note below.)

To facilitate the appropriate use of KAKENHI, research institutions to which the researchers belong are responsible for the management of the KAKENHI. 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 KAKENHI, 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. In order to prevent fraudulent accounting through fictitious business transactions (so-called “azukekin”), it is important, in addition to appropriate inspection of delivered goods, to widely inform traders about the rules and to obtain the understanding and cooperation of traders in the prevention of this kind of fraudulent accounting. Researchers need to strictly respond to traders who have been involved in fraudulent accounting through fictitious business transactions, for example by stopping doing business with such traders.

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 KAKENHI

For KAKENHI (Series of Single-year Grants) a package plan throughout the research period should be prepared and submitted upon application. 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, KAKENHI (Series of Single-year Grants) 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.

For KAKENHI (Multi-year Fund), the research activity after the adoption of the grant will be handled as a single funded project throughout the whole research period. Therefore, it is possible to use the grant for paying costs in a fiscal year that is different from the fiscal year of receipt of the grant, if this happens within the research period.

Moreover, if within the research period an amount of money remains unused by the end of each fiscal year, except for the final fiscal year, costs can be carried over to the next fiscal year, without researchers having to go through prior authorization procedures. In addition, if an amount of money remains unused by the end of the final fiscal year, costs can be carried over to the next fiscal year, by obtaining prior approval for extension of the research period.

(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 KAKENHI widely known to the citizens. It is an important tool in order to widely return the achievements of the research funded with a KAKENHI, 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 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 funding of KAKENHI will be conducted for 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 KAKENHI 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 KAKENHI 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 KAKENHI 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 had a work attendance sheet for work that was actually not carried out drawn up for a graduate student, charged the payment of remuneration, 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 KAKENHI for fictitious and other transactions, like the ones mentioned in the examples, are all considered fraudulent use, even if the expenditure of KAKENHI was intended for the research project related to the Grant-in-Aid for Scientific Research in question.

○ Fraudulent receiving of grants

- A researcher who was not eligible to apply or receive grants applied for a KAKENHI and for funding of it, and then fraudulently received the subsidy.

○ Fraudulent acts committed during the research

- Someone manipulated or forged experimental data or a chart in a research paper published as the achievements of research funded with a KAKENHI.
- Someone translated an original English-language research paper without obtaining prior consent 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 KAKENHI, and made it public as the research achievements of the research project in question, without clearly mentioning that it was being quoted.

## **6. 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 KAKENHI, 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 KAKENHI), 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, KAKENHI may not be delivered.

- 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 “Procedures for Preparing and Entering a Proposal”.

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

- 1) **No KAKENHI will be offered, for a fixed period of time, when the researcher has made fraudulent use of KAKENHI, has fraudulently received KAKENHI, or has committed fraudulent acts.** (For details see “(Reference 2) Procedures on the Handling of Grants-in-Aid for Scientific Research”, “(Reference 3) Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research – KAKENHI (KAKENHI (Series of Single-year Grants))” and “(Reference 4) Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research – KAKENHI (KAKENHI (Multi-year Fund))”.)

Also researchers who fraudulently use or receive competitive funds other than KAKENHI (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 KAKENHI 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 KAKENHI, the applicant may be requested to completely or partially return the provided KAKENHI in question. The severity of the fraudulent acts and other matters will be taken into consideration.

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.

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

For KAKENHI, it has, until now, clearly been mentioned in the spending rules by researchers (subsidiary conditions or funding conditions), the Handbook for KAKENHI, 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 must endeavor to positively disseminate the achievements produced through KAKENHI to society and citizens. For example, it is requested that researchers mention information concerning outreach

activities in the report on the research achievements they are requested to prepare after the completion of the research period.

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 make use of this program.

Moreover, in “*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) which has been compiled in June 2010, 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 KAKENHI, 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 KAKENHI to society and citizens in an even more positive way.

## II. Details of the Call for Proposals

From FY2012 on, a call for proposals for “Grants-in-Aid for Scientific Research KAKENHI” will be conducted together for “KAKENHI (Series of Single-year Grants)” and “KAKENHI (Multi-year Fund)”.

The current round of call for proposals starts before the finalization of the budget for FY2012, in order to enable researchers to proceed with their preparations for the screening as soon as possible, so that they can promptly commence their research.

Therefore, please be aware in advance that, depending on the situation regarding the finalization of the budget, the details may change at a later stage.

### **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) KAKENHI (Series of Single-year Grants)(Specially Promoted Research, Scientific Research(S/A/B), Grant-in-Aid for Young Scientists (A))
- (2) KAKENHI (Multi-year Fund)(Scientific Research(C), Challenging Exploratory Research, Grant-in-Aid for Young Scientists (B))

※ For Grant-in-Aid for Young Scientists (S) no call for proposals will be conducted.



Moreover, when the researcher is applying for KAKENHI, 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 “Self-assessment Checklist on the Implementation of the System”, based on the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)” (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 2011 to April 2012: Screening Late April 2012: 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 2011 to May 2012: Screening Late May 2012: 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 2011 to March 2012: Screening Early April 2012: 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: KAKENHI (Series of Single-year Grants)**

- 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 the same applies below):  
**As a general indicator, the upper limit of the total budget provided per research project is fixed at around 500 million yen. However, if it is deemed necessary, applications exceeding this amount are also possible. Moreover, no lower limit has been established.**
- ※ **Handling of research projects with a total budget exceeding 500 million yen**  
**If the total budget exceeds 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.**
- ※ **On the lower limit of total budget**  
**No lower limit of the total budget has been established for research categories that further promote research which is highly regarded in the international arena and that are likely to yield highly acclaimed research achievements.**
- C) Research period: **Three to five years**
- D) Number of research projects scheduled to be selected: **Around 10 (subject to strict selection)**
- E) Research funding: **KAKENHI (Series of Single-year Grants) are granted.**
- F) 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. Moreover, a follow-up assessment will be conducted 5 years after the completion of the research.

**2) Scientific Research (S): KAKENHI (Series of Single-year Grants)**

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**

※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.

D) Research funding: **KAKENHI (Series of Single-year Grants) are granted.**

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.

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

**Scientific Research (A/B): KAKENHI (Series of Single-year Grants)**

**Scientific Research (C): KAKENHI (Multi-year Fund)**

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
Scientific Research (A)	between 20 million and 50 million yen	General / Overseas Academic Research
Scientific Research (B)	between 5 million and 20 million yen	General / Overseas Academic Research
Scientific Research (C)	5 million yen or less	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.

E) Research funding: **For Scientific Research (A/B), KAKENHI (Series of Single-year Grants) are granted. For Scientific Research (C), KAKENHI (Multi-year Fund) are granted.**

**4) Challenging Exploratory Research: KAKENHI (Multi-year Fund)**

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**

E) Research funding: **KAKENHI (Multi-year Fund) are granted.**

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

**Grant-in-Aid for Young Scientists (A): KAKENHI (Series of Single-year Grants)**

**Grant-in-Aid for Young Scientists (B): KAKENHI (Multi-year Fund)**

A) Intended for: **A research project conducted by one researcher aged 39 or less as of April 1, 2012 (a person born on April 2, 1972, 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) Research funding: **For Grant-in-Aid for Young Scientists (A), KAKENHI (Series of Single-year Grants) are granted. For Grant-in-Aid for Young Scientists (B), KAKENHI (Multi-year Fund) are granted.**

E) 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 has decided that applicants can only receive grants twice for any of the research categories, through Grant-in-Aid for Young Scientists (S/A/B).

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 apply and receive a grant one time for one of the research categories Grant-in-Aid for Young Scientists (A) or Grant-in-Aid for Young Scientists (B) within the set period of transitional measures, if he or she does so within the range of the age limits.

- (\*) “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.